

 <p style="text-align: center;">DIVISION OF ADULT INSTITUTIONS</p> <p style="text-align: center;">POLICY AND PROCEDURES</p>	DAI Policy #: 300.00.62	Page 1 of 6
	Original Effective Date: 11/22/02	New Effective Date: 03/20/18
	Supersedes: 300.00.62	Dated: 11/01/17
	Administrator's Approval: Jim Schwochert, Administrator	
Required Posting or Restricted:		
<input type="checkbox"/> Inmate <input checked="" type="checkbox"/> All Staff <input type="checkbox"/> Restricted		
Chapter: 300 Administrative		
Subject: Training, Conference, Meeting and Travel Requests		

POLICY

The Division of Adult Institutions shall have a standardized process for review of training, conference and travel requests.

REFERENCES

Executive Directive 13 – Training/Conference Approval Requests (DOC Form 1042) for In-State Training and Conferences Not Sponsored by the Department of Corrections

Executive Directive 15 – Out-of-State Travel Policies and Procedures

Executive Directive 34 – Staff Development and Training

DOC Human Resources Policy 200.30.601 – Employee Development and Training

ASM 600 – Travel and Related Provisions

ASM 602 – Lodging Cost Limits and Exceptions

ASM 913 – Conference and Meeting Planning

Attachment A – Exemption Request – 80 Miles

Attachment B – Exemption Request – 150 Miles

Overnight Travel Plan Spreadsheet

DEFINITIONS, ACRONYMS, AND FORMS

CTC – Corrections Training Center

DAI – Division of Adult Institutions

Director – Bureau Directors within the Division of Adult Institutions

DOC – Department of Corrections

DOC-1042 – Training/Conference Approval Request

DOC-1097 – Training Registration

myDOC – DOC Intranet

PROCEDURE**I. General Guidelines**

- A. The entire training approval process may require four to six weeks to be completed.

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- B. A DOC-1042 is required for all training and travel including DOC-sponsored event / programs.
 - C. A DOC-1042 is not required for the following with appointing authority/designee approval:
 - 1. DAI pre-approved standing meetings. Overnight Travel Plan Spreadsheet shall be submitted for all participants to receive DAI Administrator approval (refer to IV. C. 3 &4).
 - 2. Employee's supervisor pre-approved non-overnight meeting/site visit.
 - 3. Certain CTC trainings- refer to Section V for additional information.
 - 4. When the only expense is time off without loss of pay.
 - D. Employees shall have verbal approval from their supervisor prior to submitting a DOC-1042.
 - E. Options for reducing costs of training shall be exercised by the supervisor whenever possible. This includes, but is not limited to:
 - 1. Sending one employee and having them share content with staff upon return.
 - 2. Arranging for training on-site.
 - 3. Determining whether less expensive, but equivalent training is available through another vendor, other agency or CTC.
 - 4. When training is offered at multiple locations, arrange for attendance at the closest site.
 - 5. Use of a State-vehicle or carpool.
 - F. Requests for training or conference participation shall be evaluated and approved in accordance with DOC Human Resources Policy 200.30.601, institution budget and available resources.
 - G. Every request shall be reviewed. There are no blanket approvals.
 - H. Final approval is required before attending any training program.
 - I. All out-of-state requests require approval from the Secretary's Office.
 - J. Facility approved requests shall be submitted no later than 14 days before the start of the event.
 - K. Facilities/bureaus shall designate a training/travel coordinator who shall maintain DOC-1042s and track approvals or denials.
- II. Overnight Requests for DOC Sponsored Training and Business Travel**
- A. All in-state travel requiring an overnight stay requires approval by the Division Administrator.

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- B. For trainings or meetings lasting more than one day, overnight lodging shall only be permitted if the employee is traveling more than 80 miles from their assigned headquarters or home, whichever location is a lesser distance from the temporary worksite.
- C. Employees whose home address and regular work site are at least 150 miles from the temporary worksite shall be eligible for lodging on the night prior to the first day at the temporary worksite.
- D. Requests for mileage waivers shall be submitted for approval to the DOC DAI 1042 Training Conference mailbox utilizing the appropriate attachment.
- E. Facility/bureau training/travel coordinator shall submit overnight and expense requests on the Overnight Travel Plan Spreadsheet, after Warden's approval, to the DOC DAI 1042 Training Conference mailbox.
- F. All lodging shall be paid with a State-issued purchasing card with the exception of lodging reservations made through CTC staff.
- G. It is the employee's responsibility to cancel the lodging in a timely manner if it is no longer needed. Failure to do so may result in the employee being held responsible for reimbursement of any non-refundable costs.

III. Completion of DOC-1042

- A. Select type of submission: DOC requests are most often Job Related.
- B. Select DOC Work Location- make sure Level 2 corresponds to your reporting chain of command and not your physical location.
 - 1. Level 1 – DAI
 - 2. Level 2 – Location of supervisor
 - 3. Level 3 – N/A except for BHS and BOCM
- C. Select Request Types
 - 1. Select who initiated travel.
 - 2. Select Reimbursement or Approval Request Type:
 - a. DOC Business Travel Out-of-State- needs Administration and Secretary approval.
 - b. Non-DOC Sponsored Training/Conferences In-State- requires Administration approval.
 - c. Non-DOC Sponsored Training/Conferences Out-of-State- requires Administration and Secretary Approval.
 - d. DOC Overnight Request- Business, Training, Site Visits- requires Administration approval. Electronic approval stops at the Warden/Director level. Approval requests are submitted to the Administrator on the Overnight Travel Plan Spreadsheet to the DOC DAI 1042 Training Conference mailbox.

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- e. Business In-State site visits, non-training, meetings, etc. - requires Warden/Director approval.
- f. DOC Training/Conference not overnight- requires only Warden/Director approval.
- g. Other- Specify Type and In-state or Out-of-State.

D. Select Activity Descriptions

- 1. Type of Course or activity.
- 2. Name of Sponsoring Organization/Vendor/Training Provider.
- 3. Address of Activity.
- 4. Title of Training (use training's specific title).
- 5. Address of Sponsoring Organization/Vendor/Training Provider.
- 6. Justifications.
- 7. Enter Travel and Attendance Dates.

E. Attach all supplemental training information (registration form, agenda, brochures, etc.).

F. List all employees attending the training and include classification and work location on one form.

G. Cost Requested to be Paid by Employer

- 1. Select "Attend without loss of pay (DAI)."
- 2. Itemize all projected expenses following ASM 600, 602 and 913.
- 3. All anticipated costs shall be itemized in order to be reimbursed.

H. Proofread following completion of the form and select "Submit and Route".

I. Final approval is required by the DAI Administrator/designee and, when necessary, the Secretary's Office.

J. The DAI Administrator/designee shall receive the request at least two weeks before the start of the training.

K. Upon final approval, when applicable, the registration form shall be submitted to the vendor or sponsoring organization by the facility appointed training/travel coordinator/designee.

IV. DAI Pre-Approved Meetings

Meetings pre-approved by the DAI Administrator's Office are listed in the DAI/Postings/DAI Meetings folder.

A. The Chairperson is responsible for reporting, scheduling and notifying attendees of the meeting.

B. The DAI Central Office Training Coordinator is notified with final date for addition to the DAI meeting calendar.

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- C. The coordinator of the meeting shall:
 1. Determine who is attending the meeting.
 2. Determine if overnight accommodations are needed and the total cost of the accommodation.
 3. Maintain the Overnight Travel Plan Spreadsheet of the overnight requests and costs.
 4. Email the Overnight Travel Plan Spreadsheet, to the DOC DAI 1042 Training Conference mailbox.

- D. Meetings shall be scheduled a minimum of 30 days in advance. Exceptions shall be approved by an Assistant Administrator.

- E. Any requested staff, in addition to what is pre-approved for the meetings, shall be approved by an Assistant Administrator.

- F. Requests for overnight stays shall be submitted a minimum of ten days in advance of the meeting and require approval by DAI.

- G. Meeting minutes shall be provided to the DAI Central Office Training Coordinator within 30 days after the meeting and shall be posted in the calendar located in the electronic folder.

V. Guidelines for CTC Training and Staff Development Activities

- A. Information related to registering for training is located on myDOC under Check Out Training.

- B. Registration for DOC training is completed online through Cornerstone.

- C. All training shall be approved by your immediate supervisor/designee. A DOC-1042 may be necessary. Questions regarding the need for a DOC-1042 should be directed to the Training Contact listed in Cornerstone under the details tab for the training being requested.

- D. CTC maintains a computerized record of attendance for DOC-sponsored training.

Administrator's Approval: _____ **Date Signed:** _____
 Jim Schwochert, Administrator

DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES

Facility: Name		
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Chapter: 300 Administrative		
Subject: Training, Conference, Meeting and Travel Requests		
Will Implement <input type="checkbox"/> As written <input type="checkbox"/> With below procedures for facility implementation		
Warden's/Center Superintendent's Approval:		

REFERENCES**DEFINITIONS, ACRONYMS, AND FORMS****FACILITY PROCEDURE**

I.

A.

B.

1.

2.

a.

b.

c.

3.

C.

II.

III.

RESPONSIBILITY

I. Staff

II. Inmate

III. Other