



State of Indiana
Indiana Department of Correction

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**POLICY AND ADMINISTRATIVE
PROCEDURE**
Manual of Policies and Procedures

Title
BUSINESS EXPENSE REIMBURSEMENT

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Other References (includes but is not limited to)
IC 4-10-11-2 IC 4-13-1-4(7) IC 4-13-2-20 IC 11-8-2-5(a)(8) IC 11-8-2-5(a)(9) 42 IAC 1-5-1	00-02-101 04-03-103 04-03-106 04-06-101	ACA: ACI: 3-4064 JTS: 1B-01; 1B-07 CO: 2-CO-1B-05 State Travel Policies and Procedures – Indiana Department of Administration

I. PURPOSE:

This policy and administrative procedure establishes the process and method of reimbursements made to staff for authorized and/or approved expenses incurred while performing business activities on behalf of the Department of Correction. Additionally, this policy establishes a method of review of these expenses to ensure that they are reimbursed in accordance with the rules of the State of Indiana.

II. POLICY STATEMENT:

During the course of conducting official Department of Correction business, it may become necessary for staff to expend personal monies for various types of activities, such as travel, lodging, etc. The Department shall determine whether these expenditures are appropriate and in the best interests of the Department.

In those cases where the expenditures are appropriate and approved, the Department of Correction shall request authorization to reimburse staff for expenses incurred while performing official state duties or improving job skills. All such reimbursements for business expenditures shall be made in accordance with the State Travel Rules established by the Indiana Department of Administration, any other procedures or rules and Department of Correction procedures. Reimbursement may be requested for:

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- A. Travel, in-state and out-of-state;
- B. Subsistence;
- C. Lodging;
- D. Training or education; and,
- E. Moving expenses.

Each request for reimbursement shall be justified as a necessary expenditure for the operation or improvement of the Department or to satisfy a specific statutory mandate. The Commissioner or designee shall approve all requests for reimbursement. Each request shall be submitted with the necessary documentation to ensure that the reimbursement is for a legitimate expense incurred on behalf of the Department.

No Department employee shall accept gifts, including travel reimbursement, from a party that has a business interest with that Department employee's office, facility, or the Department (Indiana Administrative Code 42 IAC 1-5-1).

Accurate records of reimbursement shall be maintained to ensure proper auditing. Additionally, staff shall review all requests for reimbursement to ensure the efficient and effective use of Department funds and resources. Staff shall be reimbursed only for authorized expenses incurred on behalf of the Department and in accordance with all governing rules, procedures, and regulations.

III. DEFINITIONS:

For the purpose of this policy and administrative procedure, the following definitions are presented:

- A. **EXPENSE REIMBURSEMENT:** A refund to an employee for money spent on official business/duties.
- B. **FISCAL OFFICER:** The staff person directly responsible for the supervision and management of all purchasing, bookkeeping and accounting services of a facility.
- C. **TRAVEL VOUCHER:** The state document by which reimbursements for travel, training and moving expenses are requested from the Auditor of State.

IV. TRAVEL EXPENSE REIMBURSEMENT:

Staff may be reimbursed for approved travel, subsistence and lodging expenses incurred while performing official state duties for the Department. State vehicles shall be used for official travel whenever possible.

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Expenses shall be reimbursed according to rates established by the Indiana Department of Administration "State Travel Policies and Procedures." The reimbursement must be requested on State Form 980, TRAVEL VOUCHER (ATTACHMENT I) and must be prepared according to the State of Indiana Travel Rules. Original receipts must be attached for all but mileage and subsistence reimbursement. In addition, a copy of the approved Form 823, AUTHORIZATION FOR OUT-OF-STATE TRAVEL, (ATTACHMENT II) must be attached to the Travel Voucher for out-of-state travel.

The Facility Head shall ensure all staff persons are properly trained in these procedures. Central Office staff shall forward State Form 980 to the appropriate Business Administrator for processing.

If the staff person is being reimbursed for expenses, including partial travel expense reimbursement, by a party that is not the Department, the American Correctional Association (ACA), or the National Institute of Corrections (NIC), the staff person shall submit a justification for the third party payment. The justification shall be forwarded to the Facility Head for review and approval. The facility head shall contact the Department's Ethics Officer for advice in determining approval or denial of the third party reimbursement of the staff person in accordance with Indiana Administrative Code 42 IAC 1-5-1. The decision of the facility head shall be forwarded to the Department's Ethics Officer for review and retention.

If a staff person is reimbursed by the State for his/her travel and is also reimbursed by an outside organization, the staff person shall endorse the outside reimbursement check and submit it to the Department.

If a staff person receives travel reimbursement from an outside entity, he/she shall not also claim reimbursement and shall immediately return any amount of travel expenses already paid by the Department.

V. IN-STATE TRAVEL:

To ensure adequate funding and the necessity for travel, a travel request shall be approved by the facility's Fiscal Officer and the Division Director or Facility Head prior to the travel. The approved request shall be forwarded to the facility's Fiscal Officer to be kept on file. Deputy Commissioners, Division Directors and Facility Heads are exempt from this approval process.

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Staff persons who travel on a continual basis may request blanket authority from the Facility Head or appropriate Division Director. This authorization shall be maintained in the Fiscal Office.

VI. OUT-OF-STATE TRAVEL:

Staff persons may request reimbursement for travel, subsistence, and lodging expenses incurred while performing official State duties for the Department when such travel is outside the State of Indiana. The Fiscal Officer and the Facility Head shall approve State Form 823, AUTHORIZATION FOR OUT-OF STATE TRAVEL, (ATTACHMENT II). Following approval by the Fiscal Officer and the Facility Head, the approved State Form 823 shall be submitted to the Administrative Assistant in the Central Office Division of Finance and Performance a minimum of thirty (30) days prior to the scheduled travel.

In Central Office, all out-of-state requests shall be approved by the appropriate Fiscal Officer and forwarded to the Administrative Assistant, Division of Finance and Performance.

Out-of-state travel is expressly prohibited unless a fully approved State Form 823 has been returned to the employee prior to the trip. Blanket authorization has been granted to staff at the Reception-Diagnostic Center for inter-state transportation of offenders and to staff from the Department who are authorized to inspect, receive or transport federal surplus property.

VII. TRAINING OR EDUCATION REIMBURSEMENT:

Staff may request reimbursement for training or education expenses incurred to improve job skills. A written request for approval shall be submitted to the staff person's supervisor. This request shall include, but is not limited to, the following information:

- A. The name and job title or classification of the staff person making the request;
- B. The name or title of the course/training session, including: the date(s) and time(s); an itemization of all costs associated with the session (registration, lodging, travel and subsistence); and, the requested mode of travel (personal, commercial or state vehicle); and,
- C. A justification stating the value of the training to the staff member's position description.

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A request for in-state training shall be submitted a minimum of thirty (30) calendar days prior to the training. Requests for out-of-state training shall be submitted on State Form 823 (ATTACHMENT II) at least sixty (60) calendar days prior to the training.

If the facility has a training officer, the staff person's supervisor shall forward the request with a written recommendation to the training officer, who shall obtain the approval of the training committee and forward the request to the appropriate fiscal staff. If there is no training officer, the supervisor shall forward the request directly to the Fiscal Officer. If sufficient funding is available, the Fiscal Officer shall forward the request to the Facility Head for approval.

Mandatory training sponsored by the Department's Central Office shall be approved immediately. However, the facility Fiscal Officer and training office must be informed of the session to ensure sufficient funds are available and that staff receives the appropriate training credit. Attendance at a general training session open to all department staff requires written approval from the staff person's supervisor.

Whether a training request is approved or denied, the staff person's supervisor shall inform him/her, in writing, with the original request attached. A copy of the approval or denial shall be forwarded to the facility Fiscal Officer and training officer. The fiscal office copy shall be attached to the file copy of the travel voucher. Staff shall not attend any training unless written approval is obtained before the scheduled training.

Registration fees may be paid directly to the vendor via a claim voucher processed by the Fiscal Officer or by the staff person. In order for registration fees to be paid directly to the vendor, a request must be submitted to the Fiscal Officer thirty (30) days in advance. If the employee pays for the registration, he/she must submit the original receipt with State Form 980, TRAVEL VOUCHER, to claim reimbursement. The original receipt must state the cost of the seminar/training.

VIII. CASH ADVANCES:

Staff persons are expected to pay for travel expenses. However, with the approval of the Appointing Authority, cash advances may be issued from the Special Disbursing Officer (SDO) account as prescribed in the State of Indiana Accounting Manual. This authority is to be used in an emergency situation only. The advance may be for one hundred percent (100%) of the estimated eligible travel expenses. Eligible expenses include bus or train tickets, hotel base rates plus applicable taxes and registrations. Cash advances cannot include allowances for meals or other expenses.

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Employees must sign State Form 49630, TRAVEL ADVANCE (ATTACHMENT III) and repay the advance upon receipt of their travel reimbursement.

A record of cash advances must include the date, to whom the advance was made, the dollar amount and when the advance was repaid.

IX. MOVING/TRAVEL EXPENSE REIMBURSEMENT:

The Department may reimburse current staff persons or prospective staff persons for moving and/or travel expenses. The Department may reimburse relocation expenses for: (1) a current staff person assigned to a new work station or for new hires; (2) travel and related expenses for interviews; and, (3) pre-employment travel expenses for meetings or activities on behalf of the State for an individual who has accepted employment. An individual must meet the eligibility requirements as indicated in Chapter 11 – Travel, State of Indiana Accounting Manual.

Eligibility and rates shall be in accordance with the Indiana Department of Administration, State Travel Policies and Procedures. Reimbursement is limited to ESM, SAM/PAT I, II, and III positions and PAT or SAM/PAT positions with recruitment differentials. Approval by the Commissioner and the State Budget Agency is required before the facility can authorize the reimbursement of any move or relocation expenses. The request for reimbursement must be submitted, in writing, to the Facility Head and must include the following:

- A. The name of the current/prospective staff person;
- B. The classification of the staff person;
- C. A justification for the reimbursement;
- D. The estimated total cost of the reimbursement; and,
- E. A statement that funds are available.

Upon approval, the Facility Head shall forward the request to the Commissioner for approval and submission to the State Budget Agency. The staff person/prospective staff person shall be notified, in writing, whether the request is approved or denied.

After the move is completed, the staff person shall claim reimbursement via a travel voucher in accordance with the State Travel Rules. Original receipts and a copy of the

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approval shall be attached. Claims for non-staff persons shall be paid via claim voucher using minor object 519900.

X. MEAL AND LODGING REIMBURSEMENT:

A. Meals for Staff and Offenders on Transportation Assignments:

Staff persons who have physical custody of an offender(s) and those offenders who are away from the facility at normal mealtimes shall be provided a meal. When possible, meals for staff and offenders are to be sack meals prepared by the facility prior to departure. In those cases where sack meals cannot be provided, the amounts for reimbursement shall not exceed the following:

- | | | |
|----|-----------|--------|
| 1. | Breakfast | \$4.00 |
| 2. | Lunch | \$5.00 |
| 3. | Dinner | \$8.00 |

The Facility Head or designee shall determine when a meal cannot be prepared for the transportation. If a meal is provided by the facility, the staff person(s) cannot claim a reimbursement for a meal.

B. Lodging:

Required lodging shall be reimbursed at the rate established in the State Travel Policy and Procedures.

Subject to the availability of funds, the SDO shall advance the estimated expense, including necessary lodging, for staff persons and offenders at the beginning of the trip. The staff person in charge of the trip shall be given the advance, shall sign a receipt for the amount, and shall assume responsibility for the funds. Upon return to the facility, the staff person in charge shall provide validated receipts for all the advance funds spent and complete CLAIM FOR MEAL REIMBURSEMENT (ATTACHMENT IV). State Form 42275, CERTIFICATION FOR MISSING RECEIPT, (ATTACHMENT V), may be used when the staff person does not have a printed receipt from an establishment or when the staff person loses a receipt. Any funds remaining from the advance shall be returned to the SDO along with the validated receipts. Expenses in excess of the prescribed limits shall not be reimbursed.

The SDO shall submit all claims for meals and lodging incurred as prescribed by the State Board of Accounts, Department of Administration and Auditor of State.

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XI. EMERGENCY REIMBURSEMENT – STATE VEHICLE USE:

Emergency reimbursements necessitated by State vehicle use must be in accordance with the administrative procedures for Policy 04-06-101, “State Vehicle Use and Assignment,” and authorized by the facility Fiscal Officer.

XII. APPLICABILITY:

This policy and administrative procedure is applicable to all Department staff and facilities.

signature on file
Bruce Lemmon, Commissioner

Date