



REPLY TO
ATTENTION OF:

DEPARTMENT OF THE ARMY
US ARMY INSTALLATION MANAGEMENT COMMAND, PACIFIC REGION
HEADQUARTERS, UNITED STATES ARMY GARRISON, HAWAII
851 WRIGHT AVENUE, WHEELER ARMY AIRFIELD
SCHOFIELD BARRACKS, HAWAII 96857-5000

IMPC-HI-ZA

1 NOV 2010

MEMORANDUM FOR All Department of Army (DA) Civilian Employees within United States Army Garrison, Hawaii (USAG-HI) Installations

SUBJECT: Policy Memorandum USAG-HI-38, Hours of Duty, Leave and Flexitime

1. REFERENCES.

- a. Memorandum, HQDA, DASA (CPP), 4 Dec 01, subject: Delegation of Authorities, 5 US Code Chapter 61, Hours of Work.
- b. AR 215-3, Nonappropriated Funds Personnel Policy, 29 Aug 03.
- c. DOD 1400.25-M, Department of Defense Civilian Personnel Manual, Chapter 610-Hours of Duty, Dec 96; Chapter 630-Leave, Jan 04.
- d. USARPAC Memorandum No. 690-1, Civilian Personnel Hours of Duty and Leave, 5 Aug 04.
- e. IMCOM Reg 690-16, Alternate Work Schedule (AWS) Program and Telework Policy, 22 Jul 09.
- f. AR 11-2, Manager's Internal Control Program, 4 Jan 10.
- g. DOD 7000.14-R, Volume 8, Chapter 2 – Time and Attendance, September 2010.

2. APPLICABILITY. This memorandum applies to all USAG-HI full-time DA appropriated and nonappropriated fund civilian employees. Supervisors at all levels may identify those areas and employees where flexitime is not implemented because of the work situation; e.g., security guards, shift operations, part-time employees, etc. Provisions of negotiated labor agreements will be honored to the extent applicable for participating employees covered by such agreements.

3. DEFINITIONS.

- a. Flexitime. Fixed times of arrival and departure replaced by a workday composed of two different types of time: Core time and flexible time.

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(1) Core time. Core time is 0900-1500 of each duty day, during which all employees' presence is required for work, except for scheduled/authorized break and lunch periods.

(2) Flexible time. That portion of each workday within which an employee may propose his/her arrival and departure times with supervisory approval.

b. Normal time. A duty day from 0730-1600, with a one-half hour meal period.

c. Timekeeping Record. A document used to record all arrival/departure times, lunch periods and leave.

4. POLICIES.

a. Only authorized individuals will have access to time and attendance resources and records, thereby reducing the risk of unauthorized use or loss to the Government, and to help achieve management directives.

b. The certification of time and attendance is an authorization for expenditure of Government funds. Accordingly, the certifying official may be held pecuniary liable for illegal, improper, or incorrect payment resulting from their certification.

(1) For each civilian employee, a daily record of time in pay and non-pay status should be maintained by a designated timekeeper.

(2) Timekeepers responsible for time and attendance shall have positive knowledge of the employee's presence and absence before marking the report.

c. Basic Workweek. The basic workweek for civilian employees assigned to USAG-HI is 8 hours per day, 40 hours per week, Monday through Friday, excluding an unpaid meal period of not less than 30 minutes each day. Duty hours are established as follows:

(1) Normal duty hours are 0730-1600.

(2) Core duty hours are 0900-1500.

(3) The duty day for all civilian employees, except for authorized exceptions, will not start earlier than 0700 and will not end later than 1800.

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(4) Normal meal periods will not exceed one hour and will be staggered between 1100 and 1300 to ensure staff offices remain operational.

d. Leave.

(1) Employees should request leave normally at least 48 hours in advance and must use OPM Form 71, Request for Leave or Approved Absence. Only those forms dated June 2001 or later are acceptable.

(2) Supervisors will develop and publish an annual leave plan to ensure a reasonable vacation for employees, preclude leave forfeiture and ensure no adverse affects to mission accomplishment.

(3) Sick Leave. Supervisors will require that employees furnish medical documentation for sick leave of more than 3 consecutive workdays. Supervisors will monitor sick leave usage and take appropriate action if patterns of abuse are noted.

e. Alternate Work Schedules (AWS). Staff office chiefs may authorize alternate work schedules to accommodate mission requirements or personal needs of employees. Once authorized, ensure entry of the AWS into the Automated Time Attendance and Production System (ATAAPS). Meal periods may be established to exceed one hour as provided for under alternate work schedule rules. Individually established tours of duty must not disrupt operations. USAG-HI mission requirements and supporting work situations are the overriding priorities when establishing alternate work schedules. Alternate work schedules are of two categories:

(1) Compressed work schedules (CWS) are fixed schedules where the employee's basic work requirement is completed in less than 10 workdays each pay period. Staff office chiefs may establish compressed work schedules consisting of:

(a) Eight 9-hour days, one 8-hour day and one regular day off (RDO) within an 80-hour pay period or;

(b) Four 10-hour days each week within an 80-hour pay period.

(2) Flexible work schedules (FWS) are intended to improve moral, decrease/eliminate tardiness, increase productivity, eliminate rush-hour frustrations, promote civilian wellness, and enhance leave utilization by all personnel. Maximum cooperation between employees and supervisors is required to ensure the operation of an effective and beneficial program. Although flextime may increase the number of operating hours of an organization, no employee is required to work before 0730 or after

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1600 solely as a result of flextime. Tours of duty may start no earlier than 0700 and end no later than 1800. Supervisors may exclude employees from participating in an alternate work schedule arrangement for mission-related reasons as stated above.

(a) Flextime must not disrupt operations or impede the timely accomplishment of USAG-HI assigned missions. While supervisors will consider the desires of employees in establishing work schedules, supervisors will give priority consideration to the efficient accomplishment of the mission. Accordingly, when an employee's presence at a certain time is required in order to meet mission requirements, the supervisor has the authority to direct the employee's presence for duty at a precise time.

(b) Depending on the type of approved FWS, an employee may earn credit hours, i.e., those hours worked in excess of the employee's basic work requirement varying the length of a workweek or workday. Employees do not receive basic pay or overtime pay for credit hours when they earn them. An employee may use credit hours during a subsequent day, week, or pay period, with supervisory approval, to allow the employee to be absent from an equal number of hours of the employee's basic work requirement with no loss of basic pay. The law prohibits carrying over more than 24 credit hours from one pay period to the next.

(c) There are various types of FWS arrangements that provide different degrees of flexibility. These include flexitour, gliding, variable day, variable week, and maxiflex schedules. Enclosure 1 contains more details for these types of flexible work schedules and applicable ATAAPS codes.

(d) Employees may pursue a "variable workday" schedule, whereby an employee can elect up to a 2.5 hour meal period (in 15-minute intervals), to participate in corporate wellness activities. (See paragraph 6c.)

f. Work in excess of 8 hours per day or established AWS duty hours constitutes overtime or compensatory time, both of which can only be performed following prior written approval of the Garrison Commander or Deputy Garrison Commander (see paragraph 6f(4)). In case of emergencies or other unforeseen situations where the requirement to obtain prior approval is not possible, requests and supporting justification should be submitted as soon as possible after the fact. Please note this prior approval requirement only applies to BOS 131 employees.

g. To be eligible to participate in the AWS program, the USAG-HI employee's most recent performance rating must be at or above a level 3 under the National Security Personnel System (NSPS) or at an equivalent level under the Total Army Personnel

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Evaluation System. The employee must retain their performance at level 3 or above once approved to participate in the AWS Program.

5. RESPONSIBILITIES.

a. Supervisors will –

- (1) Inform employees regarding flextime and ensure their understanding of established procedures.
- (2) Maintain special awareness of any difficulties or advantages experienced.
- (3) Establish work schedules consistent with stated policies.
- (4) Ensure full compliance with established requirements, especially for time and attendance procedures.

b. Employees will:

- (1) Follow the flextime procedures established by their supervisors.
- (2) Advise supervisors of any difficulties or advantages in operations and work relations as a result of flextime.

6. PROCEDURES.

a. The number of hours worked may not exceed 40 per week, unless there are requirements for overtime, compensatory time or credit hours and approved in advance.

b. Directors and staff office chiefs are authorized to modify work schedules to accommodate mission requirements and individual employees' personal needs for varied tours of duty, provided such tours are in line with the work situation, and the needs of management and employees are monitored throughout the tour. Individually established tours must not disrupt operations nor impede the timely accomplishment of the organization's mission.

c. An employee may request a 30-minute to 2.5 hour meal period while maintaining the 8-hour workday.

(1) Meal periods of 30 minutes to 2.5 hours are taken during the core period, beginning no earlier than 1100 and ending no later than 1330. While the duration of the meal period is potentially at the employee's option, it is subject to supervisory approval

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with due regard for operational considerations. Operational considerations will include, but are not limited to, ensuring that operations are not disrupted, hindered, or delayed in any way.

(2) Only employees who are in a position requiring their full-time presence and who cannot leave their work site during one of three regularly scheduled 8-hour shifts, are authorized a 20 minute on-duty meal. It is neither the employee's nor management's best interest to offer the option of skipping the meal period altogether.

d. Short rest periods during the daily tour of duty are permitted when such rest periods are beneficial or necessary to the activity, mission requirements permitting. Unless indicated in a negotiated agreement between an authorized bargaining agent and the activity, a 15-minute maximum, on-duty rest period is authorized only when at least one of the following criteria are met.

(1) Protection of employee's health by relief from hazardous work or work that requires continual or considerable physical exertion.

(2) Reduction of accident rate by removal of fatigue potential.

(3) Working in confined spaces or in areas where normal personal activities are restricted.

(4) Increase in or maintenance of high quality or quantity production traceable to the rest period.

e. If authorized, ensure a 15-minute maximum break is in the middle of 4 hours of continuous work. Do not put that break at the beginning or end of the work shift or in conjunction with a lunch period.

f. Complete scheduling and recording requirements as follows:

(1) Timekeeping records (i.e., sign-in/sign-out sheets) are the basic documents for authorizing, scheduling, and recording arrivals, departures, lunch periods and leave. Supervisors will use the USAG-HI Employee Sign-In/Out Sheet (Enclosure 2) to record employees' arrival and departure times and lunch periods. This form is for activity level use and not intended for individual employee use.

(2) Supervisors will ensure employees who desire to participate in flextime submit an Employee AWS Work Arrangement Request (Enclosure 3) with a proposed 2-week work schedule at least 1 week in advance of its proposed implementation.

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Supervisors will consider the overall requirements for work and mission accomplishment within their respective areas of responsibility prior to final approval of schedules.

(a) Supervisors may allow a factor of plus or minus 30 minutes of the scheduled arrival time, if work requirements permit, provided arrival is not prior to 0700 and not later than 0900. As an example, an employee scheduled to arrive at 0730 may arrive at 0700 or 0800. The supervisor may adjust departure to provide a full 8-hour workday, excluding the meal period. Employees working on an alternate work schedule will adjust their departure time, as necessary, in order to work the number of hours scheduled for that duty day.

(b) Supervisors may change previously approved work schedules as a result of modified work requirements or at an employee's request. Supervisors will inform employees of any such changes as far in advance as possible.

(3) Fair Labor Standard Act (FLSA). The FLSA requires employers to "make, keep, and preserve all records of the wages, hours, and other conditions and practices of employment."

(a) The USAG-HI Employee Sign-In/Out Sheet is a non-complicated record that can save unnecessary time, effort, and expense involved in disputes over hours worked. The USAG-HI Employee Sign-In/Out Sheet should clearly allow an employee to officially record in an official document unrequested or unapproved overtime that is worked, whether ordered or not.

(b) Each employee will record the time of day work is begun and time of day he/she leaves work. The time allotted for the off-duty lunch period is recorded daily or, if the time for lunch is consistent, record it as a permanent part of the form (for example, by each employee's name). Annotate use of leave on the record. Supervisors will make sure that timekeepers have proper supporting documents for all exceptions to an employee's regular working hours. Original and corrected times and attendance sheets are required to be maintained on file for six years in accordance with regulatory guidelines.

(4) Overtime, Compensatory Time and Credit Hours. Overtime and compensatory time involves work performed by an employee in excess of his/her normal duty hours. Credit hours are those hours within a FWS that an employee elects to work in excess of his or her basic work requirement so as to vary the length of a workweek or workday. Use USAG-HI RMO FORM 1-R-E (Enclosure 4) for requesting overtime, compensatory time and credit hours. Employees must include a work plan in the NATURES OF DUTIES AND JUSTIFICATION FOR OVERTIME section of the

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USAG-HI RMO FORM 1-R-E and process the form through their supervisors and Director or Special Staff Office Chief to the Garrison Commander or Deputy Garrison Commander and receive their approval before working the overtime or compensatory time. Work plans must identify what work will be performed and show why it cannot be accomplished during the normal duty day. Supervisors will require employees to use their accrued compensatory time within six pay periods and before requesting annual leave, except when annual leave would thereby be forfeited. Supervisors may approve credit hour requests. The maximum number of credit hours carried forward from one pay period to the next is 24.

(5) Telework. IMCOM Regulation 690-16 provides guidance on telework. Managers are encouraged to consider telework to reduce overtime associated with short-term projects or short suspense items. Telework can enhance productivity by providing a work environment free of disruption.

(6) Sick Leave Abuse. Supervisors should contact the Civilian Personnel Advisory Center for guidance on appropriate courses of action for employees they believe are sick leave abusers.

(7) Control Measures. Staff office chiefs will ensure enforcement of policies and practices governing hours of duty and leave and establish sufficient internal controls to prevent unauthorized changes to completed time and attendance reports, regardless of where they are retained. Managers and supervisors will review time and leave reports produced by the Defense Civilian Payroll Systems (DCPS) to monitor employee absence and overtime. Managers and supervisors will compare these resources and recorded accountability to determine whether the two agree and take appropriate action if they do not agree. The Management Control Evaluation Checklist, USARPAC Form 15-R-E (Enclosure 5) and the Internal Control Evaluation – Time and Attendance Reporting checklist (Enclosure 6) are tools to assist in managing hours of duty and leave. Assessable unit managers will include these checklists in their management control plans required by AR 11-2.

(8) Restoration of Annual Leave. Annual leave shall be restored if lost because of administrative error, employee sickness, or exigencies of the public business. To be considered for restoration, annual leave must have been scheduled and approved in writing three full pay periods before the end of the leave year. The Deputy Garrison Commander approves restoration of annual leave for USAG-HI employees.

7. This policy does not restrict or limit the manager's authority to define tours of duty necessary to accomplish USAG-HI mission.

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8. This policy memoranda supersedes Policy Memorandum USAG-HI-38, SAB, dated 24 May 10 and remains in effect until cancelled or superseded in writing.

9. The proponent for this policy memorandum is the Operations Officer, USAG-HI at 656-0611.

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ATAAPS Alternate Work Schedule (AWS) Codes

1. Flexitour - A flexible schedule, which consists of five 8-hour days, 40 hours each week, and 80 hours biweekly. There is a fixed arrival time established for each employee. Participants in this schedule may earn credit hours. Overtime is payable for work in excess of 8 hours in a day or 40 hours in a week. Perform FLSA calculations on 40 hours in a week when the FLSA exemption category is nonexempt.

2. Gliding Schedule - The employee has a basic workweek requirement of five 8-hour days, 40 hours each week, and 80 hours biweekly. The employee may vary arrival and departure times without notification. Participants in this schedule may earn credit hours. Overtime is payable for work in excess of 8 hours in a day or 40 hours in a week. Perform FLSA calculations on 40 hours in a week when the FLSA exemption category is in nonexempt.

3. Variable Schedule - The employee has a basic workweek requirement of 40 hours each week and 80 hours biweekly. The employee may vary arrival and departure times and length of the workday without notification. Participants in this schedule may earn credit hours. Overtime is payable for work in excess of 8 hours in a day or 40 in a week. Perform FLSA calculations on 40 hours in a week when the FLSA exemption category is in nonexempt.

4. Variable Week Schedule - The employee has a basic work requirement of 80 hours biweekly. The employee may vary arrival and departure times, and length of workday and workweek without notification. Participants in this schedule may earn credit hours. The system will assume hours in a week were at the employee's request and reported as credit hours. Compute FLSA on a biweekly basis.

5. Maxiflex Work Schedule - The employee has a basic work requirement of 80 hours biweekly. The employee may work less than 5 days per week and/or less than 10 days during the biweekly pay period and can vary arrival/departure times. Core time is only required 3 days a week. Participants in this schedule may earn credit hours. Assume that hours worked in excess of 40 hours in a week were at the employee's request and report as credit hours. Compute FLSA on a biweekly basis.

6. Compressed Schedule (also known as the 5-4/9 plan). - The employee has a basic work requirement of 80 hours biweekly. The hours in a week can vary, but there must be a schedule for the number of regular hours each workday. The employee may work 9-hour days during 8 days of the biweekly pay period and an 8-hour day on the ninth day to complete 80 hours for the pay period. The tenth day is an off-day. Compute FLSA on a biweekly basis. Example 5-4/9 plan: Week # 1 - four 9-hour days and one 8-hour day = 44 hours for the week. Week # 2 - four 9-hour days = 36 hours for the week. This gives a total of 80 hours for the biweekly period.

8. Compressed Work Schedule - The employee has a basic work requirement of 40 hours each week and 80 hours biweekly. There must be a schedule for the number of

ATAAPS Alternate Work Schedule (AWS) Codes (Continued)

regular hours each workday. Four-day workweek - the agency/employee establishes a fixed schedule limited to four 10-hour days. Three-day workweek - a fixed schedule limited to three 13-hour, 20-minute days. For example: Four 10-hour days = 40 hours per week. Three 11-hour days and one 7-hour day = 40 hours per week. Three 13-hour and 20-minute days = 40 hours per week.

D. Variable Work Schedule - The employee has a basic work requirement of 80 hours biweekly. The employee may vary arrival and departure times and length of workday and workweek without notification. Participants in this schedule may earn credit hours. Use all regular hours worked in excess of 40 hours in a week in calculating the FLSA entitlement. The system will assume that the activity requested the employee to work greater than 40 hours in a week and never report the excess hours as credit hours. Compute FLSA on a weekly basis.

E. Maxiflex Work Schedule - The employee has a basic work requirement of 80 hours biweekly. The employee may work less than 5 days per week and/or less than 10 days during the biweekly pay period and can vary arrival and departure times. Core time is only required 3 days a week. Participants in this schedule may earn credit hours. Use all hours in excess of 40 hours in a week in calculating the FLSA entitlements. The system will assume that the activity requested the employee to work greater than 40 hours in a week. Never report hours worked over 40 in a week as credit hours. Compute FLSA on a weekly basis.

**US Army Garrison, Hawaii Employee AWS Work Arrangement Request
USAG-HI Policy Memo 38**

Each USAG-HI employee will request their desired work arrangement option. The employee's supervisor will periodically review available work arrangements and parameters and make modifications based on the activity's mission, staff resources, and job function.

Please check your desired work arrangement option (including 30 uncompensated lunch minutes); forward to your supervisor; upon supervisory approval forward approved signed copy to your Timekeeper.

Option 1:

Flexitour Work Schedule (ATAAPS Code 1) – may periodically vary start/end time with approval; must be present for core hours from 0900 – 1500. Start times between 0700 and 0900. Departure times between 1530 and 1800. May earn credit hours.

Option 2:

Gliding Work Schedule (ATAAPS Code 2) – may vary start/end times; must be present for core hours from 0900 – 1500. Start times between 0700 and 0900. Departure times between 1530 and 1800. May earn credit hours.

Option 3:

Maxiflex Work Schedule (ATAAPS Code 5) – may periodically vary start/end time with approval; must be present for core hours from 0900 – 1500. Start times between 0700 and 0900. Departure time will not be later than 1800. May earn credit hours.

AWS Day Off: _____

Option 4:

Compressed Work Schedule (ATAAPS Code 6) – 5/4/9 is a fixed schedule; must be present for core hours from 0900 – 1500. Start times between 0700 and 0900. Departure times between 1530 and 1800. Employees may not vary their arrival and departure times, once they have established set times.

AWS Day Off: _____

Option 5:

Compressed Work Schedule (ATAAPS Code 8) – is a fixed schedule. Four-day workweek. Start times between 0700 and 0730. Departure times between 1730 and 1800. There must be a schedule for the number of regular hours each workday. Employees may not vary their arrival and departure times, once they have established set times.

AWS Days Off: _____

Employee Name: _____

Employee Signature: _____

Date: _____

Supervisor Signature: _____

Date: _____

IMPC-HI-AO-2-R-E

Enclosure 3

REQUEST, AUTHORIZATION, AND REPORT OF OVERTIME				PAY PERIOD ENDING DATE	DATE PREPARED			
THRU: <i>(If applicable)</i>		TO: <i>(Approving Officer)</i>		FROM: <i>(Approving Officer)</i>				
DATA REQUIRED BY THE PRIVACY ACT OF 1974								
AUTHORITY 10 U. S. C. 1034, Protected communications, Prohibition of Retaliatory Personnel Actions, 10 U. S. C. 3013, Secretary of the Army and EO. 9397 (SSN). PURPOSE: When completed, this form, provides members of Congress, their designated representative with information pertaining to the undersigned individual in their official individual capacities on behalf their constituent subject to AR 25-55 and AR 340-21. ROUTINE USE: This form is used to document employee's use of overtime hours. DISCLOSURE: Voluntary.								
INSTRUCTIONS								
1. A separate request for overtime shall be prepared in an original and two copies for each pay period in which overtime is to be worked. One copy will be retained by the originating office until the approved/disapproved copy is returned. 2. Enter the names, social security numbers, grades and steps of employees, dates work is to be performed, the clock hours of duty, number of overtime hours to be worked by each employee. 3. The requesting official shall sign the request and submit to the appropriate authorizing official. If the authorizing official concurs he/she shall sign the form and return a copy to the requesting office. The original will be forwarded to the Civilian Payroll Office.								
<i>Authority is hereby requested for the performance of the overtime described below which is beyond the regularly established 8-hour day or 40-hour week.</i>								
SOCIAL SECURITY NUMBER	EMPLOYEE NAME	GRADE/STEP	DATE WORK IS TO BE PERFORMED	CLOCK HOURS OF DUTY	NUMBER OF HOURS REQUESTED	METHOD OF COMPENSATION		
						Overtime	Holiday	Compensatory Time
						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NOTE: <i>(Employee occupying wage grade positions may not be granted compensatory time, except for employees working alternate works schedules. Compensatory time cannot be granted for holiday work)</i>					TOTAL HOURS			

NATURE OF DUTIES AND JUSTIFICATION FOR OVERTIME
it must be performed by overtime)

(Enter a short description of the work to be performed and the reason why

TYPED NAME AND TITLE	REQUESTED BY (Signature) <div style="border: 1px solid black; padding: 5px; text-align: center;"> Click to Approve</div>	DATE
TYPED NAME AND TITLE	AUTHORIZED BY (Signature)	DATE
REMARKS		
RESOURCE MANAGEMENT REMARKS: FUNDS <input type="checkbox"/> AVAILABLE <input type="checkbox"/> NOT AVAILABLE		
TYPED NAME AND TITLE	APPROVED BY (Signature)	DATE

MANAGEMENT CONTROL EVALUATION CHECKLIST FOR MANAGING HOURS OF WORK AND LEAVE

(For use of this form see USARPAC Memo 690-1, the proponent agency is G1/DCSPER)

PART I – ADMINISTRATIVE DATA

Authority: USARPAC Regulation 37-7 and USARPAC Memorandum 690-1 (G-1)

Purpose: To assist staff principles, division chiefs, and supervisors in evaluating key management controls. It is not intended to cover all controls. Instructions: Answers to the questions below must be based on actual testing of the controls that is, document analysis, direct observation, interviewing, sampling, simulation, and so forth). Failure to do so could invalidate the response. Answers indicating control problems must be explained and appropriate corrective actions must be shown in supporting documentation. These controls must be evaluated in accordance with the schedule in the Management Control Plan (annually).

PART II – FUNCTIONAL AREAS

	YES	NO	N/A
1. Is there an approved request, DA Form 5172, on file for overtime paid and compensatory time accrued?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. a. Did the DA Form 5172 provide an adequate justification for why the employee needed to work overtime?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Were alternatives considered?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Did supervisor develop a leave plan for the year that could be used to minimize need for overtime?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. a. Were nonexempt employees given compensatory time in lieu of payment for overtime?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. If yes, is employee request for compensatory time documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Employees exempt from the Fair Labor Standards Act (FLSA) earn compensatory time in lieu of overtime pay. Were exempt employees paid overtime?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Did supervisors obtain bi-weekly time and leave reports, Compensatory Time Aging (P6785R01), Overtime/Compensatory Usage (P6602R05), and the Overtime/Compensatory Time Review (P6602R04), available from the organizational Defense Civilian Pay System Customer service representative?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Did supervisors perform comparison of approved time and attendance card data to available reports to validate the accuracy of time and attendance data processed by the Defense Finance and Accounting Service on a recurring basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Was sick leave, taken in excess of three consecutive work days, supported by a doctor's slip of other documentation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Did supervisors monitor sick leave usage on a recurring basis to identify potential or actual abuse of sick leave?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Was annual leave taken during the same pay period employees worked overtime?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Internal Control Evaluation - Time and Attendance Reporting

Offices Performing Evaluation: _____

Individual Performing Evaluation: _____

Date Evaluated: _____

Signature: _____

1. Function. The function addressed in this evaluation is Time and Attendance reporting.

2. Purpose. To assist identify your organization in evaluating key internal controls over time and attendance. This is not intended to cover all controls.

3. Instructions. Answers must be based upon the actual testing of key internal controls (e.g., document analysis, direct observation, sampling, simulation, other.) Answers, which indicate deficiencies, must be explained and corrective action indicated in supporting documentation. These internal controls must be evaluated at least once every

five years. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2-R (Management Control Evaluation Certification Statement.).

4. Test Questions.

TIME AND ATTENDANCE REPORTING-TIMEKEEPERS

a. Are all approved exceptions to the employee's normal tour of duty timely and accurately reported?

Yes No

b. Have employees verified the accuracy of their current pay period's time and attendance and adjustments/corrections to prior pay periods occurring after the certification of the time and attendance?

Yes No

c. Are supervisors ensuring employees are providing appropriate medical documentation supporting sick leave taken?

Yes No

d. Are supervisors counseling employees about sick leave misuse?

Yes No

Internal Control Evaluation - Time and Attendance Reporting (cont.)

e. Are all entries for overtime and compensatory time earned approved and are total hours earned verified before certification?

Yes No

f. Is an employee's time and attendance data recorded by the close the current pay period?

Yes No

g. Do approved documents exist to support an employee's time and attendance data, i.e. leave slips?

Yes No

h. Are the time and attendance files properly maintained?

Yes No

i. Does the timekeeper monitor and correct, as required, employees' time and attendance data by the end of the each pay period and before certification?

Yes No

j. Does the timekeeper send hard copy time and attendance corrections with appropriate signatures to the local customer service representative (CSR) when necessary?

Yes No

k. Has the timekeeper taken all reasonable measures to safeguard employee data covered under the Privacy Act and ensured that payroll records are not stored (even temporarily) on non-secure sites?

Yes No

l. Are supervisors obtaining Leave Reports from timekeepers to enable them to monitor sick leave usage?

Yes No

m. Is the supervisor checking timekeepers' work to make sure time and attendance records are properly prepared, approved, and retained?

Yes No

n. Are supervisors providing guidance on hours of duty and leave?

Yes No

Internal Control Evaluation - Time and Attendance Reporting (cont.)

INTERNAL CONTROL EVALUATION - TIME AND ATTENDANCE REPORTING-CERTIFIERS

o. Is the record and approval of time and attendance performed timely and accurately as required by responsible individuals?

Yes No

p. Is all required supporting documentation available for audit purposes?

Yes No

q. Do individuals recording and approving time and attendance make every effort to correct errors in the pay period to which the changes apply?

Yes No

r. Does the supervisor maintain controls on employees' presence or absence daily, type of leave taken, overtime worked, etc., and personally observe that the time and attendance reports are properly posted?

Yes No

s. Is overtime/compensatory time authorized and approved by the proper authority in advance?

Yes No

t. Do the certifying official and alternate certifying official(s) verify that supporting documentation for leave usage, overtime/compensatory time worked, and other entries on the time and attendance report is valid prior to certification?

Yes No

u. Are the employees' time, attendance, labor, productivity, and differential pay entries for the each pay period validated as correct prior to certification by the employees'

certifying official or alternate certifying official(s) at the end of each pay period?

Yes No

v. Are amended time and attendance reports certified by the certifying official or alternate certifying official(s)?

Yes No

Internal Control Evaluation - Time and Attendance Reporting (cont.)

w. Are manually amended and certified time and attendance reports delivered to the local customer service representative (CSR) payroll office?

Yes No

x. Does the certifier and alternate certifier(s) have access to approved documents that support the employee's time and attendance records prior to certification of those records?

Yes No

y. Does the certifier and alternate certifier(s) review and certify the accuracy of employees' time and attendance records in sufficient time to meet payroll deadlines?

Yes No

z. Has the certifier and alternate certifier(s) taken all reasonable measures to safeguard employee data covered under the Privacy Act and ensured that payroll records

are not stored (even temporarily) on non-secure sites?

Yes No