

U.S. Department of Energy
Washington, D.C.

ORDER

DOE 3600.1B

2-11-91

This directive was reviewed and certified as current and necessary by (Enter Name), (Enter Title) Director, Office of Management, Budget and Evaluation/Chief Financial Officer, XX-XX-XXXX.

SUBJECT: TIME AND ATTENDANCE REPORTING

1. PURPOSE. To set forth the policy, objectives, and responsibilities for time and attendance (T&A) reporting within the Department of Energy (DOE) in accordance with General Accounting Office (GAO) and Office of Personnel Management (OPM) regulations.
2. CANCELLATION. DOE 3600.1A, TIME AND ATTENDANCE REPORTING, of 9-23-85.
3. REFERENCES.
 - a. DOE 1325.1A, CORRESPONDENCE MANUAL, of 6-18-81, page VIII-2, paragraph 1b, which provides general designations of Heads of Departmental Elements.
 - b. DOE 2200.4, ACCOUNTING OVERVIEW, of 3-31-88, which establishes Department-wide accounting policy, principles, and standards and provides an introduction to, and overview of, the payroll system.
 - c. DOE 2200.9A, MISCELLANEOUS ACCOUNTING, of 3-30-89, Chapter VI, NUCLEAR WASTE FUND, which establishes Department-wide policies and procedures for the financial management, accounting, budget preparation, and cash management of civilian nuclear waste activities, as authorized by the Nuclear Waste Policy Act, as amended.
 - d. DOE 3550.1A, PAY ADMINISTRATION AND HOURS OF DUTY, of 12-22-87, which establishes the Department's responsibilities and procedures for administering civil service laws, OPM regulations, and decisions of the Comptroller General concerning pay and hours of duty.
 - e. DOE 3630.1B, LEAVE ADMINISTRATION, of 12-31-86, which sets forth the policy, responsibilities, and procedures for the administration of leave within DOE.
 - f. GENERAL ACCOUNTING OFFICE POLICY AND PROCEDURES MANUAL FOR GUIDANCE OF FEDERAL AGENCIES, Title 6, "Pay, Leave, and Allowances," of 5-89, which prescribes the principles, standards, and related allowances.
4. POLICY. It is the policy of the Department that an adequately controlled system for reporting time and attendance be maintained for each employee on a daily basis for each pay period in the detail necessary for preparing payroll in accordance with all statutory and regulatory requirements.

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Office of Financial Management
and Controller

5. OBJECTIVES. The objectives of the T&A reporting system are to:
 - a. Establish a system of recording and reporting time and attendance that will provide affirmative evidence that employees are entitled to their normal pay or, to an indicated greater or lesser amount, by showing the number of hours in duty attendance and in absence.
 - b. Provide suitable records of time absent from duty and cause of absence recorded on the DOE F 2220.11, "Time and Attendance Report." if 1-83. (hereinafter referred to as "T&A reports") and in related records in support of pay entitlement.
6. DEFINITIONS.
 - a. Administrative Workweek is a period of 7 consecutive calendar days established by the Director of Administration and Human Resource Management (AD-1) in accordance with DOE 3550.1A.
 - b. Payroll Liaisons are those individuals at field offices responsible for processing and maintaining T&A reports and the electronic transmission and certification of biweekly T&A data to the payroll office.
 - c. Premium Hours include overtime, night, holiday, Sunday work, and standby duty hours.
 - d. Regular Working Hours are the days and hours of an employee's regularly scheduled administrative workweek.
 - e. T&A Report is the DOE Form 2220.11 where detailed account of employees hours worked or periods of leave is recorded daily.
 - f. Workday is the designated period of time in a given day when an employee is expected to perform his/her job assignment.
7. RESPONSIBILITIES AND AUTHORITIES.
 - a. Heads of Departmental Elements shall:
 - (1) Assure that T&A reports for employees under their jurisdiction are prepared and submitted under the requirements of this Order.
 - (2) Designate T&A clerks and alternates to record T&A data on a daily basis.

- (3) Designate individuals to certify T&A reports and assure that each individual designated is the official (normally the immediate supervisor) most knowledgeable about and responsible for the employees' attendance.
 - (a) For those Departmental Elements which submit hard copy T&A reports to the payroll office, a copy of the signatures of the individuals designated to certify T&A reports must be provided to the payroll office.
 - (b) For those Departmental Elements which only transmit biweekly T&A data to the payroll office but retain the hard copy of T&A reports, the Head of that Departmental Element shall designate a payroll liaison. A copy of the signatures of the individuals designated to certify T&A reports must be maintained by that office's designated payroll liaison. A copy of the signatures of the payroll liaisons must be provided to the payroll office.
- (4) Designate officials to authorize and approve overtime, premium pay, and compensatory time earned.
- (5) Designate officials who may authorize individuals to maintain their own T&A under those situations stated on page 12, paragraph 8d of this Order. Such authorization shall be made in advance and in writing.
- (6) Authorize individuals to certify and approve their own T&A under those situations stated on page 12, paragraph 8d of this Order. Such authorization shall be made in advance and in writing. (See paragraph 7a(3)(a) and (b) above for submission of signatures of these individuals.)
- (7) Maintain a current file of all designations with effective dates shown.
- (8) Assure the segregation of assigned duties to the maximum extent possible relative to preparing T&A reports and certifying the correctness of such reports.
- (9) Maintain schedules of starting and ending time for those employees whose work schedules do not vary.

- (10) Maintain management supervision of employees under alternative work schedules during all hours of extended workdays, as set forth in paragraph 8b of this Order, to assure proper certification of employees' T&A reports.
 - (11) May redelegate the authorities stated above. The payroll office or the payroll liaison must be provided with signed copies of designations made in relation to paragraphs 7a(2), (3), (5), and 6, above, and a copy of designation made in relation to paragraph 7a (4), above, must be maintained by the delegating official.
 - (12) Assure that employees under their jurisdiction are aware of the provisions of this Order and specifically that they may not authorize or approve their own overtime (or other premium pay) under paragraph 10a(6) of DOE 3550.1A.
 - (13) Maintain and certify their own T&A report.
- b. Controller and the Administrator of the Bonneville Power Administration (BPA) shall:
- (1) Advise and provide training for supervisors and T&A clerks about the details of preparing, certifying, and submitting the reports.
 - (2) Assure that current files of designations and redelegations noted in paragraph 7a(2), (3), (5), and (6) are maintained and that those individuals signing T&A reports have been properly delegated to do so and that required supporting documentation (military leave, court leave, and advanced sick leave) is attached to the T&A reports.
 - (3) Prepare payrolls on the basis of the hours of duty status shown on the T&A reports.
 - (4) Establish and maintain pay and leave records.
 - (5) Use leave records in conjunction with T&A reports to reconcile any discrepancies, particularly those that involve leave without pay.
 - (6) Perform reviews of selected organizations for compliance with the provisions of this Order. (This responsibility applies only to the Controller. The Administrator of the BPA may perform internal reviews of sites or offices under the BPA payroll system).
 - (7) Provide necessary reports of time and attendance for internal management purposes as needed.

- c. Personnel Offices shall provide timely notification to payroll offices of new employees' reporting dates, and termination dates for departing employees.
- d. Payroll Offices shall:
 - (1) Promptly forward, at the end of each biweekly payroll calculation, a copy of the Biweekly Premium Hours - Leave Report to the T&A certifying officials through the respective timekeeper units or to the payroll liaison.
 - (2) Ensure that T&A records are properly secured and access to data is restricted in accordance with the Privacy Act.
- e. Payroll Liaisons at Field Offices shall:
 - (1) Maintain current files of designations and redelegations noted in paragraph 7a(2), (3), (5), and (6) above. Assure that those individuals signing T&A reports have been properly delegated.
 - (2) Review and process T&A reports. Assure that the required supporting documentation is attached to the T&A reports.
 - (3) Transmit biweekly T&A data to the payroll office and provide written certification that the data transmitted are accurate and have been reviewed and verified.
 - (4) Maintain T&A reports and supporting documentation at a central location in accordance with DOE records retention requirements.
 - (5) Ensure all transactions initiated subsequent to the biweekly transmission are made via supplemental corrected T&A reports.
 - (6) Ensure T&A records are properly secured and access to data is restricted in accordance with the Privacy Act.
- f. Overtime Approving Official shall:
 - (1) Approve requests for overtime/holiday hours as appropriate on DOE 'Overtime Request and Authorization for Payment,' (Attachment 1) as specified by the payroll office.
 - (2) Ensure that overtime/holiday hours are scheduled and approved in advance of the administrative workweek to the maximum extent possible.

- g. T&A Certifying Officials (Supervisors) shall:
- (1) Submit to the overtime approving official the DOE F 2220.20 for overtime/holiday hours, to the extent possible in advance of the administrative workweek, according to the requirements of paragraph 8f of this Order.
 - (2) Assure that supplemental T&A reports are submitted on a timely basis and that overtime hours worked after T&A reports have been submitted to the payroll office or payroll liaison are submitted on a supplemental T&A report rather than carrying overtime hours over to the next pay period.
 - (3) Certify, at the end of the time period (when practical), as correct the T&A reports for each employee under their supervision in accordance with this Order. When this is not practical because of payroll processing requirements to meet established paydays, T&A reports must be certified as close to the end of the pay period as possible.
 - (4) Keep informed as to the attendance or absence of employees for whom they are responsible including those at duty stations away from the supervisor's official station and ensure the accuracy of T&A reports.
 - (5) Initial the T&A report for leave taken by an employee when the employee is not available. Upon return of the employee, have the employee submit a completed SF-71, "Application for Leave," covering such leave.
 - (6) Initial all T&A reports whenever corrections are made by T&A checks.
 - (7) Assure that T&A reports and accurate documentation for military leave, court leave, and advanced sick leave are transmitted to the payroll office or the payroll liaison and maintain other documentation such as SF-71, doctors' certificates, and approved DOE F 2220.20, and retain in accordance with the National Archives and Records Administration General Records Schedule.
 - (8) Remain informed as to negative leave (annual or sick) balances of employees under their supervision. Upon learning that an employee with a negative balance will be terminating, notify the payroll office or payroll liaison by telephone to take appropriate action to recoup such balances from remaining payments due the employee.

- (9) Review and sign, as applicable, the DOE F 2220.14, "Time and Attendance Preprint Change Notice (A-64)," establishing or changing an employee's tour of duty and assure it is forwarded to the payroll office or to the payroll liaison (for forwarding to the payroll office) in a timely manner.
 - (10) Review the Biweekly Premium Hours - Leave Report that actual overtime/compensatory time reflected on the report is in agreement with the DOE F 2220.20. Notify the payroll office or the payroll liaison if any differences are identified.
 - (11) Certify supplemental T&A reports for overtime/holiday hours worked or leave usage.
- h. T&A Clerks shall:
- (1) Record T&A data on a daily basis for employees in their designated areas, with a breakdown of leave hours taken on each day, in accordance with this Order and other specific instructions provided by the payroll office.
 - (2) Know each individual shown on the T&A report and have positive knowledge as to whether the individual is present or absent before marking 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 supervisor for status.
 - (3) Assure that corrections to T&A reports are initialed by the T&A certifying official.
 - (4) Prepare new individual T&A reports for new employees reporting for duty and annotate on the T&A report "new employee."
 - (5) Annotate on the T&A report for employees leaving the Department "last T&A report for employee."
 - (6) Assure that T&A reports and corrections are forwarded to the payroll office or to the payroll liaison in a timely fashion.
 - (7) Assure that the appropriate documentation is attached to the T&A report.

- (8) Assure that, as applicable, the DOE F 2220.14, "Time and Attendance Preprint Change Notice (A-64)," which establishes or changes an employee's tour of duty, is forwarded to the payroll office or to the payroll liaison (for forwarding to the payroll office) in a timely manner.
- (9) Assure that T&A certifying officials receive leave balance and overtime reports and memoranda forwarded by the payroll office.
- (10) Prepare supplemental T&A reports when leave usage or overtime/holiday hours worked occurred after the original T&A report was submitted to the payroll office or to the payroll liaison and compare to the carbon copy of the original T&A report and DOE F 2220.20 to ensure duplicate hours are not claimed.

8. PROCEDURES AND REQUIREMENTS.

a. Bases for Recording T&A.

- (1) The supervisor's or the T&A clerk's observation and recording of employees' hours worked; or
- (2) Time clocks or other automated timekeeping devices, where not prohibited by law; or
- (3) Serial sign-in/sign-out sheets on which employees sign their names and record their times of arrival in the order they arrive. When employees leave, they must sign their names again--in order of departure--and record their times of departure. Sign-in/sign-out sheets with employees' names preprinted on the sheet or designed to provide sign-in and sign-out information on the same line are not acceptable.

b. Exceptions. Because most DOE employees are charged leave on an hourly basis and premium pay is recorded and paid in tenths of an hour, an accurate record of the times an employee works and is absent must be recorded. If daily recording is impractical for those employees in situations mentioned in paragraphs 8b(1), (2) and (3), Heads of Departmental Elements may request in writing an exception from the Controller. When an exception is approved, the T&A Certifying Official should provide reasonable assurance that these employees are working when scheduled by using such techniques as the following.

- (1) In situations where employees are permitted to work the flexible hours outside the hours of their supervisors or T&A clerks and the methods in paragraphs 8a(2) and (3) above are not used.

- (a) Arrange with another timekeeper or supervisor to provide observation;
 - (b) Call the employee occasionally during times the supervisor is not present but the employee is scheduled to be present;
 - (c) Observe occasionally (the supervisor could come to work earlier and stay later than normal); or
 - (d) Determine reasonableness of work output for time spent.
- (2) In situations where employees are working at remote sites away from their supervisors and T&A clerks.
- (a) Arrange with another supervisor or T&A clerk to provide observation, where feasible;
 - (b) Call the employee occasionally during times the employee is scheduled to be on duty;
 - (c) Visit the employee's work site occasionally; or
 - (d) Determine reasonableness of work output for time spent.
- (3) In situations where employees are based primarily at the location of their supervisors and T&A clerks, but frequently working elsewhere.
- (a) Have employees sign sign-in/sign-out sheets indicating the employees' destinations and times of departure to and return from destinations;
 - (b) Call the employees' temporary work locations occasionally;
 - (c) Visit the employees' temporary work site, if appropriate, occasionally; or
 - (d) Determine reasonableness of work output for time spent.

c. T&A Reports.

- (1) T&A information shall be maintained on DOE F 2220.11, "Time and Attendance Report" (Attachment 2), as specified by the Payroll Office. These reports shall be completed in ink. Corrections must be initialed by the T&A certifying official. Corrections shall not be made with white out or erasures but by crossing through the error with a single line.
- (2) The certification block on the T&A reports must include the T&A certifying official's signature and date.
- (3) The T&A report shall cover a time period the length of which shall correspond to the length of the pay period.
- (4) Daily recording shall incorporate the following requirements:
 - (a) The T&A report or related supporting documentation must show the daily starting and ending times for regular time worked for employees working the flexible time schedule. For employees working the alternative work schedule or a schedule which does not vary (e.g., 8:30 to 5:00 each day), it is only necessary to maintain a schedule of their normal working hours with the T&A clerk or the immediate supervisor.
 - (b) The starting and ending times for credit hours and compensatory time earned and used must be shown on the T&A report.
 - (c) The number of hours and the actual time of absence from start to finish shall be shown for each type of leave taken, except when the leave involves the employee's entire basic workday.
 - (d) The initials of the employee (or T&A certifying official in absence of employee) shall be entered for each day on which any kind of leave taken is equal to or less than the employee's basic workday. If it is not possible to initial the time and attendance report, an SF-71 is to be used.
 - (e) All entries covering consecutive leave usage in excess of the employee's basic workday shall be supported by a completed SF-71. If the employee is unavailable to submit an SF-71, the entry shall be initialed by the T&A certifying official, who will have the employee submit an SF-71 upon returning to duty.
 - (f) Military leave, court leave, and advanced sick leave shall be reported under the provisions of DOE 3630.1B.

- (9) All work compensated at premium rates (overtime, night, holiday, or Sunday work, and standby duty) shall be reported for the days on which the premium hours were actually worked. The number of hours and the actual starting and ending times of the premium hours worked shall also be reported. Entitlement to premium pay will be supported by an approved DOE F 2220.20, except when there is an established tour of duty which entitles an individual to premium pay. When overtime work is performed, the approved DOE F 2220.20 should indicate whether the employee is to be compensated by payment or by being granted compensatory leave in lieu of payment and the employee's T&A report marked accordingly. Documentation of authorization for premium pay is retained by the T&A certifying official.
 - (h) When compensatory leave is used, it shall be reported on the day taken.
 - (i) Employees whose duties are performed at a location other than where the supervisor is located shall report their time and attendance to the supervisor in a manner determined by the supervisor.
 - (j) Absence of an employee under the continuation of pay provisions of the Federal Employees Compensation Act (Title 5, United States Code, Section 8101 et. seq.) shall be reported on the T&A as FECA with appropriate codes as defined by the Department's payroll T&A procedures and supported by Form CA-1, 'Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation.'
- (5) T&A reports for employee's time charged to the Nuclear Waste Fund shall be prepared under DOE 2200.9A, MISCELLANEOUS ACCOUNTING, Chapter VI.
- (6) Documentation supporting military leave, court leave, and advances of sick leave shall accompany the T&A report. For military leave and court leave, supporting documentation should include copies of military orders/court orders prior to the use of such leave and must include military/court certification of actual attendance upon return from such leave. Other documentation such as SF-71, doctors' certificates, and approved DOE F 2220.20 shall be maintained by the T&A certifying official and retained in accordance with the National Archives and Records Administration General Records Schedules.

d. Maintenance and Certification of Reports.

- (1) Employees, other than as provided in paragraph 7a(13), shall not maintain, certify, or approve their own T&A reports, except in certain situations when it is not practical to do otherwise and only when authorized in advance and in writing by an official authorized by the Head of the Departmental Element (in situations where individual will maintain own T&A) and by the Head of the Departmental Element (in situations where individual will certify or approve own T&A).
 - (a) The situations in which employees may maintain their own T&A report, where impractical to do otherwise, are those in which:
 - 1 the employee is the timekeeper,
 - 2 employees work flexible hours outside the hours of the timekeeper and supervisor,
 - 3 an employee works alone at a remote site, or
 - 4 employees are based at but are frequently away from the location of their supervisors and timekeepers during working hours.
 - (b) Situations in which employees may approve or certify their own T&A report when it is not feasible to have the T&A approved by a supervisor are those in which:
 - 1 employees work flexible hours outside the hours of the timekeeper and supervisor,
 - 2 an employee works alone at a remote site,
 - 3 employees are based at but are frequently away from the location of their supervisors and timekeepers during working hours, or
 - 4 the head of an organization has no supervisor on site.

(2) Subordinates may not certify any supervisor's T&A report.

e. Submission of Reports. T&A information shall be submitted to the payroll offices no later than the dates and times specified by the payroll offices to allow adequate time for preparation of the payrolls.

f. Overtime/Holiday Hours.

- (1) The DOE F 2220.20 should be certified and approved by the overtime approving official prior to the beginning of the administrative workweek for which the overtime/holiday hours are scheduled to be worked. Actual overtime worked will be recorded on the DOE F 2220.20 and certified by the T&A certifying official. Only overtime/holiday hours worked supported by a properly completed and certified DOE F 2220.20 will be recorded on the employee's T&A report.
- (2) When overtime/holiday work cannot be scheduled in advance of the workweek, DOE F 2220.20 must be prepared and submitted to the approving official prior to the occurrence of any such work and when an emergency precludes authorization by the overtime approving official, then immediately after the occurrence of any such work and before being recorded on the T&A report.
- (3) When the number of actual overtime hours worked is more than the number of approved overtime hours, a DOE F 2220.20 must be prepared for the excess overtime hours worked and submitted to the approving official immediately after the occurrence of the work and before being recorded on the T&A report.
- (4) It is not necessary to prepare and submit a DOE F 2220.20 if the time the actual overtime was worked varied from the time on the approved overtime and the number of actual overtime hours worked remained the same.
- (5) The statement "NO OTHER ENTRIES" shall be entered on the last line following the last entry on the DOE F 2220.20.

g. Supplemental T&A Report.

- (1) A supplemental T&A report will be prepared by the T&A clerk when the reporting of leave usage or overtime/holiday hours on the original T&A report is not possible because the leave usage or overtime/holiday hours occurred after the original T&A report was submitted to the payroll office or to the payroll liaison.
- (2) The supplemental T&A report must be compared to the carbon copy of the original T&A report and original DOE F 2220.20 to insure that duplicate hours are not claimed before forwarding it to the T&A certifying official for certification.
- (3) The supplemental T&A report will be submitted to the payroll office or to the payroll liaison (for submission to the payroll office) within 1 pay period following the submission of the original T&A report.

BY ORDER OF THE SECRETARY OF ENERGY:



JOHN J. NETTLES, JR.
Director of Administration
and Human Resource Management

SAMPLE REQUEST FOR OVERTIME AND ACTUAL OVERTIME WORKED

U.S. Department of Energy
WASHINGTON DC 20585

OVERTIME REQUEST AND AUTHORIZATION FOR PAYMENT

Date 1/14/91

Block and Timekeeper 817 003

Office: Office of Internal Analysis

Pay Period 91

This overtime is pre-scheduled for the week ending 9-26-91 (The work week begins 12:01 am Sunday and ends Saturday at 12:00 pm entitled to night overtime for non-wage grade employees. The overtime must be scheduled in advance

Advanced Overtime

Actual Overtime Authorized
For Compensation

Employee Name	Pre-scheduled			Explanation or Justification	Actual			Check One Compensation	
	Date	OT Hours	Time From-to		Date Worked	OT Hours Worked	Time From-To	Payment	Comp
Fred Allen	1123191	2	5:00 - 7:00p.m.	To work on Disposition of Analytical Variance.	1/23/91	2	5:00 - 7:00p.m.	X	
David Daniel	1/24/91	1	5:00 - 6:00p.m.	To troubleshoot the 18H PS/2 for graphics malfunction.	1/24/91	1	5:00 - 6:00p.m.	X	
Donna Curtis	1/25/91	3	5:00 - 8:00p.m.	To review bid proposals for laser capability.	1/25/91	3	5:00 - 8:00p.m.	X	
NO OTHER ENTRIES									

"Refer to DOE 3550.1A, PAY ADMINISTRATION AND HOURS OT DUTY. of 12-22-87, for determination when overtime and compensatory time

The overtime request above conforms to DOE policy

Robert Taylor
T/A Certifying Official

1/14/91
Date

I certify that the actual overtime reflected above in agreement with the

Robert Taylor
T/A Certifying Official

Approval is granted for the overtime requested above to meet organizational workload.

Olivia James
Overtime Approving Official

1/14/91
Date

U.S. Department of Energy
Washington, D.C.

PAGE CHANGE

DOE 3600.1B Chg 1
12-9-91

SUBJECT: TIME AND ATTENDANCE REPORTING

1. PURPOSE. To transmit revised pages to DOE 3600.1B, TIME AND ATTENDANCE REPORTING, of 2-11-91.
2. EXPLANATION OF CHANGES.
 - a. Paragraph 7b, page 4, has been revised to delete "Controller" and replace it with "Chief Financial Officer (CFO)."
 - b. Paragraph 7g(7), page 6, and paragraph 8c(6), page 11, have been revised to add a statement that at field offices, the time and attendance certifying officials or the payroll liaisons may maintain other documentation such as SF 71, "Application for Leave," doctors' certificates, and approved DOE F 2220.20, "Overtime Request and Authorization for Payment."

3. FILING INSTRUCTIONS.

<u>Remove Page</u>	<u>Dated</u>	<u>Insert Page</u>	<u>Dated</u>
3	2-11-91	3	2-11-91
4	2-11-91	4	12-9-91
5	2-11-91	5	2-11-91
6	2-11-91	6	12-9-91
11	2-11-91	11	12-9-91
12	2-11-91	12	2-11-91

- b. After filing the attached pages, this transmittal may be discarded.

BY ORDER OF THE SECRETARY OF ENERGY:



JOHN J. NETTLES, JR.
Director of Administration and
Human Resource Management

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Office of Chief Financial
Officer

- (3) Designate individuals to certify T&A reports and assure that each individual designated is the official (normally the immediate supervisor) most knowledgeable about and responsible for the employees' attendance.
 - (a) For those Departmental Elements which submit hard copy T&A reports to the payroll office, a copy of the signatures of the individuals designated to certify T&A reports must be provided to the payroll office.
 - (b) For those Departmental Elements which only transmit biweekly T&A data to the payroll office but retain the hard copy of T&A reports, the Head of that Departmental Element shall designate a-payroll liaison. A copy of the signatures of the individuals designated to certify T&A reports must be maintained by that office's designated payroll liaison. A copy of the signatures of the payroll liaisons must be provided to the payroll office.
- (4) Designate officials to authorize and approve overtime, premium pay, and compensatory time earned.
- (5) Designate officials who may authorize individuals to maintain their own T&A under those situations stated on page 12, paragraph 8d of this Order. Such authorization shall be made in advance and in writing.
- (6) Authorize individuals to certify and approve their own T&A under those situations stated on page 12, paragraph 8d of this Order. Such authorization shall be made in advance and in writing. (See paragraph 7a(3)(a) and (b) for submission of signatures of these individuals.)
- (7) Maintain a current file of all designations with effective dates shown.
- (8) Assure the segregation of assigned duties to the maximum extent possible relative to preparing T&A reports and certifying the correctness of such reports.
- (9) Maintain schedules of starting and ending time for those employees whose work schedules do not vary.

- (10) Maintain management supervision of employees under alternative work schedules during all hours of extended workdays, as set forth in paragraph 8b of this Order, to assure proper certification of employees' T&A reports.
 - (11) May redelegate the authorities stated above. The payroll office or the payroll liaison must be provided with signed copies of designations made in relation to paragraph 7a(2), (3), (5), and (6) and a copy of designation made in relation to paragraph 7a(4) must be maintained by the delegating official.
 - (12) Assure that employees under their jurisdiction are aware of the provisions of this Order and specifically, that they may not authorize or approve their own overtime (or other premium pay) under paragraph 10a(6) of DOE 3550.1A.
 - (13) Maintain and certify their own T&A report.
- b. Chief Financial Officer (CFO) and the Administrator of the Bonneville Power Administration (BPA) shall:
- (1) Advise and provide training for supervisors and T&A clerks about the details of preparing, certifying, and submitting the reports.
 - (2) Assure that current files of designations and redelegations noted in paragraph 7a(2), (3), (5), and (6) are maintained and that those individuals signing T&A reports have been properly delegated to do so and that required supporting documentation (military leave, court leave, and advanced sick leave) is attached to the T&A reports.
 - (3) Prepare payrolls on the basis of the hours of duty status shown on the T&A reports.
 - (4) Establish and maintain pay and leave records.
 - (5) Use leave records in conjunction with T&A reports to reconcile any discrepancies, particularly those that involve leave without pay.
 - (6) Perform reviews of selected organizations for compliance with the provisions of this Order. (This responsibility applies only to the CFO. The Administrator of the BPA may perform internal reviews of sites or offices under the BPA payroll system).
 - (7) Provide necessary reports of time and attendance for internal management purposes as needed.

Vertical line denotes change.

- c. Personnel Offices shall provide timely notification to payroll offices of new employees' reporting dates, and termination dates for departing employees.
- d. Payroll Offices shall:
 - (1) Promptly forward, at the end of each biweekly payroll calculation, a copy of the Biweekly Premium Hours - Leave Report to the T&A certifying officials through the respective timekeeper units or to the payroll liaison.
 - (2) Ensure that T&A records are properly secured and access to data is restricted in accordance with the Privacy Act.
- e. Payroll Liaisons at Field Offices shall:
 - (1) Maintain current files of designations and redelegations noted in paragraph 7a(2), (3), (5), and (6) above. Assure that those individuals signing T&A reports have been properly delegated.
 - (2) Review and process T&A reports. Assure that the required supporting documentation is attached to the T&A reports.
 - (3) Transmit biweekly T&A data to the payroll office and provide written certification that the data transmitted *are* accurate and have been reviewed and verified.
 - (4) Maintain T&A reports and supporting documentation at a central location in accordance with DOE records retention requirements.
 - (5) Ensure all transactions initiated subsequent to the biweekly transmission are made via supplemental corrected T&A reports.
 - (6) Ensure T&A records are properly secured and access to data is restricted in accordance with the Privacy Act.
- f. Overtime Approving Official shall:
 - (1) Approve requests for overtime/holiday hours as appropriate on DOE F 2220.20, "Overtime Request and Authorization for Payment," (Attachment 1) as specified by the payroll office.
 - (2) Ensure that overtime/holiday hours are scheduled and approved in advance of the administrative workweek to the maximum extent possible.

g. T&A Certifying Officials (Supervisors) shall:

- (1) Submit to the overtime approving official the DOE F 2220.20 for overtime/holiday hours, to the extent possible in advance of the administrative workweek, according to the requirements of paragraph 8f of this Order.
- (2) Assure that supplemental T&A reports are submitted on a timely basis and that overtime hours worked after T&A reports have been submitted to the payroll office or payroll liaison are submitted on a supplemental T&A report rather than carrying overtime hours over to the next pay period.
- (3) Certify, at the end of the time period (when practical), as correct the T&A reports for each employee under their supervision in accordance with this Order. When this is not practical because of payroll processing requirements to meet established paydays, T&A reports must be certified as close to the end of the pay period as possible.
- (4) Keep informed as to the attendance or absence of employees for whom they are responsible including those at duty stations away from the supervisor's official station and ensure the accuracy of T&A reports.
- (5) Initial the T&A report for leave taken by an employee when the employee is not available. Upon return of the employee, have the employee submit a completed SF-71, "Application for Leave," covering such leave.
- (6) Initial all T&A reports whenever corrections are made by T&A clerks.
- (7) Assure that T&A reports and accurate documentation for military leave, court leave, and advanced sick leave are transmitted to the payroll office or the payroll liaison. Headquarters T&A certifying officials shall maintain other documentation such as SF-71, doctors' certificates, and approved DOE F 2220.20, and retain in accordance with the National Archives and Records Administration General Records Schedule. At field offices, such documentation may be maintained by the T&A certifying officials or the payroll liaisons as instructed by the field finance office.
- (8) Remain informed as to negative leave (annual or sick) balances of employees under their supervision. Upon learning that an employee with a negative balance will be terminating, notify the payroll office or payroll liaison by telephone to take appropriate action to recoup such balances from remaining payments due the employee.

Vertical line denotes change.

- (g) All work compensated at premium rates (overtime, night, holiday, or Sunday work, and standby duty) shall be reported for the days on which the premium hours were actually worked. The number of hours and the actual starting and ending times of the premium hours worked shall also be reported. Entitlement to premium pay will be supported by an approved DOE F 2220.20, except when there is an established tour of duty which entitles an individual to premium pay. When overtime work is performed, the approved DOE F 2220.20 should indicate whether the employee is to be compensated by payment or by being granted compensatory leave in lieu of payment and the employee's T&A report marked accordingly. Documentation of authorization for premium pay is retained by the T&A certifying official.
 - (h) When compensatory leave is used, it shall be reported on the day taken.
 - (i) Employees whose duties are performed at a location other than where the supervisor is located shall report their time and attendance to the supervisor in a manner determined by the supervisor.
 - (j) Absence of an employee under the continuation of pay provisions of the Federal Employees Compensation Act (Title 5, United States Code, Section 8101 et. seq.) shall be reported on the T&A as FECA with appropriate codes as defined by the Department's payroll T&A procedures and supported by Form CA-1, "Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation. "
- (5) T&A reports for employee's time charged to the Nuclear Waste Fund shall be prepared under DOE 2200.9A, MISCELLANEOUS ACCOUNTING, Chapter VI.
- (6) Documentation supporting military leave, court leave, and advances of sick leave shall accompany the T&A report. For military leave and court leave, supporting documentation should include copies of military orders/court orders prior to the use of such leave and must include military/court certification of actual attendance upon return from such leave. At Headquarters, other documentation such as SF-71, doctors' certificates, and approved DOE F 2220.20 shall be maintained by the T&A certifying official and retained in accordance with the National Archives and Records Administration General Records Schedules. At field offices, such documentation may be maintained by the TM certifying officials or the payroll liaisons as instructed by the field finance office.

Vertical line denotes change.

d. Maintenance and Certification of Reports.

(1) Employees, other than as provided in paragraph 7a(13), shall not maintain, certify, or approve their own T&A reports, except in certain situations when it is not practical to do otherwise and only when authorized in advance and in writing by an official authorized by the Head of the Departmental Element (in situations where individual will maintain own T&A) and by the Head of the Departmental Element (in situations where individual will certify or approve own T&A).

(a) The situations in which employees may maintain their own T&A report, where impractical to do otherwise, are those in which:

the employee is the timekeeper,

employees work flexible hours outside the hours of the timekeeper and supervisor,

an employee works alone at a remote site, or

employees are based at but are frequently away from the location of their supervisors and timekeepers during working hours.

(b) Situations in which employees may approve or certify their own T&A report when it is not feasible to have the T&A approved by a supervisor are those in which:

1 employees work flexible hours outside the hours of the timekeeper and supervisor,

2 an employee works alone at a remote site,

3 employees are based at but are frequently away from the location of their supervisors and timekeepers during working hours, or

4 the head of an organization has no supervisor on site.

U.S. Department of Energy

Washington, D.C.

PAGE CHANGE

DOE 3600.1B Chg 2

4-23-92

SUBJECT: TIME AND ATTENDANCE REPORTING

1. PURPOSE. To transmit revised pages to DOE 3600.1B, TIME AND ATTENDANCE REPORTING, of 2-11-91.
2. EXPLANATION OF CHANGES. The following pages have been revised to update organizational titles.
 - a. Page 1, Line "INITIATED BY: ," replace "Office of Financial Management and Controller" with "Office of Chief Financial Officer."
 - b. Page 8, subparagraph 8b, "Exceptions," change "Controller" to "CFO."
3. FILING INSTRUCTIONS.

a.	<u>Remove Page</u>	<u>Dated</u>	<u>Insert Page</u>	<u>Dated</u>
	1	2-11-91	1	4-23-92
	2	2-11-91	2	2-11-91
	7	2-11-91	7	2-11-91
	8	2-11-91	8	4-23-92

- b. After filing the attached pages, this transmittal should be discarded.

BY ORDER OF THE SECRETARY OF ENERGY:



DONALD W. PEARMAN, JR.
Acting Director
Administration and Human
Resource Management

DISTRIBUTION:

All Departmental Elements

INITIATED BY:

Office of Chief Financial
Officer

U.S. Department of Energy

Washington, D.C.

ORDER

DOE 3600.1B

2-11-91

Change 2: 4-23-92

SUBJECT: TIME AND ATTENDANCE REPORTING

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1. PURPOSE. To set forth the policy, objectives, and responsibilities for time and attendance (T&A) reporting within the Department of Energy (DOE) in accordance with General Accounting Office (GAO) and Office of Personnel Management (OPM) regulations.
 2. CANCELLATION. DOE 3600.1A, TIME AND ATTENDANCE REPORTING, of 9-23-85.
 3. REFERENCES.
 - a. DOE 1325.1A, CORRESPONDENCE MANUAL, of 6-18-81, page VIII-2, paragraph 1b, which provides general designations of Heads of Departmental Elements.
 - b. DOE 2200.4, ACCOUNTING OVERVIEW, of 3-31-88, which establishes Department-wide accounting policy, principles, and standards and provides an introduction to, and overview of, the payroll system.
 - c. DOE 2200.9A, MISCELLANEOUS ACCOUNTING, of 3-30-89, Chapter VI, NUCLEAR WASTE FUND, which establishes Department-wide policies and procedures for the financial management, accounting, budget preparation, and cash management of civilian nuclear waste activities, as authorized by the Nuclear Waste Policy Act, as amended.
 - d. DOE 3550.1A, PAY ADMINISTRATION AND HOURS OF DUTY, of 12-22-87, which establishes the Department's responsibilities and procedures for administering civil service laws, OPM regulations, and decisions of the Comptroller General concerning pay and hours of duty.
 - e. DOE 3630.1B, LEAVE ADMINISTRATION, of 12-31-86, which sets forth the policy, responsibilities, and procedures for the administration of leave within DOE.
 - f. GENERAL ACCOUNTING OFFICE POLICY AND PROCEDURES MANUAL FOR GUIDANCE OF FEDERAL AGENCIES, Title 6, "Pay, Leave, and Allowances," of 5-89, which prescribes the principles, standards, and related allowances.
 4. POLICY. It is the policy of the Department that an adequately controlled system for reporting time and attendance be maintained for each employee on a daily basis for each pay period in the detail necessary for preparing payroll in accordance with all statutory and regulatory requirements.

Vertical line denotes change.

DISTRIBUTION:

All Departmental Elements

INITIATED BY:

Office of Chief Financial
Officer

5. OBJECTIVES. The objectives of the T&A reporting system are to:
- a. Establish a system of recording and reporting time and attendance that will provide affirmative evidence that employees are entitled to their normal pay or, to an indicated greater or lesser amount, by showing the number of hours in duty attendance and in absence.
 - b. Provide suitable records of time absent from duty and cause of absence recorded on the DOE F 2220.11, "Time and Attendance Report," of 1-83, (hereinafter referred to as "T&A reports") and in related records in support of pay entitlement.
6. DEFINITIONS.
- a. Administrative Workweek is a period of 7 consecutive calendar days established by the Director of Administration and Human Resource Management (AD-1) in accordance with DOE 3550.1A.
 - b. Payroll Liaisons are those individuals at field offices responsible for processing and maintaining T&A reports and the electronic transmission and certification of biweekly T&A data to the payroll office.
 - c. Premium Hours include overtime, night, holiday, Sunday work, and standby duty hours.
 - d. Regular Working Hours are the days and hours of an employee's regularly scheduled administrative workweek.
 - e. T&A Report is the DOE Form 2220.11 where detailed account of employees hours worked or periods of leave is recorded daily.
 - f. Workday is the designated period of time in a given day when an employee is expected to perform his/her job assignment.
7. RESPONSIBILITIES AND AUTHORITIES.
- a. Heads of Departmental Elements shall:
 - (1) Assure that T&A reports for employees under their jurisdiction are prepared and submitted under the requirements of this Order.
 - (2) Designate T&A clerks and alternates to record T&A data on a daily basis.

- (9) Review and sign, as applicable, the DOE F 2220.14, "Time and Attendance Preprint Change Notice (A-64)," establishing or changing an employee's tour of duty and assure it is forwarded to the payroll office or to the payroll liaison (for forwarding to the payroll office) in a timely manner.
 - (10) Review the Biweekly Premium Hours - Leave Report that actual overtime/compensatory time reflected on the report is in agreement with the DOE F 2220.20. Notify the payroll office or the payroll liaison if any differences are identified.
 - (11) Certify supplemental T&A reports for overtime/holiday hours worked or leave usage.
- h. T&A Clerks shall:
- (1) Record T&A data on a daily basis for employees in their designated areas, with a breakdown of leave hours taken on each day, in accordance with this Order and other specific instructions provided by the payroll office.
 - (2) Know each individual shown on the T&A report and have positive knowledge as to whether the individual is present or absent before marking 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) Assure that corrections to T&A reports are initialed by the T&A certifying official.
 - (4) Prepare new individual T&A reports for new employees reporting for duty and annotate on the T&A report "new employee."
 - (5) Annotate on the T&A report for employees leaving the Department "last T&A report for employee."
 - (6) Assure that T&A reports and corrections are forwarded to the payroll office or to the payroll liaison in a timely fashion.
 - (7) Assure that the appropriate documentation is attached to the T&A report.

- (8) Assure that, as applicable, the DOE F 2220.14, "Time and Attendance Preprint Change Notice (A-64)," which establishes or changes an employee's tour of duty, is forwarded to the payroll office or to the payroll liaison (for forwarding to the payroll office) in a timely manner.
- (9) Assure that T&A certifying officials receive leave balance and overtime reports and memoranda forwarded by the payroll office.
- (10) Prepare supplemental T&A reports when leave usage or overtime/holiday hours worked occurred after the original T&A report was submitted to the payroll office or to the payroll liaison and compare to the carbon copy of the original T&A report and DOE F 2220.20 to ensure duplicate hours are not claimed.

8. PROCEDURES AND REQUIREMENTS.

a. Bases for Recording T&A.

- (1) The supervisor's or the T&A clerk's observation and recording of employees' hours worked;
- (2) Time clocks or other automated timekeeping devices, where not prohibited by law; or
- (3) Serial sign-in/sign-out sheets on which employees sign their names and record their times of arrival in the order they arrive. When employees leave, they must sign their names again--in order of departure--and record their times of departure. Sign-in/sign-out sheets with employees' names preprinted on the sheet or designed to provide sign-in and sign-out information on the same line are not acceptable.

- b. Exceptions. Because most DOE employees are charged leave on an hourly basis and premium pay is recorded and paid in tenths of an hour, an accurate record of the times an employee works and is absent must be recorded. If daily recording is impractical for those employees in situations mentioned in paragraphs 8b(1), (2) and (3), Heads of Departmental Elements may request in writing an exception from the CFO. When an exception is approved, the T&A Certifying Official should provide reasonable assurance that these employees are working when scheduled by using such techniques as the following.

- (1) In situations where employees are permitted to work the flexible hours outside the hours of their supervisors or T&A clerks and the methods in paragraphs 8a(2) and (3) above are not used.

Vertical line denotes change.