

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

Action Date: _____
 For Information Only

DEPARTMENTAL PERSONNEL MANUAL SYSTEM

DPM BULLETIN NO. 271-3

DATE: SEP 17 1982

SUBJECT: Internal Control Standards

The Office of Management and Budget Circular No. A-123 requires that internal controls be established and maintained for administrative and program activities, including personnel management. The policies prescribed by the circular are part of the Administration's effort to eliminate fraud and waste in the Federal Government.

Currently, within the Department of Transportation the policies and procedures governing the management of our personnel resources are contained in departmental orders and the Departmental Personnel Manual (DPM) system. Although not specifically identified as such, these issuances contain departmental internal controls to ensure that our personnel resources are efficiently and effectively managed and applicable laws and regulations are adhered to.

Attached is a list of these issuances which have been forwarded to you by either this office or the departmental distribution system. As you are aware, the departmental directives supplement the Federal personnel laws, regulations, and policies contained in the Federal Personnel Manual, Title 5, Code of Federal Regulations and Title 5, United States Code.

It is requested that each Administration review its own system of internal controls to determine if any areas need to be strengthened or developed. Questions on this matter may be directed to Gail Batt, Personnel Policy Division, 426-4140.


Director, Personnel and Training

Attachment

Filing Instructions: File after FPM Chapter 271 Bulletins
Bulletin Expires: Upon Notification
Distribution: Personnel Council, Information copy to M-20
OPI: M-16, Gail Batt, X64140, Personnel Policy Division

Internal Control - Reference Directive

<u>DOT Order or DPM Number *</u>	<u>Title</u>	<u>Issue Date</u>
<u>General Personnel Provisions</u>		
DOT OR 1100.14	DOT Personnel Council	10-19-67
DOT OR 3000.1	Establishment of a Departmental Personnel Manual System	12-16-80
DOT OR 3250.3	Formal Relationships with the Office of Personnel Management	04-01-76
DOT OR 3293.1	Maintenance of Personnel Records under the Privacy Act of 1974	12-08-74
DOT OR 3510.2	Position Management	07-21-76
DOT OR 3700.2	DOT Regulations on Employee Responsibilities and Conduct	02-09-68
DPM CH 272	The Departmental Personnel Manual System	12-29-80
DPM CH 274	Requesting Variations to OPM Regulations	05-07-82
DPM BL 733-1	Transition and the Hiring Freeze	02-18-81
DPM BL 735-1	Debts Owed the Veterans Administration	07-09-81
DPM BL 293-2	Final Rules: Establishment of An Employee Performance File System	02-01-82
<u>Personnel Management Evaluation</u>		
DOT OR 3253.1A	Personnel Management Evaluation	08-17-77
DPM BL 250-8	Evaluation of Performance Appraisal and Merit Pay Systems	08-10-82
<u>Personnel Management Information System</u>		
DOT OR 3291.1	Departmental Personnel Management Information System	02-08-78
DPM LT 298-1	Data Collection Procedures for Race & National Origin Data for Federal Employees in Guam, Hawaii & Puerto Rico	08-13-81
DPM LT 298-2	Departmental Personnel Management Information Systems Changes Relating to Federal Personnel Manual Supplement 296-33, The Guide to Processing	09-10-81
DPM LT 298-3	Ceiling Exempt Staffing for U.S. Saudi Arabian Joint Commission on Economic Cooperation	09-11-81
DPM LT 298-4	Merit Pay System Conversion & Data Collection	09-22-81
DPM LT 298-5	Revision of Monthly Report of Federal Civilian Employment, Standard Form 113-A	12-18-81
DPM LT 298-6	Identification of Reduction in Force Actions	02-11-82
DPM LT 298-7	Updated Reporting Instructions for the Monthly Report of Full Time Equivalent/Work Year Civilian Employment (SF 113-G)	07-02-82

DPM LT 298-8	Cancellation of the Payroll Report of Federal Civilian Employment (SF 113-B)	07-21-82
DPM LT 298-9	Revised Reporting Instructions for Sections III and IV of the Monthly Report of Federal Civilian Employment, Standard Form 113-A	07-23-82
DPM BL 298-3	Departmental Personnel Management Information System	03-19-81
DPM BL 298-12	Departmental Personnel Management Information System Changes	12-08-81
DPM BL 298-13	Departmental Personnel Management Information System Changes Relating to FPM Supplement 296-33, The Guide to Processing Personnel Actions	12-08-81

Employment (General)

DOT NO 3150.1	Probationary Periods for Managers & Supervisors	08-29-79
DOT OR 3240.1	Assignment or Detail of DOD Military Personnel to DOT	02-03-71
DOT OR 3250.1B	Coast Guard Military Personnel Assigned to DOT	04-17-72
DOT OR 3291.3	Information on Schedule C Positions and/or Incumbents	02-02-71
DOT OR 3300.2C	Employment of Experts and Consultants	09-05-73
DOT OR 3330.2	Air Traffic Controller Program	02-28-73
DOT NO 3330.2	Federal Equal Opportunity Recruitment Program	02-21-80
DOT OR 3300.3	Employment of Retired Members of the Uniformed Services	01-03-68
DOT OR 3900.5	Departmental Selective Placement Program	01-30-72
DPM CH 300, Sub 7	Employment of Annuitants	05-18-81
DPM CH 300, Sub 8	Detail of Employees	07-02-82
DPM CH 335	Merit Promotion Plans	07-02-81
DPM CH 352	Detail and Transfer of Federal Employees to International Organizations	07-02-82
DPM LT 334-1	Approval of IPA Agreements	07-17-81
DPM LT 334-2	Waiver of Obligated Service Agreements	07-23-81
DPM LT 340-1	Department Part-Time Career Employment Program	08-13-81
DPM BL 300-5	Reemployment of Annuitants	08-05-82
DPM BL 300-6	General Accounting Office Reversal of the Turner-Caldwell Decision	06-21-82
DPM BL 300-7	Extension of Delegation Agreement-Phase II Authorities	06-22-82
DPM BL 337-2	Designation of Test Control Officers & Examiners	03-25-81

Youth and Student Employment Programs

DOT OR 3300.10	Federal Summer Employment Program for Youth	05-29-73
DOT OR 3330.3	Cooperative Education Programs	07-22-75
DPM CH 308	Youth and Student Employment Programs	02-10-81
DPM BL 308-1	Federal Junior Fellowship Program Ceiling Allocations Through May 1983	01-28-81
DPM BL 308-6	Stay-in-School Ceiling Allocations - FY 1983	08-23-82

Recruitment and Selection through Competitive Examination

DOT OR 3300.6	Establishment of CEIO for the Department of Transportation	05-05-69
DPM BL 332-2	Requests for Certification During the Federal Civilian Hiring Freeze	02-20-81
DPM BL 332-7	1982 Summer Employment Program Reporting	06-18-81

Reduction in Force

DPM CH 351	Reduction in Force	01-11-82
DPM BL 351-7	Sample Paragraphs for Reduction-in-Force Notices	06-26-81
DPM BL 351-8	Severance Pay Estimates for Reduction-in-Force Actions	07-07-81
DPM BL 351-9	Revision of Sample Paragraph 10c	07-16-81
DPM BL 351-12	Reemployment Priority List Coordinators	09-18-81
DPM BL 351-13	Tracking Progress in Reduction-in-Force Placement	09-29-81
DPM BL 351-15	Establishment of Department of Transportation Reduction-in-Force Outplacement Work Group	11-12-81
DPM BL 351-16	Unemployment Compensation	12-02-81
DPM BL 351-18	Amendment to DPM Bulletin 351-16	12-23-81
DPM BL 351-19	Unemployment Compensation Following Reductions-in-Force	01-05-82
DPM BL 351-20	Content of Reduction-in-Force Book	01-08-82

Employee Performance and Utilization

DOT OR 3400.3A	Suggestion Program	06-21-77
DOT OR 3410.1	Long Term Training Programs	02-12-71
DOT OR 3410.3	President's Executive Interchange Program	08-11-75
DOT OR 3412.1	Management Development Program	06-30-71
DOT OR 3450.1A	Incentive Awards Program for Departmental Personnel	10-17-79
DOT OR 3770.3	Personnel Actions Based on Unacceptable Performance	08-12-80
DPM CH 430	Performance Appraisal Plan	04-16-82
DPM BL 430-4	Personnel Actions Based on Unacceptable Performance	10-01-81
DPM BL 451-5	Changes to Provisions of DOT Order 3450.1A, Incentive Awards Program for Departmental Personnel	04-30-81

Position Classification

DOT OR 3500.3A	Position Classification Appeal Procedure	01-20-76
DOT OR 3500.4A	Periodic Classification Maintenance Reviews and Position Documentation	09-27-73
DOT OR 3510.1A	Position Classification Standards & Guides	06-25-74
DPM BL 511-34	Update on the Tentative Standards for Library - Information Series Occupation	08-24-82

Pay Administration

DOT OR 3300.8	Payment of Committee Members	02-12-70
DOT OR 3500.2A	Federal Wage System in the Department	04-26-76
DOT OR 3550.1	Department Policy on Use of Compensatory Time Off in Lieu of Paid Overtime	03-29-74
DOT OR 3590.1	Advance Payments & Evacuation Payments	01-12-72
DOT OR 3600.5A	Department Policy on the Use of Fractional Hours for Overtime & Leave Purposes	04-12-76
DPM BL 530-5	Special Salary Rates for Medical Officers, GS-602	07-28-82
DPM BL 531-3	Within-grade Increases for Employees on Time Limited Appointments of One Year or Less	06-22-82
DPM BL 532-5	New Printing & Lithographic Pay Plan	07-30-82
DPM BL 550-5	Voluntary Allotments for Child Support	06-03-81
DPM BL 550-7	Overtime	09-17-81
DPM BL 550-13	Management of Overtime	07-30-82

Retained Grade and Retained Pay

DOT NO 3273.1	Demotion Delays & Grade Retention	06-30-79
DPM LT 536-1	Pay Retention for Employees Converted from Schedule C Positions	02-06-81
DPM LT 536-2	Grade & Pay Entitlement for Employees with Temporary Appointments	11-03-81
DPM BL 536-2	Amendment to DPM Bulletin 536-1, "Entitlement to Grade and Pay Retention in RIF Situations"	03-03-82

Merit Pay

DOT OR 3500.5	Department of Transportation Plan for Merit Pay and Cash Awards	05-08-80
DPM BL 540-2	Reissuance of FPM Chapter 540 Material on Merit Pay	07-23-81
DPM BL 540-3	Proposed Changes to Merit Pay Plans	03-25-82
DPM BL 540-4	Increasing the Amount of the Merit Pay Fund Through the Quality Step Increase	07-23-82

Severance Pay

DPM BL 550-6	Severance Pay	07-24-81
DPM BL 550-10	Effect of Temporary Employment on Severance Pay	04-28-82
DPM BL 550-11	Severance Pay: Transfer of Functions to Private Organizations	06-11-82
DPM BL 550-14	Severance Pay	08-12-82

Attendance and Leave

DOT OR 3600.2B	Official Business Hours	06-21-82
DOT OR 3600.3A	Early Dismissals and Office Closings During Emergency Situations	06-04-75
DOT OR 3600.6	Flexitime	01-13-78

Labor Management Relations

DOT OR 3710.3	Consultation With Labor Unions	04-24-80
DOT OR 3710.4	Labor-Management Relations Program	07-80
DOT NO 3710.8	Employee Representation Rights Under the Civil Service Reform Act of 1978	01-10-83
DPM LT 711-1	Recording the Use of Official Time by Union & Other Employee Representatives for Representational Functions	11-10-81

Upward Mobility

DOT OR 3410.2	Upward Mobility for Lower Level Employees	05-06-71
DOT OR 3713.1	Upward Mobility Program	04-16-76

Adverse Actions, Grievances

DOT OR 3770.1C	Disciplinary & Adverse Actions and Appeals	09-01-80
DOT OR 3770.2	Agency Administrative Grievance System	09-01-80

Retirement

DOT OR 3830.1	Retirement Planning Programs	12-08-70
DPM BL 831-4	Submission of Annuity Applications	01-22-82
DPM BL 831-6	Individual Retirement Arrangements (IRA's) for Federal Employees	07-14-82
DPM BL 831-7	Legislative Amendments to the Civil Service Retirement Law	08-31-82

Senior Executive Service

DOT OR 1100.48	Departmental Executive Resources Board	08-04-80
DOT OR 3200.2	DOT Key Executive Book	05-08-69
DOT OR 3412.2A	Executive Development System	09-26-80
DOT OR 3430.1	Executive Performance Appraisal System	02-07-80
DOT OR 3450.4A	SES Performance Award System	11-10-81
DOT OR 3530.1	Pay Rate Determination in the Department of Transportation Senior Executive Service	01-16-81
DPM CH 920	Senior Executive Service Reduction in Force: General Information	03-04-82
DPM LT 920-1	Changes to Provisions of Department of Transportation Order 1100.48, Department Executive Resources Board	04-15-81
DPM LT 920-2	Senior Executive Service (SES) Sabbaticals	09-01-81

Special Personnel Programs

DOT OR 3700.1A	United States Savings Bonds Program	07-01-70
DOT OR 3700.4B	Combined Alcoholism-Drug Abuse Program	07-03-78
DOT OR 3800.1	Department of Transportation Blood Donor Program	05-06-68
DOT OR 3900.2A	DOT Headquarters Building & Buzzard Point Building Personnel Health Services	07-23-73
DOT OR 3931.1	Department of Transportation Personnel & Training Career Program	01-19-76
DOT OR 3960.1	Employee Social, Recreation and Welfare Associations in the DOT	01-30-75
DOT OR 3960.2	Department of Transportation Employee Fitness Center	12-21-76

*DOT OR - DOT Order
DOT NO - DOT Notice
DPM CH - DPM Chapter
DPM LT - DPM Letter
DPM BL - DPM Bulletin