

April 15, 1996

MEMORANDUM FOR ALL DEPARTMENT ELEMENTS

FROM: ARCHER L. DURHAM /S/  
ASSISTANT SECRETARY FOR  
HUMAN RESOURCES AND ADMINISTRATION

SUBJECT: DOE N 551.1, INTERNATIONAL TRAVEL

The attached subject Notice, developed by the Office of the Chief Financial Officer, is being issued for simultaneous use and coordination. Comments are being solicited for a 30 day period beginning with the effective date of this Notice.

Recent internal and external reviews of the Department revealed the need for new international travel policies and procedures. Subsequently, the subject Notice was developed to address those needs and include key issues to improve advance planning, cost control, aircraft acquisition, acquisition of goods and services through U.S. embassies, recoupment of costs from private sector participants, and accountability.

Additional details for the coordination of this Notice will be sent directly to the Directives Points of Contact for each organization.

Attachment

NOTE: THIS PAGE MUST BE KEPT WITH DOE N 551.1, INTERNATIONAL TRAVEL.

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

**NOTICE**

DOE N 551.1

4-15-96

**SUBJECT: INTERNATIONAL TRAVEL**

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**INTRODUCTION**

To help the Department meet its lawful mission responsibilities, DOE employees may need to travel internationally. This travel may involve participation in trade missions to ensure America's participation in international energy markets. Any such travel by *covered officials*; (i.e., the Secretary, the Deputy Secretary, the Under Secretary, or Assistant Secretaries) will be governed by the policies outlined below. In addition, this document contains policies applicable to (1) other DOE employees who meet specific criteria set out herein and (2) certain non-Federal participants on DOE missions.

**APPLICATION**

**Trips Not Subject to Policy** - trips costing less than \$50,000 and which do not include travel of a covered official. Any international trip costing less than \$50,000 and which involves no covered official's travel shall be conducted according to existing policy and directives. This policy will not affect such trips.

**Minor Trips** - trips costing at least \$50,000 or any trips which include travel of a covered official. International travel by covered officials of any value or international travel by other DOE personnel exceeding a total cost of \$50,000 must comply with the Minor Trip provisions of this policy.

**Major Trips** - trips costing in excess of \$150,000. Any international travel costing at least \$150,000 (with or without a covered official) must comply with the Major Trip provisions of this policy.

**DEPARTMENTAL ROLES AND RESPONSIBILITIES**

**Chief Financial Officer**

The Department's Chief Financial Officer will have overall responsibility for international travel policies and procedures, will approve travel budgets for both Major and Minor Trips, will require a complete accounting of all costs incurred on both Major and Minor Trips, and will collect all funds from non-Federal participants.

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**DISTRIBUTION:**  
Elements

**INITIATED BY:** All Departmental  
Office of Chief Financial Officer

### Sponsoring Official

The highest ranking official either leading the trip or directing that the trip occurs is the designated Sponsoring Official. That official will oversee the policy and purpose of the trip and will approve the final Trip Approval Package. For Minor Trips, the Sponsoring Official must be an Assistant Secretary or higher. For a Major Trip, the Sponsoring Official must be either the Secretary, Deputy Secretary, or Under Secretary.

### Senior Trip Official

The Sponsoring Official will designate in writing a Senior Trip Official for each international trip. The Senior Trip Official will be responsible for all elements of the trip -- planning, approval, logistics, execution, and reconciliation. The Senior Trip Official, or the Trip Logistics Officer if so designated by the Senior Responsible Official, shall approve all trip-related expenditures consistent with the approved budget.

### Assistant Secretary for Policy

For Major Trips, the Assistant Secretary for Policy (working with the Senior Responsible Official) will prepare all planning and policy documents for the proposed trip and will coordinate all necessary approvals for the trip. For Minor Trips, the Assistant Secretary for Policy will provide those services when requested by the Senior Responsible Official. In this role, the Assistant Secretary may call on the expertise of other Departmental Elements for assistance, including the Offices of Fossil Energy, Energy Efficiency and Renewable Energy, Nuclear Energy, Economic Impact and Diversity, and the Energy Information Administration.

### Director, Office of Scheduling and Logistics

The Director, Office of Scheduling and Logistics, shall assist the Senior Trip Officials in the preparation and coordination of the administrative and logistical elements of the trip. In this role, the Director may call on the expertise of other Departmental Elements necessary to ensure the success of the trip. These include the Offices of Human Resources and Administration; Nonproliferation and National Security; Aviation Policy, Environment, Safety and Health; and other Elements deemed necessary or as directed by the Senior Trip Official.

### Trip Logistics Officer

Based on the itinerary and mission requirements, the Senior Responsible Official, with the concurrence of the Director, Office of Scheduling and Logistics, will designate in writing one person to serve as the Trip Logistics Officer. The Trip Logistics Officer will be responsible for all logistical elements of a Major or Minor trip, including transportation, lodging, meeting space, administration, and communications.

### Event Logistics Officer

On Major Trips, the Trip Logistics Officer may designate Event Logistics Officers to oversee the logistics for individual events. In those instances, the Event Logistics Officer will carry out the responsibilities of the Trip Logistics Officer for their assigned events.

### **PRETRIP PLANNING, COORDINATION, AND APPROVAL**

The following actions are necessary to ensure that all aspects of the proposed trip are properly planned and approved prior to departure. It must be kept in mind that since a Major Trip involves more travelers, greater complexity, and higher costs, it will require more time to plan and more stringent budgeting and cost control procedures. This policy outlines the planning steps to be taken, the lead office responsible for each action, offices providing support, the time frames for pretrip actions, and the documentation essential to each action.

### **Trip Budget**

The Senior Responsible Official, with the assistance of the Director, Office of Scheduling and Logistics, will develop a trip budget estimate or, when required, a detailed trip budget. This budget will include all expenses supporting the trip, and will be consistent with the policies established in the Financial Policies section of this document. This budget must be reviewed and approved by the Chief Financial Officer prior to its inclusion in the Secretarial approval package (see below).

Minor Trip - Budget Estimates. For Minor Trips, the estimate will identify total direct costs of the trip including travel, security, and communications. Pretrip planning and preparation costs shall also be identified. The estimate will describe fund cites and availability of funds for all costs including security. The trip budget may not provide for administrative costs associated with non-DOE participants. The Senior Responsible Official may provide assistance in arranging between vendors and non-Federal personnel for these costs to be identified and pretrip-paid.

Major Trip - Budgets Estimates. For Major Trips, the Senior Responsible Official will prepare a detailed trip budget. This budget will include costs for:

- o Trip planning and preparation
- o Delegation travel
- o Advance and support staff
- o Security
- o Staff, meeting and conference rooms
- o Communications
- o Transportation
- o Representation Fund

- o Trip administrative
- o In-country transportation
- o Contingency for foreign exchange and emergency expenses

The detailed budget will also include fund cites and availability for all costs. Transfers of budgeted amounts between categories, any overall increase in the budget, and increases in excess of 5 percent per category must be approved by the Chief Financial Officer in advance.

The Chief Financial Officer will certify availability of funds and consistency with applicable travel regulations and policies. The Chief Financial Officer certification and budget estimate will be included in the trip approval package presented to the Secretary.

Once the budget is approved, the Office of Chief Financial Officer will ensure that all proper authorizations are in place to support the budget (travel authorizations, etc.) and will track expenses incurred against the budget.

**Policy Planning**

Lead Office	Policy	Timing	Major: 180 Days Minor: 60 Days
Supporting Offices	Energy Efficiency Fossil Energy Nuclear Energy Energy Research Energy Information Administration Other Government Departments	Products	Preliminary Research Decision to Proceed Trip Charter Trip Policy Plan Program and Policy Staffing Delegate Selection Criteria

**Preliminary Research and Coordination** When a potential need to travel internationally arises, a Senior Official should ask the Assistant Secretary for Policy to research the opportunities, objectives, potential benefits and outcomes, and potential obstacles to achieving those benefits. The Assistant Secretary for Policy will seek the assistance and expertise, at the earliest possible opportunity, of the interested DOE program officials, representatives of the Department of State, the appropriate offices of the President, the U.S. embassy in the host country, the host country, the Department of Commerce, the Office of the U.S. Trade Representative, and interested private sector organizations (both business and non-profit). The Assistant Secretary will report the findings and recommendations to the requesting official.

**Initial Decision to Proceed and Identification of the Senior Responsible Official.** Based on the preliminary research findings and recommendations of the Assistant Secretary for Policy or other designated officials and such other information deemed necessary or appropriate, the Sponsoring Official shall determine whether the specific opportunity and associated international travel will be pursued. If it will, the Sponsoring Official shall

designate in writing a Senior Responsible Official to serve for the duration of the planning, execution, and cost reconciliation processes associated with the trip.

**Trip Charter.** Working with representatives of the host country, the Department of State, the Department of Commerce, appropriate offices of the President, and relevant program offices, the Senior Responsible Official, with assistance from the Assistant Secretary for Policy or other designated officials, shall prepare a Trip Charter outlining the objectives, scope, and proposed outcomes of the mission.

**Trip Policy Plan.** With guidance from the Sponsoring Official and working with the Senior Responsible Official, the Assistant Secretary for Policy will develop an overall trip plan. This plan will outline the programmatic and policy work that needs to be completed in each subject area for the trip to succeed. The plan will include background material that must be developed, preliminary meetings or communications with the host government and among the U.S. program and policy experts, and potential obstacles to be addressed (including any diplomatic issues). In addition, the plan will include a Policy Requirements and Staffing Plan and Mission-Specific Supplemental Delegate Selection Criteria.

**Policy Requirements and Staffing Plan.** The Senior Responsible Official, with the assistance of the Assistant Secretary for Policy, will work with the program offices leading each section of the proposed trip to develop a policy staffing plan. This plan will outline the policy and program work that must be done to support the mission, identify the programmatic and policy expertise that must be on the trip, and identify programmatic or policy followup work that might be required at the conclusion of the trip. These needs will then be compiled into a staffing plan for all substantive elements of the proposed trip. Departmental programmatic and policy staff traveling in support of the trip shall be the minimum necessary to fulfill the mission objectives. Program offices will be responsible for the costs associated with their respective staffs and activities in support of the trip. The Senior Responsible Official must certify that each program or policy staff member is essential to the trip.

**Mission-Specific Supplemental Delegate Selection Criteria.**

Private-sector Participants -- For any trip involving private sector travelers (non-Federal personnel traveling at their own expense), the Senior Responsible Official with the assistance of the Policy Assistant Secretary and other designated officials, will work with the lead program officials to develop mission-specific, objective criteria to be used in selecting such participants. These criteria will supplement the general criteria provided in this policy. Participants must possess qualifications deemed necessary to the success of the specific mission. The Senior Responsible Official must certify that each non-Federal participant has such qualifications and is essential to the mission.

Departmental Invitees -- Non-Federal personnel traveling at the invitation of the Department and at the Department's expense (invitees) must possess knowledge and expertise not resident within the Department and determined by the Senior Responsible Official to be required to fulfill mission requirements. The Senior Responsible Official must certify that each invitee has such qualifications and is necessary to the mission. Other Federal employees traveling at the invitation of the Department also must be certified as essential to the trip and will travel under authorization from their respective agencies. The Department will reimburse an agency for an invited Federal employee's travel only when their travel is critical to the mission and when agreed upon in advance in writing.

**Logistical Planning**

Lead Office	Scheduling and Logistics	Initiate	150 Days Before Departure*
Supporting Offices	Program Offices Office of Policy Office of the Chief Financial Officer Office of Administrative Services	Products	Trip Itinerary Trip & Event Logistics Officers Trip Budget Logistical Staffing Plan Security Plan
			* Recommended timing

Trip Itinerary. The Senior Responsible Official, with the assistance of the Director, Office of Scheduling and Logistics or other designated officials, will develop a detailed trip itinerary showing the proposed dates of travel, meetings and participants, working sessions, and any other event proposed to support the trip.

Trip and Event Logistics. As delegated by the Senior Responsible Official, the Trip Logistics Officer will oversee all logistical and event planning activities that must occur prior to the trip departure or prior to any individual event or advance trip. This may include logistical arrangements; advance, transportation, administration, and other support activities; and expense authorization within the approved trip budget. Upon approval by the Senior Responsible Official, the Trip Logistics Officer may designate Event Logistics Officers with responsibility for all advance, transportation, administration, and other support activities as well as expense authorization within the approved trip budget for the event to which they are assigned.

The Senior Responsible Official will also develop a logistical staffing plan for the proposed trip. This plan will include all advance and support personnel associated with the logistical administration, communication, and clerical support staff necessary for the successful completion of the trip, provided that such personnel will not fulfill or duplicate support functions that could be provided by the embassy. This plan will not include security staffing (see below).

**Security Plan.** The Director, Office of National Security, in consultation with the Senior Responsible Official and representatives of the State Department and the U.S. embassy in the host country, will review the trip itinerary and any other necessary material and will develop a Security Plan for the proposed trip. Included in this plan to ensure the security of the mission delegation will be any staffing requirements and transportation, communication, and logistical requirements needed to supplement the security provided by the State Department. The costs associated with these requirements shall be included in the Trip Budget (see below). The plan also shall summarize the threat assessment and identify the basis for such assessment. The security plan, threat summary, assessment basis, and budget data may be included in whole or in part as a classified appendix to the trip plan as deemed necessary.

### **Final Approval**

Lead Office	Senior Responsible Official and Office of Policy	Initiate	120 Days Before Departure*
Supporting Offices	Scheduling and Logistics Program Offices	Products	Secretarial Approval Package National Security Council Approval Package White House Approval Package  *Recommended timing

The Senior Responsible Official with the assistance of the Assistant Secretary for Policy and the Director, Office of Scheduling and Logistics and other designated officials, will compile an International Travel Approval Package consisting of the Mission Charter, the Trip Plan, and the Trip Budget Estimate or Trip Detailed Budget, as required, as well as any additional information deemed appropriate.

Notwithstanding the requirements for Chief Financial Officer approval of the budget, for all covered travel by covered officials or other Departmental employees with a cost of less than \$50,000, this Travel Approval Package shall be provided to the Chief Financial Officer for review. For travel by covered officials or other Departmental employees with a cost of over \$50,000, the Travel Approval Package shall be submitted to the Chief Financial Officer for review and approval. For all covered Departmental travel other than by covered officials, the package shall also be provided to the program official at the Assistant Secretary level for approval.

After this package has been approved, the Senior Responsible Official with the assistance of the Assistant Secretary for Policy will coordinate any required approvals from the Department of State, the National Security Council, and the Executive Office of the President. Once required approvals by other agencies have been obtained and adjustments made where

necessary, the final Approval Package will be distributed as the Approved Trip Plan and Budget. No arrangements for goods or services (either in the United States or in the host country) other than those associated with trip planning, coordination, and approval, may be completed before the Approved Trip Plan and Budget are approved.

Approval of Changes to the Plan. Any changes to the Approved Trip Plan must be documented in writing and signed by the Senior Responsible Official. Any changes to the approved Trip Budget must additionally be approved by the Chief Financial Officer. The Assistant Secretary for Policy will track and distribute any authorized changes to the plan. The Trip Logistics Officer will track and distribute any authorized changes to the budget.

**Execution of Logistical Elements**

Lead Office	Senior Responsible Official and Scheduling and Logistics	Timing	Various
Supporting Offices	Office of Policy Office of Procurement and Assistance Management Office of Administrative Services Office of the Chief Financial Officer Department of State	Products	Request for State Dept. Support Approval for Requested Support Travel Authorization/Approval Acquisition of Transportation Logistical Advance Request and Support for Domestic Expenses

Logistical Advance. The Trip Logistics Officer will ensure that the costs of all logistical and event planning activities are within the Approved Trip Budget and that all goods and services arranged in connection with the advance activities are consistent with the Financial Policies and Procedures outlined herein.

Acquisition Planning and Accounting. For travel costing more than \$150,000, the Senior Responsible Official shall transmit the detailed budget and trip plan to the appropriate DOE Procurement officials and the designated U.S. embassy procurement official for their use in planning the required domestic and in-country procurements, respectively, pursuant to this policy. Accounting for expenses incurred in such procurements shall be consistent with the requirements of the Financial Policies and Practices section of this policy, agency procurement regulations, and such other requirements as the Chief Financial Officer may direct.

Request for State Department Support -- For all covered travel, the State Department and the U.S. embassy in the host country will be notified in advance. In addition, whenever the Department requires support from the State Department and/or U.S. embassy in a host country for an international mission, the Senior Responsible Official (working with the Chief

Financial Officer, the Office of Policy, the program offices, the Office of Administrative Services and other designated offices) will prepare a detailed official cable to the Department of State and the U.S. embassy in the host country requesting such assistance prior to departure.

The cable will identify the Trip Logistics Officer (and Event Logistics Officers), and include a detailed list of needed goods and services and identify specific funding cites and amounts for each. The cable also will identify any costs to be covered by private-sector payments. Further, it will state that only the Senior Responsible Official, the Trip Logistics Officer, or the Event Logistics Officer may, in writing, request changes to those needs and only the Senior Responsible Official or Trip Logistics Officer may authorize any expenditures in excess of these amounts. Finally, the cable will state that all invoices and supporting documentation are to be provided before the end of the trip (or as soon thereafter as practicable) to allow a full and complete reconciliation of all trip expenses incurred through the embassy, and that the embassy is to establish an accounting mechanism or cost center to ensure accurate and timely accounting and reconciliation.

For any international mission for which total cost is expected to exceed \$150,000, or any trade mission, the Senior Responsible Official or designee shall negotiate an advance understanding with the U.S. embassy. The advance understanding shall describe the provision of embassy support, expenses to be incurred by the embassy from its own accounts, advance funding from DOE, representation expenses, accounting procedures, and all other elements of such assistance. For trips expected to cost less than \$150,000, negotiation of an advance understanding is optional.

Approval of Support. Goods and services necessary to complete the trip must be approved in writing, in advance, and be in consonance with the approved trip budget by the Trip Logistics Officer or the pertinent Event Logistics Officer. Expenses that would exceed the approved trip budget will not be approved or incurred. Further, trip expenses will be consistent with the conditions contained in the Financial Policies and Practices section of this policy.

Travel Authorization/Approval. The Director, Office of Scheduling and Logistics, will coordinate all travel authorizations necessary for all Federal travelers (including invitees) for preliminary meetings, advance trips, and the travel associated with the trip itself. Scheduling will ensure that all authorizations are consistent with the Approved Trip Plan and Trip Budget, that all invited travelers have been identified as necessary in the Approved Trip Plan (Program and Policy Staffing Plan section), and that all documentation required for official travel has been completed.

Acquisition of Transportation. When the estimated cost of air travel exceeds \$25,000 or when modes other than commercial airline service are being considered or required, the Senior Responsible Official shall identify and document the overall travel requirements including, but not limited to:

- o Size of delegation that must travel together,
- o Size of delegation that can travel individually,
- o Trip itinerary, and
- o Any other requirements necessary.

The Senior Responsible Official will transmit these requirements in writing to the Director, Office of Aviation Policy, and acquire such transportation services as necessary pursuant to the Air Transportation Practices of this policy. Submission to the Director, Office of Aviation Policy, shall be no later than 120 days in advance of travel when air transport cost is expected to exceed \$50,000 and otherwise, as soon as practical.

Request and Support for Domestic Expenses. Goods and services (other than transportation to the host country, which is handled separately) that must be acquired in the United States in support of a trip must be approved in writing by the Trip Logistics Officer and procured with the assistance of the Director, Office of Administrative Services, and appropriate procurement officials. The approval must contain a description of the requested product or service, an estimate of the cost of the product, an explanation of why the product or service is required, and a certification that the expense is within the approved trip budget. The approving Trip Logistics Officer or Event Logistics Officer must approve and maintain the invoice for the requested good or service prior to payment. Such expenses must comply with the Financial Policies and Practices section of this policy.

Request and Support for Expenses Incurred Outside of the United States. Goods and services that must be acquired outside of the United States in support of a trip must be approved in writing by the Trip Logistics Officer and procured with the assistance of the designated U.S. embassy procurement official, except for the travel and lodging costs of Federal employees. Travel and lodging costs for DOE employees and invitees will be procured through the normal Department travel mechanisms without using the embassy for payment. The approval must contain a description of the product or service required, an estimate of the cost of the product, an explanation of why the product or service is required, and a certification that the expense is within the Approved Trip Budget. Further, the approving Trip Logistics Officer or Event Logistics Officer must maintain and approve the invoice for the requested good or service prior to payment. All such expenses must comply with the Financial Policies and Practices section of this policy.

**AIR TRANSPORTATION SERVICES**

Lead Office	Aviation Policy	Timing	Various
Supporting Offices	Office of Procurement Scheduling and Logistics Office of General Counsel	Products	Statement of Needs Transportation Options Analysis Detailed Aircraft Requirements Acquisition

**Transportation Options Analysis.** Upon receipt of documented air transport requirements prepared by the Senior Responsible Official when required, or upon request of a Senior Responsible Official, the Director, Office of Aviation Policy, in consultation with the Director, Office of Headquarters Procurement Operations, will prepare a Transportation Options Analysis. The Analysis must address the transportation requirements, consider all reasonable alternatives (including the use of regularly scheduled commercial airlines, commercially available charter aircraft, DOE-owned aircraft, and military aircraft), and the impact of minor changes in itinerary, schedule or requirements. The Analysis will include a detailed cost breakout of the available options and identify potential limitations or modifications to the trip plan. The Analysis will also recommend the least expensive transportation alternative capable of meeting the basic requirements identified by the Senior Responsible Official. The Analysis shall take into account cost-recovery from any non-DOE participants to the maximum extent allowed by law for each option.

**General Policies.** In preparing an analysis, the following general policies should be used:

- 1) Cost to the Department should be minimized.
- 2) Needs of the trip should be met.
- 3) Non-commercial transportation providers should:
  - o Establish a mechanism to accept direct payments for those participants' pro rata share of air transport costs.
  - o Accept a Government Transportation Request (GTR) to cover the cost of all Federal travelers (including invitees). The GTR will be issued by the Office of Procurement and will be supported by approved Travel Authorizations for all Federal travelers and invitees.

**Selection and Acquisition.** The Senior Responsible Official shall select the least expensive recommendation. If the approved option requires military or charter aircraft, the Office of Aviation Policy will then provide detailed specifications (Detailed Aircraft Requirements), including all safety and flight crew specifications, as well as the passenger, cargo, flight distances, and any other information necessary to acquire the necessary transportation. This

should be completed within 21 days of the Senior Responsible Official's approval. The Office of Aviation Policy may also provide additional technical assistance.

The Office of Procurement and Assistance Management will be responsible for acquiring air transport services consistent with the approved option using a competitive process to ensure that the Department's cost for transportation services is as low as possible and to document its selection and award decisions.

General Counsel Approval. When travel is by Government aircraft, the Office of the General Counsel will continue to be responsible for review and approval, pursuant to existing regulations.

### **FINANCIAL POLICIES AND PRACTICES**

General. The Chief Financial Officer will establish and maintain overall financial controls and policy for international travel. Once approval to proceed with covered travel is granted, the Senior Responsible Official will assume responsibility for compliance with all financial requirements including documentation and accounting for all funds expended.

The Chief Financial Officer or designee will approve and monitor the trip budget, prepared by the Senior Responsible Official, in consultation with the Director, Office of Administrative Services. No expenses in excess of the approved mission budget can be incurred without prior approval from the Senior Responsible Official and the Chief Financial Officer. Goods and services will be procured at the lowest practical cost. Trip expenses incurred through a U.S. embassy will be defined in advance by either an advance understanding negotiated with the embassy, or, when an advance understanding is not required, a detailed cable to the embassy.

Expense Supporting Documentation. At the conclusion of the trip, each Trip Logistics Officer should receive from the embassy all invoices and other information to document the actual expenses incurred for that portion of the trip, to the maximum extent practical, and obtain an agreement on how any invoices received after the delegation's departure will be processed. The Trip Logistics Officer will ensure that all documentation is received, approved, and reconciled as soon as possible.

Private Sector Costs. Private sector participants will fund their full share of trip costs. The Senior Responsible Official may provide assistance in arranging with vendors that these costs to be identified and prepaid. These costs will be broken down into three components.

*Transportation* - Private sector participants will fund their full pro rata share of the delegation transportation costs directly to the transportation provider prior to the departure date. Any delegation member not paying his or her pro rata share of transportation costs prior to departure will not be allowed to depart with the delegation.

Any delegation member traveling separately to the host country will be individually responsible for all transportation costs.

*Lodging* - Each private sector participant will be responsible for all lodging costs incurred during the trip. The U.S. embassy, the DOE, or any other part of the Federal Government will at no time be responsible or liable for any costs of business delegate lodging. The Department will instruct the local embassy prior to the mission that no private sector costs are to be assumed.

*Administrative and Other Expenses* - Private sector participants will pay in advance the estimated pro rata share of administrative costs of the trip associated with delegation activities in the host country or countries. These payments must be made directly to vendors and are nonrefundable.

Public Sector Travel. Federal employee or invitee travel costs to and from the host country will be authorized and administered through the standard Federal travel process, subject to all relevant rules and regulations. None of these costs should be funded through the Department of State or the U.S. embassy in the host country.

Public Sector Administrative Costs. The Federal component of the administrative costs will include only those portions of the trip costs that benefit Federal participants, including a pro rata portion of all expenses that benefit the delegation as a whole (meeting space, administrative, and logistical support). At no time will the DOE incur an expense for the sole benefit of the business community. Private sector participants will be notified of their financial obligations in advance.

*Administrative Expenses Incurred Within the United States* - All such charges shall be in accordance with the approved trip budget and procured through the Office of Procurement and Assistance Management. Costs shall be funded by the program office sponsoring the trip (or that meeting or section of the trip). Such expenses shall be directly procured and paid for by the DOE and approved by Senior Responsible Official or designee. The Senior Responsible Official or Trip Logistics Officer will maintain a record of goods and services requested, showing the date requested, a description of the good or service requested, and the date the service was delivered. The Senior Responsible Official or designee will not approve any such expense not requested and delivered within the required time line, nor will he or she approve any expense for which a proper detailed invoice has not been received.

*Administrative Expenses Incurred Outside the United States* - All such charges shall be in accordance with the approved trip budget and procured under the procurement authority of the Department of State and with the written approval of the Senior Responsible Official or Trip Logistics Officer as provided by this policy. Costs shall be funded by the program office sponsoring the trip (or that meeting or section of the trip), except to the extent such costs are defrayed by pro rata private sector payments. When such expenses are procured and paid for through the U.S. embassy in the host country they shall be in accordance with

the advance understanding, or when applicable, the detailed cable outlining the administration of such expenses and they shall be approved by the Senior Responsible Official or designee. The Senior Responsible Official or Trip Logistics Officer will maintain a record of all goods and services requested, showing the date requested, a description of the good or service requested and the date the service was delivered. The Senior Responsible Official or designee will not approve any such expense not requested and delivered within the required time line, nor will he or she approve any expense for which a proper detailed invoice has not been received.

Representation Expenses. The trip budget for representation activities (funded from the Secretary's Representation Fund) will be the exclusive governmental funding source for all official representation, food, and beverage expenditures for the trip. No other appropriated funds will be used for these expenses. The U.S. embassy in the host country, the Senior Responsible Official, and all Trip Logistics Officers will be informed of this requirement. The Senior Responsible Official or Trip Logistics Officer will maintain a separate record of requested representation expenses and will approve payment of the expenses only when he/she determines they are consistent with the approved budget and the goods or services were requested, delivered, and documented by complete, accurate, and detailed invoices.

Excluded Costs. The following costs will be not be allowed as part of any international trip:

- o Food and beverage costs. Non-DOE participants are responsible for all lodging, food and beverage costs and any other incidental costs other than official delegation functions. All minibar, room service, restaurant, or other food and beverage charges will be the responsibility of the individual and shall not be billed to the Department, either through the embassy or through the travel voucher process.
- o Incidental Charges to Staff Rooms. No charges shall be billed to the staff support facilities except for the charge for the room itself and any official phone charges. No minibar, room service, conference-material, or other types of charges shall be allowed.
- o Representation Expenses. No appropriated funds shall be used for entertainment, receptions, or other informal gatherings of any type except the funds established in the trip budget from the Secretary's Representation Fund.
- o Advances or Expenses on Behalf of Business Delegates. No funds shall be used to procure goods or services on behalf of a private sector participant. All such charges must be funded directly by the participant, with no involvement or liability to the Department.

## **ACTIVITIES DURING THE TRIP**

Changes in Itinerary. Changes in the trip itinerary that must be made during the trip should be documented by the Senior Responsible Official and coordinated with the Trip Logistics Officer and policy and program staff on the trip. The pertinent Event Logistics Officers

should also be notified so that all arrangements and requested goods and services can be canceled. Any additional support requirements that arise from itinerary changes must be approved and documented as outlined below.

Changes in Requested Support or Budget. Any necessary changes in administrative or logistical support (including goods and services requested through the embassy) must be approved in writing prior to an expense being incurred. The Trip Logistics Officer or the pertinent Event Logistics Officer must approve the changed request and certify that the change will not cause the event or trip to exceed the approved budget. To the extent that such changes modify the support request made to the U.S. embassy in the host country, the Trip Logistics Officer should immediately present such changes in writing to, and obtain a written acknowledgement of such changes from, the appropriate embassy official.

Budget Changes. Any change that occurs during the trip that may necessitate a change in the approved trip budget must be approved in writing in advance by the Trip Logistics Officer with oral concurrence from the Chief Financial Officer or designee. The budget change should be countersigned by the appropriate embassy employee to document the changed trip budget. To the extent that such changes modify the budget associated with the support request made to the U.S. embassy in the host country, the Trip Logistics Officer should immediately present such changes in writing to, and obtain a written acknowledgement of such changes from, the appropriate embassy official.

Requesting Documentation. At the conclusion of the trip, the Trip Logistics Officer and the appropriate embassy official should confirm that requested goods and services are properly documented either in the original cable or in memos approving changes or additions to the original cable. Memos approving changes or additions should be signed by the Trip or Event Logistics Officer and the appropriate embassy official.

## **POST TRIP ACTIVITIES AND EXPENSE RECONCILIATION**

Trip Report and Records. The Senior Responsible Official, with assistance from the Office of Scheduling and Logistics, shall prepare a trip report documenting the activities of the international mission within 120 days of its completion. In addition, the Senior Responsible Official shall simultaneously compile and index all official documents, records, plans, required approvals, certifications, and waivers.

Expense Reconciliation. The Senior Responsible Official, with assistance from the Office of Scheduling and Logistics and the Chief Financial Officer, will reconcile all costs incurred in the planning and execution of the international mission. The Senior Responsible Official is required to certify results of the reconciliation. For missions in excess of \$150,000 in total cost, the Chief Financial Officer shall also certify the results of the reconciliation.

Accounts Payable and Receivable. Within 14 days of the completion of an international mission by a covered official, for a mission in excess of \$150,000, or for any other international mission for which the Senior Responsible Official or the Trip Logistics Officer knows of any outstanding balances owed to the Department, the Chief Financial Officer shall promptly act to collect such balances.

### **DEVIATIONS**

If during the course of planning or executing an international mission, it becomes apparent that a specific policy or procedure provided in this policy cannot be met due to the unique, emergency, or national security requirements associated with that mission, the Senior Responsible Official may request a deviation from that specific policy or procedure from the Chief Financial Officer. The request shall identify the specific requirement at issue, describe how the mission requirements conflict with that requirement, and describe the alternative requested. In case of the acquisition of services, products, or air transport services, the request must also demonstrate why conformance to this policy is not in the best financial interest of the government. The Chief Financial Officer shall issue a decision to approve or disapprove the deviation request in writing and shall include the basis for the decision.

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM  
Assistant Secretary for  
Human Resources and Administration