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J. TRAVEL

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I. General

This section sets forth policies and procedures for persons authorized to travel on behalf of the Carnegie Institution of Washington and its Departments (hereafter CIW). Authorized persons (hereafter Traveler) include employees, fellows, associates (hereafter personnel Traveler), and others (hereafter non-personnel Traveler) as listed under the caption Eligible Persons.

Carnegie's policy is to support travel necessary for the performance of work and to reimburse reasonable and appropriate travel costs associated with the business of the organization. Reimbursable travel costs are the expenses for transportation, lodging, subsistence and related items incurred by the Traveler in travel status on official business of CIW. Non-reimbursable travel costs include, but are not limited to, travel costs of personal guest(s) of the Traveler, music, spectator or sporting events, movies, and parking violations.

Only travel costs that are allowable and allocable under federal guidelines may be charged, either directly or indirectly, to federal grants. This includes direct charges to a grant, as well as indirect funds charged to an endowment pool that will be allocated to federal grants. Federal grant funding also includes "pass-through funds", e.g., funding provided to CIW by means of an outside entity that receives these funds from a federal source. In this document, all references to federal grant funding will include "pass-through funds."

In certain cases, as specified in this section, Carnegie reimburses travel costs that may not be allowable and allocable under federal grants, either directly or indirectly. In those cases, without exception, amounts shall be charged to project codes or accounts designated by the P Street Accounting Office. These accounts function to accumulate unallowable expenses that are to be absorbed by the endowment and are not to be charged to federal grants. For example, all travel charges allocated to federal grants are measured against per diem rates established by the U.S. government. If any travel costs exceed these rates, the excess is dedicated to a project code or account which will not be distributed to federal grants.

It is the responsibility of the traveler, any individual who authorizes travel, and any individual who approves the payment of travel costs to ensure that travel is undertaken only when required for the effective performance of work and that costs are reasonable and appropriate. In choosing alternative methods of travel, the cost of transportation and the loss of productive time should be considered.

The Business Office is responsible for assuring that travel requirements are met. This includes complying with this policy and with applicable sections governing travel expenditures under federal grants, as set forth in OMB Circular A-122:

“a. Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business of the organization. Such costs may be charged on an actual cost basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip and not to selected days of the trip, and results in charges consistent with those normally allowed in like circumstances in the non-profit organization’s non federally-sponsored activities.

“b. Lodging and subsistence. Costs incurred by employees and officers for travel, including costs of lodging, other subsistence, and incidental expenses, shall be considered reasonable and allowable only to the extent such costs do not exceed charges normally allowed by the non-profit organization in its policy. In the absence of an acceptable, written non-profit organization policy regarding travel costs, the rates and amounts established under subchapter I of Chapter 57, Title 5, United States Code (“Travel and Subsistence Expenses; Mileage Allowances”), or by the Administrator of General Service, or by the President (or his or her designee) pursuant to any provisions of such subchapter shall apply to travel under Federal awards (48 CFR 31.205-46(a)).

“c. Commercial air travel.

(1) Airfare costs in excess of the customary standard commercial airfare (coach or equivalent), Federal Government contract airfare (where authorized and available), or the lowest commercial discount airfare are unallowable except when such accommodations would: (a) require circuitous routing; (b) require travel during unreasonable hours; (c) excessively prolong travel; (d) result in additional costs which would offset the transportation savings, or (e) offer accommodations not reasonably adequate for the traveler’s medical needs

(2) Unless a pattern of avoidance is detected, the Federal Government will generally not question a non-profit organization’s determinations that customary standard airfare or other discount airfare is unavailable for specific trips if the non-profit organization can demonstrate either of the following: (a) that such airfare was not available in the specific case; or (b) that it is the non-profit organization’s overall practice to make routine use of such airfare.

“d. Air travel by other than commercial carrier. Costs of travel by non-profit organization-owned, -leased, or –chartered aircraft include the cost of lease, charter, operation (including personnel costs), maintenance, depreciation, insurance, and other related costs. The portion of such costs that exceeds the cost of allowable commercial air travel, as provided for in subparagraph c., is unallowable.

“e. Foreign travel. Direct charges for foreign travel costs are allowable only when the travel has received prior approval of the awarding agency. For purposes of this provision, foreign travel is defined as any travel outside of Canada, Mexico,

the United States, and any United States territories and possessions. However, the term “foreign travel” for a non-profit organization located in a foreign country means travel outside that country.

“...Trustees. Travel and subsistence costs of trustees (or directors) are allowable. The costs are subject to restrictions regarding lodging, subsistence, and air travel costs provided [above].”

With respect to (a) above, Carnegie only reimburses mileage costs for travel associated with a personal automobile.

With respect to (b) above, Carnegie’s practice for lodging and subsistence rates is to charge to federal grants, directly and indirectly, only the rates and amounts established under federal guidelines. The Business Office ensures that all charges are screened against the federal standard before posting.

A personnel Traveler should become familiar with the policies and procedures in this document, obtain any prior authorization required for travel, and complete travel forms for the reimbursement of expenses.

Each Department ensures that travel by non-personnel Travelers is consistent with these policies.

Persons Eligible for Travel Reimbursement

The following describes those persons who may have their travel reimbursed by the Institution and the basis for the reimbursement:

- **Employees, Fellows and Associates** – while on official business for CIW.
- **New Employees, Fellows and Associates** – as provided in the offer of employment.
- **Prospective Employees** – costs approved in advance that are incidental to recruitment and employment.
- **Subcontractors** – performing under cost-reimbursement contracts, with reimbursement in accordance with the terms of the subcontract provisions.
- **Consultants** – in accordance with agreements specifically providing reimbursement for travel costs.
- **Scientific Visitors** – as provided in the invitation or authorization.

- **Committee Members, Speakers, Guests, and Others** – As set forth in their letters of invitation.

II. Travel Status

For purposes of this section, both personnel and non-personnel Travelers will be considered in travel status when away from their normal place of work on authorized official business on behalf of CIW.

Group Travel Accident Insurance Policy

The Group Travel Accident Insurance Policy covers employees, fellows, associates, trustees and visiting investigators. Coverage begins the later of the time the individual leaves their residence or place of employment and continues until the earlier of the time the individual returns to their residence or place of employment. Coverage does not extend to everyday travel to and from work (commuter travel).

The current maximum benefit per person is \$200,000. The aggregate limit per accident is \$1,000,000. If more than five covered persons are traveling in the same conveyance at the same time, please contact the Manager of Human Resources and Insurance before the trip begins to request a higher aggregate limit for the trip.

Personal Activity during Official Travel

A personnel Traveler who interrupts an authorized trip for reasons not connected with official business is not in travel status and is not eligible for reimbursement of expenses incurred during that period. The Group Travel Accident Insurance Policy is not in force during the period of interruption.

A personnel Traveler who is authorized in advance to take annual leave during an official business trip is not eligible for reimbursement of expenses during the period charged as annual leave. The Group Travel Accident Insurance Policy is not in force during annual leave periods.

Sick leave will be charged, for the appropriate time, in the event a personnel Traveler becomes ill during an official business trip. Travel costs incurred during this period will be reimbursed under the appropriate travel costs reimbursement policy. Similarly, an accident or injury while on an official business trip shall be treated and reported as if the personnel Traveler were at their normal place of business.

A non-personnel Traveler who interrupts an authorized trip for reasons not connected with official business is not in travel status and is not eligible to be reimbursed for time or expenses incurred during this period.

Weekend Travel

A personnel Traveler is considered to be in travel status, and eligible for reimbursement of costs if official business is conducted on Saturday and/or Sunday, or if the Traveler conducts business on the Friday preceding or the Monday following that weekend. If a Traveler accommodates for a Saturday night stay over to reduce trip costs, the Traveler is considered to be in travel status.

Travel time on Saturday or Sunday by a non-exempt Traveler will be calculated based on the prevailing laws regulating such time in the Department's home state.

Travel status and travel time on Saturday or Sunday by a non-personnel Traveler will be considered/calculated in accordance with agreements (consultants), subcontract provisions (subcontractors), offers of employment, letters of invitation and such other documents (prospective/new employees, scientific visitors, committee members, speakers, guests and others) deemed appropriate.

III. Authorization for Travel

Each Department's Business Office is responsible for enforcing travel authorization and reimbursement practices in consultation with the Director.

Domestic Travel

Domestic travel boundaries cover the United States, its territories and possessions, Canada, and Mexico. All domestic travel should be approved by authorized Department personnel prior to making travel arrangements in order to assure that funds are available. The Business Office informs employees from time to time about the procedures for obtaining prior approval as well as Business Office involvement in the process. Such processes must ensure that funds are available to support travel.

At an institutionwide level, acceptable authorizations may take one of the following forms: a verbal conversation with a supervisor; an e-mail exchange; or a signed travel authorization with information that includes purpose, date, and costs of travel. When charging travel directly to a grant, approval must be obtained from the Principal Investigator (PI) and reviewed by the Business Office to confirm funds availability and conformity with grant terms and conditions.

Travelers must use U. S. flag carriers. The Business Manager must specifically authorize any exception to this provision.

Foreign Travel

Foreign travel is defined as travel outside the United States, its territories and possessions, Canada, and Mexico. All foreign travel should be approved, in writing, by

authorized Department personnel (typically a supervisor) prior to making travel arrangements. In addition, the Business Manager shall review and document his or her approval of foreign travel with respect to the funding source (as approved by authorized Department personnel) and other issues of compliance before travel costs are posted to the Department's general ledger.

Travelers must utilize U.S. flag carriers for all international air travel when claiming reimbursement from CIW. This includes all routes and connecting flights that are part of any official business itinerary. The Business Manager should note any exceptions to this provision. Requests for such exception must be submitted as part of the travel request procedure.

Direct travel costs for foreign travel may be charged to federal grants only when the travel has received prior approval of the awarding agency. In some cases, this approval is provided as part of the grant; otherwise, each separate foreign trip must be pre-approved by the awarding agency. Pre-approval of a foreign travel budget by the awarding agency will constitute approval of the cost in compliance with OMB Circular A-122, unless the awarding agency's own guidelines establish a higher standard.

Travel between CIW Facilities and Day Trips

Personnel Travelers must have their supervisor's verbal permission prior to traveling between CIW facilities.

The Group Travel Accident Policy is not in effect for travel within points that define the limits of the city in which the personnel Traveler is employed. Authorization is generally required for travel outside regular working hours except in the case of a bona fide emergency.

President and Trustees

The Board of Trustees reviews the President's travel costs on a periodic basis, but no less frequently than annually. Trustees' travel costs are addressed on a case by case basis.

Subcontractors and Consultants

The Business Manager shall review and document his or her approval of foreign travel with respect to the funding source (as approved by authorized Department personnel) and other issues of compliance before travel costs are posted to the Department's general ledger for foreign travel by subcontractors performing under cost reimbursement type contracts. Travel costs will be reimbursed after the submission of the appropriate supporting documentation.

The Business Manager shall review and document his or her approval of foreign travel with respect to the funding source (as approved by authorized Department personnel) and

other issues of compliance before travel costs are posted to the Department's general ledger for foreign travel by consultants. Travel costs will be reimbursed under CIW's travel policy provisions unless otherwise specified in the consulting agreement. Travel costs will be reimbursed promptly after the submission of the appropriate supporting documentation.

Domestic travel costs incurred by subcontractors and consultants may be reimbursed under the applicable provisions following the submission of the appropriate supporting documentation and approval from authorized Department personnel.

Official Guests

The Department Director or designee(s) may authorize the reimbursement of travel costs for official guests (scientific visitors, committee members, speakers, guests and others). Travel costs should be submitted on a travel expense report along with the appropriate supporting documentation.

IV. Preliminary Travel Costs

Subsequent to travel authorization, Department personnel may purchase transportation fare(s), and other trip related costs by any of the following customary methods permitted by the Business Office: personal credit card, Department issued credit card, Department authorized travel agent, or Department purchase order. The Business Office informs employees of the process to follow.

V. Travel Advances

In general, advances are not made for travel. The policy is to reimburse travelers promptly upon submission of an appropriate expense form. Through the use of personal credit cards and/or CIW-issued charge cards, travelers should not have to incur significant up-front expenses in order to travel.

Nevertheless, in some cases advances may be warranted. Subsequent to travel authorization, an advance may be obtained by submitting a request, in the prescribed form, to the Department's Business Office. Travel advances from any petty cash funds are not permitted. A travel advance will not be issued when a previous one is outstanding. The amount of the advance should be reasonable and not exceed the amount of per diem stipulated by federal reimbursement guidelines for the destination and length of the trip. Large advances are discouraged. Any travel advance refund should be submitted with the Traveler's expense report. The expense report must be submitted within 30 days of completion of the travel.

VI. Reporting Travel Costs

Only "allowable, customary, and reasonable" costs will be reimbursed. Non-reimbursable travel costs generally include, but are not limited to, travel costs of personal guest(s) of the Traveler, music, spectator or sporting events, movies, parking violations, and any items purchased for personal use (e.g., clothing, toiletries).

A travel expense report should be submitted by a personnel Traveler to the Department's Business Office within 30 days of completion of the travel. The Department's business office provides travelers with the expense report form. The travel expense report provides for the dated signatures of the Traveler and Department individual authorized to approve the travel expense report (generally, the individual who authorized the travel). It is the responsibility of the Departments' Business Office to review travel expense report for arithmetic accuracy, adequate supporting documentation, and approval signatures.

The following guidelines apply to the reimbursement of travel costs:

- Airline, plane, or bus travel is reimbursed on an actual basis.
- Rental car costs are reimbursed on an actual basis.
- Travel by personal car is reimbursed on a mileage basis.
- Hotel costs are reimbursed on an actual basis.
- Meals and miscellaneous expenses are reimbursed on a per diem rate (see Applicability of Government Per Diem below) or an actual basis. Departments select one of these procedures and apply them uniformly to travel throughout the department. A business manager may authorize an exception to the adopted approach for individual trips, but may not use both approaches for reimbursement on a single trip.
- Original receipts are required when reimbursing actual costs (except that business offices in individual departments have authority to use judgment to reimburse reasonable expenses with receipts in particular cases provided that the basis for the payment is documented and/or to adopt an approach that uniformly does not require receipts for items of \$25 or less) and are to be included with the Traveler's report.
- If a per diem rate reimbursement approach is adopted for meals and miscellaneous expenses, the individual is reimbursed 75% of the applicable daily rate for the first and last day of travel.
- A traveler may, at his or her discretion, request to be reimbursed less than the amount permitted under Carnegie's policy.

As required by OMB Circular A-122, first or business class air fare costs will only be allowed if less than first or business class air accommodations are not reasonably available to meet necessary travel requirements, such as when less than first or business class accommodations would: require circuitous routing or travel at unreasonable hours, greatly increase the duration of the flight, result in additional costs which would offset

transportation savings, or offer accommodations not reasonably adequate for the medical needs of the Traveler. This restriction applies to both federal and non-federal funding sources.

A non-personnel Traveler should submit a travel expense report within the time and in the format prescribed by the guidelines governing the reimbursement of travel costs to the non-personnel Traveler.

VII. Travel Categories and Limitations

Applicability of Government per Diem

Business Offices are responsible for assuring that the cost of daily meal and lodging expenses in excess of the federal per diem allowance will **not** be charged directly or indirectly to federal grants in compliance with OMB Circular A-122 standard of “reasonable costs”. The excess costs shall be charged to project codes or accounts designated by the P Street Accounting Office to accumulate unallowable expenses that are to be absorbed by the endowment.

Please refer to the following website for current per diem rates for meals and lodging:
www.gsa.gov.

Use of Personal Vehicle

The use of a personal vehicle for authorized official business is reimbursed at the business rate established by the Internal Revenue Service. Reimbursement for personal vehicle mileage will not be made based on actual expenses, e.g., gas, oil, etc. Cost of tolls and parking fees are reimbursable when incurred by Traveler on authorized official business for CIW.

Travel by private vehicle, or any other form of transportation, between a Traveler’s residence and work place is not reimbursable except in the case of an emergency call-out (example: maintenance staff making an emergency repair on a non-duty day).

In general, a traveler and the individual approving the travel are responsible for assuring that the cost of the trip is reasonable. A personal vehicle may be used at the Traveler’s discretion for round trips of up to 500 miles. Permission to use a personal vehicle for round trips in excess of 500 miles should be specifically requested in advance. Such travel should be approved by the appropriate Department personnel only when in the best interests of CIW. Mileage reimbursement will be based on the reported distance, or the published mileage for the most direct route, whichever is less. The cost of tolls and parking fees are reimbursable.

When a private automobile is used for the Traveler’s convenience, the total reimbursement (including parking fees and tolls) shall not exceed the equivalent cost of

applicable seven-day advance purchase round trip coach class airfare for travel between the same points of departure and destination. Lodging and meal reimbursements shall be based on air travel time rather than ground travel time. Any excess travel time during scheduled work hours due to the use of a private car will be charged to annual leave or leave without pay, at the Traveler's option. (This paragraph does not apply to day trips.)

Car Rental

When renting a car while on official travel in the United States, an individual should not add optional insurance coverage because insurance for rental cars is covered by CIW's automobile insurance policy. If renting a car for official travel outside the United States (defined as anywhere outside the 48 contiguous states, Hawaii, and Alaska), understand that CIW's insurance only covers liability. You will need to add damage and collision if that is the normal practice in that country.

Chartered and Private Aircraft

The Department Director must approve in advance any travel by chartered aircraft. Reimbursement shall be for the actual cost. Travel costs incurred in connection with a private plane leased, owned or operated by a personnel Traveler (or any other employee of CIW) will not be reimbursed.

CIW Issued Credit Cards

CIW issued credit cards are for official business only. On occasion, a personal item will be charged on a CIW credit card based on vendor policy (e.g., personal phone calls from hotel where the hotel will not allow charges to multiple credit cards). In such instances, the traveler will reimburse Carnegie by direct payment or the Business Office will reduce amounts otherwise due the individual.

If an inadvertent error is made by a personnel traveler in using a CIW credit card for personal reasons, the individual shall inform the business office. The business office shall take appropriate action, including informing the employee of their responsibilities. Typically, an occasion of inadvertent use will result in the business office paying the bill and obtaining reimbursement from the traveler. Frequent, inappropriate use of a CIW credit card for personal reasons shall result in disciplinary action.

Any lost credit card should be reported to the issuing Department immediately. If this is not possible, the issuing company should be contacted immediately.

Long Distance Telephone Calls

When authorized business travel requires overnight stay(s), a personnel Traveler may be reimbursed for one (waived in cases of emergency) personal long distance telephone call per day. All business long distance telephone call(s) are reimbursable. Bills from hotels, credit cards, etc. must support such calls.

VIII. Related Travel Allowances

Honoraria

Honoraria may be paid to an invited speaker or guest, in addition to any reimbursement for travel costs. Reimbursement for travel costs will be made pursuant to submission of supporting documentation by the speaker or guest, and in accordance with all other CIW reimbursement policies.

Relocation Allowance

Relocation allowance is applicable to the newly hired and regular full-time personnel whose permanent duty station may be changed at the request of CIW. The Department Director or the Business Manager will work with the individual to determine the details of their allowance. New hire appointment letters may state an offer to reimburse for costs associated with the moving of personal and professional effects to the Department's location. Due to circumstances varying with each relocation arrangement, the policy will be administered as deemed appropriate by the Department Director. All expenses covered by this policy should be clearly listed in writing and approved by the Department Director or Business Manager. Reimbursement will be made pursuant to submission of the appropriate supporting documentation. Mileage reimbursement for privately owned vehicles will not exceed the actual mileage or the mileage between points as listed in the standard mileage tables, whichever is less.

In the event an individual resigns or is discharged, CIW will not assume any obligation to pay for his/her return relocation expenses. Only the President and Department Directors may approve exceptions to this policy, and the justification for the action should be documented.

CIW allows relocation costs for a specific individual working on a specific grant to be charged to the grant provided the approved grant budget includes such costs or approval is obtained from the awarding agency. CIW complies with the conditions of OMB Circular A-122 for charging relocation costs to federal grants. The Business Office is responsible for ensuring that only allowable relocation costs are charged to federal grants and meet any specific guidelines of the awarding agency. All such costs must be approved and documented in advance.

Exploratory Trips

After receiving a written offer of employment or written notification of a permanent change in duty station, it may be appropriate for the individual (and spouse) to travel to the duty station for the purpose of securing living quarters. The exploratory trip should generally not exceed seven days. Travel authorization should be obtained from the Department Director prior to making trip arrangements. Reimbursement may be made for:

1. Round trip costs from the individual's home, by common carrier or private automobile, including parking fees. The advance purchase (at least 7 days) of coach class airfare required.
2. Car rental at the new work place.
3. Reasonable cost of lodging, meals and incidentals.

IX. Travel Booking Procedures

The Department informs employees from time to time whether they should arrange for their own travel, follow centralized booking procedures, or use another process. Through whatever method travel is booked, the policies and procedures described above need to be followed.

Exhibits Referred to in this Document:

Travel Expense Form