

HHS TRAVEL MANUAL

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HHS TRAVEL MANUAL

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Subject: Plan of the Manual

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 10 Scope and Organization
 20 Development and Maintenance
 30 Distribution

1-00-00 Purpose

This Chapter describes the scope, organization, development, maintenance, and distribution of the HHS Travel Manual.

1-00-10 SCOPE AND ORGANIZATION

The HHS Travel Manual is a component of the HHS Department Staff Manual System. It is intended to provide users a single authoritative reference to Department **financial management** policies and procedures that pertain to temporary duty travel; conference planning; permanent change of station moves; travel and transportation expenses connected with the death of certain employees; and acceptance of payments of travel expenses from non-federal sources. The manual is intended for the use of HHS civilian employees. Under the Federal Travel Regulation pertaining to temporary duty travel allowances, employees include individuals employed intermittently in Government service as an expert or consultant, who are paid on a daily when-actually-employed basis, and individuals serving without pay or at \$1 a year on behalf of the Government (i.e., invitational travelers).

The manual is organized as follows:

1. Policies, instructions, and information too broad or general to be included in other parts of the manual are published in Part 1.
2. The remaining parts of the manual deal with specific aspects of travel, such as travel orders and advances, travel allowances, and international travel.
3. Exhibits are so numbered as to permit filing in one place in the manual or with the related chapters, as the individual user prefers.

1-00-20 DEVELOPMENT AND MAINTENANCE

- A. Maintenance. Material to be published in the HHS Travel Manual is developed and maintained under the general supervision of the Director, Office of Financial Policy, Office of the Deputy Assistant Secretary, Finance, Office of the Assistant Secretary for

Management and Budget. The Director, Office of International Affairs, Immediate Office of the Secretary, develops and maintains the policies contained in Chapter 6, International Travel.

- B. Supplemental Guidance. When material issued at Department level is inadequate for other organizational levels, supplementary material should be developed at the appropriate level and distributed to the users concerned.
- C. Numbering and Filing. The major subdivisions of manuals are called parts. The parts and their subdivisions are identified by a comprehensive numbering plan, as follows:

Part	0
Chapter	0-00
Section	0-00-00
Subsection	0-00-00 A.
Paragraph	0-00-00 A.1.
Subparagraph	0-00-00 A.1.a.
Item	0-00-00 A.1.a. (1)

Exhibits are numbered by adding capital letters serially to the relevant chapter numbers. For example, HHS Exhibit 1-10-A is the first exhibit in Chapter 1-10.

- D. Effective Dates. A Transmittal Notice number and the date of issue appear at the upper left corner of each page of a manual. The date of issue is the effective date of the material on the page, unless a different effective date is specified in the text.

1-00-30 DISTRIBUTION

- A. The Travel Manual is intended primarily for the use of HHS employees who travel and for offices that provide travel services, authorize or approve travel and related functions, or examine travel expenses.
- B. Hard copy versions of the Travel Manual are available for a charge from the Program Support Center, Administrative Operations Service, Division of Technical Support, Printing and Postal Technologies Branch, Parklawn Building, Rockville, Maryland (telephone: 301-443-6418).
- C. An electronic version of Travel Manual chapters will be posted to the HHS Office of Finance Internet Website Travel pages at: www.os.hhs.gov/of/travel as chapters are revised and updated into an electronic format.

Subject: HHS Travel Policies

1-10-00	Purpose
10	Federal Travel Regulation
20	HHS Travel Manual
30	Travel Guidance on the Internet
40	Delegations of Authority for Travel

1-10-00 PURPOSE

The purpose of this chapter is to define the relationship between the governmentwide Federal Travel Regulation and the HHS Travel Manual and to provide a readily accessible copy of the most recent HHS delegations of travel authority.

1-10-10 Federal Travel Regulation

HHS travel policies for employees, except Commissioned Officers of the Public Health Service, are governed by the Federal Travel Regulation (FTR), issued by the General Services Administration (GSA). The FTR implements statutory requirements and Executive branch policies for travel by Federal civilian employees and others authorized to travel at Government expense.

The Federal Travel Regulation consists of:

- Chapter 300 - General, Introduction and Agency Reporting Requirements
- Chapter 301 - Temporary Duty Travel Allowances
- Chapter 302 - Relocation Allowances
- Chapter 303 - Payment of Expenses Connected with the Death of Certain Employees
- Chapter 304 - Payment from a Non-Federal Source for Travel Expenses

Per diem rates for civilian HHS employees are set by three authorities:

- Continental United States (CONUS) - General Services Administration
- Non-foreign Areas (Alaska, Hawaii, Puerto Rico, Guam, Northern Mariana Islands and territories and possessions of U.S.) - Department of Defense, Per Diem, Travel and Transportation Allowance Committee
- Foreign Areas - Department of State

Travel policies and per diem rates for Commissioned Officers of the Public Health Service are governed by the Joint Federal Travel Regulation (JFTR), issued by the Per Diem, Travel and

Transportation Allowance Committee, chartered under the Department of Defense. Its members include the Surgeon General of the Public Health Service.

1-10-20 HHS TRAVEL MANUAL

The HHS Travel Manual, issued by the Office of Finance, Office of the Assistant Secretary for Management and Budget (ASMB), is the official documentation of Departmentwide supplemental policy guidance to the Federal Travel Regulation (FTR) for HHS civilian employees.

Many provisions of the Federal Travel Regulation require agencies to develop more specific internal policies, procedures, and systems to administer the regulation. The HHS Travel Manual provides supplemental policy guidance on key FTR provisions, where a Departmentwide, standard supplemental policy is deemed appropriate. Under the HHS staff manual system, Operating Divisions (OPDIVs) may then augment the FTR and/or Department level policy with their own supplemental policy and procedures guidance, which must be consistent with the FTR and Department's policy requirements.

At the Department level, the Office of the Assistant Secretary for Management and Budget is responsible for providing national bargaining units that have consultation rights with the opportunity to review and comment on proposed policy before it is issued in the HHS Travel Manual. Some travel policies may impact on conditions of employment for bargaining unit employees. It is the responsibility of OPDIV management to communicate with their local bargaining units on proposed travel policy changes (stemming from FTR, HHS Travel Manual, or OPDIV policy determinations) and for negotiating impact and implementation.

The HHS Division of Commissioned Personnel, a component of the Program Support Center, is responsible for developing and issuing travel and relocation policy guidance, supplemental to the Joint Federal Travel Regulation, to cover HHS employees who are Commissioned Officers of the Public Health Service. This guidance is published in separate pamphlets that are not part of the HHS Travel Manual.

The HHS Travel Manual focuses on the financial management policies pertaining to travel and relocation, as governed by the Federal Travel Regulation. The Federal Travel Regulation and the HHS Travel Manual address travel by employees; they do not address travel by contractors or grantees.

Personnel policies, including when employees are in travel or relocation status, are outside the scope of the HHS Travel Manual and the policy purview of the ASMB Office of Finance. HHS managers and employees should seek the guidance of their servicing personnel office for policies pertaining to pay, personnel benefits, and requirements for overseas assignments (such as cost of

living allowances and hardship pay differentials), leave, and other **personnel** actions involving employees in travel or relocation status.

1-10-30 TRAVEL GUIDANCE ON THE INTERNET

HHS employees may access the HHS Office of Finance Internet Website Travel pages to obtain information on: Governmentwide Travel Guidance links (such as the Federal Travel Regulation and Joint Federal Travel Regulation), HHS Travel Guidance (such as chapters from the HHS Travel Manual, as they are updated), and Traveler Aids (such as weather, maps, etc.). The website is: www.os.hhs.gov/of/travel. Travel guidance for Commissioned Officers of the Public Health Service may be found at: <http://dcp.psc.gov>.

1-10-40 HHS DELEGATIONS OF AUTHORITY FOR ADMINISTERING TRAVEL

In separate memoranda, dated February 28, 1996, the Assistant Secretary for Management and Budget issued "Delegations of Authority – Travel" to Heads of Operating Divisions and Heads of Staff Divisions, respectively. Exhibit 1-10-A contains the text of these two memoranda.

The 1996 delegations of authority cover the authorization and approval of all domestic and foreign travel and permanent change of station for civilian employees. The other listed items, such as advance of funds, use of noncontract air carrier, etc., are actually sub-components of these higher level authorities and are intended to clarify, but not restrict, these higher level authorities.

MEMORANDUM (RETYPE)

DATE: February 28, 1996

FROM: Assistant Secretary for Management and Budget

SUBJECT: Delegation of Authority – Travel; Administrative Resolution of Cash Fund Irregularities; Approval Involving Claims of \$25 or Less

TO: Heads of Operating Divisions

AUTHORITY TO DELEGATE - Under the authority vested in me by the Secretary, I hereby delegate to you the following authorities:

AUTHORITIES DELEGATED:

A. Authorization and approval of the following for OPDIV personnel located at the headquarters and in the regions:

1. Domestic Travel (**D**)
2. Foreign Travel (**F**)
3. Permanent Change of Station Civilian Employees (**CS**)
4. Advance of Funds (**AF**)
5. Actual and Necessary Travel and Subsistence Expense (**AN**)
6. Travel Expenses Relating to Missing Persons (**MP**)
7. Travel Expenses Relating to Deceased and Injured Employees and Deceased Dependents (**DI**)
8. The Use of Noncontract Air Carrier (**CA**)
9. The Use of Cash to Purchase Domestic Passenger Transportation in Excess of \$100 -
(a) Emergency Domestic Transportation (**DT**) and (b) Nonemergency Domestic Transportation (**NDT**)
10. Acceptance of Payment in Cash or In-Kind to Cover Travel Expenses (**CK**)
11. Approval of Doubtful Claims of \$25 or Less (**DC**)
12. Approval of Premium Class Travel (**PC**)

Authorities designated as **D, F, CS, AF, AN, MP, DI, CA, DT, NDT, CK, DC, and PC** may be redelegated to the level you deem appropriate. Because of the high visibility of the authorities designated as **AN, NDT, CK, and PC** it is anticipated that there will be

continued Congressional and public inquiries of these type of authorizations. Therefore, the redelegations should be at a level that will ensure adequate review of the need for these requests.

As a matter of Departmental policy, no official may authorize or approve his or her own travel. You should designate an official from within your organization for this purpose, and notify me of this designation. In the event that someone other than the designated official approves your travel, the ASMB should be notified and provided with adequate justification as to why the travel documents were not signed by the designated official.

Requirements and instructions for exercising these authorities are contained in the Departmental Travel Manual.

Reporting Requirements and Responsibilities - As you empower your management officials with these delegated authorities, there must also be corresponding accountability. The delegated officials will be required to maintain necessary records to respond to any internal audits or external inquiries from the Congress and control agencies regarding these approvals. These officials should also be required to timely report any incident that could potentially cause criticism or have a negative impact on this Department or the Secretary.

Additionally, the authorities designated as **CK** and **PC**, both have external reporting requirements associated with them. ASMB retains the Departmental reporting responsibility for these. You should continue to submit your reports to the ASMB's Deputy Assistant Secretary, Finance 15 days prior to the due dates for consolidation and submission to GSA and OGE. The acceptance of payment in Cash or Kind report is due semi-annually (May 15 and October 15 of each year) and the Premium Class report is due annually (45 days after the end of each fiscal year).

B. I further redelegate to you the following authority:

1. To resolve by appropriate administrative action, cash and fund loss irregularities amounting to less than \$750 arising from a single incident, or a series of similar incidents, occurring about the same time. This authority may be redelegated to heads of major organizations reporting directly to you and to their chief administrative officers without further redelegation.
2. To designate certifying officers and cashiers. This authority may be redelegated to the appropriate level using the Department of Treasury's TFS Form 2958.

Requirements and instructions for exercising these authorities are contained in the Treasury Fiscal Requirements Manual and the HHS Voucher Examination Manual.

Effective Date - These delegations are effective immediately.

Effect or Prior Delegations - These delegations supersede all previous delegations. Existing redelegations may remain in effect for no more than 90 days from the effective date of these delegations.

John J. Callahan

cc: Heads of Staff Divisions
Inspector General
Regional Directors

MEMORANDUM (RETYPE)

DATE: February 28, 1996

FROM: Assistant Secretary for Management and Budget

SUBJECT: Delegation of Authority – Travel; Administrative Resolution of Cash Fund Irregularities; Approval Involving Claims of \$25 or Less

TO: Heads of Staff Divisions

AUTHORITY TO DELEGATE - Under the authority vested in me by the Secretary, I hereby delegate to you the following authorities:

AUTHORITIES DELEGATED:

A. Authorization and approval of the following for STAFFDIV personnel located at the headquarters and in the regions:

1. Domestic Travel (**D**)
2. Foreign Travel (**F**)
3. Permanent Change of Station Civilian Employees (**CS**)
4. Advance of Funds (**AF**)
5. Actual and Necessary Travel and Subsistence Expense (**AN**)
6. Travel Expenses Relating to Missing Persons (**MP**)
7. Travel Expenses Relating to Deceased and Injured Employees and Deceased Dependents (**DI**)
8. The Use of Noncontract Air Carrier (**CA**)
9. The Use of Cash to Purchase Domestic Passenger Transportation in Excess of \$100 -
(a) Emergency Domestic Transportation (**DT**) and (b) Nonemergency Domestic Transportation (**NDT**)
10. Acceptance of Payment in Cash or In-Kind to Cover Travel Expenses (**CK**)
11. Approval of Doubtful Claims of \$25 or Less (**DC**)
12. Approval of Premium Class Travel (**PC**)

Authorities designated as **D, F, CS, AF, AN, MP, DI, CA, DT, NDT, CK, DC, and PC** may be redelegated to the level you deem appropriate. Because of the high visibility of the authorities designated as **AN, NDT, CK, and PC** it is anticipated that there will be

continued Congressional and public inquiries of these type of authorizations. Therefore, the redelegations should be at a level that will ensure adequate review of the need for these requests.

As a matter of Departmental policy, no official may authorize or approve his or her own travel. You should designate an official from within your organization for this purpose, and notify me of this designation. In the event that someone other than the designated official approves your travel, the ASMB should be notified and provided with adequate justification as to why the travel documents were not signed by the designated official.

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Additionally, the authorities designated as **CK** and **PC**, both have external reporting requirements associated with them. ASMB retains the Departmental reporting responsibility for these. You should continue to submit your reports to the ASMB's Deputy Assistant Secretary, Finance 15 days prior to the due dates for consolidation and submission to GSA and OGE. The acceptance of payment in Cash or Kind report is due semi-annually (May 15 and October 15 of each year) and the Premium Class report is due annually (45 days after the end of each fiscal year).

B. I further redelegate to you the following authority:

1. To resolve by appropriate administrative action, cash and fund loss irregularities amounting to less than \$750 arising from a single incident, or a series of similar incidents, occurring about the same time. This authority may be redelegated to heads of major organizations reporting directly to you and to their chief administrative officers without further redelegation.
2. To designate certifying officers and cashiers. This authority may be redelegated to the appropriate level using the Department of Treasury's TFS Form 2958.

Requirements and instructions for exercising these authorities are contained in the Treasury Fiscal Requirements Manual and the HHS Voucher Examination Manual.

Effective Date - These delegations are effective immediately.

Effect or Prior Delegations - These delegations supersede all previous delegations. Existing redelegations may remain in effect for no more than 90 days from the effective date of these delegations.

John J. Callahan

cc: Heads of Operating Divisions
Inspector General
Regional Directors

Subject: Travel Planning

1-20-00 Purpose
10 General Policies
20 Conferences Involving Employee Temporary Duty Travel

1-20-00 PURPOSE

The purpose of this chapter is to emphasize the need to plan travel assignments. Travel is costly to HHS both in the expenditure of funds and in the application of human resources. The travel of HHS employees can be most effectively applied to the attainment of program goals if it is planned, coordinated, and controlled in the same manner as other program activities. This chapter also references and supplements guidance in the Federal Travel Regulation related to planning for conferences involving temporary duty travel by employees.

1-20-10 GENERAL POLICIES

HHS authorizing and approving officials will limit the authorization and payment of travel expenses to travel that is necessary to accomplish the HHS mission in the most economical and effective manner, in accordance with the Federal Travel Regulation and HHS internal travel policy guidelines.

Federal Travel Regulation Guidelines:

- FTR Part 301-70.1 Agency Responsibilities, Subpart A, General Policies and Procedures

A. Planning for Official Travel

Authorizing officials should undertake the following actions to contain travel costs by emphasizing the following measures when planning for official travel:

1. Plan and notify the employee far enough in advance to allow the traveler to use the mode of transportation that is most advantageous to the Department. Generally, the use of common carriers is the most-advantageous; the use of privately-owned or commercially-rented automobiles is the least advantageous.
2. Direct that travel in Government-owned, commercially-rented and privately owned automobiles be held to a minimum.
3. Conduct business via telephone, teleconference, or video conference in lieu of the more costly travel alternatives, when possible.

4. For local travel, require prior authorization for a rental car.
5. Direct the use of shuttle bus and/or mass transit service to the maximum extent possible.
6. Review travel itineraries in order to:
 - a. Combine functions that can be carried out by one employee or by fewer employees than originally scheduled;
 - b. Accomplish in one trip several assignments at facilities in one geographical area;
 - c. Coordinate the schedules for trips of several employees so that they can use one automobile rather than several; and
 - d. Hold meetings at reasonably central locations to minimize travel costs.

B. Special Considerations for Permanent Change of Station Moves

Advance planning of an employee's relocation to a new official station is especially important because of the potential costs of such a move. In planning the costs of a permanent change of station, careful consideration must be given to such factors as:

1. Whether the employee will be on temporary duty assignment at the new official station and thus have the opportunity to find new living quarters without the need for separate house hunting trips; and
2. Whether a need for temporary quarters at the new station can be avoided by an advance house hunting trip. Consider the relative costs of the two alternatives.

1-20-20 CONFERENCE PLANNING INVOLVING EMPLOYEE TEMPORARY DUTY TRAVEL

HHS officials and staff who are responsible for planning and arranging for **conferences involving the temporary duty travel of Federal employees** will follow Federal Travel Regulation requirements to ensure that costs are minimized and use of Government-owned or Government provided conference facilities is maximized. They will identify opportunities to reduce costs in selecting the conference location and facility and they will consider a minimum of three sites. For each conference sponsored or funded for **30 or more attendees where the majority of**

attendees (more than 50 percent) are Federal employees in temporary duty travel status, they will maintain written documentation of the cost of each alternative conference site and the selection rationale. This documentation must be available for inspection by the Office of Inspector General or other interested parties for six years.

When HHS sponsors or funds, in whole or in part, a conference held at a place of public accommodation in the United States, a FEMA-approved accommodation must be used in accordance with 15 U.S.C. 2225a, unless the head of the HHS Operating or Staff Division (or his/her designated senior official) makes a written determination to waive this requirement because it is necessary in the public interest for the particular event. This requirement is cited in the FTR, but it applies to all conferences whether or not employee travel is involved. See paragraph B. below.

Conference Lodging Allowance - If necessary, Federal employees who travel to attend a conference may be authorized a conference lodging allowance of up to a 25 percent increase (rounded to the next highest dollar) in the lodging portion of the applicable per diem allowance. The M&IE portion of the per diem allowance is the same as under the lodging plus per diem method. The conference lodging allowance applies to conferences held in all locations: continental U.S., non-foreign, and foreign areas. For **Government sponsored conferences**, a senior official at the sponsoring agency will determine the appropriate conference lodging allowance, that will be allowable for all federal employees authorized to attend the conference. For **non-Government sponsored conferences**, the travel authorizing official of the federal employee may authorize the conference lodging allowance rate. Under this reimbursement method, employees will be reimbursed the actual amount incurred for lodging up to the conference lodging allowance.

Federal Travel Regulation Guidelines:

- Federal Travel Amendment 89 amends FTR Part 301-74 Conference Planning

Effective Date: January 14, 2000

A. Internal Controls Over Planning for Conferences Involving Employee Travel

Heads of Operating and Staff Divisions are responsible for establishing appropriate management controls over the conference planning process to ensure compliance with Federal Travel Regulation requirements and the supplemental HHS guidance contained in this chapter.

B. Granting Waivers of Requirement to Use FEMA-approved Accommodations for Conferences

The Federal Emergency Management Agency (FEMA) publishes a list of hotels/motels that meet

fire and life requirements of the Hotel and Motel Fire Safety Act of 1990. Federally funded meetings and conferences cannot be held in properties that do not comply with this law, unless a written waiver is granted for a particular event based upon a public interest need.

1. Heads of Operating (OPDIV) and Staff (STAFFDIV) Divisions or their designees are responsible for making a written determination on an individual case basis that waiver of the requirement to use FEMA-approved accommodations for a particular conference or meeting is necessary in the public interest.
2. Each HHS Operating or Staff Division who provides federal funds through contracts or grants to non-Federal entities is responsible for notifying awardees of this prohibition.

Within OPDIVs and STAFFDIVs, authority to issue waivers of this requirement may be delegated in writing to a senior official or employee who is given waiver authority with respect to all conferences sponsored or funded, in whole or in part, by the organization.

C. Selection of Sites Within Participants Duty Area

The general rule to be followed is that, if the majority of the meeting participants are from the same metropolitan area, the meeting location should be within the metropolitan area in order to minimize the cost of per diem and transportation. Meetings may be held outside the metropolitan area under the following circumstances:

1. When differences in travel and time and costs are not significant.
2. When another location provides needed facilities or equipment not readily available (or available only at a high cost) in the immediate area.
3. When it can be established that isolation of the participants from the immediate area is necessary for the accomplishment of the meeting's purposes.
4. When the purpose of the meeting is specifically centered around a specific geographical locale, such as a site visit to inspect a grantee or a given physical facility.

D. Selection of Sites Outside Participants Duty Area

If the attendees are from scattered locations, a site should be chosen which is reasonably central to the majority of participants in order to equalize travel time. Meetings controlled by Regional and other field offices should always be held within Regional and field office boundaries. There

are two exceptions to these rules:

1. Meetings to be attended by the Secretary or the Deputy Secretary may be held in Washington, even if this is not a central location for the majority of attendees.
2. Where an exception has been granted by a designated senior official within the Operating or Staff Division.

When meeting participants are from scattered locations, consideration should be given to timing the HHS meeting to coordinate with already scheduled professional meetings, seminars, or workshops at which the HHS meeting participants will be in attendance.

E. Special Restriction on Conferences to be Held in District of Columbia

Under 40 U.S.C. 34, Federal agencies may not directly procure lodging facilities in the District of Columbia (D.C.) without specific authorization and appropriation from Congress. (Note: this provision does not prohibit payment of per diem to an employee in travel status who is lodging in D.C.)

Under 41 CFR 101-17.101-4, HHS components must coordinate with the servicing GSA National Capital Region Office in order to obtain short-term conference meeting space in D.C. This is to ensure that available Federal conference space is considered in the selection process. For assistance in procuring conference space in D.C., contact your OPDIV Acquisition officer.

F. Meetings of Advisory Councils and Committees

Meetings of advisory councils and committees that involve attendee travel are generally subject to the Federal Travel Regulation requirements for conference planning. Supplemental guidance can also be found in the HHS General Administration Manual, Chapter 9 on Federal Advisory Committees, Section 9-00-90, Conduct of Committee Business. In the HHS Transmittal 98/01 (issued 9/30/98), Paragraph B.1., Committee Meetings, Selection of Meeting Site Locations states: "Meetings must be held at reasonable times and at places that are reasonably accessible to members of the public, including accommodations for physically challenged individuals, if requested. Whenever feasible, Government facilities must be used and meetings held in places involving the least expense to the Department." Hard copies of the HHS General Administration Manual may be obtained from the Office of Marketing, Program Support Center.

G. Appropriateness in Terms of Public Perception

It is not Department policy to automatically rule out any particular location as a meeting site. However, it is the responsibility of all who approve meeting sites and attendance at meetings to

avoid, both in fact and in appearance, an impression that Federal funds are being used to finance holidays or junkets for employees. Accordingly, meeting sponsors shall not hold meetings at resort areas to which the general public is attracted because of recreational facilities, unless that area is the location best suited for the purpose of the meeting in terms of program needs and cost factors.

H. Light Refreshments at an Official Conference for Federal Employees In Temporary Duty Travel Status - Authorized under the Federal Travel Regulation

The Federal Travel Regulation (FTR) covers travel-related expenses of Federal employees in temporary duty travel status, who travel to attend conferences. The FTR authorization to use appropriated funds for light refreshments does **not** apply to Federal employees attending conferences at their duty station/local travel area nor to non-Federal attendees.

Definitions:

- Light refreshments are defined in the Federal Travel Regulation to include, but not be limited to: coffee, tea, milk, juice, soft drinks, donuts, bagels, fruit, pretzels, cookies, chips, or muffins. Light refreshments are not meals.
- For a definition of “employee” under the Federal Travel Regulation (FTR), please see FTR 301-1.2. It includes: agency employees, experts and consultants intermittently employed by the Government and paid on a daily when-actually-employed basis (these are not contractors), and invitational travelers (individuals serving at no pay or for \$1 a year on behalf of the Government).

Effective January 1, 2001, it is HHS policy that the Federal Travel Regulation authority to use appropriated funds to pay for light refreshments **for Federal employees may only be used at official conferences when all four conditions are met:**

- The conference is being held for an official HHS mission requirement for which employee temporary duty travel has been authorized through the issuance of travel orders;
- **The majority of attendees (at least 51%) are Federal employees who are in temporary duty travel status** (under the FTR definition of employee stated above).
- The conference duration is at least four hours; AND
- Appropriate procurement processes have been followed to order and fund these light refreshments in advance of the conference.

NOTE:

- When light refreshments are furnished to Federal employees in travel status, there should be no reduction in the traveler's per diem Meals and Incidental Expenses allowance.
- If the official conference meets **all four mandatory criteria** listed above and light refreshments are provided, **all Federal attendees** (including Federal attendees in their local travel area) may partake at no personal cost.
- **There is no legal authority under the FTR** to use appropriated funds to pay for light refreshments for **non-Federal attendees**, even when the four mandatory criteria listed above are met.
- Heads of Operating Divisions or their designees may require a higher percentage of attendees to be Federal employees in temporary duty travel status (more than 51%) or they may determine that light refreshments will not be authorized under this authority. However, there is no legal authority under the FTR for any HHS organization to waive or lower the requirement that a majority of the attendees must be Federal employees in temporary duty travel status.

The provision of light refreshments is not a travel cost. It is a conference administrative cost (similar to reserving a conference room and equipment) and needs to be authorized through standard procurement processes. As a result, it is HHS policy that an employee may not order or pay for a conference's light refreshments using the HHS travel charge card (which should only be used for the employee's individual travel expenses related to official travel). Also, an employee may not submit a travel claim to be reimbursed for personal expenditures to pay for providing a conference's light refreshments. For budget/accounting purposes, light refreshments served at a conference under this FTR authority should be charged to sub-object class 25.2X.

Note: This section of the HHS Travel Manual does not address when other legal authorities, such as the Government Employees' Training Act (5 U.S. Code, Sections 4109 and 4110) and the Government Employees' Incentive Awards Act (5 U.S. Code, Sections 4501-4506), authorize the provision of food at conferences, meetings, etc., regardless of the travel status of the employee. HHS offices who are hosting official conferences (involving or not involving employee travel) should consult with their OPDIV Acquisition Officers for advice and assistance in procuring conference space, equipment, and/or food, as needed and appropriate, and when and how to charge registration fees for the cost of these items. Guidelines for procuring and paying for these items are outside the scope of the Federal Travel Regulation and the HHS Travel Manual. Similarly, HHS OPDIVs may wish to check with the HHS Office of General Counsel for guidance on any appropriation law questions they may have regarding the use of appropriated funds for the purchase of food to serve to federal employees at meetings, conferences, etc.

Subject: PRE-EMPLOYMENT INTERVIEW - REIMBURSEMENT OF TRAVEL EXPENSES

1-30-00 Purpose
10 General
20 Application
30 Authorities and References

1-30-00 PURPOSE

The purpose of this chapter is to state the Department's policy on reimbursement of travel expenses to persons traveling to the Department or its operating components for preemployment interviews. Generally, such payments are limited to applicants for certain high-level positions and are subject to administrative determinations in the Department and findings by the Office of Personnel Management that the interviews are necessary in appraising the applicants' qualifications for the positions. The conditions and circumstances under which travel expenses for preemployment interviews may be reimbursed are stated in detail in HHS Personnel Manual Instructions.

1-30-10 GENERAL

- A. Although the Department may not, under most circumstances, reimburse job applicants for travel expenses incurred in connection with preemployment interviews, the Comptroller General, in a series of decisions, has allowed certain exceptions. Travel expenses may be reimbursed under the following conditions:
1. The Office of Personnel Management determines that a position in the competitive service is of such high grade level or is so unique that interviews are necessary to enable the hiring agency to determine the applicants' qualifications.
 2. The duties of recruitment and selection for a position in the excepted (noncompetitive) service are imposed on the employing agency and the agency determines that preemployment interviews are essential to ascertaining the applicants' qualifications.

- B. In the competitive service, payments of travel expenses will be limited to applicants for unique positions or for high-level positions at grade GS-14 and above that are defined as technical, professional, or administrative. Unique positions are defined as those with unusual combinations of duties, responsibilities, and qualifications. Travel expenses may be paid for no more than the three best qualified candidates for a position who are recruited through Office of Personnel Management registers, a direct hire authority, or a supergrade outside search.
- C. If a high-level position is filled noncompetitively, travel expenses may be paid for a reasonable number of top-ranking applicants.
- D. The authority to reimburse travel expenses for preemployment interviews is not to be used for entry-level positions, except in rare cases; for example, research scientists with doctors' degrees. Although there is no prohibition against paying travel expenses to applicants already in the Federal Service, the authority is intended primarily for those outside the service.
- E. For positions at grade GS-13 and below, agencies may pay travel expenses for preemployment interviews only with prior approval of the Office of Personnel Management obtained on a case-by-case basis.

1-30-20 APPLICATION

Reimbursements of travel expenses for preemployment interviews must be approved in advance by an official holding appointing authority under departmental regulations. The approval must be recorded on the travel order, Form HHS-1, by typing in block 10 a sentence to the effect that a personal interview is necessary in evaluating the traveler's qualifications for employment. Space for signatures should be provided.

Travel expenses authorized for preemployment interviews are the same as those authorized for regular travel on official business, except that subsistence expenses are limited to actual cost, not to exceed the current maximum per diem rates.

An advance of funds is not authorized for preemployment interviews.

Claims for reimbursement of preemployment travel expenses are processed on Standard Form 1012, Travel Voucher, in the same manner as other claims for travel expenses and allowances.

1-30-30 AUTHORITIES AND REFERENCES

- A. Pertinent Comptroller General's decisions include B106116, 6 January 1975; 54 Comp. Gen. 554; 48 Comp. Gen. 110; 41 Comp. Gen. 482; 40 Comp. Gen. 221; 38 Comp. Gen. 483; and 31 Comp. Gen. 480.
- B. HHS Personnel Manual Instruction 571-2, Travel for Preemployment Interview.
- C. The Federal Personnel Manual, Chapter 571.

Subject: ATTENDANCE AT NON-GOVERNMENT SPONSORED MEETINGS

- 1-40-00 Purpose
- 10 Scope
- 20 Definitions
- 30 Policy on Attendance at Meetings
- 40 Authorizing Attendance at Domestic Meetings

1-40-00 PURPOSE

This chapter prescribes the procedures for authorizing attendance at domestic nongovernmental meetings, and unofficial international meetings held in the United States not involving travel.

1-40-10 SCOPE

This chapter applies to all civilian employees and other persons representing the Department. It applies only to meetings held in the United States.

1-40-20 DEFINITIONS

- A. **Attendance**. As used in this chapter, attendance means being present during all or any part of a meeting.
- B. **Meeting**. As used in this chapter, meeting refers to a formal gathering sponsored by a domestic nongovernmental organization and held in the United States or in areas under U.S. jurisdiction. It also includes meetings sponsored by nongovernmental international organizations NOT requiring official U.S. representation; NOT officially recognized by the Department of State; and involving no travel on the part of departmental participants.
- C. **Nongovernment Organization**. As used in this chapter, nongovernmental organization refers to one which is not a Federal, State, local, foreign government, or intergovernmental agency. The nongovernmental character of an organization is not altered by the fact that it is composed partially or exclusively of members who are also Government employees.

1-40-30 POLICY ON ATTENDANCE AT MEETINGS

- A. Department policy on attendance at nongovernmental sponsored meetings and procedures for planning attendance at meetings is set forth in the General Administration Manual.
- B. In accordance with Department policy, the authorizing official should consider the following criteria in determining whether or not attendance at meetings is appropriate:
1. Attendance is for official purposes and is consistent with the policies and best interests of the Department.
 2. Attendance is concerned with an authorized Department program or with an activity in which the Department has an interest, and it would be advantageous to the Government to have one or more Department representatives in attendance.
 3. The number of representatives does not exceed the minimum necessary to serve the Department's interest.
 4. Selection does not arbitrarily favor one sponsoring organization over another.
 5. Expenses for attendance are fully justified and fully covered by any established monetary limitations.

1-40-40 AUTHORIZING ATTENDANCE AT DOMESTIC MEETINGS

A. General Requirements.

1. Form HHS-99, Authorization to Attend Nongovernment Sponsored Meeting, is provided to record authorizations to attend domestic meetings in nongovernmental organizations. Form HHS-99 shall be used for (a) individual meetings when the attendance of one or more persons is involved, and (b) when several different meetings are to be attended during a given period by the same individual or group of individuals provided the attendees will not be in travel status.
2. Authorization to attend a meeting should be requested on the Form HHS-99 at least fifteen days prior to the meeting. When travel is involved, a Travel Order (Form

HHS-1) normally will be used in lieu of HHS-99. When the HHS-1 is used without use of a HHS-99, it must bear approval of an official delegated authority to approve such meeting attendance and also be signed by an official delegated authority to authorize the travel involved.

The travel authorizing official after signing the HHS-1 will be responsible for insuring that appropriate records of attendance are maintained. Officials who authorize attendance at meetings shall be responsible for assuring that adequate records are kept of attendance at such meetings. Generally, the file copy of Form HHS-99 or HHS-1 will serve this purpose. In any case, such records shall be adequate to provide, upon request, for any specified period:

- a. Number of meetings attended;
 - b. Names of the sponsoring organizations; and
 - c. Total representatives with subtotals to show (1) those attending at HHS expense, and (2) those attending at no expense to HHS (except the representatives' time).
3. When a travel order is not necessary, the representative should retain the approved HHS-99 as proof that he has been authorized to be absent from his regular post of duty for the purpose of attending a meeting. In instances where nontravel status expenses are incurred, the HHS-99 must support the claim for reimbursement.
 4. If attendance at a meeting is combined with other official duties requiring the employee to be in travel status, the expenses shown on the HHS-1 should identify by object class those which are directly attributable to attendance at the meeting and would not otherwise have been incurred. For example, an employee is authorized to perform travel to make a speech at meeting, to stay over two days to be present at the meeting, and after the meeting to perform official duties at a department office in the same city. The estimated cost on the HHS-1 would charge to attendance at meetings the per diem for the two days he stayed

over to be present at the meeting and registration fee, if any. The day during which the employee makes the speech and travel expenses incident to the trip are not chargeable to attendance at meetings for reporting purposes. If attendance at a meeting is for the primary purpose of discharging the official duty of explaining and interpreting, or acquainting the public with the Department program or activity, and the employee is not authorized to stay over to be present at the meeting, travel, costs, per diem and registration or similar fees are not chargeable to attendance at meetings for reporting purposes.

B. Form HHS-99

1. One original and one copy (and an additional white copy for each representative to be listed under item 6 of the form) should be prepared and forwarded through regular administrative channels. The form should contain an estimate of all expenses, including registration or similar fees, to be paid by HHS in connection with attendance of the representatives listed under item 6.
2. When no travel is involved, but there are other expenses that would ordinarily be authorized on the travel order, such as a registration fee, an extra white copy should be prepared and marked for the accounting unit to serve as an obligation document. The cost should be identified by object class.
3. Care should be taken by the person preparing the form to assure that it contains sufficient information to permit the authorizing official to make an appropriate determination of compliance with the requirements of section 1-40-30.
4. Each reviewing or recommending officer will evaluate the request and, upon concurrence, initial one copy and forward it together with all white copies:

NOTE: When appropriate, any reviewing official may consolidate all HHS-99s which pertain to the same meeting and forward a consolidated HHS-99 in lieu of the individual requests.

The last reviewing official will forward only the initialed copy and the top white copy to the appropriate official authorized to approve attendance at meetings.

5. If authorization is appropriate, the authorizing official will (a) initial the white copy bearing the last reviewing official's initials, and (b) sign and date the other white copy and return it to the last reviewing official. The latter will complete the "held" copies and return them through administrative channels to the requesting office. The reviewing official will retain the original white signed copy.

If authorization is not appropriate, the authorizing official should return the white copy (bearing the last reviewing official's initials) through the last reviewing official to the requesting office after noting, if practicable, the reason for denial of authorization.

INSTRUCTIONS FOR COMPLETING FORM HHS-99

This exhibit provides detailed instructions for preparing Form HHS-99, Authorization to Attend Nongovernment Sponsored Meeting, on an individual or monthly basis as set forth below. When more than one page is prepared, each page shall be carefully numbered. General requirements and routing are provided in Chapter 1-40.

Any erasures or alterations made on the form shall be initialed by either the "recommending" or the "authorizing" official, as appropriate.

1. Show inclusive dates of meeting(s).
2. Show the operating agency, bureau, and division (and region if applicable) to which the employee(s) is regularly assigned.
3. Show the name and title of the recommending official. The recommending official signs the form in this space indicating approval. A request affecting the staff of a regional office shall carry the signature of the Regional Director in this block.
4. To be completed by the initiating office using the current date.
5. Show complete name of the organization. Abbreviations may be used only if there is no mistake as to the name of the organization, e.g., "Am. Med. Assn.". Do not use initials only. Also indicate city and state and inclusive dates of the meeting or of each meeting.
6. Show the full name and position title of the employee(s) and provide a clear, concise statement of justification indicating specifically the extent and nature of the meeting participation. Do not show merely "to attend" or "to participate". A separate sheet may be attached if needed.
7. Show estimated cost for registration fee, taxi cab fare, and other expenses. If no expense to HHS is involved, write "none".
8. a. Appropriation: Show the appropriation symbol to which costs are to be charged.

- b. Common Accounting Number: Show the common accounting number to which costs are to be charged.
- c. PPBS Code: Leave blank. Reserve for future use.
- d. Object Classification: Show the breakdown of estimated cost by object classification code.

Upon completion, the form will be routed to the authorizing official designated in Chapter 1-40 for signature and dating, if appropriate.

Subject: TRAVEL OF PATIENTS, ESCORTS, AND ATTENDANTS

1-50-00 Purpose
 10 General
 20 Authorization of Attendant Travel to Accompany Handicapped Employees

1-50-00 PURPOSE

To provide information and instructions concerning the travel of patients, escorts and/or attendants.

1-50-10 GENERAL

Instructions concerning the travel of patients, escorts and/or attendants who are eligible to travel under the Public Health Service Act, as amended, will be issued as supplements to this manual by the appropriate PHS agency/activity concerned. The legal authorities for such travel is based on 42 USC 248.

The Comptroller General of the United States has ruled in two decisions dated May 26, 1977 (B-187492 and B-186598) that the payment of travel expenses of an attendant to accompany a handicapped employee or consultant may be authorized subject to the limitation contained in the following paragraph.

1-50-20 AUTHORIZATION OF ATTENDANT TRAVEL TO ACCOMPANY HANDICAPPED EMPLOYEES

- A. Payment of necessary travel expenses may be authorized for an attendant when the authorizing official has determined that the handicapped employee/consultant (1) is incapable of traveling unaccompanied, and (2) should perform official travel.
- B. The recommending official will document each request for an attendant and the documentation will be attached to the obligating copy of the travel order.

Subject: TRAVEL OF CONSULTANTS

1-60-00	Purpose
10	Definitions
20	General
30	Authorizations to Travel
40	Per Diem Allowances
50	Reimbursement of Subsistence Expenses
60	Preparation and Routing of Documents
70	Information for Consultants

1-60-00 PURPOSE

This chapter provides instructions and information concerning the travel of consultants and others serving the Department in an advisory capacity under the authority of law and the provisions of HHS personnel directives. It applies to consultants serving either in individual capacities or as members of advisory groups, except advisory groups that are legislatively authorized to receive only reimbursement of actual and necessary travel expenses.

1-60-10 DEFINITIONS

HHS personnel directives are the authoritative source of definitions of consultants. For the purposes of this manual, the categories of consultants are defined below. The "service year" mentioned in these definitions begins with the date of appointment.

- A. Intermittent Consultant. A consultant who is employed occasionally or irregularly for not more than 130 days in a service year. If an intermittent consultant serves for all or any part of a day beyond the 130-day service year, the appointment ceases to be intermittent and becomes temporary. Intermittent consultants are designated either "WAE" (when actually employed) or "WOC" (without compensation, or at one dollar per year).
- B. Temporary Consultant. A consultant employed on a regular fulltime basis for one year or less, but for more than 130 days in a service year.

- C. Contract Consultant. A consultant whose services are procured by formal contract.
- D. Private Citizen. A person not appointed as a consultant who is requested by Department officials to confer on Government business.

1-60-20 GENERAL

Travel allowances, except per diem, are essentially the same for consultants as for civilian employees of the Department and are paid in accordance with the Federal Travel Regulations (Appendix A) and the provisions of this manual.

- A. Intermittent consultants and private citizens may be allowed travel expenses, including a per diem allowance in lieu of subsistence, while serving the Department away from their homes or places of regular nongovernment employment. The status of a consultant who provides services at a Government office or station for a period of more than thirty days will be reviewed by the official who authorized the travel to determine whether a change of status might result in greater economy to the Department without impairing the consultant's ability to serve.
- B. Temporary consultants may be allowed travel expenses and per diem allowances only while traveling on official business away from their designated posts of duty.
- C. Contract consultants must bear all expenses, as provided by the terms of their contracts. Reimbursement of travel expenses is not allowed unless specifically authorized in the contracts.

1-60-30 AUTHORIZATIONS TO TRAVEL

HHS consultants may be authorized to travel at the Department's expense through the issue of travel orders, Form HHS-1. Private citizens may be authorized to travel at HHS expense by means of invitational travel orders. Consultants may be given advances of funds for travel expenses.

- A. Consultants. The operating component, agency, or unit of the Department for which the consultant is to travel on official business initiates and prepares a Travel Order,

Form HHS-1, and obtains the signatures of the recommending and authorizing officials. The agency then forwards the approved travel order to the consultant.

The travel order will show the consultant's name and consulting category. For an intermittent consultant, the traveler's home city or town will be shown; for a temporary consultant, the official station to be shown will be the city in which the official duty is to be performed.

- B. Private Citizens. HHS program directors occasionally solicit participation in conferences, meetings, and consultations by persons who are not ordinarily involved in the Department's activities. The participation of such persons is secured by invitational travel orders only. A letter that describes the purpose, place, and time of the activity; the travel arrangements to be made by the participant and the provisions for reimbursement of travel expenses; and a request for the participant's written acceptance may be included with the travel order. The following policies and procedures apply to invitational travel.
1. Requests for issues of invitational travel orders must be addressed to the directors to whose activities the invitations apply and must be approved by them. The travel orders and letters of invitation must be signed by officials who have the authority to approve travel orders.
 2. Invited travelers should be assisted in making their travel arrangements through a Travel Management Center.
 3. Invited travelers will be reimbursed for travel expenses in the same manner and at the same rates as regular consultants. Travel orders will state the types of expenses to be reimbursed and the limits of reimbursement.
 4. Invited travelers may submit their claims for reimbursement of travel expenses upon completion of their activities and before departing for their points of origin. The finance staffs of the inviting agencies will provide assistance in preparing travel vouchers and will review all claims to make certain that items not directly connected with the purposes of the invitations have been excluded.

- C. Travel Advances. A consultant may be granted an advance of funds for travel expenses expected to be incurred under HHS auspices. The amount of the advance is limited to 80% of the per diem allowance rate multiplied by the estimated number of days the consultant is expected to be in travel status, plus the estimated costs of other reimbursable items. In no case may a travel advance be issued for more than thirty days.

1-60-40 PER DIEM ALLOWANCES

Unless higher rates are provided in specific appropriations or other acts, consultants and private citizens traveling on HHS official business will be authorized per diem allowances in lieu of subsistence on the lodging-plus basis at rates no higher than the maximum rates specified for general travel.

- A. Intermittent consultants serving on a WAE basis, temporary consultants, and contract consultants whose contracts permit may be granted per diem allowances in lieu of subsistence for travel performed, subject to the limitations for travel of twenty-four hours or less.
- B. Intermittent consultants serving on a WOC basis and private citizens may be granted per diem allowances in lieu of subsistence for periods of travel away from their homes or regular places of business.

1-60-50 REIMBURSEMENT OF SUBSISTENCE EXPENSES

Consultants may be reimbursed for actual and necessary subsistence expenses for specific trip assignments, subject to established policies and procedures.

1-60-60 PREPARATION AND ROUTING OF DOCUMENTS

The documents required to approve or authorize travel of consultants are the same as those required for civilian employees. In addition:

- A. Travel orders for periods of more than one month may not be issued to consultants.
- B. Each Travel Order submitted for approval or authority must be accompanied by a copy of the consulting agreement or

other documentary evidence stating the conditions of employment and travel.

- C. Each Travel Order issued for an intermittent consultant must bear a statement of the cumulative number of days worked by the consultant through the end of the previous month.

1-60-70 INFORMATION FOR CONSULTANTS

HHS operating components that employ consultants should provide them information and guidance on Government travel regulations and assistance in obtaining reimbursement of travel expenses such as that given in the Consultant's Travel Handbook, Form HHS-567.

HHS Exhibit 1-60-A
 Travel Manual
 HHS Transmittal 88.01 - May 31, 1988

INVITATIONAL TRAVEL ORDER

DEPARTMENT OF HEALTH AND HUMAN SERVICES		1. TRAVEL ORDER NO 80624															
TRAVEL ORDER		2. APPROPRIATION NO 1-1993740 7512100															
		3. ESTIMATED COST*															
<input checked="" type="checkbox"/> Original <input type="checkbox"/> Amendment No. _____ <input type="checkbox"/> Cancellation (See HEW Travel Manual, Part 4, for Detailed Instructions)		<table border="1"> <tr> <td></td> <td>TO DHEW</td> <td>TO OTHERS</td> </tr> <tr> <td>TRAVEL</td> <td>\$ <u>285.00</u></td> <td>\$ _____</td> </tr> <tr> <td>PER DIEM</td> <td><u>150.00</u></td> <td>_____</td> </tr> <tr> <td>OTHER</td> <td><u>35.00</u></td> <td>_____</td> </tr> <tr> <td>TOTAL</td> <td>\$ <u>470.00</u></td> <td>\$ _____</td> </tr> </table>		TO DHEW	TO OTHERS	TRAVEL	\$ <u>285.00</u>	\$ _____	PER DIEM	<u>150.00</u>	_____	OTHER	<u>35.00</u>	_____	TOTAL	\$ <u>470.00</u>	\$ _____
	TO DHEW	TO OTHERS															
TRAVEL	\$ <u>285.00</u>	\$ _____															
PER DIEM	<u>150.00</u>	_____															
OTHER	<u>35.00</u>	_____															
TOTAL	\$ <u>470.00</u>	\$ _____															
4. NAME AND POSITION OR RANK Brian C. Boldon & Veronica Boldon	5. SSAN 123-45-6789	6. APPROX. DATE OF DEPARTURE June 10, 198X															
6. CONSTITUENT/BUREAU/DIVISION/REGION Private Citizens		9. APPROX. DATE OF RETURN June 13, 198X															
7. PRESENT OFFICIAL STATION N/A																	
10. ITINERARY AND PURPOSE OF TRAVEL (Show city, state or country, dates and reasons-use continuation sheet if necessary.)																	

From: Washington, D.C. to Pulaski, VA and return to Washington, D.C.

Purpose: To represent DHHS at the White House Conference on Children and Youth.

11. SPECIAL AUTH ZTN	TRAVEL BY PRIVATELY OWNED AUTO IS AUTHORIZED ON MILEAGE BASIS RATE SPECIFIED BELOW FOR:		TRANSPORTATION OF <input type="checkbox"/> DEPENDENTS <input type="checkbox"/> H/H GOODS & PERS EFFECTS														
	<input type="checkbox"/> EMPLOYEE AND/OR <input type="checkbox"/> DEPENDENTS _____¢ PER MILE AS MORE ADVANTAGEOUS TO GOVT _____¢ PER MILE NOT TO EXCEED COMMON CARRIER COSTS _____¢ PER MILE NOT TO EXCEED COSTS BY GOVT-OWNED AUTO		<input type="checkbox"/> TEMPORARY QTRS. <input type="checkbox"/> RESIDENCE TRANSACTIONS <input type="checkbox"/> TEMPORARY STORAGE <input type="checkbox"/> HOUSE HUNTING TRIP <input type="checkbox"/> MISC. EXP. ALLOWANCE <input type="checkbox"/> OTHER (Specify)														
<input type="checkbox"/> GSA AUTO <input type="checkbox"/> AUTO RENTAL UNDER GSA CONTR <input type="checkbox"/> OTHER (Specify below) <input type="checkbox"/> EXCESS BAGGAGE <input type="checkbox"/> REGISTRATION FEE		11a. CHANGE OF STATION		HEW 355: <input type="checkbox"/> SIGNED <input type="checkbox"/> NOT REQUIRED													
12. TRAVEL & PER DIEM IS AUTHORIZED IN ACCORDANCE WITH DHEW POLICY AND		12. FOREIGN TRAVEL		TO BE PERFORMED FOR (DHEW, US, etc.)													
<input type="checkbox"/> SGTR'S <input type="checkbox"/> JTR'S <input type="checkbox"/> FSR'S <input type="checkbox"/> OTHER (Specify) PER DIEM: <input type="checkbox"/> NONE <input type="checkbox"/> IN U.S. <input type="checkbox"/> OUTSIDE U.S. <input type="checkbox"/> VARYING RATES PER ABOVE REGS. RATE \$ <u>50.00</u> <input checked="" type="checkbox"/> LODGINGS PLUS <input type="checkbox"/> ACTUAL EXPENSE <input type="checkbox"/> FIXED		EXPENSES TO BE PAID BY		SECURITY APPROVAL GRANTED FOR TRAVEL OF													
14. ACCOUNTING DATA (See HEW Acc'y Manual & Acc'y Code Book)		RESPONSIBLE FOR SECURITY CLEARANCE OF TRAVELER ASSUMED BY:		<input type="checkbox"/> 90 DAYS OR LESS <input type="checkbox"/> OVER 90 DAYS DATE _____													
1	2-7	8-10	11-12	13-15	16-25	26-28	29-38	39-40	41-47	48-51	52-63	64	65-79	95-100	101-108	109	
RECORD TYPE	EFF. DATE	TRANSACTION CODE	REVERSE CODE MODIFIER	DOC. REF. CODE	DOCUMENT NO.	DOC. REF. CODE	DOCUMENT NO.	GEO. CODE	ACCOUNTING NO.	OBJ. CLASS CODE	AMOUNT DOLLARS & CENTS	FED/NON FED	VENDOR/CUSTOMER CODE (PRIMARY RECIPIENT)	PAYMENT COLLECTION DOC.	101-106 CATE-GORY	107-108 ACTV. ITEM	CASE #
				130					1993740		\$470.00	1					2
2																	
2																	
2																	
2																	

15. NAME AND TITLE OF OFFICER RECOMMENDING ABOVE TRAVEL
I. M. Akid, Director, Office of Child Enforcement
 AUTHORITY IS HEREBY GRANTED TO PERFORM TRAVEL AND TO INCUR SUCH EXPENSES AS MAY BE NECESSARY UNDER THE CONDITIONS SET FORTH ABOVE.
 AUTHORIZED BY /s/ U. R. Brown TITLE: Deputy Assistant Secretary for Children
 DATE: May 2, 198X

* To be completed by Office Initiating Travel Order; Other Accounting Data to be Completed by Fiscal/Accounting Office.
 HHS-1 (REV. 7/80)

TRAVELER

Subject: ACCEPTANCE OF PAYMENT FROM NON-FEDERAL SOURCES TO COVER TRAVEL EXPENSES

1-70-00	Purpose
10	Definitions
20	Legislative Authority
30	Departmental Policy
40	Authorization Procedure
50	Reports
60	Payment of Travel Expenses by Foreign Governments and International Organizations

1-70-00 PURPOSE

This chapter defines the Departmental policy with respect to acceptance of cash or services in kind from non-Federal sources, the purpose of which is to defray in whole or in part the travel or related expenses of all employees of the Department.

1-70-10 DEFINITIONS

- A. Non-Federal Source means any person or entity other than the Government of the United States. This term includes any individual, private or commercial entity, nonprofit organization or association, state, local, or foreign government, or international or multinational organization.
- B. Payment means funds paid for travel, subsistence, and related expenses by check or similar instrument to an agency, or payment in kind.
- C. Payment In Kind means goods or services provided in lieu of funds paid to an agency by check or similar instrument for travel, subsistence, and related travel expenses.
- D. Employee means an appointed officer or employee of an agency, including any expert or consultant in the executive branch (as defined in 31 U.S.C. 1353) appointed under the authority of 5 U.S.C. 3109.
- E. Meeting or Similar Function means a conference, seminar, speaking engagement, training course, or similar event that takes place away from the employee's official station. This term does not include events to carry out an agency's statutory and regulatory functions, such as investigations,

inspections, audits, site visits, or performing advisory services, and does not include promotional vendor training or other meetings held for the primary purpose of marketing the non-Federal source's products or services.

- F. Advisory Services have certain characteristics which distinguish them from the general concept of a meeting. These are assignments which may be longer in duration; convey a sense of urgency or immediacy about their purpose; involve providing advice and technical assistance or conducting technical or scientific training or research; and most typically for HHS, are sponsored by international organizations such as the United Nations, the World Health Organization (WHO), Pan American Organization (PAO), Food and Agriculture Organization (FAO), and/or foreign governments, particularly third world countries.
- G. Travel, Subsistence, and Related Expenses means transportation, meals, lodging, and other items related to travel, or to tickets or paid bills for such travel and related expenses. The term also includes expenses such as conference or training fees as well as other benefits which can not be paid under the applicable travel regulation and which are provided in kind and made available by the sponsor to all attendees incident to and for use at the meeting or similar function.
- H. Conflicting Non-Federal Source means any person who, or entity other than the Government of the United States which has interests that may be substantially affected by performance or nonperformance of the employee's official duties.

1-70-20 LEGISLATIVE AUTHORITIES

The authority to accept payment for travel, subsistence, and related travel expenses is derived from the following legislative authorities:

31 U.S.C. 1353 - This section provides authority for HHS to accept payment (or authorize an employee to accept such payment on its behalf) from a non-Federal source for travel, subsistence, and related travel expenses in connection with attendance at meetings and similar functions relating to the official duties of the employee. It also provides for acceptance of travel payments for an accompanying spouse in some circumstances; and allows for acceptance of payments in excess of maximum per diem rates and higher modes of transportation than that allowed by applicable travel regulations. It further authorizes the acceptance of

payment from a conflicting non-Federal source when the benefit received outweighs the conflict of interest concern. This authority prohibits employees and/or their accompanying spouse from accepting payments in cash/check or similar instrument made payable to either traveler from the non-Federal source. Implementing regulations issued by the General Services Administration in consultation with the Office of Government Ethics are codified at 41 C.F.R., Part 304-1.

42 U.S.C. 3506 - This section is the gift acceptance authority which HHS has had for a number of years. Prior to the more recent authority under 31 U.S.C. 1353, HHS employees could be permitted to accept payment, in cash or in kind, for travel expenses for attendance at meetings or in performing advisory services concerned with the functions or activities of this Department from non-Federal agencies, organizations and individuals to be retained by them to cover the cost thereof or deposited to the appropriation from which the cost is paid. The Office of General Counsel (OGC) concludes that the authorities for acceptance of travel expenses from non-Federal sources for attendance at meetings and similar functions are subject to the provisions of 5 U.S.C. Section 1353. Only when employees are performing advisory services does the acceptance authority continue under this section.

When travel is authorized under this authority (42 U.S.C. 3506), employees are NOT permitted to accept expenses, through the appropriation that are in excess of those permitted by the Federal Travel Regulations. Additionally, public perception must be taken into consideration as acceptance from a conflicting non-Federal source is not permitted. Obviously, employees may never accept cash in excess of travel expenses incurred.

Foreign Gifts and Decorations Act, 5 U.S.C. 7342 This act provides authority for employees and members of an employee's family and household to accept gifts of travel expense for travel taking place entirely outside the United States when the donor of the gift is a foreign government (to include international or multinational organizations). Acceptance under this authority must be consistent with the interests of the United States and the travel must be approved by the appropriate authorizing official even where the employee travels in his/her private capacity on non-official time. An HHS Form 348 "Request for Approval to Accept Payment of Travel Expenses From a Non Federal Source" (Exhibit 1-70-A) may be used when authorizing an employee to travel under this authority.

1-70-30 DEPARTMENTAL POLICY

Authorizing officials are responsible for assuring that the appropriate acceptance authority (31 U.S.C. 1353, 42 U.S.C. 3506, or 5 U.S.C. 7342) is cited in Item 10 of the Travel Order, HHS Form 1. The provisions of these acceptance authorities may not be "mixed and matched" when accepting travel expenses from non-Federal sources. For example, an employee may not travel under 42 U.S.C. 3506 and the employee's spouse travel under 31 U.S.C. 1353. Employees may not, under any circumstances, accept an honorarium or retain cash in excess of actual expenses. The acceptance of payment or in kind services from a non-Federal source should be the exception and not the rule. Departmental components shall not use the authorities set forth above to shift the cost of their normal travel programs to non-Federal sources. The underlying principle of the Department is if the employee's participation warrants the expenditure of official time it also warrants the expenditure of HHS travel funds. Departmental employees shall not solicit payment of travel expenses from non-Federal sources.

The following principles and restrictions apply whenever the authorizing official uses the authority of 31 U.S.C. 1353:

- A. Departmental components may accept payment from a non-Federal source (or authorize an employee to receive such payments on its behalf) when an authorized official determines in advance that the payment is:
 - 1. For attendance at a meeting or similar function;
 - 2. For travel related to an employee's official duties and;
 - 3. From either a person or entity that is not a conflicting non-Federal source; or from a conflicting non-Federal source, as defined previously in 1-70-10 H in a situation in which the Department's interest in the employee's attendance at or participation in the event outweighs concern that acceptance of the payment may or may reasonably appear to influence improperly the employee in the performance of his/her official duties.

- B. Authorizing officials are cautioned that they must be very thorough in their review when determining whether it is appropriate to accept payment from a conflicting non-federal source. Particular care should be exercised in situations in which there is a regulatory

relationship or in which decisions affecting Federal funding for the entity are involved. In all cases, authorizing officials should carefully determine if the employee has a substantial impact on the Department's interaction with the entity. If so, then the source of funds is conflicting, and a balancing test described in the following paragraph is utilized.

Once a non-Federal source has been determined to be conflicting, payment may be authorized only if the Department's interest in the employee's attendance at, or participation in, the event outweighs the conflict of interest concern. In making this assessment, the authorizing official should consider all relevant factors, including the importance of the travel for the agency, the nature and sensitivity of any pending matter affecting the interests of the conflicting non-Federal source, the significance of the employee's role in such matters, the purpose of the meeting or similar function, the identity of other expected participants, and the value and the character of the travel benefits offered by the conflicting non-Federal source. Authorizing officials should be very mindful of how their approval will appear to outside entities or persons who have an interest in their organization, particularly the media and the Congress. In such cases the authorizing official should consult with the appropriate Department ethics official [including, as necessary, the Office of Special Counsel for Ethics (OGC/OSCE)].

- C. Under 31 U.S.C. 1353 OPDIVS/STAFFDIVS may accept payment for an accompanying spouse under very limited circumstances. The spouse must travel pursuant to an official travel authorization which clearly references the employee's travel authorization. In addition, the following conditions must be thoroughly documented on the spouse's travel authorization:
1. The spouse is traveling with and attending the same event as the employee. The spouse must attend and/or participate in most of the events or sessions daily in order to fulfill the requirement of supporting the agency's mission. For example, the mere appearance at a dinner party during a week-long conference does not satisfy the requirement of supporting the agency's mission.

2. The spouse's presence will support the mission of the employee's agency or substantially assist the employee through attendance at or participation in this event. For example, the spouse could be a nutritionist who could offer advice at a conference on healthy eating for a strong heart, or due to an unfortunate personal experience, could be an active participant at a conference on certain diseases. For acceptance to be authorized, the spouse should be able to contribute something of value which enhances the purpose of the meeting. There must be a full explanation of this with the travel authorization and it must be made part of the official travel file.

3. Acceptance of payment from a conflicting non-Federal source for an accompanying spouse must adhere to the criteria stated above for employee acceptance of payment from a conflicting non-Federal source.

- D. Departmental components may accept payment in excess of the maximum rates prescribed in the travel regulations to include First or Business Class air accommodations. However, such payments can only be accepted when full payment is made by the non-Federal source and the "accommodation or other benefit furnished is comparable in value to that offered to, or purchased by, other similarly situated individuals attending the meeting or similar function." The invitation letter from the non-Federal source must contain language to this effect when an organization offers payment in excess of the maximum prescribed government rates.

When a non-Federal source funds only a certain portion or types of travel expenses, reimbursement for the remaining expenses paid for by the Federal Government cannot exceed maximums established in the applicable travel regulations. If the non-Federal source offers, for example, to pay for a First class air fare but not per diem, then the Federal government can authorize and pay per diem only up to the level prescribed by the travel regulations.

- E. Departmental components should not accept payments from non-Federal sources if the reimbursement for travel expenses incurred is to be made from a Federal grant or contract (not confined to HHS). It is the responsibility of the authorizing official who recommends the travel to determine that the non-Federal source is not using Federal grant or contract funds to defray the cost of the travel.

Acceptance of payment by check or in kind services for travel expenses from non-Federal sources must be approved in advance by the appropriate official designated to approve such payment. HHS employees cannot approve their own travel, therefore, no approving official can approve the acceptance of payment from a non-Federal source for himself or herself. Reimbursement may be authorized as follows:

A. For travel under 31 U.S.C. 1353 reimbursement by the non-Federal source to the OPDIV/STAFFDIV, other than in kind, must be by check or similar instrument made payable to the agency. Any such payment received by the employee for his/her travel and/or that of an accompanying spouse is to be submitted as soon as practicable to the finance office for credit to the appropriation applicable to such expenses. Neither an employee or spouse is authorized to accept a check or similar instrument made payable to either traveler.

B. Reimbursement by the non-Federal source by means of services in kind such as, travel tickets, meals, and hotel room keys may be accepted by the employee on behalf of the agency for himself/herself and accompanying spouse, if applicable.

42 U.S.C. 3506 AUTHORITY: When employees are performing advisory services and acceptance of cash or in kind payment falls under our previous authority (42 U.S.C. 3506), the general principles and restrictions which apply to 31 U.S.C. 1353 also apply with the following exceptions:

A. The acceptance of travel expenses must not create an actual or apparent conflict of interest.

B. Employees are permitted to accept only those expenses which would otherwise be covered by government travel regulations. Expenses may not be accepted which exceed the maximum rates prescribed in the Federal Travel Regulations.

C. Employees may not accept travel expenses for a spouse or member of their family to accompany the employee on their travel.

D. In very rare instances, an employee may accept cash as a direct reimbursement for expenses. This should only be done when reimbursement to the appropriation is not feasible and acceptance of cash by the individual is clearly in the best interest to the Government. The traveler may not, under any circumstances, accept payment in excess of expenses incurred.

Travelers may accept payment in kind without reporting the fact whenever the monetary value is nominal (under \$5.00) and the service is offered more as a courtesy than an offer to defray, in whole or in part, the expenses of the trip. An example would be the acceptance of a ride from a meeting place back to a hotel in which an employee is staying.

Any written internal procedures containing criteria for approval/disapproval of acceptance of payment from non-Federal sources for travel expenses must be submitted to the Deputy Assistant Secretary, Finance for review.

1-70-40 AUTHORIZATION PROCEDURE

The acceptance of cash or services in kind from non-Federal sources must be authorized by a Departmental official who has vested authority or who has been delegated authority to authorize or approve this acceptance.

- A. HHS Form 348, Request and Approval for Acceptance of Payment of Travel Expenses, (Exhibit 1-70-A) is used to request approval of payment of travel and subsistence expenses from non-Federal sources. A separate form must be used for the spouse when he or she seeks authorization to accompany the employee on a trip. The form is also used by the traveler to report to the authorizing official at the conclusion of the trip, as required in Section 1-70-50.
- B. An original and three copies of the HHS-348 will be prepared and forwarded (as soon as possible, but not later than 15 days before scheduled departure) through regular administrative channels to the authorizing official. The HHS-348 for the employee must reference, if applicable, that the employee is being accompanied by his/her spouse who is being reimbursed. Additional copies and supporting documentation may be prepared to fulfill the needs of a particular organization.
- C. Authorizing officials must assure that recommending officials have followed the criteria established above for determining whether the non-Federal source is conflicting or nonconflicting; and if conflicting whether the benefit of accepting payment outweighs the conflict; if there is to be an accompanying spouse; and whether to approve payment in excess of transportation and per diem rates.

Authorizing officials will also assure that the HHS-348 identifies the type (cash or in-kind) and estimated amount of payment the non-federal source has agreed to reimburse the Government.

- D. If authorization is appropriate, the authorizing official will sign and date the original HHS-348 and initial all copies. The original and two copies will be returned to the requesting official. One copy will be retained by the authorizing official. If authorization is not appropriate, the authorizing official should attach to the original HHS-348 a memorandum outlining the reason(s) for denial of authorization and return the unsigned HHS-348 and copies to the requesting office.
- E. The requesting office will provide the traveler (and accompanying spouse, if applicable) with two copies of the HHS-348 as notification of approval or disapproval, and for reporting purposes as discussed in section 1-70-50. The original HHS-348 will be submitted with the HHS-1, Travel Order, for use by the fiscal office.

The HHS-1 will be prepared in accordance with the provisions of this manual as follows:

1. A separate HHS-1 will be prepared for the employee and the accompany spouse, if applicable. Travel order numbers will be cross referenced. Use block 10 of the HHS-1 for this purpose.
2. An addendum sheet should be attached to the HHS-1 containing the following statement which the employee will be required to sign when travel expenses are to be paid by a non-Federal source either by check or in kind services:

I _____ (Name of Employee) _____ understand that I am liable for travel expenses which exceed the amount of payment from the non-Federal source and are in excess of maximums established by applicable travel regulations.
3. When foreign travel is involved the provisions of section 1-70-30 and the Foreign Travel section, of this manual apply.

- F. Payments properly accepted under these authorities, if received by the employee, are accepted on behalf of the agency and must be submitted to the agency for credit to the proper appropriation. Therefore, receipt of such a payment by an employee is not required to be reported as a gift on any confidential or public disclosure report that the employee is required to submit pursuant to law or Office of Government Ethics (OGE) regulation.

- G. In the event that the non-Federal source offers to pay for higher than maximum per diem and/or transportation expenses than otherwise allowable in the travel regulations, and subsequently does not pay the Federal government in full, then the agency can only allow and pay expenses not to exceed those specified under the applicable regulations. In such circumstances, this can result in the employee reimbursing the Federal government for those expenses which are beyond the amount authorized by the applicable travel regulations since they cannot be paid from government funds. Also should a sponsor not pay the Federal government in full for an accompanying spouse, the employee is also responsible for full reimbursement to the government for the amount in excess of the amount authorized by the applicable travel regulations. Approving officials must be aware that, in the event that a non-Federal organization does not pay the promised amounts, payment of the travel expenses, not to exceed applicable travel regulation levels, must come from agency travel budgets.

1-70-50 REPORTS

- A. The traveler (employee and/or accompanying spouse, if applicable) will be required to complete a certification at the end of each trip for which acceptance of payment from a non-Federal source was authorized. The certification is required regardless of the type of payment (i.e., payment by check or in kind services). The certification will be made by completing item 10 of the authorizing HHS-348 and will show the estimated value of the services in kind received and the actual amount of payment reimbursed by the non-Federal source.

The traveler will also be responsible for ensuring the following additional data is provided for each trip on the HHS-348:

- o The name of the employee and/or spouse if applicable;
- o The position or title of the employee;
- o The name of the sponsor making the payment;
- o The nature of the meeting or similar function;
- o The amount and method of payment;
- o The nature of the expenses; and
- o The place and date of the travel.

HHS Transmittal 92.01 - August 7, 1992

1. One copy of the HHS-348 will be forwarded to the recommending official, who will retain it for at least a year to provide the capability of meeting semi-annual reporting requirements for travel expenses paid under the authority of 31 U.S.C. 1353 for the reporting periods ending March 31 and September 30 of each year. Report submission dates will be established by separate memorandum each year. Reports will be submitted to the Deputy Assistant Secretary, Finance.
 2. One copy of the HHS-348 will be forwarded to the appropriate fiscal office, with the travel voucher, if any, for accounting purposes. One of the remaining copies may be retained by the approving office and the other copy for the employee's records.
- B. All payments by check or in kind from non-Federal sources to cover travel expenses will be recorded in the official accounts of the agency/activity under the appropriate accounting transaction code (see HHS Accounting Manual).

1-70-60 PAYMENT OF TRAVEL EXPENSES BY FOREIGN GOVERNMENTS AND INTERNATIONAL ORGANIZATIONS

The term "foreign government" includes any entity of a foreign government (such as a university established by the foreign government) and any international or multinational organization whose membership is composed of any unit of a foreign government.

When a foreign government or international organization offers to pay an employee's travel expenses for either official or private travel, the provisions of Chapter 20-25 of the HHS General Administration Manual and Chapter 6, paragraph 6-00-90, of the HHS Travel Manual apply.

Article I, Section 9 of the Constitution prohibits a federal employee from receiving reimbursement directly from a foreign government or international organization without the consent of the Congress. The Foreign Gifts and Decorations Act, 5 U.S.C. 7342, provides an exception to this prohibition, provided that the reimbursement is for travel which takes place totally outside the United States. The authority to accept gifts of travel and per diem from foreign governments under the Foreign Gifts and Decorations Act is for acceptance by an individual and/or spouse, not an agency. Congress has consented for an agency to accept gifts of travel from a foreign government pursuant to 31 U.S.C. 1353 and for this Department under 42 U.S.C. 3506 under the same conditions as it may accept reimbursement for travel from any other source.

REQUEST FOR APPROVAL TO ACCEPT PAYMENT OF TRAVEL EXPENSES FROM A NON FEDERAL SOURCE

_____ (date)

Use this form to request, approve, and report acceptance of payments as provided in DHHS Travel Manual Chapter 1-70. Submit request to recommending official as soon as possible, but not later than 15 days before scheduled departure.

1. NAME AND TITLE OF TRAVELER	2. NAME AND ADDRESS OF SPONSORING ORGANIZATION
3. TRAVELER'S ORGANIZATION	

4. PURPOSE OF TRIP _____

<p>5. PAYMENT TO BE MADE FOR <input type="checkbox"/> TRAVEL <input type="checkbox"/> SUBSISTENCE</p> <p>AUTHORITY FOR TRAVEL (See DHHS Travel Manual Chapter 1-70): <input type="checkbox"/> 31 USC 1353 <input type="checkbox"/> 42 USC 3506 <input type="checkbox"/> 5 USC 7342</p> <p>METHOD OF PAYMENT: A. <input type="checkbox"/> DIRECT REIMBURSEMENT TO APPROPRIATION \$ _____ APPROPRIATION No. _____ B. <input type="checkbox"/> IN KIND. \$ _____ ** C. <input type="checkbox"/> IN CASH for retention by traveler. \$ _____</p> <p><small>**NOTE: CASH MAY ONLY BE ACCEPTED UNDER 42 U.S.C. 3506 AUTHORITY</small></p>	<p>INDICATE VALUE OF PAYMENT:</p> <p>TRAVEL \$ _____</p> <p>LODGINGS \$ _____</p> <p>MEALS \$ _____</p> <p>OTHER \$ _____</p>
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6. PAYMENT TO BE USED FOR TRAVEL ROUND ONE WAY (see itinerary below)

STARTING DATE	ENDING DATE	FROM	TO

7. IS THE DEPARTMENT PAYING PART OF THE COST? (If any, specify which part and amount) _____

8. RECOMMENDATION -- See reverse side of form. _____

9. AUTHORIZATION

Authorizing Official _____ Title _____ Date _____

10. TRAVELER'S CERTIFICATION (Complete after trip)

I certify that while on official travel the above amounts are correct and I did not receive (1) any honoraria, or (2) any cash for my retention from the sponsoring organization. I further understand that any accommodations, meals or incidental expenses accepted that are not normally reimbursed by Government Travel Regulations, and not fully reimbursed by the sponsoring organization will have to be borne out of my personal funds.

Traveler's Signature _____ Date _____

**BACKGROUND INFORMATION ON REQUEST FOR APPROVAL TO
ACCEPT PAYMENT OF TRAVEL EXPENSES FROM A NON FEDERAL SOURCE**

TRAVELER:

1. Is the sponsoring organization using Federal Funds to defray the costs of this trip?

YES NO (If yes, reimbursement may **NOT** be accepted.)

2. Is letter of invitation attached? YES

Letter of invitation must outline in detail the types of expenses offered and the amount of the expenses.
Requests without a letter of invitation will not be considered for approval.

3. Is the traveler an officer, director, trustee, partner or an employee of the sponsoring organization?

YES NO

4. Are there any circumstances under which the acceptance of expenses in this instance would create a conflict or the appearance of a conflict of interest?

YES NO

5. Is the sponsor offering to pay amounts which are in excess of those ordinarily allowed by applicable Federal Travel Regulations? For example, are amounts in excess of the maximum Per Diem rates and/or is the mode of transportation above coach?

YES NO

6. Is this request for acceptance of payment for an accompanying spouse of a DHHS employee?

YES NO

(If yes, employee's travel order # _____)

NOTE: IF THE ANSWER TO QUESTION 3, 4, 5, OR 6 ABOVE IS YES, A SEPARATE LETTER MUST BE ATTACHED TO THIS REQUEST PROVIDING JUSTIFICATION AND REASONS WHY THIS TRIP SHOULD BE AUTHORIZED.

7. How does this trip meet the Department's priorities and goals?

8. Why can't this trip be paid for with DHHS funds?

I HEREBY CERTIFY THAT THE ACCEPTANCE OF THIS REQUEST IS IN ACCORDANCE WITH THE POLICIES CONTAINED IN CHAPTER 1-70 OF THE DHHS TRAVEL MANUAL. TO THE BEST OF MY KNOWLEDGE, I ALSO CERTIFY THAT FEDERAL GRANT OR CONTRACT FUNDS ARE NOT BEING USED TO DEFRAY IN WHOLE OR IN PART THE EXPENSES OF THIS REQUEST. THEREFORE, I RECOMMEND APPROVAL OF THIS REQUEST AS BEING IN THE BEST INTEREST OF THE GOVERNMENT.

Recommending Official

Title

Date

Subject: REIMBURSEMENT TO EMPLOYEES FOR EXPENSES INCIDENT TO TRAINING UNDER THE GOVERNMENT EMPLOYEES TRAINING ACT

- 1-80-00 Purpose and Coverage
 - 10 Authority
 - 20 Allowances for Training Within the Conterminous United States
 - 30 Advances of Funds
 - 40 Attendance at Nongovernment Sponsored Meetings
 - 50 Travel Documents
 - 60 Claims for Reimbursement
 - 70 Recovery of Training Expenses from Employees

1-80-00 PURPOSE AND COVERAGE

This chapter provides instructions and information concerning allowances and reimbursement to civilian employees for travel, transportation, and other expenses incident to training as authorized under the Government Employees Training Act. See HHS Personnel Instructions for (1) basic policy, and standards; (2) delegations of authority to approve training and to accept contributions and awards; and (3) requirements concerning employees' agreements and penalties for failure to fulfill agreement.

1-80-10 AUTHORITY

- A. The Government Employees Training Act (GETA) provides that an employee undergoing authorized GETA training away from their permanent official duty station may be authorized payment of all or part of the necessary expenses of training which includes either: (1) transportation and subsistence to and from the place of training, and subsistence during training for the employee only; or (2) transportation to and from the place of training for the employee and immediate family, per diem en route for the employee, and round trip shipment and storage of employee's household goods and personal effects. Transportation of the employee's

household goods and related expenses should only be authorized when such cost is less than the estimated aggregate per diem payments during the period of the training assignment.

- B. Training, by its very nature, is normally a temporary matter. The rates prescribed below represent maximum allowances for training assignments under GETA presupposing careful review on the part of authorizing officials to ensure that rates are realistic and fair. Any amount in excess of the following maximums must be justified showing the circumstances which lead the authorizing official to the conclusion that a higher payment would be in the public interest.
- C. Whenever the training at one location involves employees from more than one agency, the organization sponsoring the training will recommend to the other participating agencies a uniform rate of per diem that would be reasonable in view of the circumstances. The recommended per diem rate shall be that allowed each trainee from this Department.

1-80-20 ALLOWANCES FOR TRAINING WITHIN THE CONTERMINOUS UNITED STATES

- A. Travel. Employees, whose training has been authorized, may be paid or reimbursed the necessary costs for travel and per diem in lieu of subsistence, to and from the place of training.
- B. Per Diem Rates. While at the place of training, an employee may be authorized per diem not to exceed that allowed in Appendix A or may be authorized transportation of dependents and household goods in accordance with Appendix B, but not both.

1. The maximum per diem rates at place of training will be:

a. Within the Conterminous United States

Assignments of 30 Days or Less

The maximum amount for the locality concerned or -- if agreed to by the employee -- a part of such expenses may be authorized.

Assignments of More than 30 Days

<u>Eligibility Period</u>	<u>Prescribed Rate</u>
From the first calendar day of training through midnight of the 90th calendar day.	55 percent of the rate in the locality concerned (rounded to the next higher whole dollar).
From 12:01 a.m. of the 91st calendar day through 12:00 midnight prior to the day of departure from the place of training.	30 percent of the rate in the locality concerned (rounded to the next higher whole dollar).

b. Outside the Conterminous United States

<u>Eligibility Period</u>	<u>Prescribed Rate</u>
First 60 calendar days after arrival at the place of training.	The rate for the country or city applies.
From 12:01 a.m. of the 61st calendar day, through midnight of the 90th calendar day.	55 percent of the rate applicable on the 60th day.
From 12:01 a.m. of the 91st calendar day, through the day prior to the day of departure from the place of training.	30 percent of the rate applicable on the 60th day.

2. The period of continuity begins at 12:01 a.m. following the first day of arrival at the place of training and extends through the full length of the training authorized.

C. Criteria for Establishment of Per Diem at the Place of Training. The following criteria will be considered in establishing per diem rates at the place of training within the maximums shown in Appendix A.

1. When the authorizing official authorizes per diem for the period of training, the rate allowed shall be commensurate with the daily costs for lodging, food,

and incidental expenses which the employee should incur at the place of training. The authorized official should consider the availability of institutional quarters or institutional housing assistance which refers students to private quarters at modest expenses. Costs in excess of a fair assessment of such lodging expenses should be at the trainee's expense.

2. Expenses which might be incurred by an employee's family either at the place of training or at the employee's permanent duty station are not to be considered in setting the rate of per diem. Neither will the authorizing official give consideration to the cost of maintaining a family abode at the place of training or elsewhere.
3. The cost of travel and per diem for the period of training is a factor in determining if training should be authorized. Therefore, the estimated cost of travel and per diem on the training authorization document Form (HHS-350), available at department personnel offices, should be as accurate as possible and the allowances authorized on the travel order should not exceed the amounts estimated on the HHS-350.

D. Transportation of Immediate Family and Household Goods. Transportation of immediate family, household goods and personal effects, and temporary storage may be allowed to the extent that the estimated costs of such transportation and related services would be less than the estimated aggregate per diem payments for the period of training determined independently of the family move. Reimbursement of such expenses may be allowed in accordance with the provisions of Appendix B. Reimbursement is not allowable for: househunting trip, miscellaneous expense allowance, temporary quarters, residence transactions, or per diem for immediate family.

1. Mileage allowance to and from the place of training. If travel is authorized by privately-owned automobile, the employee will be reimbursed a mileage allowance to and from the place of training.
2. Per diem for travel of the employee to and from the place of training. If travel is performed by privately-owned automobile, the allowable travel time

for per diem purposes shall be not less than 300 miles per day. No per diem is allowable for travel of dependents.

3. Transportation of household goods to and from the place of training. For authorized shipments within the conterminous United States, reimbursement for shipment and temporary storage shall be made in accordance with Appendix B. For shipments originating from, and returning to, an employee's official duty station outside the conterminous United States, shipment will be made on a Government bill of lading.
- E. Authorized Travel Away from the Place of Training. An employee who is authorized to perform official travel away from the place of training will receive travel and per diem allowances in the same manner, and at the same rates, as if they were performing normal temporary duty travel. An employee engaged in a full-time course of instruction will not be authorized travel or mileage to return home on weekends or off-duty hours, unless it is determined that official duty is in fact to be performed.
1. An employee who was receiving per diem at the place of training, as prescribed by paragraph 1-80-20, will be entitled to per diem for the entire day of departure from the place of training at the rate authorized for the official duty. On the day of return to the place of training, the per diem rate will be paid through midnight that day.
 2. An employee who receives per diem at a place of training who is required to perform official travel back to the permanent duty station, will not be entitled to per diem while at the permanent duty station.
 3. An employee who makes a permanent change of station and moves family and household goods to the place of training and subsequently is required to perform official travel back to the former official station may be paid per diem while at such official station.

F. Leave of Absence While in Training.

1. Annual leave. For any period that an employee undergoing training is charged annual leave, the provisions of this manual apply.
2. Sick leave. The provisions of this manual will apply when an employee in training away from permanent duty station is incapacitated because of illness or injury while (1) at the place of training, if the employee is otherwise entitled to per diem at the place of training on a temporary duty basis, or (2) performing official travel away from the place of training. The latter provision applies whether or not the employee is entitled to per diem at the place of training.

G. Other Expenses. Examples of other allowable and nonallowable expenses incident to training are shown below. The approving official may authorize payment for one or more of the allowable expenses, depending upon the relationship of the expense to the training.

1. Allowable Expenses.

- a. Tuition, registration, and matriculation fees.
- b. Library and laboratory services.
- c. Purchase or rental of books, materials, and essential supplies (excludes purchase of typewriters and dictating machines, but may include their rental, if required).
- d. Other services and facilities directly related to the training; except membership fees, unless such fees are a necessary cost directly related to the training itself or payment of the fee is a condition precedent to undergoing such training.

2. Nonallowable Expense.

- a. Stenographic or typing services.
- b. Tutors.

1-80-30 ADVANCES OF FUNDS

An employee may, upon application and approval by the appropriate authorizing official, secure an advance of funds to cover the reimbursable expenses. See Chapter 3-20 for information concerning amounts allowable, required documents, and liquidation of the advance.

1-80-40 ATTENDANCE AT NONGOVERNMENT SPONSORED MEETINGS

See Chapter 1-40 for policies and procedures governing attendance at meetings.

1-80-50 TRAVEL DOCUMENTS

The documents required for travel incident to training are essentially the same as those required for temporary duty travel or change of official station. In addition, a copy of the appropriate training nomination form shall be submitted with the Travel Order. A copy of the training nomination form also shall be forwarded with the fiscal office copy of the approved travel order to the appropriate fiscal office.

1-80-60 CLAIMS FOR REIMBURSEMENT

- A. Claims for reimbursement of allowable travel expenses must be supported by receipts and/or statements on the voucher.
- B. Vouchers claiming reimbursement for transportation of household goods and temporary storage shall be supported by the documents listed in Appendix A and Exhibit 4-20-B of this manual.
- C. Claims for reimbursement of cash payments of other items of expense shall be supported by receipts, and may be submitted on SF-1012, Travel Voucher.

1-80-70 RECOVERY OF TRAINING EXPENSES FROM EMPLOYEES

Upon written determination by the authorizing official, an employee may be required to repay the expense incurred in connection with training if he or she fails (a) to complete training, or (b) to remain in the Federal Service for the agreed period of time. The fiscal office shall recover such amount from the employee, or if necessary, recover the amount by (a) offset

agreement of accrued salary, pay, compensation, amount of retirement credit, or other amount due the employee from the Government, or (b) by such other methods as may be provided by law for recovery of amounts owing to the Government.

Subject: INTERGOVERNMENTAL PERSONNEL ACT

- 1-90-00 General
 - 10 Entitlements
 - 20 Comparison of Costs
 - 30 Commuting Expenses
 - 40 Travel Orders
 - 50 Claims for Allowances and Reimbursements

1-90-00 GENERAL

- A. The Intergovernmental Personnel Act (IPA) of 1970 provides for temporary exchanges of personnel between the Federal Government and state or local governments, institutions of higher education, and Indian tribes or tribal organizations. Each such exchange is carried out under the provisions of a specific agreement that states the purposes and duration of the exchange, the places, hours, and conditions of work, and the methods of financing employees' pay and allowances. Some IPA agreements call for financing between the participating organizations, with employees receiving their pay and allowances directly from their regular employers. Others provide for direct payments to employees by the organizations to which they are assigned under the terms of the agreements.
- B. This chapter discusses direct payments by HHS, its operating components and agencies, of permissible travel and per diem allowances to persons working under the terms of IPA agreements. It does not apply to:
 - 1. Persons assigned to HHS by other governments or institutions whose travel and per diem allowances are paid by their regular employers.
 - 2. IPA assignees whose travel and per diem allowances are paid to their employers by the organizations to which they are assigned.
- C. Representatives of both the Federal Government and the other government or institution participating in a personnel exchange under the IPA must sign an agreement that sets forth explicitly the travel and transportation arrangements of the exchange. Travel and transportation arrangements always must be approved by the official who has authority to

approve travel allowances and reimbursements of travel expenses. If that official is different from the one who is negotiating the IPA agreement for HHS, the latter must secure the approval of the official who is authorized to approve travel arrangements.

- D. Assignment of an HHS employee to a state or local government or institution of higher education must be supported by the following properly executed documents:
1. Assignment Agreement (Optional Form 69).
 2. Notification of Personnel Action (Standard Form 50).
 3. Travel Order (Form HHS-1).
 4. Employment Agreement (Form HHS-355). This form is required only if the Department is paying relocation expenses of the employee.
- E. Other information pertinent to the execution of IPA agreements may be found in the Federal Personnel Manual and the HHS Personnel Manual.

1-90-10 ENTITLEMENTS

- A. Ordinarily, persons assigned away from their places of regular employment under the terms of an IPA agreement are entitled to transportation or a mileage allowance, and a per diem allowance for themselves for travel from their places of regular employment to their IPA duty stations. They may be entitled to a "station per diem allowance" while assigned to IPA duty stations.

In some situations, where it is more economical or otherwise more advantageous to the Federal Government, IPA assignees may be authorized to move their families and household goods to points of IPA assignments at the expense of the Federal Government.

It is the responsibility of the authorizing official to determine, taking costs to the Government into consideration, whether or not to authorize permanent change of station allowances or per diem in lieu of subsistence to employees on an IPA assignment.

- B. When the terms of an IPA agreement provide that the employee will be entitled to relocation allowances, HHS may pay any or all of the following expenses:
1. Travel of the employee, including a per diem allowance, to and from the assignment location, in accordance with the Appendix B.
 2. Travel, including a per diem allowance, while traveling on official business away from the designated post of duty during the period of an IPA assignment. Such travel must be approved by an official who holds the authority to issue such approval.
 3. Transportation of the employee's immediate family, household goods, and personal effects to and from the place of assignment, in accordance with the provisions of the Appendix B.
 4. Per diem allowances for the employee's immediate family while traveling to and from the assignment location.
 5. Subsistence expenses of the employee and immediate family while they occupy temporary quarters at the assignment location upon arrival from, and before return to, the employee's former duty station, in accordance with the Appendix B.
 6. Nontemporary storage of household goods and personal effects in connection with assignment at an isolated location in the conterminous United States.
 7. An allowance for miscellaneous expenses.
- C. The following expenses are not reimbursable to IPA assignees under change of station arrangements:
1. Residence transaction expenses.
 2. Travel to seek living quarters.
 3. Transportation of privately-owned motor vehicles.

- D. When the terms of an IPA agreement do not provide that the employee will change his or her duty station, HHS may pay the following expenses:
1. Travel of the employee, including a per diem allowance, to and from the place of assignment.
 2. A per diem allowance for the employee while at the place of assignment. If the HHS official who negotiates the IPA agreement is not the travel-authorizing official, the negotiating official should consult the appropriate travel-authorizing official to determine the amount of the per diem allowance, if any. The travel-authorizing official is responsible for establishing the per diem allowance, and once the allowance has been set it must be specified in the agreement. In establishing the per diem allowance, the authorizing official must carefully review the employee's travel situation and, if the assignment is for more than ninety days, explore the cost advantages that usually accrue to a traveler on an extended stay in one place and consider authorizing less than the daily maximum.
 3. Travel, including a per diem allowance, while the employee is traveling on official business away from the designated post of duty during the period of the IPA assignment. Such travel must be approved by an official who has been designated to authorize travel.

1-90-20 COMPARISON OF COSTS

- A. In determining whether an IPA assignment should be authorized as a temporary detail (per diem allowance) or a change in duty station (relocation allowances), the length of the assignment as well as the costs must be considered.
1. For assignments of relatively short duration (for example, six months or less) payment of a per diem allowance may be more economical.
 2. For assignments for extended periods (one year or longer), it usually is less costly as well as more advantageous to both the employee and the government to authorize the applicable relocation allowances.

B. Consideration must be given to the estimated costs for each of the two alternatives. The method and amount of reimbursement will be determined on the basis of the results.

1. Relocation - least expensive method.

- a. The applicable relocation allowances may be authorized, or
- b. If it is not feasible for the employee to move family and/or household goods, per diem may be authorized for a specified amount which normally should not exceed the estimated costs of relocating.

2. Temporary detail - least expensive method.

- a. The applicable per diem allowances may be authorized, or
- b. If the employee elects to move the family and household goods, relocation allowances may be authorized, for a specified amount which normally should not exceed the estimated per diem payments.

Example:

An employee of the Alabama State Department of Education is to be assigned to the Atlanta Regional Office for a one-year period. The employee resides in Birmingham with spouse and two children. Household goods estimated to be 8,000 pounds.

(1) Relocation Expenses:

Mileage between Birmingham and Atlanta
150 miles at \$.20 \$30.00

Travel per diem -

Employee	1/2 day at	\$60.00	\$30.00
Spouse	1/2 day at	\$45.00	\$22.50
2 Children	1/2 day at	\$30.00	\$30.00

Transportation of household goods (Commuted Rate Table #1) \$17.10 cwt.	1368.00
Miscellaneous relocation allowance	<u>350.00</u>
	\$1,830.50
Doubled for return expenses	<u>x2</u>
Estimated relocation	\$3,661.00

(2) Temporary Detail:

Round trip air fare, Birmingham- Atlanta	\$50.00	\$ 110.00
Travel per diem (employee only) 1/2 day at	\$60.00	30.00
Detail per diem - 30 days at	\$60.00	1800.00
(65% of 1st 30 days)		
60 days at	\$39.00	2340.00
(30% of 1st 30 days)		
275 days at	\$18.00	<u>4950.00</u>
Estimated detail expense		<u>\$9230.00</u>

- C. Based on the results of the cost comparison, relocation allowances may be authorized. If it is not feasible for the employee to move the family, the employee may elect to be paid a per diem allowance. Under such circumstances, a monetary limit should be established; for example, per diem authorized at the maximum rates, generally not to exceed \$3700.00.

1-90-30 COMMUTING EXPENSES

- A. Assignments Within the Permanent Duty Station Area. An employee who travels to an IPA assignment within the boundaries of the permanent duty station, is not considered to be in official travel status for reimbursement purposes. In such cases, the assignment location is the employee's regular place of duty and commuting expenses are not reimbursable.
- B. Assignments Outside the Permanent Duty Station Area.
- Travel expenses may be authorized for daily commuting expenses between an employee's residence and a near-by assignment location, when:
 - The assignment location is outside the designated boundaries of the permanent duty station;

- b. The employee elects to commute rather than to remain at the assignment location, and
 - c. The commuting expenses do not exceed the per diem or relocation costs that would be required had the employee remained at the assignment location.
2. A travel order is required to authorize the payment of commuting expenses in lieu of the temporary detail per diem or the relocation expenses.

1-90-40 TRAVEL ORDERS

- A. The travel order is the official authorization to perform travel at Government expenses and must be prepared for all assignments where travel allowances are payable.
- B. In addition to authorizing the travel, it specifies the employee's entitlement to reimbursement for the allowable expenses and should be prepared as soon as the assignment agreement has been completed.
- C. Caution is required in the preparation of travel orders so that the travel orders properly reflect the approval to incur expenses in accordance with regulations. Travel orders must indicate that travel and transportation expenses are authorized in accordance with the Intergovernmental Personnel Act. The length of the assignment, the duty reporting date, and the estimated expense also must be included.
- D. When the assignment agreement provides for the payment of relocation allowances, a change of station travel order is initiated listing the allowances to be paid. Authorization must be given by an official who is delegated the authority to approve such travel.
- E. When it has been administratively determined that the payment of a per diem allowance is more advantageous, a temporary detail travel order is prepared indicating the per diem allowances to be paid. Authorization must be given by an official who is delegated the authority to approve such travel.

1-90-50 CLAIMS FOR ALLOWANCES AND REIMBURSEMENTS

Individuals assigned to HHS agencies under IPA agreements should submit their claims for travel allowances and reimbursements on Standard Form 1012, Travel Voucher, in the same manner as prescribed for other HHS employees. Those drawing station per diem allowances should submit their SF-1012s at the end of each month. Individuals claiming relocation allowances should submit their vouchers within ten working days after the expense has been incurred and paid.

Subject: STATUTES AND REGULATIONS PERTAINING TO TRAVEL AND FORMULATION OF POLICIES AND PROCEDURES

2-00-00 Purpose
10 Statutes and Regulations
20 Formulation of Travel Policies and Procedures

2-00-00 PURPOSE

This part provides an inventory and brief description of the major laws, executive orders, regulations and policy issuances providing the authority for the payment of travel and transportation expenses.

2-00-10 STATUTES AND REGULATIONS

A. Public Laws (P.L.).

1. P.L. 62-201 (5 USC 83), June 26, 1912 prohibits payment of any individual employee's membership fees or dues in any organization, or for expenses of attending such related meetings unless specifically authorized in an appropriation. This does not prohibit a Federal agency from becoming a member of an association for the purpose of carrying out authorized activities of the agency.
2. P.L. 74-835 (49 Stat 2015), June 29, 1936 requires any officer or employee of the government traveling on official business overseas to utilize registered American ships.
3. International Air Transportation Fair Competitive Practices Act of 1974 (P.L. 93-623), January 3, 1975, requires the use of U.S. Flag Air Carriers for transportation of persons or property by air when services by such carriers is available.
4. The Administrative Expenses Act of 1946 (P.L. 79-600), August 2, 1946, as amended, authorizes routine travel and per diem expenses for consultants, experts, and persons serving without compensation; and authorizes specific travel and transportation expenses of

transferred civilian officers and their immediate families. Amendments to this Act include:

- a. P.L. 85-326 (72 Stat 14), February 12, 1958 provides for transportation of house trailers for civilian employees who are transferred from one official station to another not to exceed the maximum constructive cost of transportation and storage of the employees household goods and personal effects. (As amended October 29, 1962; P.L. 87-776).
 - b. P.L. 85-749 (72 Stat 843), August 25, 1958 provides for payment of travel and transportation costs for persons selected to designated manpower shortage positions in the continental United States (U.S.).
 - c. P.L. 85-858 (72 Stat 1274), September 2, 1958 provides for payment of expenses of roundtrip home leave travel for an employee and the immediate family whose post of duty is outside the continental U.S. to the place of actual residence at the time of appointment.
 - d. P.L. 88-266 (78 Stat 8), February 5, 1964 authorizes the transportation of privately owned motor vehicles for employees transferred to duty in Alaska.
 - e. Amendment to the Administrative Expenses Act of 1946 (P.L. 89-516), July 21, 1966 provides for the reimbursement of certain moving expenses of employees (househunting trip, temporary quarters, expenses of residence transactions, en route family subsistence expenses) and authorizes payment of expenses for storage of household goods and personal effects of employees assigned to isolated duty stations within the continental U.S.
5. Federal Tort Claims Act of 1946 (P.L. 79-601), August 2, 1946, as amended, was enacted to protect Federal employees on official business from personal liability as a result of negligence causing personal injury and/or damage to third parties. This Act authorizes the Government to defend employees acting within the

scope of employment when the alleged damage or injury occurred. The Government's liability to persons injured or whose property is damaged through negligence of Government employees while using their privately-owned vehicles on official business is determined under the Federal Tort Claims Act by the law of the State where the accident occurred. State laws vary concerning the Government's liability in such cases. (As amended September 8, 1959, P.L. 86-238; September 21, 1961, P.L. 87-258; November 8, 1965, P.L. 89-348; July 18, 1966, P.L. 89-506.)

6. The Travel Expense Act of 1949 (P.L. 81-92), June 9, 1949, as amended regulates the subsistence expenses and mileage allowances of civilian officers and employees and provides for advancement of funds. (As amended July 28, 1955, P.L. 84-189; August 14, 1961, P.L. 87-139; November 1, 1969, P.L. 91-114; May 19, 1975, P.L. 94-22; September 10, 1980, P.L. 96-346.)
7. The Missing Persons Act (P.L. 83-16), April 4, 1953, as amended, provides for the transportation of dependents, household goods, and personal effects of any person in active service who is officially reported as dead, injured, missing for thirty or more days, or captured by hostile force.
8. The Federal Property and Administrative Services Act of 1949 (P.L. 81-152), June 30, 1949, as amended, authorizes the General Services Administration (GSA) to establish and operate motor vehicle pools or systems for the economical and efficient local transportation of government employees or property. (As amended September 5, 1950, P.L. 81-754; September 1, 1954, P.L. 83-766.)
9. Government Employees Training Act (P.L. 85-507) July 7, 1958 authorizes the payment of the lesser of the travel and per diem to and from the training facility and the shipment of household goods, or the travel to and from the place of training and per diem during the training period for employees undergoing authorized training away from their official duty station.
10. P.L. 86-707 (74 Stat 792), September 6, 1960 provides for storage of household goods of employees assigned

outside of the continental U.S. and provides for the transportation of the privately owned motor vehicles of employees transferred to a foreign duty station.

11. Federal Employees Salary Act of 1965 (P.L. 89-301), October 29, 1965 requires to the maximum extent practicable, that agencies should schedule the time to be spent by an employee in a travel status away from the official duty station, within the regularly scheduled workweek.
12. P.L. 89-554 (80 Stat 497), September 6, 1966 codified the general and permanent laws related to the travel, transportation, and subsistence of U.S. civilian officers and employees, as Title 5 Chapter 57 of the U.S. Code.
13. P.L. 91-563 (84 Stat 1477), December 19, 1970 authorizes the payment of travel expenses of witness summoned to testify on behalf of the U.S.
14. The Intergovernmental Personnel Act (IPA) of 1970 (P.L. 91-648), January 1, 1971, as amended by P.L. 95-454, October 13, 1978 provides for a temporary exchange of personnel between Federal agencies and State or local agencies, institutions of higher education, and other eligible organizations when it is determined to be mutually beneficial to the organizations involved. Limited travel allowances may be authorized in the provisions of the IPA agreement in accordance with Federal guidelines.
15. P.L. 95-480 (92 Stat 1567), October 18, 1978 provides the basis for the payment of a claimant's travel expenses incident to medical examinations; and for the payment of travel expenses of claimants, their representatives and reasonably necessary witnesses for travel within the U.S., Puerto Rico, and the Virgin Islands to reconsideration interviews and proceedings before administrative law judges. (As amended June 9, 1980, P.L. 96-265; January 12, 1983, P.L. 97-455; in addition P.L. 95-480 was amended by a series of appropriation acts covering the period after September 30, 1981 which limit payment of travel expenses in Title XVI to cases where travel is more than 75 miles.)

16. P.L. 98-151 (97 Stat 978), November 14, 1983, as amended by P.L. 98-473 (98 Stat 969), October 12, 1984 authorized agencies to pay a relocation income tax allowance and enter into contracts for relocation services that may include but are not limited to arranging for the purchase of a transferred employee's residence.
 17. The Federal Civilian Employee and Contractor Travel Expenses Act of 1985 (P.L. 99-234), January 2, 1986 revises the authority relating to the payment of subsistence and travel allowances to Government employees for official travel. The provisions of the Act include:
 - a. The elimination of the statutory ceilings on per diem allowances and actual subsistence expense reimbursement for Federal civilian employees on official travel. These maximum allowances are established administratively by the Administrator of General Services for travel within the conterminous United States and by the President or his designee for travel outside the continental United States.
 - b. Payment for certain travel expenses to employees who experience personal emergencies on official travel.
 - c. Temporary payment of subsistence and transportation expenses for threatened law enforcement employees.
 - d. Relocation allowances to U.S. Postal Service employees transferring to other Federal agencies.
 - e. A limitation on Government contractor's travel expenses to the rates and amounts established for Federal civilian employee travel.
- B. Executive Orders.
1. Executive Order 11012, March 27, 1962 transferred from Office of Management and Budget (OMB) to GSA the authority to prescribe the commuted rate schedule in lieu of the payment of actual expenses to be used in

reimbursing employees in connection with shipment of their household goods and personal effects incident to official transfers.

2. Executive Order 11294, August 4, 1964, delegated the authority to establish maximum per diem rates for Government Civilian Employees traveling to Alaska, Hawaii, Puerto Rico, the Canal Zone, and possessions of the United States to the Department of Defense.
 3. Executive Order 11609, July 22, 1971 transferred from OMB to GSA the authority to prescribe the regulations governing the:
 - a. Travel and transportation allowances of Government employees;
 - b. Relocation allowances of Government employees incident to transfers;
 - c. Payment of expenses connected with the death of certain employees; and
 - d. Reductions in allowances where contributions, awards, or payments are made to employees incident to training or attendance at meetings.
 4. Executive Order 11609 also authorized the Secretary of State to establish maximum per diem allowances for civilian officers and employees of the Government in traveling to foreign areas.
 5. Executive Order 12466, February 27, 1984 delegated to GSA the authority of the President to prescribe guidance regarding relocation services.
- C. Code of Federal Regulations. Title 41, Part 101-7 contains the annual compilation of Federal Property Management Regulations (including the Federal Travel Regulations) published in the daily Federal Register.
- D. Decisions of the Comptroller General are issued to provide advance decisions on the legality of proposed expenditures and to interpret the applicable statutes, regulations and instructions governing fiscal matters, procurement,

contracts and agreements. These decisions have the force and effect of law and appropriate decisions provide a basis for interpreting other cases involving similar circumstances.

- E. The Federal Travel Regulations (FTR) are prescribed by GSA to govern the travel and transportation allowances of Government employees, the relocation allowances of Government employees incident to transfers, the payment of expenses connected with the death of certain employees, and the reduction in allowances when payments are made incident to training or attendance at meetings.
- F. The Joint Travel Regulations are promulgated by the per Diem, Travel and Transportation Allowance Committee chartered under the Department of Defense. Membership on the committee includes the Assistant Secretaries of the Army, Navy and Air force, the Commandant of the Coast Guard, the Director of the National Oceanic and Atmospheric Administration Corps, and the Surgeon General of the Public Health Service. The Joint Travel Regulations provide the basic authority concerning travel and transportation of regular and reserve members of the Uniformed Services.
- G. The Standardized Regulations (Government Civilians, Foreign Areas) are issued by Department of State and prescribe the allowances payable to persons assigned to the Department of State, Foreign Services and to employees from other participating agencies assigned to foreign areas.
- H. The Travel Manual published by the Department of Health and Human Services (HHS) provides the authoritative statements of HHS policies, standards and procedures as they pertain to the official travel of employees, transportation of dependents, household goods, and personal effects, advances of funds, attendance at specified types of meetings and expenses related to missing persons.
- I. Maximum Per Diem Rates for Foreign Areas are published periodically by the State Department in Section 925 of the Standardized Regulations.
- J. Table of Maximum Per Diem Rates for Alaska, Hawaii, Puerto Rico, the Canal Zone, and Possessions of the U.S. are issued by the Department of Defense. These tables are directed to the Heads of Executive Departments and Establishments in the form of Civilian Personnel Per Diem Bulletins.

2-00-20 FORMULATION OF TRAVEL POLICIES AND PROCEDURES

- A. GSA is authorized pursuant to Executive Order 11609 and the Travel Expense Amendments Act of 1975, to formulate the regulations necessary to administer the laws governing employee travel and relocation allowances, transportation entitlements for the return of deceased employees and their families, and the reductions in payments connected with meetings and training.
- B. HHS promulgates the necessary administrative travel policies and procedures to assure a consistent Department-wide application of the regulations prescribed by GSA. The policies promulgated by the Department may be more restrictive than, but may not be in conflict with, the Federal Travel Regulations.

Subject: TRAVEL ORDERS AND ADVANCES OF FUNDS - GENERAL INFORMATION

3-00-00	Purpose
10	General Provisions
20	Types of Travel Orders
30	Form Used
40	Allowances Requiring Specific Authorization
50	Travel Orders Under Reimbursable Agreements
60	Orders for Nonexpense Travel
70	Prompt Cancellation of Orders

3-00-00 PURPOSE

This part provides instructions covering the issuance and use of travel orders, including types, requests, preparation, amendments, and cancellations.

3-00-10 GENERAL PROVISIONS

- A. A travel order is the official authorization to perform temporary duty travel and for the payment of all travel expenses. It will specify, to the extent possible, the travel to be performed and the expenses to be incurred. Ordinarily, expenses should not be incurred until the travel order has been issued.
- B. To fully protect the rights of the traveler, travel and transportation should be authorized in advance on Form HHS-1, Travel Order. In emergencies, when prior authorization cannot be obtained, a travel order of current date may be issued or approval may be made on the face of the voucher. (See Section 3-00-40 for items which must be authorized in advance.) All authorizations or approvals shall be signed by an official designated to authorize travel.

Caution: An employee who performs temporary duty travel or incurs change of station expenses without a travel order, or departs earlier than necessary to carry out the purpose of travel, does so at the risk of not being reimbursed for expenses or losing benefits that may accrue. See section 3-00-60.

- C. Travel orders are requested and issued according to the provisions of Chapter 3-10.

3-00-20 TYPES OF TRAVEL ORDERS

The following types of travel orders are issued within the Department:

- A. A trip-by-trip authorization is the preferred means for authorizing travel. It specifies the time period in which the travel is to be performed, the purpose, the itinerary, and the estimated cost. It permits an individual or group of individuals, (if traveling for the same purpose within the same period of time and on the same itinerary) to take one or more specific trips.
- B. A limited open authorization permits an individual to travel without further authorization under certain specified conditions. Its use is expressly discouraged and will be permitted only if the issuance of a trip-by-trip order is not feasible. Travel orders must state realistic limitations covering the specific purpose of such travel (use of general terms such as "to conduct official business" are not acceptable), geographic area, travel duration, and cost. A limited open travel order is valid only for trips taken within the authorized specific geographical area for the stated purpose. Employees who hold this type order must be issued trip-by-trip orders for any assignments not covered by the limited open authorization.

Limited open authorizations should be issued only to employees who will be required, as a part of their work assignment, (1) to make at least three trips per month or spend an average of more than ten days per month in travel status incident to rendering service or supervising activities in a restricted geographic area, and (2) must frequently embark on trips on their own initiative and consequently would not have the time or opportunity to obtain orders setting forth more specifically the travel to be performed as well as the specific purpose of the trip and its expected duration. Under no circumstances may a limited open authorization be issued to cover a wide geographic area, thereby permitting the employee to travel at will and without reasonable opportunities for supervision of the travel. Limited travel authorizations intended to cover a number of employees authorized to travel for a common

purpose within a specific geographic area will include a listing of each individual employee together with the related identifying information normally included on a trip-by-trip travel authorization. Limited open authorizations may not be issued to cover more than one fiscal year and must be revalidated each quarter by the designated approving official. If travel is no longer needed for an employee, the order will be terminated.

- C. An unlimited open authorization permits an individual to travel for any purpose without further authorization. Unlimited open authorizations for travel are reserved for use only by the Secretary, Under Secretary, Chief of Staff, the Heads of Staff Divisions and Operating Divisions, and Regional Directors. The use of this type authorization should only be used on an exception basis and then only when absolutely essential. Should there be a need for this type authorization, each trip must be justified separately and documentation must be maintained on file as to the purpose of individual trips taken.
- D. Trip-by-trip authorizations are considered the normal and preferred method of authorizing travel. If or when limited open authorizations are being considered, it is the approving official's responsibility to insure that orders are approved only for employees who meet the criteria outlined in subsection B. Trip-by-trip orders must be issued for (1) travel that is outside the conterminous United States, (2) travel that is between Regions and between a Regional office and headquarters, and (3) all overseas and foreign travel.

Because of the relatively high costs associated with conference attendance, training, entitlement and relocation travel, such travel will be authorized only on a trip-by-trip basis and reviewed at a level of authority sufficient to provide policy approval. Approving authority will be no lower than that normally authorized to approve travel on an actual and necessary subsistence expense basis.

- E. An amended order is issued when a change in a previous order is necessary. It should be requested and issued when authority contained in the original order is insufficient for performance of official business or to permit the travel to incur allowable expenses. An amended travel order may not be issued for travel already performed unless an error is apparent on the face of the travel order and all facts

and circumstances clearly indicate that some provision previously determined and definitely intended was inadvertently omitted through error in preparing the order. A travel order may not be amended retroactively to increase or decrease the per diem or mileage rates or other entitlements fixed by the original order. However, when rates of reimbursement are legally changed subsequent to issuance of the travel order and before completion of the trip, travel orders will automatically be amended to reflect the changed rates.

3-00-30 FORM USED

- A. Form HHS-1, Travel Order, (a seven-part snap-out form) is the standard travel order used within the Department. When the form is inadequate due to space and/or copy requirements, the following steps may be taken.
1. Space requirements. Reference may be made on the Form HHS-1 to an attached addendum.
 2. Copy requirements. When additional copies are necessary, the authorized Form HHS-1 may be mechanically reproduced.
- B. Documents are frequently required in addition to Travel Orders for the performance of certain classes of official travel. Refer to the appropriate chapter covering the subject material, i.e., International Travel, PCS, Training, and Acceptance of Cash or In-Kind Services.

3-00-40 ALLOWANCES REQUIRING SPECIFIC AUTHORIZATION

- A. The travel order sets forth the authorized points of travel within a specific period of time and the per diem rates, and provides the special authorizations necessary for travel by privately-owned automobile on a mileage basis, transportation of dependents, shipment of household goods and personal effects, excess baggage, registration fees, allowances for temporary quarters, househunting trips, residence transactions, temporary storage, and miscellaneous moving expenses.
- B. As stated in section 3-00-10, all travel, transportation, and related expenses should be authorized in advance on the

travel order; however, the following allowances must be specifically authorized in advance on the travel order:

1. Transportation of privately-owned vehicles.
2. Househunting trips made in connection with permanent changes of station.

Reimbursement for these expenses will not be made unless advance authorization is provided in the travel order. These expenses may not be approved retroactively by issuance of a travel order of current date, an amended travel order, or approval on the face of the travel voucher (SF-1012).

3-00-50 TRAVEL ORDERS UNDER REIMBURSABLE AGREEMENTS

Reimbursable travel is performed in accordance with a written agreement between the Department and another Federal agency or a nonfederal organization or institution. Travel under these conditions is the same as travel under appropriated funds and is subject to all of the laws and regulations contained in this manual. Travel orders for reimbursable travel will be supported by a copy of the agreement between HHS and the other Federal agency, or Form HHS-348 for reimbursement from nonfederal sources (see Chapter 1-70). The agreement or Form HHS-348 will specify the reimbursement terms of salary, travel, per diem, and other expenses.

3-00-60 ORDERS FOR NONEXPENSE TRAVEL

Official travel which is performed at no expense to the Government should be covered by a travel order that shows that the traveler is on official business while absent from his or her regular post of duty. Travel may be either authorized in advance or approved after travel is performed. Advance authorization is preferable from the standpoint of administrative control, fund control, and establishment of the rights and entitlement of the traveler. However, when no-per diem or no-cost travel is performed in the surrounding areas of the official duty station (for example, travel between Washington, D.C., and Baltimore, MD), blanket travel orders or approval after travel is performed may be routinely used at the discretion of the OPDIV or STAFFDIV.

Lack of advance written authorization for travel will not in itself void the traveler's rights under the Federal Employee's Compensation Act in the event of accident or injury. A post-approved travel order, or a statement from supervisors that the

traveler was performing official duties when the accident occurred will be adequate evidence to afford coverage. The traveler should, however, exercise judgment in the performance of travel without an authorized travel order by obtaining verbal authorization from an immediate supervisor or otherwise making certain that post-approval of the travel will be forthcoming.

3-00-70 PROMPT CANCELLATION OF ORDERS

Travel orders will be cancelled as soon as it is determined that the employee named therein will not travel or incur expenses under the authority of the order. This is particularly important near the end of a fiscal year when unnecessarily encumbered funds may preclude the performance of other necessary travel.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

TRAVEL ORDER

Original Amendment No. _____ Cancellation
(See HHS Travel Manual, Part 3, for Detailed Instructions)

4. NAME AND POSITION OR RANK _____ 5. SSAN _____

6. CONSTITUENT/BUREAU/DIVISION/REGION _____

7. PRESENT OFFICIAL STATION _____

1. TRAVEL ORDER NO. _____

2. APPROPRIATION NO. _____

3. ESTIMATED COSTS*

	TO DHHS	TO OTHERS
TRAVEL	\$ _____	\$ _____
PER DIEM	_____	_____
OTHER	_____	_____
TOTAL	\$ _____	\$ _____

8. APPROX. DATE OF DEPARTURE _____

9. APPROX. DATE OF RETURN _____

10. ITINERARY AND PURPOSE OF TRAVEL (Show city, state or country, dates and reasons - use continuation sheet if necessary)

NOTICE: TRAVELERS ARE RESPONSIBLE AND LIABLE FOR UNUSED GTR'S - TICKETS RECEIVED UNTIL THEY HAVE BEEN PROPERLY ACCOUNTED FOR ON A TRAVEL VOUCHER OR RETURNED TO THE AGENCY.

11. SPECIAL AUTHZTN	TRAVEL BY PRIVATELY OWNED AUTO IS AUTHORIZED ON MILEAGE BASIS RATE SPECIFIED BELOW FOR:			<input type="checkbox"/> EMPLOYEE AND/OR <input type="checkbox"/> DEPENDENTS			11A. CHANGE OF STATION	TRANSPORTATION OF <input type="checkbox"/> DEPENDENTS <input type="checkbox"/> H/H GOODS & PERS. EFFECTS											
	<input type="checkbox"/> PER MILE AS MORE ADVANTAGEOUS TO GOVT			<input type="checkbox"/> PER MILE NOT TO EXCEED COMMON CARRIER COSTS				<input type="checkbox"/> TEMPORARY QTRS <input type="checkbox"/> RESIDENCE TRANSACTIONS <input type="checkbox"/> TEMPORARY STORAGE											
<input type="checkbox"/> GSA AUTO <input type="checkbox"/> AUTO RENTAL UNDER GSA CONTR <input type="checkbox"/> OTHER (Specify below)			<input type="checkbox"/> PER MILE NOT TO EXCEED COSTS BY GOVT-OWNED AUTO			<input type="checkbox"/> HOUSE HUNTING TRIP <input type="checkbox"/> MISC. EXP. ALLOWANCE <input type="checkbox"/> OTHER (Specify)													
<input type="checkbox"/> EXCESS BAGGAGE <input type="checkbox"/> REGISTRATION FEE						HHS-355: <input type="checkbox"/> SIGNED <input type="checkbox"/> NOT REQUIRED													
12. TRAVEL & PER DIEM IS AUTHORIZED IN ACCORDANCE WITH DHHS POLICY AND:							13. FOREIGN TRAVEL	TO BE PERFORMED FOR (DHHS, UN, etc.)											
<input type="checkbox"/> FTRs <input type="checkbox"/> JTR's <input type="checkbox"/> OTHER (Specify)								EXPENSES TO BE PAID BY											
PER DIEM: <input type="checkbox"/> NONE <input type="checkbox"/> IN U.S. <input type="checkbox"/> OUTSIDE U.S. <input type="checkbox"/> VARYING RATES PER ABOVE REGS RATE \$ _____ <input type="checkbox"/> LODGINGS PLUS <input type="checkbox"/> ACTUAL EXPENSE <input type="checkbox"/> FIXED								SECURITY APPROVAL GRANTED FOR TRAVEL OF <input type="checkbox"/> 90 DAYS OR LESS <input type="checkbox"/> OVER 90 DAYS DATE _____											
14. ACCOUNTING DATA (See HHS Acct'g Manual & Acct'g Code Book)							RESPONSIBLE FOR SECURITY CLEARANCE OF TRAVELER ASSUMED BY												
RECORD TYPE	EFF. DATE	TRANSACTION CODE	REVERSE CODE	ORIGINAL OBLIGATION		OTHER DOCUMENTS		GEO CODE	FISCAL YEAR	COMMON ACCOUNTING NO	OBJ. CLASS CODE	AMOUNT DOLLARS & CENTS	FED/INON FED	VENDOR/CUSTOMER CODE (PRIMARY RECIPIENT)	PAYMENT COLLECTION DOC	PPBS		ACTV. FILES	CASE II
				13-15 DOC. REF. CODE	16-25 DOCUMENT NO.	26-28 DOC. REF. CODE	29-38 DOCUMENT NO.									101-106 CATE-GORY	107-108		
				130									1						2

15. NAME AND TITLE OF OFFICER RECOMMENDING ABOVE TRAVEL _____

AUTHORITY IS HEREBY GRANTED TO PERFORM TRAVEL AND TO INCUR SUCH EXPENSES AS MAY BE NECESSARY UNDER THE CONDITIONS SET FORTH ABOVE

AUTHORIZED BY _____ TITLE _____
DATE _____

*To be completed by Office Initiating Travel Order, Other Accounting Data to be Completed by Fiscal/Accounting Office
HHS-1 (REV. 7/89)

Subject: INITIATION AND ISSUE OF TRAVEL ORDERS

3-10-00	Purpose
10	Initiation of Travel Orders
20	Travel Orders Covering Two Fiscal Years
30	Amendments and Cancellations
40	Issue of Travel Orders

3-10-00 PURPOSE

This chapter provides instructions for requesting, processing, and issuing travel orders, amendments, and cancellations.

3-10-10 INITIATION OF TRAVEL ORDERS

- A. Form HHS-1, Travel Order, is used to initiate travel orders (originals, amendments, and cancellations). Travel orders will be initiated by the traveler or the traveler's supervisor (hereafter referred to as the "initiating office").
1. Domestic Travel. Forms initiated for domestic travel should reach the authorizing official at least five working days before the scheduled date of departure.
 2. Foreign Travel. Forms initiated for foreign travel should reach the authorizing official at least thirty days before the scheduled date of departure. Before initiating travel orders involving foreign travel, see Part 6 for additional requirements or variations in procedures.
- B. In order to expedite the issuance of travel orders, the initiating office shall furnish all necessary information. Special attention shall be given to required auxiliary documents and items that require specific advance authorization (section 3-00-40).
- C. Special care should be taken to make estimates of costs as accurate as possible. Common carrier rates, the Standard Highway Mileage Guide, and commuted rate schedules as applicable, should be used. Per diem allowances, taxicab fares, and other costs such as local transportation, telephone calls, and other incidental expenses should be considered when it is likely they will be incurred.

- D. The initiating office shall complete the form. The recommending official will sign in item 15. When an employee travels at the request of an official other than his or her supervisor (e.g., as a member of a committee at the request of the committee chairman), the purpose of the travel will be clearly stated, and the committee, task force or office, and the official requesting the travel will be identified.
- E. The completed form (with required supporting documents) will be routed to the official designated to authorize travel within the area involved.

3-10-20 TRAVEL ORDERS COVERING TWO FISCAL YEARS

When travel or transportation is to be performed beyond the end of the fiscal year, cost estimates will be provided separately for the two fiscal years involved, as follows:

1. The total estimated cost of travel and transportation, whether one way or round trip, will be included in the fiscal year in which travel is to begin.
2. Per diem and miscellaneous travel costs will be divided between:
 - a. Date travel is to begin, through the end of the fiscal year; and
 - b. The beginning of the next fiscal year, through the date travel is to end.
3. The estimated cost of shipping household goods will be included in the fiscal year in which the employee becomes entitled to reimbursement.
4. The estimated cost of storage of household goods will be included in the fiscal year in which the employee becomes entitled to reimbursement.
5. The estimated cost of change of station allowances for residence transactions, miscellaneous expenses, and temporary lodging will be included in the fiscal year in which the employee becomes entitled to reimbursement.

3-10-30 AMENDMENTS AND CANCELLATIONS

- A. Amendments. Amended travel orders shall be issued promptly when authority in the original order is insufficient to enable the traveler to perform official business or to permit the traveler to incur allowable expenses. Amendments are processed in the same manner as the original order, with the "amendment" block checked.

Caution: When amendments are made, the rates, such as per diem or mileage allowances, fixed by the original order may not be increased or decreased retroactively. See section 3-00-20.

- B. Cancellations. Cancellations of travel orders will be initiated by the office that originated the travel orders. Form HHS-1 will be used for this purpose; only the first seven items need be completed and the "cancellation" block checked. Cancellations will be processed and signed by the authorizing official in the same manner as the original order.

3-10-40 ISSUANCE OF TRAVEL ORDERS

- A. "Issuing Office" as used in this chapter means the office which checks the accuracy and completeness of Form HHS-1, assigns and controls travel order numbers, and assures that the travel orders are properly authorized before releasing them to the initiating office. It is usually the travel unit or the office of the official who has authority to authorize or approve travel.
- B. The numbering of travel orders will be controlled by the issuing office in accordance with procedures established by the OPDIV or STAFFDIV.
- C. Travel orders, amendments, and cancellations will be processed and routed as follows:
1. When the necessary information has been assembled and the required auxiliary documents are in order, the issuing office will complete or prepare the HHS-1. All copies, with necessary auxiliary documents, will be forwarded to the official designated to authorize the type of travel involved.

2. When the completed travel order is received and approval is appropriate, the authorizing official's name will be typed on the "Authorized by" line, and title on the "Title" line. The official will sign the "Traveler" copy and return all copies to the issuing office.
3. When the Form HHS-1 has been signed by the authorizing official, the issuing office will retain the "Travel Unit" copy and distribute the others, with necessary attachments, as follows:
 - a. "Traveler" and "Originating Office" copies to the office that submitted the request.
 - b. "Fiscal-Accounting" copy to the accounting office.
 - c. "Fiscal-Audit" copy to the voucher examination office, unless there are other instructions for distribution.
 - d. "Travel Advance" copy, with authorized SF-1038, (Advance of Funds, Application and Account) to the appropriate office to be processed for payment. If a SF-1038 is not submitted with the HHS-1, the "Travel Advance" copy should be returned to the office that submitted the request.
 - e. "Security Officer" copy to the security officer, for foreign travel only.

Subject: ADVANCES OF FUNDS

3-20-00	Purpose
10	Forms Used
20	Employees Eligible for Advance of Funds
30	Amount Allowable
40	Issuance of a Travel Card
50	Request and Issuance of Advance
60	Liquidation of the Advance
70	Control of Funds Advanced
80	Fiscal Offices Responsibility

3-20-00 PURPOSE

This chapter sets forth the conditions under which an advance of funds may be made, the amount of advance allowable, and the procedures for requesting, processing, and liquidating an advance. The provisions of this chapter apply to both domestic and foreign travel of all civilian employees, members of the uniform services and to any travel advance issued to other persons whose travel expenses are paid for by HHS. Advances for change of official station are covered in Appendix B of this manual and are identified to the specific relocation situation for which an employee may receive an advance.

3-20-10 FORMS USED

Standard Form 1038, Application and Account for Advance of Funds, will be used by employees who apply for advance of funds.

3-20-20 EMPLOYEES ELIGIBLE FOR ADVANCE OF FUNDS

- A. Any employee, including consultants, who is authorized to travel on official business is eligible for an advance of funds.
- B. Any employee whose training has been authorized under the Government Employees Training Act is eligible for an advance for reimbursable expenses as set forth in Chapter 1-80.

3-20-30 AMOUNT ALLOWABLE

- A. An advance of funds is limited, within the prescribed formula, to the estimated out-of-pocket expenses that cannot be charged and must therefore be paid using cash, personal check, or travelers check. It is assumed that travelers

will be able to charge their common carrier transportation, lodging, rental of automobiles and airplanes, and gasoline and other automobile expenses. Travelers may continue to use Travel Management Centers (TMC's) and Scheduled Airline Traffic Offices (SATO's) for the purpose of obtaining common carrier transportation.

- B. The following formula is prescribed for advances of funds:

Travel Expenses. The amount of an advance is limited to the estimated out-of-pocket expenses the employee is expected to incur prior to reimbursement. Estimated out-of-pocket expenses may be derived by multiplying the M&IF allowance by the number of days or partial days the employee is expected to be in travel status, plus other reimbursable miscellaneous expenses, i.e., taxis, tolls, parking, etc. The amount advanced shall not exceed the estimated expenses for a period of forty-five days.

The amount of the M&IE advanced for travel within the conterminous United States (CONUS) shall not exceed the M&IF allowance prescribed in the Federal Travel Regulations, and for travel outside CONUS the amount advanced shall not exceed 45 percent of the per diem rate for the locality concerned, unless a lesser rate has been prescribed in the travel authorization.

- C. There are two exceptions to the limited advance policy:
1. If properly substantiated, and the authorizing official determines that the travel circumstances of a particular duty assignment prohibit the use of a charge card to purchase their agency transportation, lodgings, car rental, or other travel expenses, he or she may approve an advance up to the full estimated cost for that particular duty assignment.
 2. If an employee is an infrequent traveler and it is determined that he or she should not be issued a travel charge card, the full estimated cost may be advanced.

3-20-40 ISSUANCE OF A TRAVEL CARD

It has been determined that a frequent traveler is an employee who is expected to travel at least twice a year. Therefore, Government contract-issued charge cards must be offered to all employees who are frequent travelers and all employees who request a card.

3-20-50 REQUEST AND ISSUANCE OF ADVANCE

A. Request for Advance. A traveler should submit an application for an advance of funds on Standard Form 1038, Advance of Funds Application and Account (Exhibit 3-20-A), prepared in original copy only. If the advance is to be paid in cash by the Agent Cashier, this must be noted on the SF-1038. The application, together with the "Travel Advance" copy of Form HHS-1, Travel Order, will be forwarded to the official who is authorized to approve advances of funds.

B. Action by Approving Official. The approving official will compare the request for travel advance with the travel order and the provisions of Section 3-20-30 to make certain that the amount requested is not more than the amount allowable.

If appropriate, the approving official will sign the SF-1038 and forward it, together with the "Travel Advance" copy of the travel order either to the appropriate office for preparation of a check, or to the employee if the advance is to be paid by third-party draft, travelers checks, or in cash by the Agent Cashier.

If the advance is not approved, the SF-1038 shall be returned to the employee with a statement of the reason for disapproval.

C. Payment to Employee. The travel advance may be paid to the employee by Treasury Check, in cash, travelers checks, or third party drafts from an imprest fund, upon submission of the authorized SF-1038 and the "Travel Advance" copy of the HHS-1 to the Agent Cashier. In accordance with Treasury regulations, a travel advance paid in cash from an imprest fund may not exceed \$500 except in emergency situations. When travel orders are issued too late to obtain the advance through regular disbursing channels; an emergency travel advance paid from an imprest fund may not exceed \$750. Travel advances paid through a third-party draft may not exceed \$1,000.

Once the cashier has paid the travel advance from the imprest fund, whether to the traveler or to an individual authorized by the traveler to collect the advance on his/her behalf, the traveler is personally responsible for repayment of that advance.

- D. Normally cash or third-party draft travel advances will be made no sooner than two work days prior to the effective date of the travel order.

3-20-60 LIQUIDATION OF THE ADVANCE

- A. The employee shall repay his/her travel advance by indicating on the travel voucher the amount of the advance to be liquidated in accordance with the provisions listed below. If the amount of reimbursement to the employee is inadequate to liquidate the advance the employee shall pay the difference in cash, or by check or money order made payable to the "Treasurer of the United States". Payment should accompany the travel voucher.
1. Advance for Travel Expenses.
 - a. When the advance is for a specific trip, the full amount of the advance will be liquidated by the submission of a travel voucher within five working days after completion of the trip for which the advance was issued. Travel vouchers under blank orders will normally be submitted within five working days after the close of the month. Under unusual circumstances, approving officials may allow travelers up to ten working days to submit their travel vouchers.
 - b. In cases where an employee is on extended temporary duty (seven weeks or longer), the maximum cash advance may not exceed the estimated travel expenses for a 45-day period. Travelers should be informed of this limitation, and of the necessity for them to submit their travel vouchers to the paying fiscal office every thirty days and/or again immediately upon completion of the travel.
 - c. Vouchers covering reimbursement for permanent change of station movement of household goods should be submitted within ten working days after payment has been made to the carrier. Under unusual circumstances, employees may be authorized up to twenty working days following payment to submit their claim. Normally, applications for advances in connection with the shipment of household goods will not be processed until the

funds are actually required (after allowing adequate lead time to process the advance) to pay the carrier.

- d. For employees with blanket orders, a cash advance will not be issued in excess of the estimated travel to be performed with a forty-five day period. Vouchers for blanket orders should be submitted every thirty days or at the completion of the last trip for the month. Authorizing officials will conduct a review of blanket orders monthly to insure that they are being used and needed.

If a blanket order has not been used for a period of forty-five days, the order should be cancelled and any advance refunded immediately.

- B. At any time the fiscal office deems it necessary, an employee may be required to liquidate the outstanding balance, reduce the amount, or justify continuation of the advance. In the event of cancellation or indefinite postponement of travel for which an advance has been issued, the employee shall immediately refund the full amount of the advance.

3-20-70 CONTROL OF FUNDS ADVANCED

- A. The following steps will be taken to provide control measures for Federal funds that have been advanced to employees.
 1. Fiscal offices that maintain travel advance records will review outstanding Forms SF-1038 monthly. Normally, the review can be made at the same time that the Forms SF-1038 are reconciled with the general ledger control account. The primary purpose of the review is to identify travel advance balances that have not been reduced during the periods specified below. Unless the fiscal office is already aware of, and is satisfied with, the reason why a balance has not been reduced, the following actions should be taken:
 - a. When an advance is outstanding for thirty days after the travel should have been completed, the office maintaining the advance records (SF-1038) will advise the employee and the official who authorized the advance, that repayment should be

made immediately or a satisfactory explanation given as to why clearance of the balance will be further delayed. The employee will be allowed fifteen days to respond. If a satisfactory reply is not received within the specified time period or the Fiscal Office has been unable to recover funds advanced to an employee, the Division of Central Payroll will be notified in order that a setoff against any amounts due the employee can be made as prescribed in the Departmental Personnel Manual.

- b. Employees must liquidate advances upon separation or transfer from the Department. Courses of action which can be taken to recover amounts due in such instances are included in the General Administration Manual. Each OPDIV, STAFFDIV, agency, bureau and region will take action to insure that employees leaving the Department have cleared all outstanding advances prior to their departure.
2. When a travel advance balance is outstanding, any request for an additional advance must be countersigned by the Chief Fiscal Officer of the office maintaining the travel advance records before payment of the advance can be made. Note that when there is a balance due from a previous advance, an explanation of the need for the additional advance should be made in the "Remarks" section.

- B. The authorized SF-1038 is the official record of an outstanding travel advance. The fiscal office must maintain the file of unliquidated SF-1038s with appropriate safeguards to prevent loss.

3-20-80 FISCAL OFFICES' RESPONSIBILITY

It is the responsibility of the fiscal office to process travel vouchers in a timely manner. Therefore, internal procedures must be established to insure that travel vouchers are paid within 20 working days after being submitted.

<p>ADVANCE OF FUNDS APPLICATION AND ACCOUNT</p> <p>1. TYPE OF ADVANCE? TYPE OF TRAVEL</p> <table style="width:100%;"> <tr> <td style="width:50%;"><input type="checkbox"/> CASH</td> <td style="width:50%;"><input checked="" type="checkbox"/> TEMPORARY</td> </tr> <tr> <td><input checked="" type="checkbox"/> CHECK</td> <td><input type="checkbox"/> PERMANENT</td> </tr> </table>	<input type="checkbox"/> CASH	<input checked="" type="checkbox"/> TEMPORARY	<input checked="" type="checkbox"/> CHECK	<input type="checkbox"/> PERMANENT	<p>3. NAME (Last, first, middle initial) Higgins, George H.</p> <p>4. ACCOUNT NO.</p> <p>5. TELEPHONE NUMBER(S) 123-4567</p> <p>6. SOCIAL SECURITY ACCOUNT NO. 123-45-6789</p>	<p>7. DEPARTMENT OR ESTABLISHMENT Health and Human Services</p> <p>8. BUREAU, DIVISION OR OFFICE Office of the Secretary</p> <p>9. APPLICATION -- (For completion by applicant)</p> <p>An advance of funds is hereby requested for travel and other expenses to be incurred by me.</p> <p>a. UNDER AUTHORIZATION NUMBER 12345</p> <p>b. DATE OF AUTHORIZATION 4/18/8X</p> <p>c. TRAVEL PERIOD From 4/21/8X to 4/23/8X</p> <p>d. MAIL CHECK TO: <input type="checkbox"/> OFFICE <input checked="" type="checkbox"/> RESIDENCE (Give address - number, street, city, State, ZIP code)</p> <p>1234 Elm Lane Falls Church, Virginia 12345</p>
<input type="checkbox"/> CASH	<input checked="" type="checkbox"/> TEMPORARY					
<input checked="" type="checkbox"/> CHECK	<input type="checkbox"/> PERMANENT					
<p>10. APPROVAL</p> <p>SIGNATURE AND TITLE OF APPROVING OFFICIAL</p> <p>DATE APPROVED 4/18/8X</p>		<p>11. APPROPRIATION TO BE CHARGED</p> <p>DATE 4/18/8X</p>				
<p>12. REMARKS</p>		<p>13. CASH PAYMENT RECEIVED</p> <p>DATE</p>				

1038-108
 STANDARD FORM 1038 (REV. 10-77)
 Prescribed by GSA, FPMR (41 CFR) 101-7

Subject: Travel Reservations, Frequent Flyer Programs, and OPDIV Travel Programs

3-30-00	Purpose
10	Mandatory Use of Government Travel Management Services for Reservations
20	Frequent Traveler Programs and Promotional Materials
30	OPDIV Travel Management Programs

3-30-00 PURPOSE

This chapter provides supplemental guidance for HHS civilian employees and Operating Division (OPDIV) management on making official travel reservations, participating in frequent flyer programs, and implementing OPDIV travel programs.

3-30-10 MANDATORY USE OF GOVERNMENT TRAVEL MANAGEMENT SERVICES FOR RESERVATIONS

When the OPDIV provides travel management services under a Government contract (such as a commercial travel agent - Travel Management Center - or an electronic travel services system), employees must use those services to arrange for common carrier transportation, lodging, and rental car. If an employee uses an unauthorized travel agent or unauthorized travel management system, the employee will be responsible for any additional costs that result from the unauthorized use.

HHS policy exceptions from mandatory use of Government-provided Travel Management Services for Reservations:

1. If a Government agency sponsors a conference, arranges for a block of rooms to be available for federal attendees at a specified rate in one or more specific hotels, and provides a telephone number for making reservations, the traveler or his/her office may make the reservation through this method.
2. If there is an unusual, urgent, emergency situation where it is not possible to use the Government-provided travel management services for arranging for common carrier transportation, lodging, and/or car rental, the travel authorizing or approving official may grant an exception for the specific travel arrangement, if appropriate justification is provided.

Note: Heads of Operating and Staff Divisions or their designees may grant additional policy exceptions from the mandatory use of Government-provided travel management services for other types of travel arrangements, as deemed appropriate. This policy authority should only be delegated to a senior policy official, such as a Chief Financial Officer, in order to ensure

compliance with requirements in the Federal Travel Regulation for agency travel management systems.

Effective Date: Travel on or after January 1, 2001

Federal Travel Regulation Guidelines:

- FTR Part 301-50, Arranging for Travel Services
- FTR Part 301-73, Travel Programs

3-30-20 FREQUENT TRAVELER PROGRAMS AND PROMOTIONAL MATERIALS

Federal Travel Regulation Guidelines:

- FTR Part 301-10, Subpart B, Common Carrier Transportation
- FTR Part 301-53, Using Promotional Materials and Frequent Traveler Programs

A. General Policy

Any promotional benefits or materials an employee receives from a private source in connection with official travel are considered the property of the Government. Frequent traveler benefits earned on official travel should only be used to obtain travel services for a subsequent official travel assignment. Employees should be encouraged to join frequent traveler programs, where membership is expected to reduce government travel costs. Travel authorizing and approving officials may authorize reimbursement for membership fees in frequent traveler programs, if they determine that the benefits of membership are expected to exceed membership costs.

B. Accounting for Frequent Traveler Benefits, such as Mileage Credits

Employees should establish separate frequent traveler accounts for personal versus official use. If they cannot establish separate accounts, it is the employees' responsibility to account for every credit and debit in their combined accounts and submit an accounting to the management of their Operating Division upon request. Absent proper accounting documentation, the entire frequent flyer account balance will be deemed government property. See guidelines in FTR 301-53.

C. Employee Liability for Improper Use of Frequent Traveler and Promotional Benefits

All promotional materials (e.g., bonus flights, reduced-fare coupons, cash, merchandise, gifts, credits toward future free or reduced costs of services or goods, etc.) received by employees in conjunction with official travel and based on the purchase of a ticket or other services (e.g. car rental) are properly considered to be due the Government and may not be retained by the employee (with the exception of complimentary benefits of no value discussed in Paragraph E). Employees who improperly use frequent traveler or other promotional benefits can be subject to disciplinary action and criminal sanctions. Employees may be personally liable to the government

for the value of promotional items of value to the government (mileage credits, half-fare coupons, etc.) which were earned on official travel if they use these items for personal travel. This applies even if the government was unable to take advantage of the promotional benefit prior to its expiration.

Note: under certain conditions, employees may keep compensation provided by airlines for voluntarily vacating their reserved seat on a plane. See FTR 301-10, Subpart B, Common Carrier Transportation for requirements pertaining to voluntarily vacating a reserved seat. Also, refer to HHS Travel Manual Section 4-10-70.

D. Redemption of Frequent Traveler Mileage Credits for Accommodation Upgrades

Employees may upgrade their transportation class of service to premium-class other than first-class airline accommodations through the **redemption** of frequent traveler benefits (such as mileage credits), when they receive authorization to use these benefits for a specific trip from their designated OPDIV authorizing official. Authorization must be documented on the travel order (pre-approved) or, when properly justified, authorization may be post-approved on the travel voucher.

Employees may not upgrade to first-class accommodations through the **redemption** of frequent traveler benefits (such as mileage credits), unless their travel meets the special conditions listed for first-class travel under the airline accommodation guidelines of FTR 301-10 Transportation Expenses and the designated OPDIV official authorizes the use of frequent travel benefits for such an upgrade on a specific trip. Authorization must be documented on the travel order (pre-approved) or, when properly justified, authorization may be post-approved on the travel voucher.

E. Promotional Program Exception - Complimentary Benefits With No Current or Future Benefit to Government and No Cash Value

Employees may make personal use of benefits from promotional programs (such as **complimentary** upgrades to first-class involving no exchange of frequent flyer miles, free meals, membership in clubs, and check-cashing privileges) only if:

1. The government cannot use the benefit;
2. To receive the benefit, the employee does not forfeit a future benefit the Government could use; and
3. The benefit can not be redeemed for cash value.

If an employee uses a complimentary personal upgrade to a premium-class accommodation for official business travel, the employee must document on the travel voucher that a complimentary promotional upgrade to this accommodation was used. This documentation will provide justification as to why the trip ticket shows premium seating and no authorization for an upgrade was on the travel authorization.

3-30-30 OPDIV TRAVEL MANAGEMENT PROGRAMS

HHS OPDIVs are responsible for providing a travel management program for their employees, which will include: (a) travel management services, (b) commercial passenger transportation services, and (c) travel payment system services. OPDIVs are responsible for establishing and communicating supplemental policies and procedures to govern the use of these travel management, transportation, and payment services, as appropriate. Effective January 1, 2001, all OPDIVs must have a travel management system in place that will meet the requirements of FTR Part 301-73, Subpart B, Travel Management Services, including the requirements of the Hotel/Motel Fire Safety Act.

OPDIV travel management and payment systems should provide for the procurement of travel services through the Government-issued travel card or centrally billed accounts. They should only use Government Transportation Requests (GTRs) when no other option is available or feasible. OPDIVs should adopt commercial practices and eliminate GTR use to the maximum extent possible.

Federal Travel Regulation Guidelines:

- FTR Part 301-10, Subpart B, Use of Contract City-Pair Fares
- FTR Part 301-50, Arranging for Travel Services
- FTR Part 301-73, Travel Programs

Subject: Transportation Expenses

4-10-00	Purpose
10	Transportation Expenses - General
20	Transportation Method, Travel Routing, and Tips
30	Procuring Common Carrier Transportation
40	Mandatory Use of Contract Fares and When Cannot Use
50	Coach Class and When Higher Class Accommodation Upgrades Allowed
60	Fly America Act Requirements
70	Compensation From Airline for Seat Denial vs. Voluntary Vacate
80	Use of Privately Owned Vehicles and Rental Cars
90	Internal Controls Over Authorization and Payment of Expenses

4-10-00 PURPOSE

This Chapter provides supplemental guidance for HHS civilian employees and Operating Divisions regarding allowable transportation expenses for temporary duty travel.

4-10-10 TRANSPORTATION EXPENSES - GENERAL

HHS travel authorizing and approving officials, as well as HHS travelers, will follow the provisions of the Federal Travel Regulation and these supplemental HHS policy guidelines in authorizing, incurring, and approving transportation expenses.

Federal Travel Regulation Guidelines:

- FTR Part 301-10, Transportation Expenses
- FTR Part 301-70, Subpart B, Agency Responsibilities for Policies and Procedures Relating to Transportation
- FTR Part 301-72, Agency Responsibilities Related to Common Carrier Transportation

These sections of the FTR provide detailed guidance to the employee and to the agency's management, respectively, regarding transportation expense policies. Topics in FTR Part 301-10 include:

- Subpart A - General, Transportation method and routing
- Subpart B - Common Carrier Transportation
 - Air - Mandatory use of contract city-pair fares
 - Air - Fly America requirements
 - Air - Compensation for denial of boarding and voluntary vacating of seat
 - Air - When other than coach class is allowed
 - Train - When other than coach is allowed

- Ship - U.S. flag ship requirement and class of accommodation
- Local Transit System use (bus, subway, etc.)
- Subpart C - Government Automobile and Aircraft use
- Subpart D - Privately Owned Vehicle use
- Subpart E - Special Conveyance use (taxis, shuttles, and rental cars)

4-10-20 TRANSPORTATION METHOD, TRAVEL ROUTING, AND TIPS

A. Transportation Method and Routing

The HHS travel authorizing official is responsible for determining the method(s) of transportation **most advantageous to the Government**, when cost and other factors are considered. If an employee travels by a non-authorized method of transportation, any additional expenses will be borne by the employee. For example, if an employee is authorized to travel via plane and chooses to travel via personally-owned vehicle (POV), the total constructive cost of the trip via the authorized method (plane) must be calculated (including transportation, per diem, etc.) and then compared to the total actual cost of the trip via POV. The employee's reimbursement is limited to actual expense, not to exceed the total constructive cost.

The HHS travel authorizing official should only authorize travel to official duty destination points. If an employee travels by an indirect route or interrupts travel by a direct route **for personal convenience**, reimbursement will be limited to the cost of travel by a direct route or on an uninterrupted basis and the employee will be responsible for any additional costs. Refer to Sections 4-10-30, Procuring Common Carrier Transportation, and 4-10-40, Mandatory Use of Contract Fares and When Cannot Use, for additional information about indirect or interrupted travel for personal convenience.

Federal Travel Regulation Guidelines:

- FTR Part 301-10, Subpart A, General - Transportation Expenses

B. Tips for Transportation

Effective January 1, 2001, it is an HHS policy that tips to a taxi, shuttle service or courtesy transportation driver are limited to 15 percent of the service charge; if there is no service charge, the limit for tips is \$2. Note: this expense should be recorded as a transportation expense on the voucher; it is not included in the \$2 "incidentals" portion of per diem.

4-10-30 **PROCURING COMMON CARRIER TRANSPORTATION**

A. Prohibition Against Use of Cash for Common Carrier Transportation

Employees are required to use a Government contractor-issued individually billed travel card, centrally billed account, or a Government Transportation Request (GTR) to procure contract passenger transportation services. If a new employee or an invitational or infrequent traveler who is unaware of proper procedures, makes an unauthorized cash purchase of common carrier transportation, the Operating Division travel authorizing or approving official may allow reimbursement for the full cost of the transportation as a **one-time exemption** (any future travel must in accordance with established policy). In all other instances, reimbursement to the employee will be limited to the cost of such transportation using the authorized method of payment.

Unauthorized cash purchases of common carrier transportation include: (a) use of personal credit cards, (b) cash withdrawals from an ATM using the Government-issued travel card, and (c) checks, both personal and travelers. For passenger transportation services costing \$100 or less, an employee may use cash to procure the services only when use of the Government contractor-issued individually billed travel card, centrally billed account and GTR are not practicable. For passenger transportation services costing more than \$100, the OPDIV's designated authorizing or approving official can authorize the use of a cash-equivalent purchase method to obtain a reduced fare for group, charter, or excursion arrangements or under emergency circumstances, where the use of other methods is not possible. To justify the use of cash in excess of \$100, both the employee and the employee's authorizing or approving official must certify on the travel claim the necessity for such use.

B. Personal Liability for Purchase of Indirect Route Transportation Tickets for Personal Convenience

Employees must travel to their official destination points by the usually traveled route unless their travel authorizing official approves a different route as **officially necessary**. Employees who for personal convenience travel by an indirect route or interrupt travel by a direct route are personally liable for any additional costs. In the case of indirect or interrupted travel, reimbursement cannot exceed the constructive cost of direct routing or the actual cost of travel, whichever is less.

For example, if an employee decides to travel by an indirect route for **personal convenience** and exchanges a **refundable** transportation ticket issued for the official travel duty locations for the personal purchase of a transportation ticket for the indirect route, the employee is personally liable for the entire cost of the personal ticket if the official travel is subsequently canceled by the OPDIV. This is because the government ticket was refundable, so the constructive cost of the canceled official trip to the government was zero. It was the employee's personal choice to

exchange the refundable direct route ticket for an indirect route ticket for personal convenience.

Note: See a related topic about personal and indirect travel in Section 4-10-40, Paragraph B, When Contract Fares May Not Be Used.

Federal Travel Regulation Guidelines:

- FTR Part 301-10, Subpart A, General, Transportation Expenses
- FTR Part 301-51, Subpart B, Paying for Common Carrier Transportation

C. Government Liability for Authorizing Restricted, Non-Contract Fares for Common Carrier Transportation

The FTR Part 301-10, Subpart B, Use of Contract City-Pair Fares, lists exceptional circumstances when a contract government fare does not have to be used. When such circumstances exist and the travel authorizing official authorizes the procurement of a restricted or non-refundable commercial fare for the official trip AND the government undertakes actions (such as canceling the trip or changing the travel dates) which result in (a) the inability of the traveler to use the restricted ticket and obtain a refund or (b) the incurrence of a cancellation or re-issuance fee to change dates, then the government is liable for the costs arising from its actions. The employee must submit the unused authorized ticket to the OPDIV, according to its procedures.

However, the government is not liable for any **additional** costs resulting from personal actions taken by the employee, such as exchanging an authorized restricted commercial fare for direct travel on official business for a different commercial fare for indirect travel for personal convenience. See Paragraph B. above.

D. Accountability for Tickets and Other Transportation Documents

Employees are responsible for all transportation tickets, Government Transportation Requests and other transportation documents for official travel issued to them. Employees may be personally liable for any additional cost for official travel resulting from improper safeguarding of these transportation documents. Example, employees may be personally responsible for any airline fee to reissue a lost or stolen airline ticket for official travel. Employees must submit any unused tickets, coupons, or other evidence of refund to their OPDIV or contract Travel Management Center, in accordance with OPDIV procedures.

Federal Travel Regulation Guidelines:

- FTR Part 301-51, Subpart B, Paying for Common Carrier Transportation
- FTR Part 301-72, Agency Responsibilities Related to Common Carrier Transportation

4-10-40 MANDATORY USE OF CONTRACT FARES AND WHEN CANNOT USE

A. Mandatory Use of Contract City-Pair Fares

If the GSA city-pair contract for passenger transportation services is available to an employee for official travel, the employee must use the contract carrier unless one or more of the exceptions listed in FTR Part 301-10, Subpart B applies. The employee is personally liable for any additional costs or penalties incurred resulting from unauthorized use of non-contract service.

Contract airfares may be used when an employee takes annual leave at the temporary duty station before or after the official travel assignment when there is no deviation of routing from the official travel points. However, OPDIVs may issue restrictive policies, especially when extensive leave will be taken at the temporary duty station in advance of the official travel. Refer to Section 4-10-90, A. Management Controls Over Issuance of Official Business Tickets.

B. When Contract Fares May Not Be Used

1. Official Travel Being Paid Directly by Non-Federal Sources

GSA contract airfares should only be used for official travel that is being paid by federal funds. This includes approved sponsored travel under FTR Part 304 Payment from a Non-Federal Source for Travel Expenses, when the agency pays for the employee's transportation and is reimbursed by a non-federal source. They should not be used for official travel being paid directly by other funding sources (personal or non-federal organizations). Example, they should not be used for the travel of an intern whose salary and travel expenses during his/her internship with HHS are being paid directly by a State government.

2. Personal Travel and Official Travel by an Indirect Route for Personal Convenience

GSA contract airfares may not be authorized for personal travel by employees. Personal travel includes when an employee, for personal convenience, travels by an indirect route or interrupts travel by a direct route for an official travel assignment. Employees who choose to travel by an indirect route for personal convenience may not obtain Government contract fares for the indirect route portions of their trip, which are considered personal travel. Also, they may not use the Government-issued travel card or a centrally-billed account to pay for tickets for these indirect travel points. Usually, the employee will be issued a round-trip ticket (at the Government contract fare, if available) by the OPDIV's Travel Management Center (TMC) for the direct route to and from the official duty points. If the employee chooses to travel by an indirect route for personal convenience, he/she can request the TMC to exchange a part or all of the Government authorized ticket

for travel by an indirect route. See Section 4-10-30, B. Personal Liability for Purchase of Indirect Route Transportation Tickets for Personal Convenience.

3. Contractors (including cost-reimbursable)

Use of GSA contract air passenger fares is governed by GSA's contracts with the airlines. As of 10/1/98, under GSA's contracts, contractors (including cost-reimbursable) are not eligible to use GSA's contract city fares. Invitational travel orders should not be issued for contractors at the Government contract fare, nor should contractor travel tickets be issued on Government centrally-billed accounts at the Government contract fare.

Federal Travel Regulation Guidelines:

- FTR Part 301-10, Subpart B, Use of Contract City-Pair Fares

4-10-50 COACH CLASS AND WHEN HIGHER CLASS ACCOMMODATION UPGRADES ALLOWED

Employees must use coach-class accommodations for travel by airline or train, unless specifically authorized/approved to use a higher class of service in accordance with the provisions of FTR 301-10, Subpart B. There are different restrictions for using "first-class" versus "premium-class other than first-class" accommodations. Travelers should pay strict attention to the FTR definitions of the different service classes because airlines frequently identify them by a different term. For example, the FTR states that when an airline flight only has two classes of accommodations, the higher-class is considered to be first class, regardless of the term used by the airline for that class (such as business-class). Employees must follow the FTR class of service definitions.

For travel by ship, employees must use the lowest first class of reserved accommodations available, unless specifically authorized/approved to use a higher class of service in accordance with the provisions of FTR 301-10, Subpart B.

Please refer to HHS Travel Manual Section 3-30-20, Frequent Traveler Programs and Promotional Materials, for HHS policies on using frequent flyer benefits for transportation accommodation upgrades.

Federal Travel Regulation Guidelines:

- FTR Part 301-10, Subpart B, Airline, Train, and Ship Accommodations

4-10-60 FLY AMERICA ACT and U.S. FLAG SHIP REQUIREMENTS

Under the Fly America Act (49 U.S.C. 40118), anyone whose air travel is financed by U.S. Government funds must use U.S. flag air carrier service for all air travel, unless their travel is covered under one of the few exceptions provided in the FTR. U.S. flag air carrier service includes service provided under a code share agreement with a foreign air carrier when the ticket, or documentation for an electronic ticket, identifies the U.S. flag air carrier's designator code and flight number. An employee will not be reimbursed for any transportation cost for improper use of a foreign air carrier service.

Under 46 U.S.C. App. Sec. 1241, employees must travel by a U.S. flag ship, when available, unless mission necessity requires use of a foreign ship.

Federal Travel Regulation Guidelines:

- FTR Amendment 74, Use of Commercial Transportation, Fly America Act
- FTR Part 301-10, Airline and Ship Accommodations

4-10-70 COMPENSATION FROM AIRLINE FOR DENIAL OF SEAT VERSUS VOLUNTARILY VACATING SEAT

The FTR states that when an airline denies a federal employee a confirmed reserved seat on a plane during official travel, any payment for liquidated damages belongs to the federal government and should be made out to the "Treasurer of the United States." In contrast, if an employee voluntarily vacates his or her seat, the employee may keep any compensation provided by the airline if the conditions specified in the FTR are met: (a) vacating the seat will not interfere with performing official duties; and (b) additional travel expenses, if incurred as a result of vacating the seat, are borne by the employee and are not reimbursed. If volunteering delays the employee's travel during duty hours, the management of the Operating Division will charge the employee with annual leave for the additional hours.

Federal Travel Regulation Guidelines:

- FTR Part 301-10, Subpart B, Common Carrier Transportation

4-10-80 USE OF PRIVATELY OWNED VEHICLES, RENTAL CARS, AND OTHER SPECIAL CONVEYANCES

Policies on the use of privately owned vehicles and special conveyances (taxis, shuttles, rental vehicles, etc.) for official travel are covered in Federal Travel Regulation Guidelines:

- FTR Part 301-10, Subpart D, Privately Owned Vehicles

- FTR Part 301-10, Subpart E, Special Conveyances

A. Use of Privately Owned Vehicles (POVs)

When an employee is authorized to use a POV for official travel, the employee may be reimbursed for the mileage to and from the official destination at the current FTR mileage cost rate, plus fees for parking, ferries, and tolls. An employee may not be reimbursed for repairs, depreciation, replacements, grease, oil, antifreeze, towage, and similar speculative expenses. Other non-reimbursable costs are: parking violations, locksmith charges, flat tires, and gasoline purchases.

Note: under U.S. Code Title 5, Section 5704, the FTR mileage cost rate is developed by GSA based upon a review and analysis of factors, such as: depreciation of original vehicle cost, gasoline and oil (excluding taxes), maintenance, accessories, parts, and tires, insurance, and State and Federal taxes. Because these items are factored into the FTR mileage cost rate paid to the employee, there is no additional reimbursement for them.

B. Use of Rental Vehicles

When an employee is authorized to hire a rental vehicle for official travel, the employee may use the rental vehicle for official uses while at the temporary duty station, including travel to and from restaurants near the work site or hotel. Employees are encouraged to obtain vehicles from rental agencies who have negotiated agreements with the Department of Defense, Military Traffic Management Command, when they have rental cars available which meet mission requirements. The terms and conditions of the agreements and rates apply to all Federal employees on official travel and include unlimited free mileage, plus full loss/collision damage waiver (LDW/CDW) on the rental vehicle.

If an employee takes a trip away from the temporary duty point on a weekend or other non-workday or at any other off-duty time for reasons not related to official travel, any additional expenses incurred may not be claimed. Additional costs, such as gasoline purchases that cover travel mileage for personal reasons, are not reimbursable. Additionally, employees should be aware that the Government can deny liability for any loss or damage to the rental vehicle that arises from activities outside the scope of official business travel.

4-10-90 INTERNAL CONTROLS OVER THE AUTHORIZATION AND PAYMENT OF TRANSPORTATION EXPENSES

Heads of Operating Divisions and Staff Divisions or their designees are responsible for establishing appropriate management controls over the authorization and payment of transportation expenses to ensure compliance with the Federal Travel Regulation, the HHS Travel Manual, and their own supplemental policy and procedure requirements.

OPDIV travel and finance offices are encouraged to obtain and use the "U.S. Government Passenger Transportation Handbook" as a reference tool. This document provides extensive information on using and controlling Government Transportation Requests, handling transportation refunds, redeeming unused tickets, and other pertinent topics. It is issued by GSA, Federal Supply Service; copies can be obtained from Audit Division, Federal Supply Service (FBT), GSA, 1800 F Street, NW, Washington, DC 20405.

A. Management Controls Over Issuance of Official Business Tickets

OPDIV travel managers are responsible for establishing supplemental policies and procedures to control the issuance of official business tickets through their Travel Management Centers/Systems, including when employee leave and/or indirect travel are involved. Controls are needed to ensure that tickets are issued in accordance with agency mission requirements (not to facilitate personal travel plans) in the interest of compliance with the FTR and sound cash management practices. Controls must include administrative procedures to identify and collect unused, partially used, and exchanged tickets, refund receipts or ticket refund applications, and denied boarding compensation.

Federal Travel Regulation Guidelines:

- FTR 301-70, Subpart B, Internal Policy and Procedure Requirements Relating to Transportation
- FTR 301-72 Agency Responsibilities Related to Common Carrier Transportation

B. Management Controls Over Rental Vehicles and Use of Privately Owned Vehicles

OPDIV and STAFFDIV travel/logistics/administrative managers are responsible for establishing appropriate supplemental policies and procedures to control the authorization and use of Government, rental, and privately owned vehicles for official use. For example, they should provide guidance to their employees regarding the terms and limitations of Government rental car agreements, including loss and damage coverage, exclusions, and billings. They should advise employees about special policies and procedures for operating rental and privately owned vehicles in foreign countries, if applicable. They should advise employees about filing personal property loss or damage claims resulting from the use of a vehicle while on official business in accordance with HHS claims policies and procedures.

Subject: Miscellaneous Expenses

4-20-00 Purpose
10 Reimbursable Miscellaneous Expenses

4-20-00 PURPOSE

This chapter provides supplemental guidance for HHS civilian employees on reimbursable miscellaneous expenses incurred during official travel.

4-20-10 REIMBURSABLE MISCELLANEOUS EXPENSES

HHS authorizing and approving officials may authorize or approve reimbursement of miscellaneous expenses, as listed in the Federal Travel Regulation Part 301-12 and these supplemental HHS policy guidelines. Each type of miscellaneous expense will be reported as a separate line item on the travel voucher, indicating the amount and dates when incurred. In general, receipts are required only when the individual expense is greater than \$75. In addition, there are special requirements for the types of miscellaneous expenses listed below in this Section.

Federal Travel Regulation Guidelines:

- FTR Part 301-12 Miscellaneous Expenses
- FTR Amendment 75, General and Temporary Duty Travel Allowances, effective for official travel performed on or after January 1, 1999

Note: An Operating Division's travel policy on miscellaneous expense reimbursement may be different from the Departmental guidelines contained in this Manual. The Operating Division's travel policy is governing over its employees.

HOTEL TAXES

A. Hotel Taxes

1. Continental U.S. (CONUS) - Effective for travel on or after January 1, 1999, GSA issued FTR Amendment 75 that removed hotel taxes from lodging rates previously included in the per diem rates for the **continental U.S.** Hotel taxes are now a miscellaneous expense item.
2. Non-foreign Duty Areas (OCONUS) - Effective for travel on or after January 1, 2000, the Department of Defense removed hotel taxes from lodging rates for non-foreign duty areas outside of the continental U.S. Non-foreign areas include: Alaska, Hawaii, Puerto Rico, Guam, Northern Mariana Islands, and territories and

possessions of the U.S. Hotel taxes are now a miscellaneous expense item.

3. Foreign Duty Areas - As of the issuance date of this Travel Manual section, the Department of State continues to include hotel taxes in their per diem lodging rates for foreign duty areas. Hotel taxes may not be authorized or vouchered as a miscellaneous expense item.

TELEPHONE CALLS FOR PERSONAL REASONS WHILE IN TRAVEL STATUS

B. Telephone Calls For Personal Reasons While in Travel Status

Effective Date: Travel on or after January 1, 2001

It is HHS policy that commercial charges for telephone calls placed for personal reasons while in travel status are reimbursable as a miscellaneous travel expense to civilian employees, subject to the following restrictions:

1. The employee must incur a minimum of two consecutive nights lodging on official travel either domestic or foreign.
2. Government-provided long distance telephone systems and services (including government-issued calling cards) are not available, so that a commercial toll service must be used.
3. Employees are expected to incur expenses in the same manner as a prudent person would. An average of one call per day is authorized for domestic travel. See Item 5. for foreign travel.
4. Each Operating Division is responsible for setting a policy on limitations to reimbursement (domestic and foreign travel), in partnership with their local unions. The Department's guideline for travel within the Continental U.S. (CONUS) is: reimbursement should be limited to actual expenses not to exceed an amount equal to: \$5 times the number of consecutive days on the trip.
5. The Department's guideline for travel outside of the Continental U.S. (OCONUS) is:
 - a. The determination that telephone calls home from a foreign country will be allowed must be made prior to the beginning of travel. Once the determination is made, authorization for these calls must be made on the travel order.

- b. Due to major costs differences in foreign phone rates, the authorizing official must also authorize the frequency and estimated cost of telephone calls on the travel order. Major deviations, over 20 per cent, from what is authorized on the travel order must be accompanied by a written justification describing the circumstances for the deviation. The authorizing official is responsible for reviewing such claims and making the final determination that the amounts claimed are reasonable.
6. Receipts are only required for individual telephone call charges exceeding \$75 or when emergency personal calls, specified in Item 7, are vouchered for reimbursement.
7. Personal emergencies are defined as the death or serious illness or injury of a member of the employee's family or catastrophic occurrence or impending disaster such as fire, flood, or act of God which directly affects the employee's home at the official station or the family and occurs while the employee is at, or en route to or from, a temporary duty location. When personal emergencies occur, the approving official may approve a higher amount than the Operating Division's standard reimbursement policy limitation (such as \$5 per day) when the following requirements are met (note: there is no minimum number of nights required):
 - a. Government-provided long distance telephone systems and services are not available, so that a commercial toll service must be used.
 - b. A justification for the higher personal telephone expense allowance must be documented on the approved travel voucher.
 - c. Receipts are required for all charges, to the extent that the calls were placed through a method that provides a receipt.

In all cases, employees should make personal calls during lunch, break, or other off-duty periods, if at all possible. To the maximum extent practicable, employees should place calls on Government-provided long distance telephone systems and services instead of using commercial toll services (41 Code of Federal Regulations Subpart 101-35.201 Authorized Use of Long Distance Telephone Services) in accordance with their OPDIVs' policies.

Approving officials must be sensitive to the employee's needs yet, at the same time, keep in mind the Government's interest by assuring that the expense of such calls are reasonable. Numerous conditions can effect the cost of a telephone call from a foreign country. These include the foreign country's telephone carrier system, hotel add-on costs, additional tariffs added on from country to country, etc.

LAUNDRY, DRY CLEANING, AND PRESSING OF CLOTHING

C. Laundry, Dry Cleaning, and Pressing of Clothing While in Travel Status - CONUS

Effective Date: Travel on or after January 1, 2001

In the continental United States, laundry, cleaning and pressing of clothing at a temporary duty location is reimbursable as a miscellaneous travel expense to civilian employees, subject to the following restrictions:

1. The employee must incur a minimum of four consecutive nights lodging on official travel.
2. Each Operating Division is responsible for setting a policy on limitations to reimbursement, in partnership with their local unions. The Department's guideline is: Reimbursement should be limited to actual expenses not to exceed an amount equal to: \$5 times the number of consecutive nights on the trip for the first 30 days at a temporary duty travel location.
3. Receipts are only required for individual purchases of laundry services exceeding \$75.
4. Long Term Temporary Duty Assignments - Each Operating Division is responsible for setting a policy on limitations to reimbursement, in partnership with their local unions. The Department's guideline is: for extended temporary duty travel at the same location, reimbursement should be limited to actual expenses not to exceed an amount equal to: \$3 times the number of consecutive nights on the trip for days 31 through 90; and \$2 times the number of consecutive nights on the trip for days beyond 90 days.
5. Unusual Circumstances - Under unusual circumstances, laundry and dry cleaning requirements during temporary duty travel exceeding four consecutive nights may necessarily exceed the Operating Division's standard allowance (such as \$5 per night). If justified as officially necessary, the authorizing official may authorize a higher daily allowance on the travel order or, if the additional costs were unexpected, the approving official of the travel voucher may approve a higher amount up to the amount of the expenses actually incurred.
In all cases (pre-approved or post-approved) where unusual circumstances necessitate the incurrence of unusual laundry/dry cleaning costs, the following requirements must be met:

- a. The employee must incur a minimum of four consecutive nights lodging on official travel within the continental U.S.
 - b. A justification for the higher laundry/dry cleaning allowance must be documented on the travel order (pre-authorized) or the approved travel voucher (post-approved).
 - c. Receipts are required for all laundry/dry cleaning purchases claimed for reimbursement (except coin-operated machine usage where receipts are not available), when the actual expenses claimed on the travel voucher exceed the standard (such as \$5 per night) allowance.
6. Temporary Duty Travel Less than Four Consecutive Days - If a trip within the continental U.S. is less than four consecutive days, there is no authority under the Federal Travel Regulation to authorize or pay a miscellaneous expense allowance for laundry or dry cleaning costs. The \$2 incidental expense component of the per diem rate for Meals and Incidental Expenses is the only allowance available to cover such costs.

D. Laundry, Dry Cleaning, and Pressing of Clothing While in Travel Status - Outside of CONUS

In non-foreign (OCONUS) and foreign areas, laundry, dry cleaning, and pressing of clothing expenses are covered under the incidental expenses component of per diem allowances issued by the Department of Defense and Department of State, respectively. They may not be authorized or approved as a separate miscellaneous expense item. Non-foreign areas include: Alaska, Hawaii, Puerto Rico, Guam, Northern Mariana Islands, and territories and possessions of the U.S.

E. Emergency and Other Authorized Miscellaneous Expenses

HHS authorizing and approving officials may authorize or approve reimbursement of miscellaneous expenses beyond the examples listed in the FTR Part 301-12 Miscellaneous Expenses when they determine these expenses to be directly related to the employee's official business travel and justification is provided of the necessity of the purchase. Examples are: official business purchases by employees in temporary duty travel status of: (1) emergency supplies and (2) samples of materials for testing by FDA inspectors.

Heads of Operating Divisions and Staff Divisions or their designees are responsible for establishing appropriate management controls over the authorization and approval of miscellaneous expenses to ensure compliance with the Federal Travel Regulation and these supplemental guidelines. Additionally, they are responsible for ensuring that purchases of goods

and services that should be ordered and authorized through procurement processes are not inappropriately approved for payment on travel claims, including temporary duty, relocation, and local travel vouchers.

Subject: LOCAL NONTRAVEL STATUS EXPENSES

4-30-00	Purpose
10	Definitions
20	General Policy
30	Criteria for Determining Allowable Local Travel
40	Modes of Travel
50	Local Nontravel Expenses

4-30-00 PURPOSE

This chapter is applicable to all HHS employees, including Commissioned Officers of the Public Health Service, and states when and under what circumstances reimbursement will be allowed an employee who has expended funds in the transaction of official business while in nontravel status at or near the designated post of duty (official station). It also sets forth requirements for approval of reimbursable expenditures, and specifies when a determination of advantage to the Government is required.

4-30-10 DEFINITIONS

- A. Authorizing Official. The authorizing official is the official designated to authorize or approve official travel.
- B. Approving Official. An official who is charged with the responsibility of approving vouchers. The approving official must have directed the employee to incur expenses or otherwise have knowledge that the expenses claimed by the employee were incurred on official business. The approving official need not be an official delegated the authority to authorize travel.
- C. Designated Post of Duty (official station). The corporate limits of the city or town within which the employee is stationed, or the established area having definite boundaries within which the permanent designated post of duty is located.
- D. Nontravel Status Area. The metropolitan area, or other comparable general area, surrounding the designated post of duty. It is intended to include that area for which reimbursement of per diem expenses generally would not be authorized for official travel purposes. The question of what constitutes a nontravel status area is defined in Chapter 5-00-50 of this manual.

- E. Shuttle Service. Regularly scheduled Government service for employees on official business within and between local areas.
- F. Motor Pools. Vehicles available on call from pools operated by the General Services Administration or other Government agency, or under contractual arrangements for such services.

4-30-20 GENERAL POLICY

- A. When an employee is required to secure transportation or to expend personal funds to transact Government business in and around the designated post of duty, he or she may be reimbursed for allowable expenditures if approved.

NOTE: Travel outside the non-travel status area of the duty station requires authorization or post approval by an official delegated authority to authorize travel. Authorization or approval is required for such travel regardless of the length of duty.

- B. Reimbursement for expenses incurred for the use of taxicab or privately-owned automobiles, will be based on factors set forth in section 4-30-40.
- C. Reimbursement for allowable expenditures will be claimed on Standard Form 1164, Claim for Reimbursement for Expenses on Official Business, or on SF-1012, Travel Voucher. The "Approved" block on the reimbursement voucher must show both the approving official's signature and his title.
- D. Itemized receipts for expenditures will be required as specified in Chapter 4-20. If the employee is unable to furnish receipts where required, he or she will make a full explanation on the voucher. Mere inconvenience in obtaining receipts will not be accepted as a satisfactory explanation.

4-30-30 CRITERIA FOR DETERMINING ALLOWABLE LOCAL TRAVEL

- A. Employees are expected to bear the cost of transportation between their homes and places of duty and the cost of transportation between places where meals are taken and places of duty. Payment shall not be allowed for transportation expenses between an employee's home and official station for the purposes of commuting to and from work, the performance of overtime duty, or other emergency conditions, including such transportation expenses on nonregular workdays.

Exception:

If an employee is officially ordered to work at his or her designated post of duty beyond official working hours, he or she may be allowed reimbursement of the usual taxicab fare for travel between office and home provided that (a) he or she is dependent on public transportation for such travel, and (b) travel is during hours of darkness or infrequently-scheduled public transportation.

- B. Employees not in travel status may be reimbursed transportation expenses incurred to perform official business. Generally, reimbursement may be allowed from whatever point the employee begins the journey to perform official business; however, when the journey begins and/or ends at the employee's home, the approving official must ensure that appropriate reductions are made for normal commuting expenses, or deny reimbursement when the employee incurs no additional expenses above normal commuting distance.

To ensure that there is a consistent reimbursement policy and give due consideration to the interest of both the Government and the employee, the reimbursement to be allowed should be the difference between the total expense incurred and the employee's normal commuting expense as follows:

1. If an employee travels to a temporary work site and is reimbursed on a mileage basis, the total distance between the employee home and office should be deducted from the total mileage claimed.

2. If an employee is a member of a carpool, the Comptroller General has ruled that the appropriate reduction for commuting expense is the total mileage the employee is expected to drive in a week divided by five and the resulting figure is the daily reduction. For example, an employee drives 100 miles round trip one day per week. The reduction for each day the employee travels to a temporary work location would be 20 miles per day ($100/5 = 20$).

3. Also included in any reduction would be the amount expended for public transportation and any parking fees incurred in the course of the employee's normal commute. For example, if an employee normally uses public transportation to commute to and from his/her official work place, the reimbursement should be reduced by the amount of the public transportation costs. For employees who purchase coupons, weekly, semi-weekly, or monthly passes, the normal commuting costs are derived by dividing the costs of the pass by the number of applicable work days. (For example, an employee purchases a semi-weekly bus pass for \$18.00 and works a 5/4-9 compressed work schedule. The daily commute would be \$2.00 per day, $18/9 = 2$.) Additionally, if the employee incurs parking fees as part of the daily commute the reimbursement should be further reduced by the amount paid for parking. Monthly parking passes would be handled in the same manner as public transportation passes, the amount paid per month divided by the total number of work days.

The basic principle to be followed in determining the amount of reimbursement is that the employee should only be reimbursed the difference between the increased mileage incurred as a result of the temporary duty and the normal commuting costs.

4-30-40 MODES OF TRAVEL

- A. General. Public transportation ordinarily will be used between points where official business is to be transacted, except:
1. Employees should use government shuttle service when available rather than subways, streetcars, buses, and other public means of transportation.
 2. Taxicabs or a privately-owned automobile may be authorized when public transportation or shuttle service is not available; is impractical to use; or would result in undue loss of Government time.
- B. Taxicab fares and tips (15 %) will be allowed for local travel when advantageous to the Government.
- C. Privately-owned Automobiles.
1. When necessary and determined by the approving official to be advantageous to the Government, the use of a privately-owned automobile will be allowed on a mileage basis, not to exceed the applicable rates specified in Appendix A. Such allowance shall be based on either tables of official distance or odometer readings taken at the beginning and end of the trip. In addition to mileage, the cost of parking fees, ferry fares, bridge, road, and tunnel tolls will be allowed.
 2. Mileage is payable to only one employee when two or more employees travel in the same vehicle on the same trip. The employee claiming reimbursement will list on the voucher the names of other passengers accompanying him or her.
- D. Government-Furnished Vehicle.
1. A government-furnished vehicle may be used for local travel, when authorized.
 2. When use of a Government-furnished vehicle is authorized, reimbursement of the cost of parking fees, ferry fares, bridge, road, and tunnel tolls will be allowed.

4-30-50 LOCAL NONTRAVEL EXPENSES

A. Telephone Calls and Telegrams.

1. When possible, employees will use FTS when placing long distance calls, telegrams, and cablegrams.
2. Employees will be reimbursed for costs of official telephone calls (local or long distance), official telegrams, or cablegrams when charges cannot be placed on FTS.

B. Registration Fees.

1. Registration fees for attendance at nongovernment sponsored meeting (where no travel expenses other than local transportation are involved), may be allowed when supported by a receipt and an approved Form HHS-99.
2. Registration fees for attendance at meetings which do not meet the specifications for "attendance" and "meeting" may be allowed when supported by a receipt.

- C. Miscellaneous Expenses not otherwise specified in this chapter, when necessarily incurred by an employee in connection with the transaction of official business, may be allowed when approved.

Subject: PER DIEM AND SUBSISTENCE ALLOWANCES - GENERAL
INFORMATION

- 5-00-00 Purpose
- 10 Temporary Duty While in Leave Status
- 20 Travel by Indirect Route for Personal Convenience, or Interruption of Official Travel for Leave
- 30 Temporary Duty at One Location Subsequently Made Permanent
- 40 Temporary Duty En Route to First Official Station in Continental U.S. (New Appointees)
- 50 Permanent Duty Station

5-00-00 PURPOSE

This part and Appendix A relates to per diem allowances and allowances for actual subsistence expenses. It applies to all HHS employees, including Commissioned Officers of the Public Health Service entitled to per diem or actual subsistence expense reimbursement.

This chapter provides a general orientation on per diem allowances and includes special rulings regarding entitlement to subsistence allowances and related transportation and travel expenses.

5-00-10 TEMPORARY DUTY WHILE IN LEAVE STATUS

A. When employees are away from their headquarters on leave of absence, they assume the obligation of returning themselves to their headquarters at their own expense, except:

1. For Interrupted Leave.

- a. Recall to Headquarters. When employees in leave status are directed to return to their headquarters and are permitted to resume their leave at the places where leave was interrupted, they are entitled to travel expenses and per diem from their places of leave to headquarters, and from headquarters to the places where their leave was interrupted.

- b. Assignment to Temporary Duty Station. When travelers are directed while in leave status to perform temporary duty at places other than their official stations and are permitted to return to the places where leave was interrupted, they are entitled to travel expenses and per diem to, from, and while at the places of temporary duty.
2. At Expiration of Leave - Return to Headquarters.
 - a. Direct Route. When travelers perform official business en route to headquarters, they are entitled to per diem only for the period of temporary duty, and travel expenses incurred in connection with the temporary duty.
 - b. Indirect Route. When travelers are directed to perform official business which requires travel by an indirect route to headquarters, they are entitled to per diem for the excess time, and the travel expenses in excess of those required for the direct return to headquarters.

5-00-20 TRAVEL BY INDIRECT ROUTE FOR PERSONAL CONVENIENCE, OR
INTERRUPTION OF OFFICIAL TRAVEL FOR LEAVE

When travelers (a) travel by indirect routes for personal convenience, or (b) interrupt official travel to take leave, they are entitled to per diem and travel expenses not to exceed those which would have been incurred on uninterrupted travel by a usually traveled route.

The dates on which leave is taken during the travel assignments must be shown on the travel voucher; and the traveler must show on the voucher the date that the leave was reported for time and attendance report purposes.

5-00-30 TEMPORARY DUTY AT ONE LOCATION SUBSEQUENTLY MADE
PERMANENT

Per diem allowances for temporary duty at one location to which an employee is subsequently permanently transferred will be

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discontinued at 12:01 a.m. of the day the employee is officially notified by proper authority of the transfer, and in no case later than 12:01 a.m. of the day the personnel action is effective.

5-00-40 TEMPORARY DUTY EN ROUTE TO FIRST OFFICIAL STATION IN CONTINENTAL U.S. (NEW APPOINTEES)

An appointee who is required to perform temporary duty en route to first official station is entitled to per diem allowances and travel expenses for the entire trip, less the constructive cost of direct travel expenses and per diem from the place where he or she received notice of appointment to the first official station.

NOTE: The rule that employees must bear the expenses of travel to the first official headquarters of their positions refers to the permanent duty stations of the positions and not the first temporary stations at which they perform duty.

5-00-50 PER DIEM AT OFFICIAL DUTY STATION

- A. Per diem or subsistence will not be allowed employees at either their permanent duty stations or within the vicinity of their places of abode from which they normally commute daily to their official stations.
- B. The official station or area within which per diem will not be paid is the greater of the corporate limits of the city or town in which the employee is stationed or a minimum radius of 35 miles from the official duty station or residence.

The authority to establish the local travel area for employees located in the field has been delegated to the appropriate HHS Regional Administrative Support Center. In those instances where the local travel area has been established, the local area may not have a radius less than 35 miles.

- C. Exceptions. The Comptroller General (CG) has ruled that there is no authority to allow per diem at the employee's official duty station, even if authorized by Government officials. This rule applies even where per diem expenses are incurred under extraordinary circumstances such as: (a) late conference sessions; (b) heavy volume of work; (c) adverse weather conditions; (d) protective missions by security personnel; or (e) unable to leave duty post. Under very limited circumstances the CG has allowed reimbursement

of expenses incurred by protectors of life and Federal property in an emergency situation. The CG has also ruled that reimbursement for out-of-pocket expenses could be made on an actual expense basis (not to exceed the per diem rate limitation) when the determination is made that they are necessary training expenses under the Government Employees Training Act (GETA).

As a matter of Departmental policy overnight subsistence allowances may not routinely be authorized in the Washington, DC, Baltimore, MD, and Rockville MD areas unless justified under the following conditions:

The temporary duty station is more than 35 miles from the permanent duty station and residence, and:

The employee is required to be in official duty status for at least a normal workweek, or

The employee is required to remain on official duty beyond a reasonable hour for return to the permanent station or residence, and is also required to return to the temporary duty station for duty early the next morning.

Subject: PER DIEM RATES AND SUBSISTENCE ALLOWANCES

5-10-00	Purpose
10	General Policy
15	Consultants, Experts, and Private Citizens
20	Employees Appearing as Witnesses for the Government in U.S. Courts
25	Employees Training Under Provisions of 5 USC 41
30	Temporary Duty En Route to First Permanent Station
40	Long Term Temporary Duty Assignments
50	Claims for Reimbursement

5-10-00 PURPOSE

This chapter sets forth the maximum rates of per diem allowances in lieu of subsistence to which HHS employees may be entitled when traveling on official business of the Department.

5-10-10 GENERAL POLICY

- A. Travel-authorizing officials will authorize maximum per diem rates within limits prescribed in Appendix A. It is the responsibility of the authorizing officials to set realistic per diem rates that will allow reimbursement to employees of their reasonable expenses but not provide a windfall.
1. When authorizing a per diem rate, consideration should be given to factors such as: (a) known arrangements at temporary duty locations where lodging and meals may be obtained without cost or at prices advantageous to the traveler, (b) established cost experience in the locality of temporary duty, (c) situations where special rates for accommodations have been made available for a particular meeting or conference, (d) the extent to which the traveler is familiar with establishments providing lodging and meals at lower cost in certain localities, particularly where repeated travel is involved, and (e) the use of methods of travel where sleeping accommodations will be provided as part of the transportation expenses.
 2. Rates lower than the established maximum should be authorized or approved whenever the nature of the travel justifies a lower rate, whether (a) in

individual cases, (b) for certain types of travel unique to a particular organization (such as repetitive travel within a restricted geographic area), or (c) for certain groups of employees (such as groups attending meetings or conferences where accommodations are obtainable at reduced cost).

3. In general, authorizing officials should prescribe per diem rates in conformance with:
 - a. Recommended rates established by the Head of Operating Divisions or OS Staff Divisions for travel unique to the particular situation or certain groups of employees.
 - b. Uniform per diem rates recommended by other departments or other HHS organizations sponsoring particular meetings or conferences.

The Federal Travel Regulations (FTRs) establishes deductions to be made from the M&IE rates when meals are furnished to the employee without charge. In accordance with FTRs, when all meals are provided the incidental amount that an employee may be entitled to us \$2.00. Therefore, travel orders issued to reimburse employees for incidental expenses should only reflect the intended \$2.00 per day amount.

- B. Rates prescribed in this Manual at less than the established maximums shall apply to all HHS travelers. When there is an apparent need to revise the schedule of rates prescribed (within the maximums allowed by law or regulations) due to increases or decreases in costs to travelers, the Heads of Operating Divisions or their designees, and Heads of Staff Divisions, or their designees, will be responsible for forwarding their recommendations and supporting documentation to the Deputy Assistant Secretary, Finance.

5-10-15 CONSULTANTS, EXPERTS, AND PRIVATE CITIZENS

Unless a higher rate is prescribed in specific appropriation or other Acts, consultants, experts, and private citizens traveling on official business will be authorized per diem allowances on the lodgings-plus basis at rates not in excess of the maximums specified in Appendix A.

5-10-20 EMPLOYEES APPEARING AS WITNESSES FOR THE GOVERNMENT IN U.S. COURTS

Officers and employees of the U.S. summoned as witnesses for the Government in cases before U.S. Courts or U.S. Commissioners will be reimbursed their expenses not to exceed the maximum per diem rates prescribed for the particular locality prescribed in Appendix A.

5-10-25 EMPLOYEES TRAINING UNDER THE PROVISIONS OF 5 USC 41

Employees in training under the provisions of the Government Employees Training Act will be reimbursed per diem in lieu of subsistence while en route and, when applicable, at the place of training. Per diem when authorized at the place of training will be reimbursed at a rate not in excess of the maximum specified.

5-10-30 TEMPORARY DUTY EN ROUTE TO FIRST PERMANENT STATION

- A. **Allowance.** Occasionally employees are directed to perform duty or to attend orientation or training sessions en route to their first official stations. Under such circumstances, the employee is entitled to reimbursement of travel expenses for the entire journey, less constructive cost of direct travel by the mode actually used from the place where notice of appointment was received (or from old official station) to first or new official station. Reimbursement will not be based on more expensive mode of transportation that is permitted under the provisions of this manual. Per diem will not be allowed for excess travel time. If, for example, an employee travels by an indirect route or elects to travel by privately-owned automobile where use of such automobile is not advantageous to the Government, per diem will be based on a direct route or on constructive costs by common carrier.

The same conditions apply to travel in connection with position changes and transfers made at no expense to the Government between permanent duty stations where the employee is required to report en route between such stations for orientation or temporary duty.

- B. **Travel Order.** A travel order should be forwarded to the new appointee with the notification to report. The travel order should authorize the appointee to travel from home or other place where notice of appointment is received to the place

of orientation or other temporary duty and then to first official headquarters. A notation shall be made on the travel order. For example:

"Expenses incurred in traveling from home to first official headquarters must be borne by the traveler. Therefore, payment or reimbursement will be allowed for travel as authorized above less the constructive cost of direct travel from _____ to _____."

- C. Use of Transportation Request. This should be done when the purchasing of a ticket would result in financial inconvenience to the employee which might necessitate a travel advance. A transportation request may be issued to an employee when the cost of going to a temporary duty station is more than the cost of travel to the first duty station.
- D. Preparation of Travel Voucher. The travel voucher will be prepared by the appointee upon arrival at first official station. There should be deducted from the travel expenses payable for the entire journey, the constructive cost of travel expense from home or other place where notice of appointment was received to first permanent duty station.

5-10-40 LONG TERM TEMPORARY DUTY ASSIGNMENTS

- A. Authorizing officials are expected to set realistic rates for employees who are on extended temporary duty. The rate set should provide the employee with adequate reimbursement to cover the necessary additional living expenses. Employees on long term assignment should be able to maintain a reasonable standard of living, without reaping any significant financial gains, or suffering any substantial losses. An employee's personal preference, i.e., staying in superior accommodations, should not be considered as necessary additional living expenses. Employees are responsible for incurring only those expenses that a prudent person would incur while traveling on personal business and claiming reimbursement accordingly.

Rates must be reduced as follows unless circumstances of a particular travel assignment lead the authorizing official to the conclusion that a different rate is in the public interest. The fixing of per diem rates within CONUS is expressly discouraged.

Therefore, when an employee on long term assignment rents accommodations with cooking facilities the Meals and Incidental Expenses (M&IE) portion of their per diem rate should be also reduced. The Department of Agriculture (DoA) prepares a quarterly report of food costs, assuming that food for all meals is purchased at a grocery store and prepared at home. Using the DoA report we can derive an average daily cost for food prepared in the home to be approximately \$6 per day. To this amount the established \$2 per day should be added for incidental expenses and assuming the employee would be consuming at least lunch away from his/her temporary lodgings, an additional amount (already established) would be added for lunch. Using these figures the total amount that could be considered reasonable would be approximately one half of the M&IE of the locality or \$12.50 and \$16.50 for areas with \$25 and \$33 M&IE rates respectively.

5-10-50 CLAIMS FOR REIMBURSEMENT

- A. Per diem allowances will be calculated on the lodgings-plus system for all travel of civilian employees within the Conterminous United States unless such travel is specifically exempt in Appendix A.
- B. Receipts must be obtained at least for all lodging expenses and registration fees for attendance at meetings, regardless of amount paid, or the method of reimbursement.
- C. When the time period is less than 24 hours, in addition to the requirements of Appendix A, and the time of departure from home, office, or other authorized point at the beginning of the trip or the time of return at the conclusion of the trip involves only a 30 minute fraction, per diem shall not be allowed unless the traveler provides a statement with the travel voucher explaining the necessity for the specific time of departure or return that is acceptable.

Subject: ACTUAL AND NECESSARY SUBSISTENCE EXPENSES

5-20-00 Purpose
10 General Policy
20 Request for Authorization or Approval
30 Claims for Reimbursement

5-20-00 PURPOSE

This chapter sets forth the Department's policy and procedures for the reimbursement of actual and necessary subsistence expenses for individual travel assignments where the prescribed rate or the maximum per diem reimbursement is determined to be inadequate, due to unusual circumstances of the travel assignment.

5-20-10 GENERAL POLICY

- A. Appendix A limits travel on an actual subsistence expense basis to specific travel assignments where, due to unusual circumstances of the assignment, the maximum per diem allowance would be much less than the amount required to meet the necessary subsistence expenses of a traveler. Therefore, the employees of the Department are expected to travel on a lodgings-plus basis, except when reimbursement of actual subsistence expenses for specific travel is authorized or approved.
- B. Reimbursement of the actual and necessary subsistence expenses of HHS civilian employees, private persons serving without compensation, and part-time consultants and experts may be allowed when authorized or approved. Or, the sum of the authorized per diem allowance plus the rate given in Appendix A for travel outside the conterminous United States may be allowed when authorized or approved. The authorized rate must be shown on the travel order, Form HHS-1.
- C. Authority for reimbursement of actual and necessary subsistence expenses incurred during official travel is normally contingent upon the entitlement to per diem allowances and the determination that the authorized maximum per diem allowance would be inadequate to cover the actual and necessary expenses of the traveler.

- D. Reimbursement of actual and necessary subsistence expenses will be authorized only on a very limited basis. It will not be authorized in instances in which the actual and necessary subsistence expenses exceed the maximum per diem allowance by only a small amount. The subsistence expense basis may appropriately be authorized for travel assignments which the actual expenses are expected to exceed the applicable maximum per diem allowance by more than \$5.00.

Notwithstanding these criteria, authorizing officials shall not use the actual expense under unusual circumstance authority as blanket authority to authorize or approve automatic actual expense reimbursement for all travel to an area where the reimbursement rate is inadequate. This authority shall be used only where the reimbursement rate is inadequate. This authority shall be used only on an individual case basis with appropriate consideration in each case at the time the travel is directed and performed.

- E. Reimbursement of subsistence expenses will be allowed for the same types of expenses normally covered by the per diem allowance.
- F. Mixed Travel (per diem and actual subsistence expense). Travel may be authorized or approved on both a per diem basis and an actual subsistence expense basis during a single trip when travel is performed in several locations. Only one method of reimbursement (per diem or actual subsistence expense) will be authorized for any calendar day.

5-20-20 REQUEST FOR AUTHORIZATION OR APPROVAL

Each request for authorization or approval of reimbursement for actual and necessary expenses must be accompanied by a notation on the travel order justifying the expenses on the basis of the individual circumstances in that particular case. The justification must include (a) the daily lodgings cost to be incurred and (b) a specific explanation of the reason the traveler is unable to secure more moderately priced accommodations. Staying in a particular hotel in order to be near the place of official business is not in itself an adequate justification for requesting, authorizing, or approving travel on an actual expense basis.

- A. Advance Authorization. Advance authorization will be requested by memorandum or by Form HHS-1, Travel Order, with supporting justification for travel on the basis of actual subsistence expenses. The authorization will cover only specifically identified trips and will specify the monetary daily limit not in excess of the statutory maximum. The authorizing official will specify a monetary daily limit of less than the statutory maximum when warranted by the individual travel situation.
- B. Post Approval. Post approval (on Form HHS-1 or SF-1012) will be limited to:
1. Emergency situations in which requests for prior travel authorization were not possible.
 2. Afford relief to employees authorized to travel on a per diem allowance basis when, during the course of the specific travel assignment, it developed that actual and necessary subsistence expenses incurred were much greater than the per diem allowance due to unanticipated, unusual, and exceptional circumstances.

NOTE: When travel has been authorized on an actual subsistence basis at less than the maximum shown in Appendix A, the traveler's entitlement is fixed and post-approval may not be made to increase the daily monetary limitation specified in the travel authorization.

5-20-30 CLAIMS FOR REIMBURSEMENT

- A. If an employee is accompanied by a family member and equal accommodations are furnished and used jointly, reimbursement of actual expenses (within the maximum authorized or approved) will be made on the basis of the single occupancy rate.
- B. Receipts must be obtained for lodgings and registration fees for attendance at meetings, regardless of amount paid; official passenger transportation and accommodations costing more than \$25 plus tax; and whenever practicable, for other items allowable as subsistence expenses and costing more than \$25, plus any applicable tax (other than meals and tips).

Subject: TRAVEL AND SUBSISTENCE EXPENSES - MEMBERS OF NATIONAL ADVISORY COUNCILS AND ADVISORY COMMITTEES

5-30-00 Purpose
10 Allowances
20 Authorization or Approval
30 Claims for Reimbursement

5-30-00 PURPOSE

This chapter provides policy and procedures for the payment of travel and subsistence expenses on an actual expense basis for members of national advisory councils and advisory committees. It applies only to the members of those councils and committees having legislative authority for payment of actual and necessary travel and subsistence expenses.

5-30-10 ALLOWANCES

Members of certain national advisory councils and advisory committees are entitled by law to actual and necessary travel and subsistence expenses while attending conferences or meetings of their respective councils or while otherwise rendering services away from their homes or regular places of business. For these individuals, reimbursement is made only for actual and necessary expenses incurred without regard to whether the traveler's subsistence expenses are more or less than the maximum per diem allowance. Therefore, the policies, procedures, and maximum reimbursements allowable, as set forth are not applicable.

5-30-20 AUTHORIZATION OR APPROVAL

In advance of travel, Form HHS-1, Travel Order, requesting authorization for official travel for members of advisory councils or advisory committees should be submitted through appropriate channels to the official having approval authority. Post approvals should be limited to emergency situations in which requests for prior authorization were not possible.

5-30-30 CLAIMS FOR REIMBURSEMENT

Members of national advisory councils and advisory committees will claim reimbursement on Standard Form 1012, Travel Voucher. Receipts will be required when practicable for all common carrier fares and accommodations when paid in cash, hotel accommodations, excess baggage, and registration fees for any amount, and for all other items in excess of \$25, plus applicable tax.

Subject: INTERNATIONAL TRAVEL

- 6-00-00 Purpose and Scope
 - 10 General Policy
 - 20 Definitions
 - 30 Other Applicable Manual Chapters
 - 40 Categories of International Travel
 - 50 Authorization for Participation in Official Intergovernmental Meetings as a Member of a U.S. Delegation
 - 60 Review and Approval of Foreign Travel by the Office of the Secretary
 - 70 Quarterly Travel Reports
 - 80 Individual Trip Reports
 - 90 Payment of Travel Expenses by Foreign Governments or International Organizations

6-00-00 PURPOSE AND SCOPE

This chapter provides information on purposes, policies, and procedures relating to all types of international travel by HHS staff (excluding change of duty station); defines international travel and outlines categories of such travel; and describes the requirements for Office of the Secretary review and approval of foreign travel, for quarterly reports, and individual trip reports. Part 6 is applicable to both civilian employees and commissioned officers of the Public Health Service.

6-00-10 GENERAL POLICY

A. Relation of International Travel to HHS Goals.

International travel is important to achieving Departmental goals. When it serves these goals, it should be encouraged. International activities that are developed as part of the responsibilities of the Operating Divisions (OPDIVS) require, in many instances, that Department employees travel abroad. Among the goals that international travel can and should serve are:

1. To gain knowledge of value to HHS domestic programs and to contribute to the advancement of knowledge internationally.
2. To fulfill regulatory or inspection obligations, such as inspection of foreign manufacturers of foods, drugs,

and biologicals; travel related to foreign epidemics that may impact on the health of U.S. citizens; and travel related to validation of social security payments to beneficiaries abroad.

3. To contribute, with the guidance of the Department of State, to U.S. foreign policy objectives.
 4. To fulfill U.S. responsibilities as a Member Government of multilateral organizations.
- B. Need for special procedures. To serve these goals, international travel is often of high priority. At the same time, it must be subject to stringent procedures for justifying, approving and monitoring beyond those applied to domestic travel within the United States. International travel is often more expensive than domestic travel. Travel abroad by U.S. officials has an aspect of representing the United States and the American people to other people. The presence and the contribution of travelers should be positive. International travel is especially "visible." For example, a noticeably large concentration of travelers, such as in a disproportionately large HHS participation in an international meeting, or a succession of American travelers to particular countries to confer with the same individuals, can have an adverse effect.
- Adequate foreign travel control procedures should not result in arbitrary reductions or increases in the amount of foreign travel or in budgets for it. Their purpose, rather, is to ensure that to the extent possible all official travel, including travel on official duty time even when not paid by the U.S. Government, is justified in terms of serving Departmental goals. The OPDIVS and the Office of the Secretary, through the Office of International Affairs (OIA), have a shared responsibility to ensure that this is the case.
- C. The heads of OPDIVS will establish a system of controls to ensure that proposed official international travel is encouraged when it serves effectively the goals of the Department and the OPDIV, and is not approved when it does not adequately serve those goals.
 - D. Heads of OPDIVS and STAFFDIVS are encouraged to prepare annual international travel plans to ensure that careful consideration is given to proposed international travel.

- E. The Director, OIA, will establish a system of controls for international travel for the Office of the Secretary (excluding the Assistant Secretaries for Health and for Human Development Services, who will develop controls as the heads of OPDIVS per subsection C. above) and Regional Directors. These controls will ensure that OIA is advised in advance of all international travel to be performed by STAFFDIVS, and will include provisions for processing clearance of Presidential appointees, securing State Department and National Security Council clearances, as may be required, and the rendering of other assistance (for example, with regard to passports and visas) that may be required by travelers.

6-00-20 DEFINITIONS

- A. International Travel: The term international travel, as used in this chapter, is defined as meaning all travel on official duty time (except change of official duty station) outside the United States, Guam, American Samoa, Puerto Rico, the U.S. Virgin Islands, and any other territory under U.S. jurisdiction. (An exclusion is travel within a foreign country in which an employee's official duty station is located).
- B. Sensitive Countries: Travel to certain countries designated as "sensitive" by the Department of State requires Department of State clearance. Countries in this category are often those with which we have foreign policy disputes or which are involved in internal political and/or social turmoil.
- C. High Traffic Countries: Countries that receive a large volume of travelers from the U.S. placing potential burdens on U.S. mission staff for services.

6-00-30 OTHER APPLICABLE MANUAL CHAPTERS

- A. Security considerations related to international travel and contacts with foreign nationals are contained in HHS security manuals.
- B. Provisions related to change of duty station are contained in Appendix B of the HHS Travel Manual.
- C. Paragraph 1-3.6 of Appendix A of the HHS Travel Manual should be consulted for guidelines implementing the

International Air Transportation Fair Competitive Practices Act of 1974 (P.L. 93-623). Under this Act, U.S. flag carriers or flag ships must be used except when the clearly specified circumstances in Appendix A prevail.

- D. Provisions related to the acceptance of payment in kind for travel expenses from foreign governments or international organizations are referred to in Chapter 20-25 of the General Administration Manual; Chapter 1 of this Manual; and in Paragraph 6-00-90 of this Chapter.
- E. Provisions related to Foreign Gifts and Decorations are contained in Chapter 20-25 of the General Administration Manual.

6-00-40 CATEGORIES OF INTERNATIONAL TRAVEL

International travel will be treated in one of six categories for control and reporting purposes.

6-00-41 PARTICIPATION IN INTERNATIONAL MEETINGS

This category of international travel includes participation in scientific, professional and technical conferences, seminars, symposia etc. However, travel undertaken in connection with bilateral commissions, such as the U.S.-India Science and Technology Commission, should be reported under 6-00-43, Bilateral Program Travel.

6-00-42 MULTILATERAL ORGANIZATION TRAVEL

A multilateral organization is one that has national governments as members, such as the United Nations and associated agencies and regional organizations such as the O.E.C.D. Travel falling in this category is generally of three types:

1. Attendance at meetings held by multilateral organizations official U. S. delegation should be reported under this category. Procedures for obtaining authorization to serve on a U.S. delegation accredited by the Department of State to an intergovernmental meeting are contained in paragraph 6-00-50.
2. Consultant/expert service. This includes travel made at the request of the organization - for which the travel costs and per diem usually are paid by the organization - to make use of the expertise of the HHS official.

3. Expert committees, study or working groups, seminars, and similar meetings convened by multilateral organizations, to undertake international consideration of topics that are primarily professional or technical in nature.

6-00-43 BILATERAL PROGRAM TRAVEL

This refers to travel under the terms of a formal bilateral agreement or of an informal understanding with respect to cooperative activities between the United States and another country. The activities may be funded by dollars or by foreign currencies. Special Foreign Currency Program projects are considered to be part of an informal bilateral agreement.

6-00-44 REGULATORY AND INSPECTION TRAVEL

This travel fulfills statutory obligations related to protecting the health and welfare of the American people (for example, obligations imposed by the Food, Drug, and Cosmetic Act and the Public Health Service Act) or to serving program beneficiaries abroad (for example, payments to overseas beneficiaries of Social Security benefits).

6-00-45 SITE VISITS AND PROGRAM DEVELOPMENT

This is travel to a particular site to perform operational or managerial activities (e.g., to oversee program activities, grant operations, or management activities for control proposes; carry out an audit; conduct negotiations; or provide technical assistance) or to discuss or negotiate development of new program activities.

6-00-46 OTHER INTERNATIONAL TRAVEL

This includes all international travel that does not fall in one of the five categories above.

6-00-50 AUTHORIZATION FOR PARTICIPATION IN OFFICIAL
INTERGOVERNMENTAL MEETINGS AS A MEMBER OF A U.S.
DELEGATION.

- A. Authority to nominate Department personnel or individuals to serve on official U.S. delegations accredited by the Department of State is reserved to the Secretary.

- B. All requests to nominate members of official U.S. delegations to intergovernmental meetings, including those held in the United States, will be referred to the Office of International Affairs (OIA), Office of the Secretary. OIA will consult with appropriate Department officials with respect to making nominations.
- C. Nominations to U.S. delegations will be submitted in triplicate on Form HHS-621 to the Director, OIA (Exhibit 6-00-A).
- D. OIA is responsible for obtaining the necessary Office of the Secretary approval. OIA will also obtain the certification of security clearance that the Department of State requires for nominees.
- E. Upon approval of the nomination, the Director, OIA, will return the approved copy of Form HHS-621 to the organization concerned, and also will send a letter of nomination to the appropriate U.S. Government department. The letter of nomination will be accompanied by a certification of security clearance provided by the appropriate security office. OIA will notify the office concerned if the recommendation is not approved.

6-00-60 REVIEW AND APPROVAL OF FOREIGN TRAVEL BY THE OFFICE OF THE SECRETARY

All proposed international travel to be undertaken by HHS officials will be reviewed by the Office of the Secretary, and certain travel must be approved by the Chief of Staff.

6-00-61 ANNUAL PLAN FOR PARTICIPATION AT INTERNATIONAL MEETINGS

- A. Each OPDIV and STAFFDIV will forward to OIA by the beginning of each fiscal year a plan that will project travel for the entire fiscal year for those international meetings that will be attended by 20 or more employees. This plan will be submitted in the format shown in Exhibit 6-00-B.
- B. The travel plan will be reviewed by OIA to ensure that the level of participation in these international meetings is justified. Approved/Disapproved plans will be returned to the OPDIV/STAFFDIV. Subsequent increases in the level of participation, if any, must also be approved by OIA.

- C. Notifications of Foreign Travel (see 6-00-62 below) must also be submitted, within established time frames, for participants in meetings approved in accordance with the above procedures. Names of participants may be consolidated on one Notification.

6-00-62 NOTIFICATIONS OF FOREIGN TRAVEL

- A. A Notification of Foreign Travel for every international trip to be undertaken by HHS staff must be forwarded to the Office of International Affairs so as to be received by OIA two weeks prior to the traveler's planned departure. Late notifications require a memorandum of explanation.
- B. The format and instructions for the Notification of Foreign Travel are at Exhibit 6-00-C.
- C. If more than one traveler is traveling for the same purpose, names may be consolidated on one Notification.

6-00-63 REVIEW BY OFFICE OF INTERNATIONAL AFFAIRS

OIA will review all Notifications of Foreign Travel, discuss problems, if any, with the submitting agency, and make recommendations, as appropriate, to the Chief of Staff. OIA will also obtain State Department, National Security Council, and other clearances as necessary.

6-00-64 APPROVAL/DISAPPROVAL BY THE CHIEF OF STAFF

- A. Proposed international travel by HHS officials at the level of SES or above, and the equivalent, requires the approval of the Chief of Staff.
- B. The Chief of Staff retains the authority to disapprove any international travel. If the Notification of Foreign Travel has been submitted on time, OPDIVS and STAFFDIVS may assume that travel by other than senior officials is approved, unless notified to the contrary by OIA.

6-00-70 QUARTERLY TRAVEL REPORTS

- A. Each OPDIV and STAFFDIV will prepare a quarterly travel report on all international travel that is paid for with funds appropriated to HHS, according to the categories outlined in paragraph 6-00-40.

- B. A format for this report is at Exhibit 6-00-D.
- C. Quarterly reports are to be submitted to OIA not later than thirty days following the end of the quarter.

6-00-80 INDIVIDUAL TRIP REPORTS

- A. OPDIVS and STAFFDIVS are encouraged to require each traveler to prepare a written report of significant aspects and results of his or her international trip, including an estimate of the extent to which the purpose(s) of the trip was achieved.
- B. OIA may request an individual trip report for any trip undertaken by an HHS official.

6-00-90 PAYMENT OF TRAVEL EXPENSES BY FOREIGN GOVERNMENTS OR INTERNATIONAL ORGANIZATIONS

- A. Procedures for acceptance of travel expenses from foreign governments or international organizations by HHS employees traveling on official business or privately are contained in Chapter 20-25 of the HHS General Administration Manual.
- B. HHS travel orders shall reflect that payment of travel expenses, including per diem and similar expenses, by a foreign government or international organization is accepted by the traveler on behalf of the U.S. Government.
- C. HHS employees traveling on official business are permitted to receive directly from foreign governments or international organizations airplane tickets or other travel documents, as well as payments to cover other expenses incident to official travel, when approved in accordance with Chapter 20-25, HHS General Administration Manual.
- D. HHS employees may not accept payment for plane tickets directly. If a foreign government or international organization provides payment in lieu of plane tickets, that reimbursement must be made to the HHS agency employing the traveler for deposit to its appropriation.

EXHIBIT 6-00-A

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Nomination of Member for Official U.S. Delegation

_____ Date

TO: Director, Office of International Affairs, OS

Through:

_____ nominates _____
(Agency) (Individual)

_____ (Title)

to be a member of the U.S. Delegation to the _____
(Meeting)

_____ of the _____
(International Organization)

_____ at _____
(Place)

on _____ Estimated cost _____
(Dates)

Funding Source _____

_____ (Signature)

_____ (Title) _____ (Agency)

HHS Security Approval
International Meeting

_____ Approved _____ Disapproved

Date

_____ (Signature)

Director, Office of International
Affairs, OS

EXHIBIT 6-00-B

ANNUAL PLAN FOR PARTICIPATION AT INTERNATIONAL MEETINGS

OPDIV/STAFFDIV:

Name of Meeting:

Location of Meeting:

Dates:

Projected Level of Participation:

Number of Participants:

Estimated Travel Cost to HHS:

Justification for Level of Participation: (should include:
(1) nature of meeting; (2) how often held if a recurring
meeting; (3) benefit to HHS; rationale for proposed
participation).

Note: Notifications of Foreign Travel are required for
participants in international meetings, to be received
by OIA two weeks before the meeting begins. Names may
be consolidated on one Notification.

EXHIBIT 6-00-C

FORMAT - NOTIFICATION OF FOREIGN TRAVEL

Date _____

TO : Office of International Affairs, OS
Room 646-G, HHH Building

THROUGH:

FROM :

SUBJECT: Notification of Foreign Travel

Traveler's Name, Title, Organization, and Telephone Number:
Indicate if SES and above, or equivalent: Yes _____ No _____

Itinerary:
(Include cities/countries to be visited and dates. Account for all time on official business or leave.)

Anticipated Contact with U.S. and Foreign Officials:

State Department Post Services Requested:

Amount and Source of Funding:

Purpose of Travel:

Relationship to Department Objectives:

OS Approved _____ Disapproved _____ Date _____
(Required for SES and above, or equivalent)

EXHIBIT 6-00-C (Continued)

INSTRUCTIONS - NOTIFICATION OF FOREIGN TRAVEL

1. The Notification of Foreign Travel, prepared on agency letterhead, must be completed and forwarded in triplicate to the Office of International Affairs (OIA), through designated agency channels, for all international travel by HHS personnel, or others travelling on HHS travel orders.
2. All forms must be signed or initialed by an official having the authority to approve travel. All PHS travel forms must be forwarded through the Office of International Health, OASH.
3. The required statement of the trip's relationship to agency objectives should be concise, but contain the basic information that would be necessary for someone unfamiliar with the purpose of the travel to make a reasonable judgment on the merits of the trip. One or two paragraphs should normally suffice.
4. Notification forms must be received by OIA not later than two weeks prior to departure, except in emergencies or other cases where the travel was not anticipated but is clearly necessary. Forms that are not submitted on time must be accompanied by a memorandum explaining the circumstances for the late notification.
5. Notification forms for travellers who are attending the same meeting must be consolidated and submitted to OIA as a group.
6. Travel of Presidential appointees and SES-level or equivalent staff must be specifically approved by the Chief of Staff.
7. For personnel other than those cited in 6 above, the agency may assume OS has no objection to the travel unless informed otherwise. However, this is contingent upon travel forms being received by OIA in a timely manner.
8. For all personnel, the agency may assume State Department concurrence, in those cases where such concurrence is necessary, unless informed otherwise. This is also contingent upon travel forms being received by OIA in a timely manner.

EXHIBIT 6-00-C (Continued)

9. Minor modifications in the itinerary of an approved trip need not be submitted to OIA. However, plans to add a stopover, significantly increase the length of the trip, etc., must be sent to OIA.

EXHIBIT 6-00-D

QUARTERLY INTERNATIONAL TRAVEL REPORT - SUMMARY

<u>OPDIV/STAFFDIV</u> (or Agency)	<u>QUARTER</u>			
	<u>Cost and Source of Funding</u>			
	<u>Travelers</u>		<u>HHS</u>	<u>Foreign</u>
	<u>#</u>	<u>Staff</u>	<u>\$</u>	<u>Currency</u>
	<u>Actual</u>	<u>Days*</u>		
1. International Meetings				
2. Multilateral Organization Travel				
3. Bilateral Program Travel				
4. Regulatory and Inspection Travel				
5. Site Visits and Program Development				
6. Other				
<u>QUARTERLY TOTAL</u>				
<u>YEAR-TO-DATE</u>				

NOTE: Quarterly reports in the format shown in Exhibit 6-00-D1, with appropriate headings, will be prepared for each of the six categories of international travel, and will accompany this summary.

* "Staff Days" should include all days spent in official travel status, including weekends and holidays, but not days spent on annual leave.

EXHIBIT 6-00-D1

QUARTERLY INTERNATIONAL TRAVEL REPORT

INTERNATIONAL MEETINGS

OPDIV/STAFFDIV
(or Agency)

QUARTER

Cost and Source of Funding

<u>Activity</u>	<u>Place</u>	<u>Dates</u>	<u>Traveler(s)</u>	<u>HHS</u> <u>\$</u>	<u>Foreign</u> <u>Currency</u>
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NOTE: Quarterly reports in this format,
with appropriate headings, are submitted
for the following categories of inter-
national travel:

- International Meetings
- Multilateral Organization Travel
- Bilateral Program Travel
- Regulatory and Inspection Travel
- Site Visits and Program Development
- Other

**Subject: PAYMENT OF EXPENSES IN CONNECTION WITH DEATH OF
CIVILIAN EMPLOYEES**

7-10-00 Authority
10 Responsibility
20 Death Related to Performance of Official Duty
30 Method of Payment
40 Death During Period of Absence from Duty
50 Escort for Remains

7-10-00 AUTHORITY

This chapter sets forth the allowable expenses for the preparation and transportation of the remains of a deceased employee and for the transportation of the immediate family and household goods of the deceased employee. These provisions apply to civilian employees while they are (1) on official travel and temporary duty, (2) absent from duty at temporary duty stations, and (3) at official duty stations outside the conterminous United States. These provisions are applicable whether the employee's death was or was not work related.

7-10-10 RESPONSIBILITY

It is the responsibility of the appropriate supervisory official, upon being informed of an employee's death that occurred while in any status subject to the provisions of the chapter, to immediately inform the decedent's next of kin or legal representative of the provisions of this chapter. The responsible official shall render every reasonable assistance in arranging for preparation and transportation of the remains of the decedent when death occurs during travel status, or at an official station outside the United States. Also, the designated official will provide necessary assistance for the return of the decedent's immediate family and household goods to the official residence, when the decedent's official station was outside the conterminous United States.

7-10-20 DEATH RELATED TO PERFORMANCE OF OFFICIAL DUTY

When an employee's death results from injuries sustained while actually performing official duty, the expenses for preparation and transportation of the remains is properly payable. The

authorized allowances may not be denied because of the deceased employee's entitlement to burial benefits as a veteran of the Armed Forces of the United States.

7-10-30 METHOD OF PAYMENT

Payment of allowable expenses may be made direct to the person performing the services or by reimbursement to any person making the original payment. Claims for reimbursement must be supported by receipts. When the remains are transported by common carrier express service through the use of Standard Form 1103, U.S. Government Bill of Lading, or through the use of Standard Form 1169, U.S. Government Transportation Request, payment will be made directly to the carrier upon presentation of a bill.

7-10-40 DEATH DURING PERIOD OF ABSENCE FROM DUTY

The provisions of this chapter apply when an employee dies while temporarily away from a temporary duty station or official station outside the United States or during a period of travel within or outside the United States or while stationed outside the United States. If the temporary absence is for the purpose of taking leave or occurs during nonwork days, the allowable cost for the transportation of remains may not exceed the amount which would have been allowed if death had occurred at the temporary duty station or at the official station outside the United States.

7-10-50 ESCORT FOR REMAINS

Travel expenses of an escort for the decedent are not allowable.

**Subject: ALLOWANCES IN CONNECTION WITH DEATH OF CIVILIAN
EMPLOYEES**

- 7-20-00 Preparation of Employee's Remains
- 10 Allowable Costs for Preparation of Remains
- 20 Transportation of an Employee's Remains
- 30 Transportation of Remains of a Member of Employee's
Immediate Family
- 40 Allowable Costs for Transportation of Employee's
Remains
- 50 Transportation of Immediate Family and Household Goods
- 60 Transportation of Baggage
- 70 Prohibition of Payment when Other Laws Apply

7-20-00 PREPARATION OF EMPLOYEE'S REMAINS

The amount allowed for preparing the remains of a civilian employee who dies while traveling on official business within the conterminous United States is limited to \$250. When death occurs during a travel status outside the conterminous United States or at an official station outside the United States, the designated official will allow actual costs for preparation of the remains of an employee.

7-20-10 ALLOWABLE COSTS FOR PREPARATION OF REMAINS

Allowable costs for preparation of remains are as follows:

- Costs of embalming or cremation.
- Necessary clothing.
- Casket or container suitable for shipment to place of interment.
- Expenses necessarily incurred in complying with local laws at the port of entry in the United States applicable to the preparation of remains for transportation and burial.

7-20-20 TRANSPORTATION OF AN EMPLOYEE'S REMAINS

- A. Death During Travel Status Within the United States.
Transportation of remains is authorized to a decedent's place of actual residence, official station, or place of interment. The cost of transportation will not exceed the cost to the place of actual residence or official station, whichever is more distant.

- B. Death During Travel Status or While Stationed Outside the United States. Transportation of remains is authorized to a decedent's actual place of residence, official station, or place of interment in the United States. The cost of transportation may not exceed the cost to the official station or place of actual residence, whichever is more distant.

7-20-30 TRANSPORTATION OF REMAINS OF A MEMBER OF AN EMPLOYEE'S IMMEDIATE FAMILY

The designated official may authorize payment for transportation of remains of a member of an employee's immediate family who dies while residing with the employee stationed outside the conterminous United States.

7-20-40 ALLOWABLE COSTS FOR TRANSPORTATION OF AN EMPLOYEE'S REMAINS

- A. By Common Carrier. The allowable costs for transportation of remains by common carrier include the costs of:
1. Movement from place of death to a mortuary.
 2. Shipping permits.
 3. Outside case for shipment of remains (including the sealing of the shipping case when necessary).
 4. Removal to common carrier.
 5. Transportation of the remains by common carrier.
 6. One removal from the common carrier.
- B. By Hearse or Means other than Common Carrier. Charges for transportation of remains overland by hearse or means other than common carrier will not exceed the cost of common carrier transportation. Reimbursable costs include the cost of hearse or means other than common carrier, plus ferry fares, bridge tolls, and similar charges. An allowance for an outside shipping case is not authorized.

7-20-50 TRANSPORTATION OF THE IMMEDIATE FAMILY AND HOUSEHOLD GOODS

A. While Stationed Outside the Conterminous United States.

1. General. The cost of return transportation of the immediate family and baggage and household goods of a decedent employee and the employee's immediate family will be allowed when the employee dies while stationed at a post outside the conterminous United States, or while in transit to or from such post. Allowable transportation costs may not exceed the costs of returning the immediate family and the baggage and household goods from the post of duty by the most direct route to the decedent's place of actual residence or to any other place in the United States not more distant than the actual place of residence.
2. Time limitations. Travel of the immediate family and shipment of household goods must be undertaken within one year from the date of death of the employee, except that an extension of the time for shipment of household goods may be granted if requested prior to the expiration of the one-year limit.
3. Transportation of immediate family. The transportation of the immediate family is subject to the provisions of Appendix B.
4. Transportation of household goods. The costs allowed for the transportation of household goods are limited to those prescribed in Appendix B. Reference to "employee" will mean the deceased employee's legal representative or a member of the immediate family when the term is used in connection with the transportation of household goods of a deceased employee.

- B. While stationed in Alaska or Hawaii. When an employee stationed in Alaska or Hawaii dies, the immediate family and household goods may be returned to the actual place of residence in the conterminous United States. There is no authority for paying the costs of preparing and transporting the remains of a deceased employee who dies while stationed in Alaska or Hawaii (who was not in travel status at the time of death) to a place of actual residence or place of interment in the conterminous United States.

- C. While Stationed in the Conterminous United States. When an employee stationed in the conterminous United States dies while on temporary duty, transportation expenses will not be authorized for the immediate family or household goods. The deceased employee's baggage at the temporary duty point will be transported at Government expense to the official station or place of actual residence.

7-20-60 TRANSPORTATION OF BAGGAGE

The allowable cost for transportation of baggage other than household goods will include the expense actually and necessarily incurred in transporting personal baggage. Expenses in connection with the transportation of baggage by a privately owned conveyance which would not have been incurred if the baggage had been transported by common carrier will not be allowed. Reimbursement for loss or damage to baggage during transit will not be allowed, nor will charges for marine and other insurance be allowed.

7-20-70 PROHIBITION OF PAYMENT WHEN OTHER LAWS APPLY

Payment of allowances provided by this chapter will not be made if payment is authorized by any other law of the United States. However, the allowances provided by this chapter will not be denied because the deceased employee is eligible for burial benefits as a veteran of the Armed Forces of the United States.

Subject: REIMBURSEMENT VOUCHERS - GENERAL

8-00-00	Purpose
10	Forms Used
20	General Requirements
30	Administrative Review and Approval
40	Post Approvals
50	Suspensions and Disallowances

8-00-00 PURPOSE

This part applies to all civilian travelers. It sets forth general requirements for the preparation and approval of vouchers for reimbursement of expenses incurred when traveling on official business, including changes of official station.

8-00-10 FORMS USED

- A. Standard Form 1012 - Travel Voucher. This form is to be prepared by employees who claim reimbursement for travel expenses incurred while in official travel status away from their official duty stations.
- B. Standard Form 1164 - Claim for Reimbursement for Expenditures on Official Business. Claims for reimbursement of travel and miscellaneous expenses that employees are required to incur for official purposes in and around their designated posts of duty are submitted on SF-1164.

8-00-20 GENERAL REQUIREMENTS

- A. Employees traveling on official business are expected to exercise the same care in incurring expenses that prudent persons would exercise if traveling on personal business.
- B. Employees are responsible for performing travel in accordance with the provisions of this manual, keeping adequate records of their expenditures, and providing the necessary facts, details and supporting evidence for the proper preparation of their vouchers.
- C. Every voucher must be complete as to form, facts, details, and supporting evidence in accordance with the provisions of this manual. Otherwise, there may be suspensions and

disallowances. The traveler is responsible for the correctness of all statements set forth in the voucher. Unusual items should be fully explained. Falsification of an item in an expense voucher may result in forfeiture of the claim. The penalty prescribed by law for presenting a false claim is a fine of not more than \$10,000 or imprisonment for not more than five years, or both.

- D. The dates of travel and expenses incurred must be itemized on the reimbursement voucher in chronological order.
- E. When travel is begun in one fiscal year and completed in the next fiscal year, only one voucher covering the entire trip need be submitted.
- F. Erasures and alterations that are pertinent to the claim (for example, money amounts, times, etc.) must be initialed by the traveler. Erasures or alterations in totals on receipts for travel expenditures must be initialed by the person who signed the receipt.

8-00-30 ADMINISTRATIVE REVIEW AND APPROVAL

- A. All reimbursement vouchers should be approved (as distinguished from authorized) by an official who generally supervises the traveler and who has knowledge that the travel assignment was performed as authorized. The approving official also may be the authorizing official. Approval signifies that the travel and all expenses are in order and approved for payment, as distinguished from the examination of the voucher and the certification by the certifying officer.
- B. After administrative approval, travel vouchers must be submitted through appropriate channels to the servicing fiscal office for audit, settlement of outstanding travel advances, and payment or refund of balances due.

8-00-40 POST APPROVALS

- A. When travel expenses have been incurred that require approval by the approving official and that were not authorized in the travel order, the approval may be made on the face of the voucher.
- B. When circumstances make it impractical for a traveler to obtain a travel order before performing travel, a subsequent

authorization must be secured from the authorizing official. A travel order of current date may be issued, or approval may be made on the face of the voucher with the following statement:

"The travel performed is hereby approved.

(signed)

Approving Official"

8-00-50 SUSPENSIONS AND DISALLOWANCES

Items in travel vouchers not claimed in accordance with the regulations, or not properly supported by receipts when required, will be suspended. The employee will be notified in writing of any disallowances or deductions. Items that may be subsequently allowable should be reclaimed on a supplemental voucher, supported by any additional information or documentation that may be required, along with a copy of the suspension notice.

Subject: LOCAL NONTRAVEL STATUS EXPENSES

8-10-00 Purpose
10 Forms Used
20 Approval
30 Submittal

8-10-00 PURPOSE

This chapter provides instructions for obtaining reimbursement of expenditures incurred on official business within employees" designated posts of duty.

8-10-10 FORMS USED

- A. Claims for reimbursement of travel and miscellaneous expenditures incurred while traveling within designated posts of duty will be submitted on Standard Form 1164, Claim for Reimbursement for Expenditures on Official Business.
- B. SF-1164 will be prepared in original and at least one copy. The original will be required by the agent cashier or the voucher examination office; one copy will be retained by the approving official for administrative use and control purposes. Additional copies may be prepared if needed to fulfill the needs of a particular organization.

8-10-20 APPROVAL

- A. Claims made on SF-1164 must be approved by an official authorized to approve the expenditures.
- B. The approving official will verify that receipts, when required, are attached to the SF-1164.

8-10-30 SUBMITTAL

- A. Where Agent Cashier is Available.
 - 1. Whenever practicable a claimant will personally present the signed and approved SF-1164 to the agent cashier for reimbursement. In presenting the form, the claimant will furnish appropriate identification, such as a building pass or Government identification card. If a properly identified person other than the claimant

presents the form to the agent cashier and signs a receipt for the cash, that person is presumed to be acting as an agent of the claimant, and the responsibility of the Department ends upon payment of the cash to such agent.

2. Claims may be presented for payment immediately, or on the dates specified by the agent cashier.

B. When Agent Cashier is Not Available.

1. When SF-1164 or SF-1012 has been signed by a claimant and the designated approving official, it will be forwarded to the appropriate voucher examination office for auditing and scheduling to the Treasury Department for issuance of a check.
2. Claims for reimbursement of expenses may be filed as frequently as necessary, but preferably on a monthly basis so that administrative processing and the issuance of Treasury checks in small amounts may be kept to a minimum.

Subject: Travel and Transportation Reform Act of 1998

9-00-00	Purpose
10	Mandatory Travel Card Usage
20	Late Payment Penalties for Travel Vouchers
30	Collection of Undisputed, Delinquent Travel Card Debts
40	Income Tax Reimbursement Allowances for Long-term Temporary Duty Travel
50	HHS Travel and Relocation Test Programs
60	Payment Audits of Transportation Bills

9-00-00 PURPOSE

This chapter provides supplemental policy guidance to HHS Operating Divisions (OPDIVs) and Staff Divisions (STAFFDIVs) concerning implementation of specific GSA regulations stemming from the Travel and Transportation Reform Act of 1998. It applies to HHS civilian employees, as defined in 5 U.S.C. 5701(2) and in Federal Travel Regulation 301-1.2.

The Travel and Transportation Reform Act of 1998 (Public Law 105-264) was signed into law on October 19, 1998. One of its chief purposes is to reduce federal travel costs and to streamline federal travel processes. Among its provisions, it requires employees to use Federal travel charge cards for payments of official travel expenses. It provides for the payment of a late payment fee to employees when an agency fails to reimburse them for approved expenses within 30 days after submission of a proper voucher. It gives agencies the authority to collect undisputed, delinquent travel charge card debts through salary offset. It authorizes GSA to approve a limited number of agency pilot programs for cutting travel and relocation administrative expenses. It requires agencies to audit transportation bills for accuracy prior to payment, instead of after payment. It authorizes the payment of income tax reimbursement allowances to employees, when their reimbursements for travel expenses become taxable after one year of continuous duty at a temporary duty location.

Note 1: Commissioned officers of the Public Health Service are covered under the Department of Defense's Joint Federal Travel Regulations. The HHS Division of Commissioned Personnel, a component of the Program Support Center, issues separate travel policy guidance for Commissioned Officers.

Note 2: There are some categories of individuals who perform work for the agency but do not fit the definitions of "employees" in 5 U.S.C. 5701(2)(d)(3)(B) and 41 C.F.R. 301-1.2. Such categories include, but are not necessarily limited to, research trainees (appointed pursuant to 42 C.F.R. Part 63) and regular research fellows (hired pursuant to 42 C.F.R. Part 61, Subpart B). These categories of individuals, who do not fall under the applicable definitions of "employees," are not covered by these guidelines.

9-00-10 MANDATORY TRAVEL CARD USAGE

HHS civilian employees are required to use the Government contractor-issued travel charge card for all official travel expenses, including cash advances through an ATM machine, unless they have an exemption. Exception: It is HHS policy that the travel charge card may not be used for local travel expenses (see Paragraph I. in this section). Employees must pay bills for use of the travel charge card in accordance with the terms of the cardholder's agreement they sign with the bank. Employees may not use the travel charge card for purposes other than those associated with official travel. Employees who do not adhere to these mandatory travel card usage policies may be subject to disciplinary action for violating Standards of Ethical Conduct for employees.

Effective Date: Travel after February 29, 2000

Federal Travel Regulation Guidelines:

- FTR Amendment 90 and 92, Part 301-51, Subpart A Paying Travel Expenses-General
- FTR Amendment 90 and 92, Part 301-70, Subpart H Internal Policies and Procedures Relating to Mandatory Use of the Government Contractor-Issued Travel Charge Card for Official Travel

A. Granting Exemptions in HHS

The Federal Travel Regulation grants authority to the head of a Federal agency or his/her designee to exempt any payment, person, type or class of payments, or type or class of agency personnel if the exemption is determined to be necessary in the interest of the agency.

Exemptions must be in writing. In HHS,

1. The Deputy Assistant Secretary for Finance will grant Departmentwide exemptions for specific types or classes of payments or agency personnel;
2. Heads of Operating and Staff Divisions or their designees may grant additional exemptions only for individual payments or persons in their organizations. The following information must be included in a written exemption memorandum:
 - Letterhead should specify name of issuing HHS Operating Division
 - Date: Date exemption is issued
 - To: Name of employee receiving the exemption
 - From: Title of manager granting the exemption
 - Subject: Exemption from Mandatory Travel Card Use
 - In the body of the memo, describe:
 - What exemption is for (i.e., person is exempted or limited types of payments are exempted)
 - Duration of exemption (i.e., specific travel from: <date> to: <date>)

- or indefinite)
 - Reason for exemption (i.e., person's travel card canceled due to undisputed, delinquent balance, etc.)
 - Name and Signature of Exemption Authorizing Official
3. Exemptions should only be granted under exceptional or unusual circumstances when it is determined to be necessary in the interest of the agency. Please refer to Exhibit 9-00-A for sample wording for exemption memoranda.

Within OPDIVs and STAFFDIVs, authority to grant mandatory travel card exemptions on an individual case basis should be consistent with other travel authority delegations. HHS officials who grant exemptions will retain the original written exemption in their travel administrative files for the life of the exemption and if it is canceled or limited to a single trip, retain an additional six years for audit purposes. Exemption memoranda should be maintained in an "exemption" travel file with separate "current" and "inactive" folders, in which the memoranda are filed alphabetically by the employees' last name. If a long-term or indefinite exemption is canceled, mark "canceled" on the document, initial and date, and move from the "current" to the "inactive" folder.

Note: if an OPDIV uses a Government contractor-issued centrally-billed account for certain types or classes of travel payments (such as airline tickets), such payments meet mandatory travel card use requirements and should not be listed as an exemption.

B. Notification to GSA of HHS Exemptions

HHS officials with exemption authority will provide written notification within 30 days after granting new exemptions directly to the Administrator of General Services (Attention: MTT), 1800 F Street, NW, Washington, DC 20405.

Note: The Division of Financial Management Policy, Office of the Assistant Secretary for Management and Budget (ASMB), will provide written notification of Departmentwide exemptions to GSA on behalf of all HHS components. OPDIV and STAFFDIV officials are responsible for providing written notification to GSA for any individual exemptions they grant; do not send a copy to ASMB.

C. Governmentwide Exemptions

Federal Travel Regulation 301-51.2 specifies governmentwide exemptions to mandatory travel card use:

Exemptions of Agency Employees:

1. Employees with an application pending for the travel charge card (this includes applications for new or replacement cards)

2. Individuals traveling on invitational travel
3. New appointees

Exemptions of Types or Classes of Payments:

1. Expenses incurred at a vendor that does not accept the Government contractor-issued travel charge card
2. Laundry/dry cleaning
3. Parking
4. Local transportation system (buses, subways, etc.)
5. Taxi
6. Tips
7. Meals (when use of the card is impractical, i.e., group meals or the Government contractor-issued travel charge card is not accepted)
8. Phone calls (when a Government calling card is available for use in accordance with agency policy)
9. Relocation allowances, except en-route travel and househunting trips (effective for travel on or after May 1, 2000)

D. Departmentwide Exemptions

In addition to the governmentwide exemptions specified in the Federal Travel Regulation, the Deputy Assistant Secretary for Finance grants the following exemptions to HHS civilian employees:

Exemptions of Agency Employees:

1. Infrequent travelers (travel less than twice a year)
2. Members of National Advisory Councils and Advisory Committees
3. Temporary employees whose term of appointment is less than 120 days
4. Intermittent and temporary consultants and experts, paid on a daily when-actually-employed (WAE) basis, serving less than one year
5. Special Government Employees (scientists and researchers from private industry and academia) who serve as second level review officials of grant applications

Exemptions of Types or Classes of Payments:

1. Telephone calls (when a Government calling card is not available)
2. Purchases costing less than \$10
3. Relocation allowances for en-route travel and househunting trips (effective for travel on or after May 1, 2000)

E. Use of Travel Card For Official Travel Where Exemptions Have Been Granted

Employees who have a government travel card may use the card for types or classes of official travel payments which have been given an exemption from mandatory travel card use. Use of the travel card, where an exemption has been given, is discretionary.

F. Refusal to Apply for and/or use the Government contractor-issued travel charge card

Employees who refuse to apply for and/or use the travel charge card for official travel and are not covered by an exemption will not be authorized a cash travel advance. Note: this modifies HHS Travel Manual Chapter 3, Advances of Funds, Section 3-20-20, issued November 1, 1988.

G. Responsibility to Pay Travel Charge Card Bills in Accordance with Cardholder Agreement

Employees are responsible for reading and adhering to the policies and procedures specified in the cardholder agreement they sign in order to obtain a Government contractor-issued travel charge card. Under the cardholder agreement currently in effect, the travel charge card bill is due and payable in full when delivered at the employee's billing address. The employee is liable to the travel card bank for full payment of all charges authorized by the employee, independent of any agreement or program for reimbursement that may exist between the employee and the HHS OPDIV or STAFFDIV. Under Federal Travel Regulation 301-52.24, employees must pay amounts owed to the travel card bank in accordance with the cardholder agreement, even if the HHS OPDIV or STAFFDIV fails to reimburse the employee within 30 days of submission of a proper voucher.

Note: the cardholder agreement informs employees about how to handle disputed charges on a travel charge card bill. The employee should follow these procedures by submitting a signed Cardholder Statement of Questioned Item form to the bank within 60 days of the statement date on which the original transaction appears. Once the form is received, the bank will issue a temporary credit to the employee's account while the dispute is being researched. While the bank is conducting this investigation, the cardholder does not need to pay the amount of the disputed charge and it will not be considered past due.

H. Improper Use of the Government contractor-issued travel charge card

Employees may not use the travel charge card to make personal purchases or ATM withdrawals unrelated to official travel. The travel charge card may only be used for official travel and official travel related expenses.

I. Use of Government contractor-issued travel charge card for local travel

It is HHS policy that the travel charge card may only be used for official travel and official travel related expenses connected with temporary duty travel or relocation. The travel charge card may not be used for local travel expenses, with one exception. HHS offices who authorize rental cars for local travel site visits shall allow their employees to use the travel charge card for renting the car.

J. Internal Controls Over Government Contractor-issued travel charge card

Heads of OPDIVs and STAFFDIVs or their designees are responsible for establishing appropriate management controls over the travel card program to ensure compliance with Federal Travel Regulation requirements, the supplemental HHS guidance contained in this chapter, and the HHS task order with the bank. They are also responsible for providing guidance to their managers on disciplinary issues, including when employees violate mandatory travel card usage policies. As part of this internal control system, each OPDIV and STAFFDIV will establish a network of employees designated as Agency/Organization Points of Contact (A/OPCs) and issue supplemental procedural guidelines to handle the internal administration of the travel charge card program within their organization. A/OPC basic duties will typically include:

1. Coordinate individual travel card applications, modifications, issuance, and destruction
2. Inform employees about HHS travel card policies and procedures and respond to questions
3. Review travel card program reports; communicate with employees, supervisors, and the bank, as appropriate, regarding unusual charges, overdue balances, suspended or canceled accounts, and other exception items

9-00-20 LATE PAYMENT PENALTIES FOR TRAVEL VOUCHERS

HHS employees must submit a travel voucher to their designated reviewing official: (a) within five working days after they complete their trip or period of travel; or, (b) every 30 days if they are on continuous travel status. When an employee submits a travel voucher, the HHS reviewing or approving official must notify the employee as soon as practicable (May 1, 2002 performance requirement is within seven working days) after submission to the first-level reviewing official of any error (i.e., improper voucher or disallowed expense item) that will prevent payment within 30 calendar days after submission. If an error is detected when the voucher is forwarded to the HHS payment office, the HHS payment office must notify the employee and the approving official of the error within five business days of receipt. HHS must pay employees for approved expense items within 30 calendar days after the employee submits a proper travel voucher to the first-level reviewing official or pay a late payment fee, in addition to the vouchered amount. All temporary

duty and local travel claims are subject to this requirement. Most relocation allowances are exempt from this requirement effective for travel on or after May 1, 2000; however, en route travel expenses and househunting trips are subject to this requirement.

Effective Date: Travel after February 29, 2000

Federal Travel Regulation Guidelines:

- FTR Amendments 90 and 92, Part 301-52 Claiming Reimbursement
- FTR Amendments 90 and 92, Part 301-71 Agency Travel Accountability Requirements
- FTR Appendix C to Chapter 301 - Standard Data Elements for Federal Travel
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A. Elements of a Proper Travel Voucher

The employee will submit a travel voucher in accordance with OPDIV or STAFFDIV administrative procedures and systems, such as a hard copy SF-1012 Travel Voucher or an electronic voucher created through a travel management system. A proper travel voucher will include the elements specified in the Federal Travel Regulation (FTR), Sections 301-52.1 through 301-52.4, and Appendix C to Chapter 301 - Travel Expense Information. FTR Sections 301-52.8 through 301-52.11 provide guidance on when agencies can disallow a travel claim and steps an employee should follow when a claim is disallowed. In preparing or approving vouchers, employees and approving officials should review and follow these FTR guidelines and any supplemental guidance issued by their OPDIV or STAFFDIV.

Typical travel voucher elements (not all inclusive) are:

- Traveler's name, address, and social security number
- Official Duty Station
- Travel Authorization number and date
- Travel Advance outstanding and remaining balances
- Ticket information for air, rail, or other common carrier transportation
- Itemized list of travel points, departure and arrival dates (including any non-duty points visited when employee travels by an indirect route other than a stopover, such as to change planes)
- Type of leave and number of hours of leave for each travel day
- Itemized list of reimbursable expenses by travel day (i.e., per diem or subsistence, common carrier and local transportation, including rental cars, privately-owned vehicles, taxis, buses, etc., miscellaneous expenses, including hotel taxes, phone calls, laundry, etc.).

Common supporting attachments (not all inclusive) include:

- Receipts for all lodging and receipts for single purchases of transportation or

- miscellaneous expense items exceeding \$75
- Travel Authorization with approving official's signature (hard copy or electronic) and designation of funds certification (hard copy or electronic)
- Documentation of any necessary special authorizations (i.e., premium-class travel, use of cash to pay for common carrier, etc. See FTR 301-2.5 for list of travel arrangements requiring specific authorization or prior approval)

Proper travel vouchers must be in the specific format required by the employee's HHS OPDIV or STAFFDIV. Hard copy vouchers must be signed and dated by the traveler and approving official in ink. Electronic vouchers must be submitted under the electronic signature or password controls established by the employee's OPDIV or STAFFDIV.

B. Late Payment Penalties

OPDIVs and STAFFDIVs must establish manual and/or electronic methods for tracking: a) the date when a proper travel voucher is submitted by an employee to his/her first-level reviewing official and b) the date when payment is made, so the payment office will be able to determine if a late payment penalty is due and how much. HHS payment offices will pay late payment penalties on travel voucher amounts under the following conditions: (a) the travel claim has been submitted on a proper voucher, (b) the claimed expense amount has not been disallowed, (c) payment has not been made within 30 calendar days of the employee's submission of a proper voucher to the first-level reviewing official, and (d) the claim is not for a relocation allowance exempted from this requirement in the FTR. Payment will be considered to be made on the settlement date for an electronic funds transfer (EFT) payment or the date of the check for a check payment. If a claimed expense is disallowed by the reviewing/approving official or payment office and, subsequently, is reconsidered and allowed due to the provision of additional supporting facts or documentation by the traveler, the 30-day window for payment will begin on the date when the traveler submits the required, additional supporting facts or documentation to the approving official or payment office, as indicated.

Late payment fees may consist of two elements:

1. A late payment fee calculated using the prevailing Prompt Payment Act Interest Rate beginning on the 31st day after the required payment date and ending on the date on which payment is made.
2. An amount equivalent to any late payment charge that the card contractor would have been able to charge the employee had the bill not been paid. See Section C. for guidance on calculating this amount.

Note: delay or failure by an employee to respond to a finance office's request for banking information to enable voucher payment by EFT, instead of check, will not delay or stop the 30-day window for payment and the assessment of late payment fees.

C. Calculation of Late Payment Fee Equivalent to Card Contractor Late Payment Charges

Under the current bank card contract, the bank may impose a monthly 2.5 percent late fee on outstanding balances for accounts which meet cancellation criteria, when they are between 120 and 180 days old. After 180 days, they are required under banking regulations to charge off the account and refer it to a collection agency; no additional late fees are imposed. This means that when the account reaches 120+ days old, a 2.5 percent late fee may be imposed on the outstanding balance for that billing period. If the account status does not change when it is 150+ days old, a new 2.5 percent late fee may be imposed on the outstanding balance for the next billing period (the balance includes any outstanding late fee from the previous billing period). No additional late fees will be imposed for future billing periods because the account will be charged off by the bank and sent to a collection agency. Therefore, a maximum of two monthly late fees can be used for purposes of calculating this late payment fee.

The payment office will use the following formula to determine if a late payment charge is due under this provision and the amount:

- a) if it is less than 120 calendar days since the traveler submitted a proper voucher, no late payment fee is due under this provision.
- b) if it is 120 to 149 calendar days since the traveler submitted a proper voucher, one month's late payment fee under this provision is:
(\$ amount of allowed expenses on voucher) times (2.5 percent).
EXAMPLE: \$2,500 times .025 equals a late payment fee of \$62.50.
- c) if it is 150 or more calendar days since the traveler submitted a proper voucher, the maximum two monthly late payment fees under this provision are:
(\$ amount of allowed expenses on voucher) times 1.025 times 1.025 minus
(\$ amount of allowed expenses on voucher)
EXAMPLE: \$2,500 times 1.025 times 1.025 minus \$2,500 equals a late payment fee of \$126.56.

D. Late Payment Fees of Less Than One Dollar

HHS will not pay late payment fees of less than one dollar.

E. Finance Office Tax Reporting of Late Payment Fees

The Internal Revenue Service requires different tax reporting treatment for the two types of late payment fees for travel vouchers:

1. For a late payment fee calculated using the prevailing Prompt Payment Act Interest

Rate beginning on the 31st day after the required payment date and ending on the date on which payment is made -- HHS finance offices will report this late payment fee as interest income on IRS Form 1099-INT in accordance with guidelines issued by the IRS. Current 1999 IRS guidelines state that interest paid in the course of business should be reported only if the interest totals \$600 or more for the tax year. Also, refer to the HHS Departmental Accounting Manual, Chapter 10-70, Filing and Reporting Form 1099 Information Returns with the Internal Revenue Service.

2. For an additional late payment fee equivalent to any late payment charge that the card contractor would have been able to charge the employee had the bill not been paid -- HHS finance offices will report this late payment fee as additional wages on Form W-2.

9-00-30 COLLECTION OF UNDISPUTED, DELINQUENT TRAVEL CARD DEBTS

The Federal Travel Regulation allows, but does not require, agencies to collect undisputed, delinquent travel card debts from their employees' pay for the bank contractor. HHS will not perform this debt collection activity for the bank at this time. Therefore, HHS OPDIVs and STAFFDIVs **may not** initiate any action to collect undisputed delinquent amounts owed by employees, if requested in writing by the travel card bank contractor.

Effective Date: Travel after February 29, 2000

Federal Travel Regulation Guidelines:

- FTR Amendment 90, Part 301-54 and Part 301-76 Collection of Undisputed Delinquent Amounts Owed to the Contractor Issuing the Individually Billed Travel Charge Card

9-00-40 INCOME TAX REIMBURSEMENT ALLOWANCES FOR LONG-TERM TEMPORARY DUTY TRAVEL

HHS employees (and spouse, if filing jointly) are eligible to receive an Income Tax Reimbursement Allowance (ITRA) if: (a) the employee is in a temporary duty travel status at one location for a period exceeding one year and (b) the employee (and spouse, if filing jointly) incur Federal, State, or local income taxes on amounts received as reimbursement for official travel expenses. Also, for tax years 1993 and 1994 only, HHS employees are eligible for reimbursement of an income tax penalty and/or interest payment due to incorrect income tax withholdings by HHS. Eligible employees must file a travel claim with their HHS OPDIV or STAFFDIV in accordance with their procedural requirements to be reimbursed.

Effective Date: January 1, 1993. It applies to all employees on a long term temporary duty assignment who incurred income taxes on money received for travel expenses.

Federal Travel Regulation Guidelines:

- FTR Interim Rule 7, Part 301-11, Subpart E-Income Tax Reimbursement Allowance (ITRA), Tax years 1993 and 1994
- FTR Interim Rule 7, Part 301-11, Subpart F-Income Tax Reimbursement Allowance (ITRA), Tax Years 1995 and Thereafter
- Chapter 302-11.10 Claims for payment and supporting documentation and verification (Relocation Income Tax Allowances)

A. Documentation Required to Support ITRA Claims

Employees will submit their claims on a travel voucher in accordance with the HHS OPDIV's or STAFFDIV's travel management system's procedures. They will provide standard documentation required to support an income tax allowance claim, as defined in Federal Travel Regulation Chapter 302-11.10:

1. Certified Statement concerning income tax information being reported to HHS on this claim (see FTR 302-11.10 (a) for sample wording), signed by employee (and spouse, if filing jointly)
2. Supporting Documentation (copies of W-2 and 1099 forms, and completed IRS Tax Return-Form 1040 if the claim is for a past tax year)

For claims involving income taxes for tax years prior to 1999, employees should provide information or documentation (such as employee's copy of pertinent travel orders) to enable the HHS reviewing office to associate the claim with applicable HHS travel orders.

For claims involving reimbursement of tax penalties and interest resulting from incorrect income tax withholdings by HHS for tax years 1993 and 1994 only, employees should provide documentation received from the IRS identifying the tax penalty and/or interest.

B. Obligation of Funds for ITRA Claims

ITRA claims should be charged to the appropriation of the fiscal year in which the taxable temporary duty expenses associated with the ITRA were incurred, regardless of when the ITRA claim is vouchered or paid.

Example 1: ITRA claim is filed January 2000 for taxes incurred on temporary duty travel extending from July 1999 through November 1999. You will fund that part of the allowance pertaining to the July 1999 - September 1999 period from the FY 1999 appropriation and fund

that part of the allowance pertaining to October 1999 - November 1999 from the FY 2000 appropriation.

Example 2: ITRA claim is filed January 2000 for taxes incurred on temporary duty travel extending from March 1996 through July 1996. You will fund the ITRA from the FY 1996 expired appropriation, which is available for upward adjustments of obligations.

Example 3: ITRA claim is filed January 2000 for taxes incurred on temporary duty travel extending from January 1993 through August 1993. This appropriation is closed and no longer available for obligations or payments. Therefore, you will fund the ITRA from the current appropriation (FY 2000) in accordance with 31 U.S.C. 1553.

9-00-50 HHS TRAVEL AND RELOCATION TEST PROGRAMS

Subject: Requests to GSA for authority to conduct a travel or relocation test program.

Effective Date: May 27, 1999

Federal Travel Regulation Guidelines:

- FTR Amendment 83, Part 300-80 Travel and Relocation Expenses Test Programs

A. Requests for Permission from GSA to Administer a Test Program

1. For test programs within the Office of the Secretary, requests will be submitted to GSA under the signature of the Assistant Secretary for Management and Budget.
2. For test programs within OPDIVs, requests will be submitted to GSA under the signature of the Head of the OPDIV or his/her senior level designee. An advance draft copy will be submitted via memorandum to the Director, Office of Financial Policy, Office of the Assistant Secretary for Management and Budget (ASMB), for review and comment prior to submission to GSA. OPDIVs should allow approximately 21 calendar days for a response from ASMB.
3. OPDIVs whose travel management system is administered by the Program Support Center (PSC) must obtain concurrence by the PSC's CFO before forwarding their request to GSA. This is to ensure that the travel management system will be able to support the travel or relocation program changes being proposed.
4. OPDIVs will comply with labor-management requirements to obtain union concurrence if the pilot program will involve bargaining unit employees.

9-00-60 PAYMENT AUDITS OF TRANSPORTATION BILLS

HHS OPDIVs, which pay transportation bills, must establish and/or maintain an approved

prepayment audit program or obtain a waiver of this requirement from GSA in accordance with GSA regulations. Transportation bills cover services for the movement of products, people, household goods, and any other object as well as activities directly related to or supporting that movement, such as: storage, crating, or connecting appliances. They include express, courier, and small package shipments of objects. Transportation audits entail a thorough review and validation of bills by examining the validity, propriety, and conformity of the charges with tariffs, quotations, agreements, or tenders, as appropriate. Audit procedures must prevent duplicate payments and only allow payment for authorized services when the bill is complete with required documentation.

OPDIVs who perform prepayment audits must audit all transportation bills and payments that are not covered by an approved waiver. Exception: OPDIVs may use a statistical sampling technique to audit transportation bills at or below \$2,500. Prepayment audit documentation must be forwarded monthly to GSA Audit Division, which will store it for 3 years under the General Records Schedule 9, Travel and Transportation.

Under the Prompt Payment Act, OPDIVs must notify the transportation service provider of any billing errors and related adjustments it will make in payment via an electronic or written statement of difference within 7 days of receipt of a transportation bill. This notice must contain the information elements specified in the GSA regulation.

OPDIVs, which have a waiver for some or all transportation bills, must forward all paid, unaudited transportation bills, with required information annotated on the bills, to the GSA Audit Division for a postpayment audit.

If the OPDIV conducts prepayment audits of its transportation bills, the Finance Office certifying officer is liable for verifying transportation rates, freight classifications, and other information on the bill and for any overpayment made. If the OPDIV has a waiver from GSA and forwards bills for postpayment audit to GSA Audit Division, the Finance Office certifying officer has no liability for verifying transportation rates, freight classifications, and other information on the bill or for any overpayment made.

Effective Date: October 1, 2000.

Federal Management Regulation Guidelines:

- Federal Property Management Regulation Amendment G-115, Transportation Payment and Audit
- Federal Management Regulation Part 102-118, Subpart D, Prepayment Audits of Transportation Services
- Federal Management Regulation Part 102-118, Subpart E, Postpayment Transportation Audits

A. Coordination with the Department for Approval of Prepayment Audit Program Plans or Requests to GSA for Waiver

The Chief Financial Officer (CFO) for each HHS OPDIV, which pays transportation bills, is responsible for the development and implementation of a Prepayment Audit Program Plan that meets the requirements of the Federal Management Regulation, Subpart D, Prepayment Audits of Transportation Services, unless a waiver is being requested or has been granted. It is HHS policy that CFOs may establish a minimum dollar threshold for transportation bills subject to prepayment audit up to \$2,500. The initial Prepayment Audit Program Plan and any future planned changes to approved Plans should be submitted by the CFO to the Deputy Assistant Secretary for Finance (DASF) for review and submission to the GSA Audit Division for final approval.

The Chief Financial Officer (CFO) for each HHS OPDIV, which pays transportation bills, is responsible for determining whether or not a waiver for some or all bills is justified and for submitting a written Request for Waiver through the Deputy Assistant Secretary for Finance to the GSA Audit Division for approval. The Request for Waiver must meet the requirements of the Federal Management Regulation, Subpart D, Prepayment Audits of Transportation Services. It must identify the mode or modes of transportation to which the waiver will apply and a detailed explanation as to why a waiver should be granted, such as: cost-effectiveness, Government efficiency, public interest, agency mission, or not feasible for the OPDIV to implement. GSA will provide a written response to the HHS request within 30 days of receipt. Waivers cannot exceed a two-year period. CFOs of OPDIVs must reapply with a new Request for Waiver every two years to document to the Department and GSA that conditions still warrant a waiver.

Sample Individual Exemption Memorandum

(HHS Operating Division Name on Letterhead)

Date: Month, Day, Year
To: Employee A
From: Director, Division X
Subject: Exemption from Mandatory Travel Card Use

This is to document that you are granted an indefinite exemption from mandatory travel card use for the following reason: your individual government travel card was canceled because of non-payment of undisputed, delinquent account balances. This exemption will continue as long as you are not eligible to have your government travel card reinstated into active status.

Please be advised that you still must use a government contract city-pair fare for airline and other common carrier transportation according to Federal Travel Regulation 301-10.107. City-pair fares can be purchased through our agency's centrally-billed charge card account. Please contact Employee B, our office's designated travel card point of contact, if you need assistance with using the centrally-billed account.

Official C