



POLICY STATEMENT
Commonwealth of Pennsylvania • Department of Corrections

Policy Subject: Fiscal Administration		Policy Number: 3.1.1
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I. AUTHORITY

The Authority of the Secretary of Corrections to direct the operation of the Department of Corrections is established by Sections 201, 206, 506, and 901-B of the Administrative Code of 1929, 71 P.S. §§61, 66, 186, and 310-1, Act of April 9, 1929, P.L. 177, No. 175, as amended.

II. APPLICABILITY

This policy is applicable to all facilities operated under the jurisdiction of, or conducting business with the Department of Corrections.

III. POLICY

It is the policy of the Department to ensure that all facilities are operated in an efficient and effective manner pursuant to applicable Federal and State law and the direction of the Commonwealth's Office of the Budget and other central agencies. This includes, but is not limited to:

- A. annual budget;
- B. cash management & fiscal controls;
- C. compliance with the prompt payment act;
- D. audit requirements;
- E. purchasing of goods and services;

- F. contracting for services;
- G. inventory management;
- H. acquisition and disposal of surplus property;
- I. insurance provisions and filing of claims;
- J. Inmate General Welfare Fund (IGWF);
- K. photocopying and printing services for inmates;
- L. collecting and safeguarding of funds;
- M. issuing of gratuity and/or clothing to inmates;
- N. donations to the Department; and
- O. vending machines in Department facilities.

IV. PROCEDURES

A. Annual Budget

1. Preparation of the Department's Annual Budget¹
 - a. The budget cycle begins in August. Formulation begins with the receipt of budget instructions from the Governor's Budget Office (GBO) and program policy advice provided by the Governor's Policy Office. The budget instructions explain the methodology for developing the budget request. The program policy guidance defines major policy issues, spells out priorities, and provides policy direction.
 - b. The Secretary/designee and Chairman, Pennsylvania Parole Board (PB) establish priorities for the budget.
 - c. Primary responsibility for preparing the budget document lies with the Bureau of Administration. The Director of Administration requests input from each Facility Manager/designee, key PB staff, and Central Office Director for development of the Department's request. Input can include complement and personnel cost changes; extraordinary operating expenditure changes; lists of major fixed asset purchases and nonrecurring maintenance projects; a discussion of any new programs proposed or any existing programs to be discontinued; and any other information considered pertinent.²
 - d. The Bureau of Operations will develop the draft capital budget and send it to the Bureau of Administration for inclusion in the overall budget request.

¹ 5-ACI-1B-07, 1-CTA-1B-03, 4-ACRS-7D-18

² 5-ACI-1B-04, 5-ACI-1B-05, CTA-1B-04, 4-ACRS-7D-19, 4-APPFS-3D-10

- e. After receiving input from the Facility Managers/designee and Directors, the Bureau of Administration staff meets with the Secretary and/or Deputy Secretaries to finalize the request. In finalizing the request, the Bureau of Administration uses standard staffing patterns established by the Department, including the manpower surveys as an aid, in determining personnel requirements. When the budget document is finalized and approved by the Secretary and Chairman, PB, it is submitted to the GBO.³

2. Budget Review and Approval

- a. The GBO reviews the request and prepares preliminary recommendations for the Governor. Information requests are channeled through the Bureau of Administration. The Governor's budget is then assembled and submitted to the Legislature by the first full week of February (except in years following the election of a new Governor when it must be submitted by the first full week in March).
- b. The Governor's budget is assigned to the Appropriations Committees of each house. The Secretary presents the Governor's approved budget for the Department at Appropriation Committee hearings and provides relevant budget and program information.⁴ Upon approval or modification by the committee(s), the request is incorporated into an appropriations bill, which is then sent to the entire Legislature for approval.
- c. The budget is enacted by being passed as an appropriations bill by both houses of the Legislature and signed by the Governor.

3. Rebudget

- a. After appropriations are enacted for the Department, a process known as the rebudget is initiated. This process involves updating the budget request to make any revisions necessitated by changes in circumstances. Such changes may include an increase or reduction in funding made by the Legislature, a modification to the projected population or inflation rates, or any other occurrence, which would force a change in spending plans. The complexity of the rebudget process is dependent on the scope of revisions required from the original budget request.⁵ This process may begin prior to enactment at the discretion of GBO.
- b. The Office of the Budget issues instructions for preparation of the rebudget. The Bureau of Administration is responsible for completing the necessary documentation. In preparing the rebudget, the Bureau of Administration consults with Facility Managers/designees, Directors, and other key staff where necessary. Preparation of level three organization (institution) and commitment item schedules are required prior to agency approval. These schedules subdivide funds between general ledger items and budgetary organizational

³ 5-ACI-1B-05, 4-ACRS-7D-19, 1-CTA-1B-03, 4-APPFS-3D-13

⁴ 4-APPFS-3D-24

⁵ 5-ACI-1B-06

units. After review and approval by the Secretary, and Chairman, PB, the rebudget is submitted to the GBO.⁶

- c. Allotment schedules may be revised after the Bureau of Administration reviews requests for overtime, fixed assets and nonrecurring maintenance requests, and other requested items.
- d. Funds are distributed to each budgetary organization in accounts known as level two commitment items. These major objects are personnel, operation, fixed assets, and grants. Budgetary organizations may request permission from the Fiscal Management Division to transfer monies from one major object to another. Such requests shall be granted if transfers are consistent with department budget policy and do not create a deficit. Organizations, which develop a surplus in their personnel accounts because of failure to expeditiously fill vacant positions, shall not be permitted to transfer that surplus to another account. All budgetary organizations must manage their budgets in such a manner as to ensure that expenditures and commitments do not exceed funds available. An individual failing to comply with this requirement shall be held accountable.
- e. To assist a facility with managing its budget, the Bureau of Administration shall issue instructions for preparing budget projections. These projections shall be developed monthly and submitted to the appropriate Deputy Secretary and the Director, Bureau of Administration. The projections shall be designed to provide an accurate indication of how present spending patterns compare to allotments.

4. Monitoring of Expenditures

- a. The Chief of the Fiscal Management Division has primary responsibility for budget monitoring. Department funds are controlled by appropriation and major object. The Fiscal Management Division monitors expenditures by reviewing large purchase requests, key purchasing documents, budget projections, and accounting reports.⁷
- b. The Facility Manager/designee and Business Manager are responsible for monitoring and controlling funds at the facility level.⁸ He/she is to control funds in a manner that best meets the facilities' objectives while remaining within his/her total appropriate allotments. Facilities monitor expenses by developing monthly budget projections for the fiscal year, reviewing accounting reports, maintaining account files, and controlling costs on a daily basis. Cost control includes the review of purchase requests, personnel cost decisions, monitoring overtime, and the authorization of other expenses.⁹

⁶ 5-ACI-1B-06, 4-APPFS-3D-21

⁷ 4-APPFS-3D-22, 4-ACRS-7D-23

⁸ 5-ACI-1B-11, 4-ACRS-7D-22, 1-CTA-1B-06

⁹ 5-ACI-1B-01, 5-ACI-1B-08, 5-ACI-1B-11, 1-CTA-1B-01, 4-ACRS-7D-16

- c. The agency's fiscal activities and responsibilities include, at a minimum: internal controls, petty cash, indemnification, signature control of checks, and employee expense reimbursement.¹⁰

B. Cash Management and Fiscal Controls

1. **Management Directive 305.5, Cash Management** calls for the maximizing of cash available for investment. This includes the timely forwarding of revenues to the Comptroller's Office, safeguarding of funds, prompt billing for goods and services provided, and prompt drawdowns to the federal government.¹¹
 - a. All facilities shall collect revenues or refunds from appropriate sources as owed or required.
 - b. Cash, cash instruments, and agency credit cards shall be locked in a strong box, safe, or other secure location.
 - c. Cash revenue shall be submitted to the Comptroller's Office within five working days of collection. This includes monthly submissions of funds collected for inmate cable television, inmate medical co-payments, and any such similar payment. Small amounts (less than \$100.00) may be held up to 30 days after receipt. Submissions shall be made in accordance with Management Directive 305.5 Cash Management, including the Revenue Processing Desk Procedure Manual, the Refund of Expenditure Desk Procedure Manual, and the Accounts Receivable – Process Receipts Manually Desk Procedure Manual.
 - d. Billings for goods and services provided shall be made on an event basis or on a monthly basis for continuing relationships. Follow-up requests and/or other appropriate means shall be used to collect monies owed from non-paying individuals or entities.
 - e. Federal grants drawdowns must be processed within two weeks of availability of drawdowns and documentation.
2. Appropriate fiscal controls are necessary to ensure that funds are used appropriately and to meet Department needs.
 - a. In accordance with **Management Directive 205.4 Amended**, Signature Control authority to approve purchase orders, contracts, hotel orders and other vouchers, and other fiscal documents must be granted by the Secretary/designee.
 - b. Only authorized approvers may sign procurement and financial documents. This includes the approval of electronic forms and documents.

¹⁰ 4-APPFS-3D-23

¹¹ 5-ACI-1B-07

C. Compliance with the Prompt Payment Act

1. **72 P.S. §1507** requires payment of vendor invoices within 30 calendar days of receipt of invoices or of property and/or services, whichever occurs later. Bills not paid to small businesses within 15 days of this deadline shall automatically incur interest charges.
2. The basic guidelines for processing invoices in a timely manner are found in Enclosure 1 of **Management Directive 305.7, Interest Penalties for Late Payment**. This policy is intended to supplement that directive as well as **Act 196**. In the event of a conflict between this policy and **Management Directive 305.7**, or any other issuance of the Governor's Directives Management System, this policy shall be subordinate.
3. The use of a receiving report form is optional; however, receipt of goods and/or services must be verified prior to invoice approval. A receipt must be entered into the Systems Application Products (SAP) System promptly for those items purchased in the system in order to ensure prompt invoice processing by the Comptroller's Office.
4. Although **Act 196** and its interest penalties apply only to invoices from small business concerns, all invoices must be processed in a timely manner.
5. A small business is defined as any independently owned and operated for profit business concern employing 100 or fewer employees and not a subsidiary or affiliate of a corporation otherwise not qualified. In order for a small business to be recognized as such, it must add the following phrase to its invoices: "Vendor (its name) is a qualified small business concern as defined in **4 PA Code 2.32**."
6. When delivery in full is required, the purchasing document must include the following statement: "Payment will not be made until this order has been delivered in full to all receiving locations." Facilities are instructed to obtain a stamp for the purpose of affixing this statement to the appropriate documents.
7. In the case of furnish and install orders, the purchasing document must specify, "Payment will not be made until the complete installation is inspected and approved." Facilities are instructed to obtain a stamp for the purpose of affixing this statement to the appropriate documents.
8. Each Business Manager is instructed to discuss these requirements with personnel from the Community Corrections Centers (CCCs), which he/she supports, and ensure procedures are followed at the centers.
9. Approved invoices must include the date of receipt of the invoice and the product and/or service. These dates shall be used by the Comptroller's Office to identify late payment charges.
10. The Division of Fiscal Management shall monitor compliance with these procedures. All interest charges shall be levied against the organization failing to comply.

D. Audit Requirements

1. Internal audits of the agency's fiscal activities are conducted at least annually, and independent audits are conducted at a time period stipulated by applicable law; not to exceed three years.¹²
2. The fiscal code authorized the Auditor General to conduct post audits no less than every three years. The Auditor General may audit all transactions after their occurrence, which may be necessary in connection with the administration of the financial affairs of the Commonwealth (**72 P.S. §402, Fiscal Code**). Auditors are entitled to review documents relative to an audit.¹³

E. Purchasing of Goods and Services¹⁴

1. Every purchase made by the Department of Corrections (DOC), PB, Office of Victim Advocate (OVA), Sexual Offender Assessment Board (SOAB), and all entities part of these organizations is governed by **62 Pa. C.S. §§101 et. seq., Act 57 of 1998, as amended, the Commonwealth Procurement Code 62 Pa. C.S. §321** designates the Department of General Services (DGS) as the agency responsible to manage and oversee most purchases. The specific policies and procedures for purchasing are contained in the Procurement Handbook, which is found at the DGS website www.dgs.pa.gov.
2. The policies, procedures, and guidelines of the Procurement Handbook by statute do not apply to the purchase of published books, maps, periodicals, videos, technical pamphlets, nor perishable food. Agencies are permitted to develop their own procedures for purchasing these items.
3. The policy for purchasing published books, maps, periodicals, videos, and technical pamphlets is as follows:
 - a. these items may be purchased directly from the publisher either with the P-card or on a regular SRM Purchase Order (PO) with no formal procurement process needed; and
 - b. if the items are available from more than one source, they need to be bid using the thresholds and procedures of the Procurement Handbook.
4. The policy for the purchasing of perishable foods (when not included in a comprehensive food contract) is to follow the thresholds and guidelines of the Procurement Handbook with the following exceptions:
 - a. orders exceeding \$20,000 will be bid locally and placed on an SAP purchase order. They will be routed in the same manner as other locally bid purchase orders;

¹² 4-APPFS-3D-26

¹³ 5-ACI-1B-12, 4-ACRS-7D-24, 1-CTA-1B-07

¹⁴ 5-ACI-1B-14

- b. the thresholds of the Procurement Handbook will apply to purchases on a weekly basis. Perishable foods may be bid on a weekly basis. Facilities may choose to bid for a greater duration such as biweekly, monthly, quarterly, or semi-annually. Factors to consider in selecting the procurement time frame are prices, deliveries, and staff workload; and
- c. requests for sole source or emergency purchases of perishable foods will be directed to the Director, Bureau of Administration for approval. These requests may also be approved by the Department Purchasing Officer. The request needs to include justification, vendor, and cost information. Email is the preferred method of communication.

F. Contracting for Services

1. All service contracts for DOC, PB, OVA, SOAB, and all entities part of these organizations shall be procured in accordance with Act 57 of 1998 and the Procurement Handbook.¹⁵
 - a. Contracts are a means of obtaining services, which cannot be provided by Commonwealth personnel.¹⁶ Contractors, including individuals, act in an independent capacity and may not act or be deemed to act as officers, employees, or agents of the Commonwealth.
 - b. Contracts, which would create an employee/employer relationship, are prohibited.
 - c. A contractor may not spend or commit Commonwealth funds. The only exception is in a medical emergency where a contract medical professional may refer a patient to a medical service facility for treatment, provided that such referral is in accordance with Department policy **13.1.1, "Management and Administration of Health Care."**
 - d. A contractor may not approve the payment of invoices.
 - e. A contractor may not supervise Department employees. Commonwealth employees must perform personnel actions such as scheduling work hours, completion of performance evaluations, and disciplinary actions.
2. Permission to Contract

Contracts must be requested through an Agency Purchase Request (APR) or SRM Request in accordance with **Section 4.C.** of the procedures manual. This is to include new services or increases to existing services.

¹⁵ 5-ACI-1A-11

¹⁶ 5-ACI-1B-15

3. Request for Proposals (RFP)

The Bureau of Administration shall be responsible for issuing all RFPs. The Office of Chief Counsel and the Comptroller's Office shall also be asked to provide assistance as needed.

4. Sole Source Contracts

Sole Source Contracts over \$10,000 must be approved by DGS. A Sole Source Fact Sheet must be completed and sent to the Department Purchasing Officer for review. The Purchasing Officer will obtain Department approval and forward the request to DGS for final approval.

5. Invitations to Qualify (ITQ)

DGS and the Office of Administration have developed statewide contracts using pre-approved vendors for certain services. These contracts are known as Invitations to Qualify (ITQs). Purchasing staff should review the instructions for each ITQ for thresholds and procurement information. The Bureau of Administration shall be responsible for issuing all Requests for Quote over \$50,000.

6. Contracts with Retired State Employees

An agency may hire a retired employee as an independent contractor provided that the services being provided are not those normally performed by employees. If an annuitant is hired as a contractor, the face of the contract must include a statement that the contractor is a Commonwealth annuitant.

7. Approvals

- a. The **Commonwealth Procurement Code, Act 57 of 1998, as amended**, prohibits an agency from accepting contractual services before a contract is fully signed. The emergency purchase of services procedures outlined in **Section 4** of the procedures manual **of** this policy must be used if critical services are needed before a contract can be established.
- b. Contracts must be signed in accordance with the Procurement Handbook to be legally binding.
- c. Facility Managers/designees may approve as purchasing agency head for POs/contracts with a total cost of \$100,000 or less (**NOTE**: this is total, not annual cost).
- d. POs/contracts costing over \$100,000 and all Central Office contracts must be signed by one of the following: Deputy Secretary for Administration, Director of Administration, or Department Purchasing Officer.

8. Contract Amendments

Any change to the terms, conditions, requirements, or costs of a contract except for funding adjustments requires a contract amendment. Amendments shall be routed and signed in the same manner as a new contract.

9. Contract Management

Contract Management ensures that the services specified in a contract are delivered and ensures the contractor is properly compensated. Contract Management is a joint responsibility of the employee who oversees the program area to which services are being delivered and the Business Office. Examples of contract officers are the Corrections Health Care Administrator (CHCA) for health care contracts, the Facility Maintenance Manager (FMM) for maintenance contracts, etc. The Business Office, working with the contract officer, must see that the following duties and responsibilities are met:

- a. ensure that the contractor is performing work as required by the contract;
- b. accept and evaluate the quality of deliverables;
- c. compare funds expended with percentage of completion;
- d. alert appropriate authorities to any problems that may have a negative effect on the project;
- e. immediately alert and obtain guidance from the Office of Chief Counsel and appropriate authorities if a contractor is not performing satisfactorily, or if terms of the contract are being violated;
- f. meet with each contractor annually, or as directed by the contract, to coordinate any appropriate contract amendments; and
- g. before making payment, measure the work performed against the work required. If performance does not meet contract requirements, it is essential to identify deficiencies and to advise appropriate authorities so that remedial action can be taken before final payment is made.

G. Inventory Management

1. Facilities shall maintain inventories in a volume that is sufficient to ensure a reasonable availability of items to fill actual requirements in a timely manner. Maintenance of inventories beyond these levels consumes physical space and Commonwealth cash. Excess inventories are not permitted except for unusual circumstances, which must be approved by the Bureau of Administration.

2. Physical inventories shall be conducted monthly for commissaries and at least annually for warehouses.¹⁷
3. Warehouse inventories are to be maintained in SAP unless the Bureau of Administration provides an exception.

H. Acquisition and Disposal of Surplus Property

1. Acquisition of Surplus Property
 - a. The availability of surplus property affords the Department an opportunity to acquire needed supplies and equipment at little or no cost. Facilities and bureaus are encouraged to consider the use of surplus property whenever practical. In evaluating surplus property, it is important to determine the condition of the items being considered.
 - b. All state and federal surplus property must be acquired through DGS, Bureau of Supplies and Surplus Operation. The Department's Agency Property Control Officer (APCO), from the Bureau of Administration, is the Department's liaison.
 - c. Each Facility Manager/designee and Regional Director shall designate one or more employees as facility/regional contacts for the surplus property program. These contacts are responsible for their organization's needs of state and federal surplus property offers. The surplus property contacts are authorized to sign for the acquisition of state and federal surplus property when visiting the surplus property distribution centers.
 - d. Federal surplus property may be acquired by authorized individuals at the Federal Surplus Distribution Center at 2221 Forster Street in Harrisburg.
 - e. Federal surplus property usually requires an acquisition cost, normally no higher than 10% of the original cost.
 - f. Surplus coordinators may place needed or requested items on a waiting list and the Federal Surplus Distribution Center will try to locate these items.
 - g. State surplus property is made available to all state agencies and can be transferred to the Department by the State Surplus Control Officer (SSCO) at no cost (except for transportation). State surplus property can be acquired by authorized individuals at the State Surplus Distribution Center at 2221 Forster Street in Harrisburg.
 - h. From time to time, the State Surplus Office notifies the APCO that certain items are available. Upon notification, the APCO shall forward the information to all facilities.

¹⁷ 5-ACI-1B-13, 5-ACI-1B-19, 4-ACRS-7D-25, 4-ACRS-7D-29, 1-CTA-1B-08

- i. The APCO must be aware of facility surplus property acquisition needs. Facilities are encouraged to submit lists of property needs via email to the APCO.

2. Disposal of Surplus Property

- a. When an item is no longer needed, it must be considered for surplus. The first step is to determine if the items are serviceable. If the items are serviceable, they should be offered to other facilities, preferably by email.
- b. If the items are not serviceable or are not claimed by another facility, the facility shall notify the APCO in writing, preferably by email.
- c. When an item is considered to be surplus, the Department's APCO forwards a description of the item to DGS. Staff uniforms may not be declared surplus and must be destroyed. Inmate clothing will generally not be declared surplus. The only exception is for unusual circumstances and approval of the APCO is required.
- d. If another state agency has use for the item, arrangements are made for pickup. If there is no use for the item within the Commonwealth system, all parties are informed as to disposal of the item.
- e. Items purchased with IGWF monies are not to be offered to other state agencies. Items having resale value should be considered to recoup monies for the IGWF. Non-valuable items can be offered to charitable organizations or otherwise disposed.
- f. Staff Uniform and Inmate Clothing Disposal
 - (1) Unserviceable/obsolete staff uniforms and inmate clothing must be shredded before being disposed of in a security or trash receptacle. Facilities may incinerate clothing as means of disposal. Every effort should be made to repair and reissue inmate clothing.
 - (2) At no time shall staff uniforms or inmate clothing be surplus. If a facility has an overabundance of certain items, the facility should contact the Central Office Surplus Officer to arrange removal of items. Serviceable staff uniforms should be sent to the Academy warehouse for re-distribution. The Central Office Surplus Officer shall work with the facility to redistribute any serviceable inmate clothing.

I. Insurance Provisions and Filing of Claims

1. Insurance Provision¹⁸

¹⁸ 4-APPFS-3D-27, 4-APPFS-1C-08

- a. Employee insurance coverage and indemnification is provided and includes, at a minimum: workers' compensation, civil liability, liability for agency vehicles, a blanket bond, and group medical.
- b. **Sections 2404 and 2404.1 of the Administrative Code** make the DGS responsible for obtaining or providing insurance coverage for state officers, employees, and property. The Commonwealth is self-insured and this coverage applies to all departments, officials, and employees while performing Commonwealth activities.
- c. This Employee Liability Self-Insurance Program (ELSIP) was established to provide protection for a Commonwealth employee, official, and volunteer worker who, by virtue of his/her activities for the Commonwealth, is exposed to certain liability claims. The coverage is in effect wherever the Commonwealth conducts business.
- d. The Commonwealth is a qualified self-insurer under the Pennsylvania Motor Vehicle Financial Responsibility Act and the Workers' Compensation Act providing the appropriation benefits required as a self-insurer.¹⁹

2. Property Claims

- a. In the event that property damage or theft loss occurs, the facility suffering loss shall assess the extent of the loss and contact appropriate authorities such as local law enforcement (for theft loss) and repair personnel (for equipment that needs immediate repair). A **DC-121, Part 3, Employee Report of Incident** must also be prepared at this time. The Bureau of Operations shall be contacted for direction of appropriate actions necessary whenever property damage is incurred. CCC staff shall inform the Director of the Bureau of Community Corrections (BCC) of any loss or property damage. Should the estimated value of the loss exceed \$1,000 for property damage, or \$5,000 in theft loss, the organization shall, after the initial notification, send a letter to the Division of Fiscal Management. This letter shall briefly describe the loss incurred, the plan of action for making the necessary repair or replacement, and attach a copy of the **DC-121, Part 3** for supportive documentation of the loss.
- b. The facility shall within 30 days of the loss, submit a second letter to the Division of Fiscal Management providing the total assessed value of the loss, and a detailed list of all costs necessary for repair or replacement of the property involved. The support facilities shall be responsible to assist the CCCs in preparing this estimate. Repairs may be handled entirely through an outside contractor or through the use of facility labor and materials. The Bureau of Risk and Insurance Management (BR&IM) in DGS may reimburse the organization for staff overtime and inmate labor depending on circumstances, but shall not recognize regular staff time as a reimbursable item.

¹⁹ 5-ACI-1B-03, 5-ACI-1B-17, 4-ACRS-7D-28, 1-CTA-1B-09

- c. BR&IM shall reimburse agencies for property damage or for theft. The Division of Fiscal Management is responsible to review the documentation submitted by the facility and will contact BR&IM to establish a claim.
 - d. BR&IM notifies the Division of Fiscal Management when a requested claim has been established. This notification includes the amount, the claim number, and the account code structure for the claim. The Division of Fiscal Management shall pass this information on to the facility, so that disposition of the claim may be made.
 - e. Restitution for the claim may be handled as a reimbursement to the facility if the purchase orders, or other means of payment, were coded to the Department's appropriation. BR&IM may agree to the allowance for the direct payment to the vendor from the claim, but this shall require that all purchase orders and invoices be submitted to them with the appropriate account code structure affixed as is recognized by the claim.
 - f. Every document to be paid directly by BR&IM must be channeled through the Division of Fiscal Management for review.
 - g. Reimbursements for payments made through the Department's appropriation require a general invoice to draw against the established claim. To support this general invoice, a copy of each purchase order, invoice, copy of all cancelled advancement account checks and purchase card receipts, along with a copy of the warranted voucher transmittal and purchase card statement must be included in the package that is submitted to BR&IM for reimbursement. A copy of the cover memorandum that accompanies this package should be submitted to the Fiscal Management Division to update the insurance file. If requested, and agreed to by BR&IM, partial reimbursements against a claim may be made if the claim is significant in value, or if it spans fiscal years.
 - h. The facility shall be responsible for maintaining all supportive documentation relative to the restitution package, to make verification that reimbursement has been received from BR&IM, and that the refund has been properly recorded against the appropriation account codes. The facility shall notify the Fiscal Management Division if restitution has not been posted within a reasonable time, normally 60 days from the date of submission to BR&IM.
 - i. The Fiscal Management Division maintains an insurance file for all correspondence relative to open claims, or for the establishment of new claims. Information on completed claims shall be maintained for three fiscal years before it is purged.
3. Employee Liability Claims
- a. The ELSIP provides a means to report liability claims that have resulted from an accident or occurrence in which an individual has suffered a personal injury which may be due to negligence on the part of an employee, official, or volunteer worker, who was acting in good faith, and in the furtherance of Commonwealth

business.²⁰ Claims for damages may allege negligence, violation of civil rights, employment discrimination, wrongful discharge, sexual harassment, assault, false arrest, defamation, invasion of privacy, and error of omission on the part of a Commonwealth employee, official, or volunteer worker. Claims shall be reported in accordance with **Management Directive 630.2 Amended, Reporting of Employee Liability Claims**.

- b. When an incident which could lead to an ELSIP claim occurs, the facility staff must prepare a **DC-121, Part 2, Extraordinary Occurrence Report** or **DC-121, Part 3**, along with any other pertinent information such as an acknowledgment that the injured person indicated that he/she would be filing a claim against the Commonwealth. The facility should prepare an **STD-430, Liability Accident Report**, and directly submit it along with a copy of the **DC-121, Part 3** to the BR&IM, DGS.
- c. BR&IM shall review the submitted Liability Accident Reports, or the terms of a settlement agreement, and establish claims when appropriate. BR&IM may render settlement of claims in amounts of \$501 through \$5,000. Claims in excess of \$5,000 need approval from the Office of Attorney General, the Office of General Counsel, and DGS before settlement can be made.
- d. The Office of Attorney General has the responsibility to represent Commonwealth Agencies in responding to ELSIP claims. However, an agency may request approval to represent itself if the claim is related to a Department practice rather than a single incident.
- e. The facility shall maintain a copy of a **DC-121, Part 3** that has the potential to become an ELSIP claim for a period of time as reflected in the records retention schedule.

J. Inmate General Welfare Fund (IGWF)

The IGWF has two distinct purposes. The first is to house inmates' individual accounts and process revenue and payment transactions for these accounts. The second is use revenue from inmate-related functions to provide recreational and other services, as more fully defined in the **IGWF List of Approved/Non-Approved Purchases and Services (Attachment A)**, to the inmate and reentrant population. Revenue from these functions includes sales from commissary, commissions from program providers such as inmate telephones, tablets, etc., hobby and craft functions, personal services available to facility employees, and donations from organizations or individuals for the benefit of inmates. All IGWF money from all state correctional facilities is contained in a central fund under the control of the IGWF Council and those funds not allocated in the IGWF annual budgets for Central Office and the state correctional institutions (SCIs) are invested. Investment income is used for the benefit of inmates and reentrants.²¹

1. IGWF Council

²⁰ 5-ACI-1B-17, 4-ACRS-7D-28, 1-CTA-1B-09

²¹ 5-ACI-1B-20

The IGWF Council shall consist of members as designated by the Secretary, Department of Corrections. The IGWF Council will oversee the fund from a high level decision-making basis. The chairperson of the council will be the Deputy Secretary for Administration. The Director, Bureau of Administration shall serve as the IGWF Custodian. Other voting members of the IGWF Council shall be the Executive Deputy Secretary for Institutional Operations (EDSI), the three Regional Deputy Secretaries (RDS) overseeing the institutions, and the three supervising superintendents. Representatives from the Office of Chief Counsel and the Comptroller's Office shall serve in an advisory capacity. The IGWF Council shall seek input from other key DOC personnel such as Bureau of Administration and business office staff, program staff, and others as appropriate.

2. IGWF Council Members

The IGWF Council members shall be responsible to:

- a. designate a representative to act in their absence, which shall include the authority to vote. A majority of official members/designees shall constitute a quorum;
- b. meet on an as needed basis, but at least biannually, to review financial reports, act on expenditure requests, discuss general operation of the fund, and deal with all other appropriate matters;
- c. invest monies in a sound and proficient manner; and
- d. make all decisions based upon their judgment as to the best interest of the beneficiaries of the fund.

3. Custodian Responsibilities

The Custodian shall be responsible for:

- a. the overall administration of the fund;
- b. review requests for expenditures in excess of \$5,000;
- c. develop the IGWF annual budget;
- d. manage the IGWF investment account and process any requested facility drawn down requests; and
- e. handle central purchases when required.

4. Comptroller Responsibilities

The Comptroller shall be responsible to:

- a. receive annual financial reports and prepare any special financial reports requested by the IGWF Council;
- b. perform special internal audits of the IGWF at Central Office and each facility as requested by the Bureau of Administration; and²²
- c. serve in an advisory capacity to the IGWF Council.

5. Facility Responsibilities

Each facility shall be responsible to:

- a. maintain a general ledger, balance sheet, trial balance, and other financial reports by using the current accounting program, maintained by the Bureau of Administration;²³
- b. maintain a checking account for the IGWF. Personnel assigned by the Facility Manager/designee and/or Business Manager shall sign all checks drawn on these accounts;²⁴
- c. prepare monthly financial statements for all fund activities using the current accounting program and should forward them to the Central Office Accountant by the 20th working day of each month, June 30 financial statements are to be submitted to both the Central Office Accountant and the Comptroller's Office designee;²⁵
- d. transfer inmate funds from the sending facility to the receiving facility via the computerized Inmate Accounting System;²⁶
- e. purge inmate accounts semi-annually and provide the IGWF Council with a statement this was completed. Escheats are done once per year and should be completed by April 15 of each year;
- f. establish inmate input into operation of the fund at each facility. This shall be accomplished by the use of a committee (IGWF Committee) consisting of staff and inmate representatives who shall be used in planning IGWF activities. At least 50% of the IGWF Committee shall be made up of inmate representatives. The IGWF Committee shall also be responsible for posting a monthly statement of fund activities on all inmate bulletin boards for the respective facility;
- g. ensure the facility IGWF Committee meets at least quarterly;
- h. ensure Facility Manager/designee, the requesting department, and the Business Manager approve all Requests for Approval of Expenditures. These forms shall

²² 5-ACI-1B-11

²³ 5-ACI-1B-07

²⁴ 5-ACI-1B-07

²⁵ 5-ACI-1B-07, 5-ACI-1B-10, 5-ACI-1B-11

²⁶ 5-ACI-1B-07

be submitted to the IGWF Custodian/designee, via the APR system, with any relevant documents attached. This section shall apply to all purchases over \$5,000. Upon approval or disapproval, the Custodian/designee, shall return a copy to the facility with any comments; and

- i. maintain current available balances for budgeted activities. Forward a year-end report showing budget category balances to the Division of Fiscal Management. The Business Office is responsible for the management of all IGWF funds and purchases.

6. Donations from Organizations or Individuals

- a. Philanthropic donations are made to facilities to be used for the benefit of the inmates.
- b. Monetary donations of this nature shall be deposited to the IGWF. Special account ledgers shall be maintained for audit purposes.
- c. Gifts or donations must be processed in accordance with all procedures established in **Subsection IV.N.** of this policy.
- d. An inmate may donate books to the general prison library or to the Chaplain's library.

7. Categories for Fund Expenditures

The IGWF List of Approved/Non-Approved Purchases and Services contains a list of categories for expenditures of IGWF monies. Purchases outside of the approved categories must be approved by the IGWF Council Chairperson/designee. The chairperson may elect to bring these issues before the entire council for a vote.

8. Annual Budget

- a. The IGWF fiscal year shall coincide with that of the Commonwealth (July 1 - June 30).
- b. Every IGWF expenditure for inmate activities shall be governed by the annual budget. Expenditures for the fund's business activities are exempt along with inmate organizational activities.
- c. Budget allocations shall include the categories listed on the IGWF Budget Spreadsheet as provided by the Bureau of Administration. Budget amounts shall be distributed as a lump sum to each facility, which shall have the authority to allocate the funds for each category as it sees fit. Budget allocations will not be provided to inmate organizations.²⁷
- d. Facilities may transfer funds from one category to another at its discretion.

²⁷ 5-ACI-1B-15

- e. Every expenditure in excess of \$5,000 shall require approval of the IGWF Custodian/designee. An individual request for expenditure shall be submitted for all items specified in the IGWF List of Approved/Non-Approved Purchases and Services. The IGWF Custodian/designee shall receive and approve or disapprove such requests.
 - f. The IGWF Budget shall operate on a cash basis and no bills can be charged to the previous fiscal year without the approval of the IGWF Council Chairperson/designee. The estimated cost of each "Request for Approval of Expenditures" shall be included in the "Pending" column on the IGWF Monthly Balance Form until payment is made. Pending expenditures shall not reduce the available balance.
 - g. Every facility invoice shall be paid at the facility level regardless if the IGWF Committee approved the actual request. The IGWF Council Chairperson/designee may approve exemptions for unique purchases or expenditures.
9. Inmate Organizations²⁸
- a. IGWF shall be utilized to account for inmate organizational funds which are generated for fundraising activities. Inmate organizational funds shall reside in IGWF so that proper accounting principles and rules can be followed for such funds generated inside any SCI. Inmate organizations shall not be permitted to maintain a separate checking or savings account apart from IGWF. See Department policy **7.8.1, "Inmate Recreational and Therapeutic Activities"** for guidelines regarding inmate organizations.
 - (1) Each SCI shall be responsible for reporting and remitting applicable sales tax from the sale of organizational items via commissary. Sales tax remittance is done monthly or quarterly via E-TIDES (electronic submission). No paper submittals are accepted by Revenue. For reference and step-by-step procedures for this process, please see **General Guidelines for Inmate Organizations – Commissary Purchases (Attachment B)**.
 - (2) If not already in place, each SCI shall be responsible for establishing an account within E-TIDES to allow the filing of sales tax.
 - b. Inmate organizational funds will NOT be part of the IGWF budgeted funds given to each SCI.
 - c. Separate "shops" will be created within IGWF for each SCI inmate organization. These shops will track the funds from fundraising activities from each inmate organization. Each Inmate organization shall have control over the funds in their shop. See **Accounting Procedures for Inmate Organizations (Attachment C)**

²⁸ 5-ACI-1B-21

for details on setting up these shops and accounting for the funds placed in these organizational shops.

- d. Monthly and fiscal year-end itemized shop statements will be distributed to the Activities Manager at each SCI so they can be distributed to each inmate organization. All monies shall be expended in accordance with the organization by-laws and these guidelines.
- e. Each inmate organization, through their staff coordinator, shall submit APRs for all organizational purchases. Once these orders are complete, the staff coordinator will submit all documentation and invoices to inmate accounting personnel for payment from organizational funds via their IGWF shop. See Department policy **DC-ADM 822, "Inmate Organization Picnics-Banquets and Inmate Fundraisers"** for information and guidelines on inmate fundraising.
 - (1) The purchase of appropriate supplies, equipment, and materials for the operation of the organization can only be done with the approval of the staff coordinator and the Facility Manager/designee.
 - (2) Each inmate organization, through their staff coordinator, shall ensure that goods have been received and/or services rendered before approving invoices for payment.
 - (3) Checks for payment for goods or services shall be issued only after submission of a valid invoice and documentation for payment. Invoice/billing notices shall be sent to the Business Manager/designee and not to the inmate organization representative.
 - (4) Profits from the inmate organizational shop shall be dispersed in such a manner as to benefit the inmate population and/or facility approved charitable organization(s). The staff coordinator shall provide/submit a donation request/letter on behalf of the inmate organization directing the Business Office to disperse the funds as approved by the Facility Manager/designee.
 - (5) If any inmate organization disbands for any reason, supplies, materials, equipment, and monies shall be appropriately donated to the facility and/or the IGWF.

K. Photocopying and Printing Services for Inmates

1. General Procedures

- a. Every facility is to provide inmates with access to photocopy services.
- b. The Department prefers that photocopy services be provided through a dedicated copier operated by the IGWF. The use of a Venda-Card type system is preferred.

- c. If it is not practical to provide a dedicated copier, regular facility copiers may be used for inmate copy work.
- d. Photocopying and printing services are available only for those items deemed appropriate by the facility. Facilities may also restrict the volume of copies. The following is a partial list of items which may not be photocopied or printed for an inmate:
 - (1) maps of the local area;
 - (2) diagrams or pictures of weapons;
 - (3) materials that depict racial slurs or ethnic mockery;
 - (4) I.D. cards;
 - (5) concession tickets;
 - (6) any documents which appear to be altered;
 - (7) petitions to be circulated for signatures;
 - (8) obscene or materials of a sexual nature;
 - (9) sports schedules or any other items, which resemble betting tickets;
 - (10) material subject to copyright restrictions; and
 - (11) any material that can be considered a threat to the security of the facility.
- e. In facilities where inmates have printing services available, the inmate will be charged for the usage of the equipment in order to cover the cost of the equipment, supplies, and maintenance of the machine. The cost of printing will be \$0.10 per page.

2. Copying Fees

- a. The charges for copies of documents that the inmate has in his/her possession or for copies of materials available to every inmate (library materials, newspaper articles, etc.) shall be \$.10 per page. Copies of account statements or other documents that have been previously supplied to inmates will incur the standard charges for copies as specified in Department policy **DC-ADM 003, "Release of Information."** Charges for copies of documents contained in the inmate's **DC-15, Inmate Record** and/or Medical Record shall be in accordance with the copying charges contained in Department policy **DC-ADM 003**.
- b. All proceeds from copies made on IGWF machines shall go to the IGWF. Proceeds from all other copy services shall go to the facility's general fund.

L. Collecting and Safeguarding of Inmate Funds²⁹

1. General

- a. Each facility shall conduct an annual review of these procedures and update standards as needed.³⁰
- b. Each facility shall maintain a single checking account covering IGWF activities, including inmate accounts, at a local bank.
- c. Cash is not permitted inside the facility in accordance with Department policy **DC-ADM 803, "Incoming Mail and Incoming Publications."** The Business Manager/designee shall ensure that all monies are placed in a secure location daily until deposits are made in the local bank account.³¹ The Business Manager/designee shall make deposits in the local bank account on a routine basis in order to ensure that large amounts of money or negotiable instruments are not kept at the facility.
- d. Contraband monies are to be handled in accordance with Department policies **DC-ADM 801, "Inmate Discipline"** and **DC-ADM 803.**
- e. Inmate debts to the Department or other entities shall be handled in accordance with Department policy **DC-ADM 005, "Collection of Inmate Debts."**
- f. Monies generated by IGWF revenue producing shops shall be collected and safeguarded by the Business Office. Prices for these goods and services, except craft items, shall be determined by, or subject to review by, the IGWF Committee. Every customer shall pay these designated prices in advance of the service.
- g. BCC procedures for inmates are in accordance with Department policy **8.1.1, "Community Corrections Centers."**

2. Outside Inmate Savings/Investment Accounts

- a. An inmate is permitted to maintain a savings account that was opened prior to his/her incarceration.³² An inmate who maintains such an account may receive account statements and correspondence from the financial institution holding the account, provided that he or she informs the facility's mailroom supervisor of the name of the financial institution.
- b. An inmate is permitted to open one savings account during his or her incarceration. An inmate who maintains such an account may receive account statements and correspondence from the financial institution holding the

²⁹ 5-ACI-1B-21

³⁰ 5-ACI-1B-07

³¹ 5-ACI-1B-07, 5-ACI-1B-09

³² 5-ACI-1B-22

account, provided that he or she informs the facility's mailroom supervisor of the name of the financial institution.

- c. An inmate is permitted to open one investment account during his or her incarceration. An inmate who maintains such an account may receive account statements and correspondence from the licensed investment professional through whom the account is established, provided that he or she informs the facility's mailroom supervisor of the name of the licensed financial institution or licensed investment professional through whom the account is established. The term savings/investment account includes the following:
 - (1) passbook or statement savings account;
 - (2) certificate of deposit account;
 - (3) U.S. Savings Bond;
 - (4) investment account; and
 - (5) Tuition Assistance Program (TAP) plan.
- d. Any arrangement, which permits inmates to write checks or drafts, is not classified as a savings account. Specific guidelines are listed in Department policy **DC-ADM 803**. General guidelines are listed below:
 - (1) an inmate may select any bank, credit union, or savings association and establish an outside saving account. An inmate may establish the account by mail or the inmate may elect to have an authorized family member perform this task.³³ Joint accounts between inmates or inmates and staff are not permitted;
 - (2) deposits may be made only by mail to established accounts subject to facility procedures;
 - (3) requests for withdrawals by inmates from outside savings accounts shall be made only by mail in accordance with the regulations of the respective financial facility. In cases where the financial institution refuses to communicate with an inmate directly, a staff member shall be designated by the Facility Manager/designee to act as a liaison;
 - (4) all savings account passbooks and account identification (e.g., account identification card, check cashing, or debit card, etc.) shall be held by the facility Business Office until the inmate is released;
 - (5) savings account statements and deposit and withdrawal slips may be held by the inmate with his/her possession, unless there is reason to believe that

³³ 5-ACI-1B-23

there is a threat to facility security or suspected criminal activity, in which case, the materials will be considered contraband;

- (6) any checks received by an inmate from an outside savings account shall be processed in accordance with present mail regulations and placed on the inmate's facility account;
- (7) where outside savings involves U.S. Savings Bonds or certificates of deposit, these documents, if mailed to a facility, shall be recorded and held in a secure and safe place until the documents can be processed accordingly;
- (8) for investment accounts, specific guidelines are listed in Department policy DC-ADM 803; and
- (9) any violation of this section shall result in appropriate disciplinary action being taken in accordance with Department policy **DC-ADM 801**.

3. Outside Inmate Checking Accounts

- a. An inmate with a checking account opened prior to his/her incarceration shall not use the account while incarcerated.
- b. The opening of a checking account while incarcerated is prohibited.

M. Issuing of Gratuity and/or Clothing to Inmates

The Department is **not** mandated by law to provide gratuities to an inmate being released. The inmate shall be responsible for having sufficient funds in his/her account at the time of release to pay his/her own transportation and to cover miscellaneous expenses. Any gratuities granted shall NOT be held against inmate accounts. Gratuities given to inmates are to be considered as gifts.

1. General

- a. Each facility shall inform every inmate of his/her responsibility for providing his/her own clothing and funds for release. It is the inmate's responsibility to obtain and have suitable clothing available to be worn for furlough, parole, or Sentence Complete (SC) in accordance with Department policy **6.3.1, "Facility Security."**
- b. Upon release, every inmate who has an account balance of more than \$100 may receive up to \$100 of that amount in cash and the remainder shall be paid in the form of a check or release debit card. The amount provided in cash will be determined by the Business Office. Based upon a written request, which demonstrates a justified need, the facility may authorize more than \$100 in cash for transportation and expenses, this information should be recorded on the **DC-159B, Receipt of Personal Effects (Attachment D)**.

- c. Inmates Being Released on Authorized Temporary Absence (ATA)
 - (1) When an inmate is scheduled for release to a county facility for an ATA and, providing he/she has the funds available, he/she may request up to \$50.00 per request from his/her inmate account, to be transferred to the receiving county facility.
 - (2) The inmate shall submit a **DC-135A, Inmate's Request to Staff Member**, to the facility Business Office, requesting that the specified funds be transferred. Upon receipt of the **DC-135A**, the facility Business Office shall produce a check in the amount specified on the **DC-135A** and send it to the facility's Control Center to be shipped to the receiving county facility along with the inmate's records.
- d. Federal Bureau of Prison directives shall govern a federal inmate confined to a state facility. Transportation and gratuity assistance shall be provided by the U.S. Marshal's Office that is coordinating the inmate's release.

2. Escrow Procedures³⁴

- a. At least six months prior to the expected date of release, an inmate *may* have his/her inmate account escrowed at an amount sufficient to provide funds for his/her release transportation and miscellaneous expenses. ***This amount will be determined by Parole or the Unit Management staff.*** This *may* include any unpaid Crime Victims Compensation Fund (CVCF) charges required to be paid before being eligible for parole.
- b. Each month, Inmate Accounts staff will obtain a listing of inmates scheduled for SC at least six months prior to the release month. Inmates will have their account escrowed at a level sufficient to provide adequate funds to pay for transportation as specified in **Subsection IV.M.5. below.**
- c. An inmate who is scheduled for parole will have his/her account escrowed upon receipt of notification from Parole or the Unit Management staff.
- d. When an inmate's account is escrowed, written notice will be provided to the inmate. The notice will state the amount the inmate is expected to provide for his/her release costs. Any escrowed funds are not available for any other purpose (Commissary, cable TV, inmate organization, prepaid phone time, outside purchases, etc.). Any funds accumulated in excess of the escrow amount will be available to spend. Any funds escrowed that are not used shall be returned to the inmate prior to release.
- e. ***Upon the recommendation of Parole,*** parole violators *may* have their accounts escrowed upon return to the DOC to ensure adequate funds are available for release expenses.

³⁴ 4-APPFS-3D-25

3. Indigent Inmates

In determining the amount of gratuity to be provided to an indigent inmate for transportation and miscellaneous expenses, the Business Manager shall take into account the following:

- a. distance to be traveled and mode of transportation; and
- b. funds available to the inmate in his/her account. A review of the inmate's account and savings should be made to determine if the inmate has made a good faith effort to manage his/her money to provide funds for release. If no good faith effort is shown, then adjustments or withholding of miscellaneous expenses can be made.

4. Clothing

- a. The Department shall release an inmate in his/her own clothing at the time of his/her parole, upon SC, or to another authority as a result of a detainer. It is the inmate's responsibility to obtain and have suitable clothing available to be worn for furlough, parole, or SC.
- b. An inmate shall be permitted to receive one set of clothing from an outside source for the purpose of wearing it when released.
- c. If the inmate does not have personal clothing to wear when released, the facility shall provide clean release clothing appropriate for the season.
- d. For specific guidelines on release clothing, see Department policy **6.3.1**.

5. Transportation

- a. The facility should arrange transportation from the facility to the nearest location where the released inmate can obtain commercial transportation.
- b. An inmate who does not have sufficient funds for surface transportation shall be provided with a ticket for transportation and funds for miscellaneous expenses as determined by the facility Business Manager.
- c. An inmate being paroled shall be provided a ticket via the least expensive surface transportation available to the destination approved in the parole plan within the Commonwealth of Pennsylvania or any state contiguous to the Commonwealth of Pennsylvania.
- d. An inmate being released SC should be provided a ticket as stated in **Subsection IV.M.5.c. above**, except that the destination should be the inmate's legal residence as determined on the classification summary, or to an established residence within the Commonwealth of Pennsylvania. If the legal residence is outside the Commonwealth of Pennsylvania, transportation will be

provided to the state closest to the legal residence that is contiguous to the Commonwealth.

- e. When the facility is arranging transportation for an indigent inmate and the travel time exceeds three hours, the inmate should be given up to \$8.00 per meal period until arrival at the ultimate destination and up to \$10.00 for miscellaneous expenses. The actual amount to be provided shall be based on the travel time involved.

6. Pre-Paid Phone Card Refunds

Pre-Paid Phone Account refunds will be handled in accordance with Department policy **DC-ADM 818, "Automated Inmate Telephone System (AITS)."**

N. Donations to the Department

1. Offers of Donated Items and/or Money

- a. Offers to donate money or property are to be reviewed by the Facility Manager/designee, Regional Director, or Director of Administration. The reviewing official is to consider the factors listed below.
 - (1) Are any conditions attached to the donations? If so, are the conditions consistent with Department policy? Will the conditions impose a burden on the Department?
 - (2) If the donation consists of equipment, is that equipment in satisfactory operating condition? Would the Department incur maintenance or repair costs as a result of accepting the donation?
 - (3) Will the donation be used for official Commonwealth business including inmate activities normally funded through the IGWF?
 - (4) Who is the donor? Donations may not be accepted from individuals/businesses or non-profit organizations doing business with, or seeking to do business with, the Department.
- b. The reviewing Facility Manager/designee may choose to reject any proposed donation or to accept any donation with an estimated value of \$5,000 or less. Donations with an estimated value in excess of \$5,000 must be referred to the Deputy Secretary for Administration for review and approval. The Deputy Secretary for Administration shall keep the RDSs apprised of all approved and/or disapproved donations.

2. Acceptance of Donations

- a. Donations which are accepted, must be treated with the same level of care as if they were purchased with Commonwealth funds. Property shall be listed on the appropriate inventory.

- b. Cash donations for activities normally funded through the IGWF are to be placed in that fund. If specific conditions are attached to the donations, a separate IGWF account may be established to track the status of such funds.
- c. Cash donations for general fund activities are to be treated as augmenting revenue. If specific conditions are attached to the donation, the funds are to be placed in a restricted revenue account.
- d. Receipts may be issued to the donor upon receipt of the donation. It is not appropriate to assign a dollar value to non-monetary donations. Receipts for such donations should simply describe the property that was donated.

O. Vending Machines in Department Facilities

1. Some collective bargaining agreements require the Commonwealth to discuss the use of vending machine profits with unions. This provision is not to be interpreted as giving unions the right to operate and receive the profits from vending machines. The only employee organizations eligible to operate and profit from vending machines are those which are open to all employees.

2. Central Office

The employees association shall operate vending machines located in the Central Office.

3. Facilities

- a. The Facility Manager/designee shall make a determination as to placement of machines and permissible items.
- b. Vending machines placed in locations where they are used primarily by visitors, and those machines located in an area where use is divided evenly between visitors and employees must be operated by the IGWF. In selecting a vendor to supply these machines, facilities are to consider the range of items available, the amount of commission offered, and the price for goods. All arrangements with vendors must include a provision that prices shall be comparable to those which the vendor charges in other machines located throughout the community.
- c. The Department prefers not to operate vending machines in areas where the primary users are employees. Facilities which have a functioning, independent employees association, are to offer that association the opportunity to operate vending machines. To be eligible, employees associations must be open to membership from all employees. The Facility Manager/designee shall notify the employees association of the space available and the type of items permitted. The employee association shall make its own arrangements with a vendor(s). Facilities may require the employees association to keep prices comparable to those generally charged in the community. If facilities do not have a functioning employees association, all vending machines shall be operated by the IGWF.

V. SUSPENSION DURING AN EMERGENCY

In an emergency or extended disruption of normal facility operation, the Secretary/designee may suspend any provision or section of this policy for a specific period.

VI. RIGHTS UNDER THIS POLICY

This policy does not create rights in any person nor should it be interpreted or applied in such a manner as to abridge the rights of any individual. This policy should be interpreted to have sufficient flexibility to be consistent with law and to permit the accomplishment of the purpose(s) of the policies of the Department of Corrections.

VII. RELEASE OF INFORMATION AND DISSEMINATION OF POLICY

A. Release of Information

1. Policy

This policy document is public information and may be released upon request.

2. Confidential Procedures (if applicable)

Confidential procedures for this document, if any, are not public information and may not be released in its entirety or in part, without the approval of the Secretary of Corrections/designee. Confidential procedures may be released to any Department of Corrections employee on an as needed basis.

B. Distribution of Policy

1. General Distribution

The Department of Corrections policy and procedures shall be distributed to the members of the Central Office Executive Staff, all Facility Managers, and Community Corrections Regional Directors on a routine basis. Distribution of confidential procedures to other individuals and/or agencies is subject to the approval of the Secretary of Corrections/designee.

2. Distribution to Staff

It is the responsibility of those individuals receiving policies and procedures, as indicated in the "General Distribution" section above, to ensure that each employee expected or required to perform the necessary procedures/duties is issued a copy of the policy and procedures either in hard copy or via email, whichever is most appropriate.

VIII. SUPERSEDED POLICY AND CROSS REFERENCE

A. Superseded Policy

1. Department Policy
 - a. 3.1.1, Fiscal Administration Policy, Issued December 27, 2022, by former Secretary George M. Little
 - b. 3.1.1, Fiscal Administration Policy, issued July 11, 2022, by Acting Secretary George M. Little
2. Facility Policy and Procedures

This document supersedes all facility policy and procedures on this subject.

B. Cross Reference(s)

1. Administrative Manuals
 - a. DC-ADM 003, Release of Information
 - b. DC-ADM 005, Collection of Inmate Debts
 - c. DC-ADM 801, Inmate Discipline
 - d. DC-ADM 803, Inmate Mail and Incoming Publications
 - e. DC-ADM 818, Automated Inmate Telephone System
 - f. DC-ADM 822, Inmate Organization Picnics/Banquets and Inmate Fundraisers
 - g. 4.1.1, Human Resources and Labor Relations
 - h. 6.3.1, Facility Security
 - i. 7.8.1, Inmate Recreational and Therapeutic Activities
 - j. 8.1.1, Community Corrections Centers
 - k. 13.1.1, Management and Administration of Health Care
2. ACA Standards
 - a. Adult Correctional Institutions: 5-ACI-1A-11, 5-ACI-1B-01, 5-ACI-1B-03, 5-ACI-1B-04, 5-ACI-1B-05, 5-ACI-1B-06, 5-ACI-1B-07, 5-ACI-1B-08, 5-ACI-1B-09, 5-ACI-1B-10, 5-ACI-1B-11, 5-ACI-1B-12, 5-ACI-1B-13, 5-ACI-1B-14, 5-ACI-1B-15, 5-ACI-1B-17, 5-ACI-1B-19, 5-ACI-1B-20, 5-ACI-1B-21, 5-ACI-1B-22, 5-ACI-1B-23, 5-ACI-1C-19, 5-ACI-1D-09, 5-ACI-1D-22, 5-ACI-3A-24, 5-ACI-3A-27, 5-ACI-3B-08
 - b. Adult Probation and Parole Field Services: 4-APPFS-1C-08, 4-APPFS-3D-10, 4-APPFS-3D-13, 4-APPFS-3D-21, 4-APPFS-3D-22, 4-APPFS-3D-23,

4-APPFS-3D-24, 4-APPFS-3D-25, 4-APPFS-3D-26, 4-APPFS-3D-27,
4-APPFS-3E-11

- c. Adult Community Residential Services: 4-ACRS-1B-01, 4-ACRS-1B-02,
4-ACRS-1B-03, 4-ACRS-1B-04, 4-ACRS-7B-19, 4-ACRS-7D-16,
4-ACRS-7D-17, 4-ACRS-7D-18, 4-ACRS-7D-19, 4-ACRS-7D-21,
4-ACRS-7D-22, 4-ACRS-7D-23, 4-ACRS-7D-24, 4-ACRS-7D-25,
4-ACRS-7D-28, 4-ACRS-7D-29
- d. Correctional Training Academies: 1-CTA-1B-01, 1-CTA-1B-03, 1-CTA-1B-04,
1-CTA-1B-06, 1-CTA-1B-07, 1-CTA-1B-08, 1-CTA-1B-09, 1-CTA-1C-10



PROCEDURES MANUAL
Commonwealth of Pennsylvania • Department of Corrections

Policy Subject:

Fiscal Administration

Policy Number:

3.1.1

Date of Issue:

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Authority:

**Signature on File
Dr. Laurel R. Harry**

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Release of Information:

Policy Document: This policy document is public information and may be released upon request.

Procedures Manual: The procedures manual for this policy may be released in its entirety or in part, with the prior approval of the Secretary/designee. Unless prior approval of the Secretary/designee has been obtained, this manual or parts thereof may be released to any Department employee on an as needed basis only.

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Section 1 - Accounts Payable

A. Overview

1. It is necessary to verify the receipt of goods or services prior to issuing payment. To accomplish this, an employee who is in a position to receive the goods or services must verify their receipt. For items approved in the Systems Application Products (SAP), a receipt must be input into the SAP system. For non-SAP generated purchases, receipt notification must be submitted to the Accounts Payable section of the Business Office or Central Office to facilitate payment processing
2. Every invoice exceeding \$3,000 must be processed through the Comptroller's Office and the State Treasury. The only exception is a purchase up to \$5,000 that can be paid with the Central Office Information Technology purchasing card.
3. An invoice up to \$3,000 may be paid with the Commonwealth purchasing card if the vendor accepts the card. The limit for the Central Office Information Technology card is \$5,000. This does not include invoices for SAP orders for contract and/or inventory items. Those invoices must be processed by the Comptroller's Officer.
4. When the vendor does not accept the Commonwealth purchasing card, an invoice up to \$1,500 may be paid from the advancement account.
5. An invoice between \$1,500 and \$3,000 must be processed through the Comptroller's Office and the State Treasury when the vendor does not accept the Commonwealth purchasing card.

B. Advancement Accounts

Each facility and Central Office has access to an advancement account. The Department has two advancement accounts, one for the General Fund and one for Correctional Industries (CI).

1. Basic procedures for advancement accounts are found in **Management Directive 610.4, Procedures for Purchasing Goods and Services Not Exceeding \$1,500 through Advancement** and **M310.1, Agency Operated Advancement Accounts**.
2. A designated fiscal manager is responsible for the management of the advancement account at each facility by fund.¹
3. The Comptrollers Office is responsible for establishing and reconciling bank accounts.²
4. In order to disburse funds for payment from the advancement account, the requested item must be approved for payment. The accounts payable staff must receive an invoice

¹ 5-ACI-1B-03, 2-CO-1B-05

² 5-ACI-1B-03, 2-CO-1B-05

in order to pay the vendor. A general invoice must be completed when reimbursing employees for out-of-pocket expenses.

5. Employees, below the level of Business Manager or CI Manager, who have the authority to approve purchasing documents shall not be given authority to issue advancement account checks from SAP.
6. The total payment to any vendor, excluding utilities, should not exceed \$1,500 in a 10 working day period.
7. Purchases should be planned in order to minimize the holding of invoices.
8. Petty cash purchases are part of the advancement account. Petty cash authorized balances vary by facility. Requests for changes to the authorized amount must be submitted to the Division of Fiscal Management.³

C. Purchasing Card Overview

1. Basic procedures for the Purchasing Card are found in **Management Directive 310.23, Commonwealth Purchasing Card Program**.
2. Purchasing cards are issued under the name of the facility Business Manager. For Central Office, the cards are issued in the name of the Bureau Director. The employee's name on the card is the cardholder, and the cardholder may delegate the use of the card to "one or more authorized users," usually purchasing agents and purchasing clerks. Only the cardholder or the authorized user may make purchases with the card.
3. The Agency Coordinator of the Purchasing Card Program, located in the Bureau of Administration, is responsible for managing and coordinating administrative functions such as, but not limited to, applying for new or canceling old cards, recording cards lost or stolen, issuing monthly account statements, coordinating audit requests, and making changes to the cardholder/authorized user.
4. Cardholders are required to complete a **Purchasing Card Cardholder Implementation Form (Attachment 1-A)** provided by the agency coordinator. This form must be completed and returned to the Agency Coordinator before a cardholder can be approved.
5. Any and all changes to the cardholder or authorized user's employment status (termination, name change, leave of absence, transfers, etc.) must immediately be reported to the Agency Coordinator.

³ 5-ACI-1B-03, 2-CO-1B-05

D. Purchasing Card Purchases

1. All purchases eligible for payment by the purchasing card must be made using the purchasing card unless the vendor does not accept the card. The purchasing card cannot be used for travel, entertainment expenses, gasoline, or cash advances.
2. An approved Agency Purchase Request (APR) must accompany all orders, prior to making a purchase.
3. Purchases can be made by phone, mail, fax, internet or in person. Additional details are provided in the Department's Purchasing Card Manual.

E. Reconciliation of the Purchasing Card

1. It is the function of the accounts payable section to reconcile the purchasing card statement each month.
2. The purchasing card is established on a billing cycle that ends on the 15th of each month; a statement shall follow shortly thereafter.
3. Two people must always reconcile and sign off the account statement 15 days from the receipt of the statement.
4. Every outstanding issue must be recorded on an outstanding issue form and can be carried to the next month. An outstanding issue that is disputed must be reported to the supervisor immediately. When an outstanding issue is resolved, there must be two approvals from the Fiscal Office on the final reconciliation.

Section 2 – Auditor General's Reports

A. Department Responsibilities

1. Audits begin with an **auditor** entrance conference, which should include a discussion of the scope, purpose, objectives and methodology of the audit as well as establishment of audit liaisons. For facility audits, the Facility Manager/designee and other key staff should attend. ***The Facility Manager/designee shall notify the Director, Bureau of Administration, when an auditor entrance conference is scheduled. The Director, Bureau of Administration may, at his/her discretion, attend or assign a designee to attend the conference.***
2. At the entrance conference, the Facility Manager is to appoint an individual who shall serve as the primary point of contact with the auditors (the Audit Coordinator). The auditors shall be instructed to address all requests for information and other issues through the Audit Coordinator.
3. When an audit is being conducted, facilities/bureaus are to remind their employees that requests for information or materials from the auditors must be referred through the Audit Coordinator. If the Audit Coordinator has doubts about the appropriateness of a request for information, he/she should contact the Director, Bureau of Administration. If necessary, the Director, Bureau of Administration, shall consult with senior Department staff, the Office of Chief Counsel, and/or the Comptroller's Office before responding to the auditor's request.

B. Review of Department Operations

1. When an auditor completes his/her fieldwork, he/she shall schedule an **auditor** exit conference. The purpose of the exit conference is to review the auditor's preliminary findings and attempt to clear up any misunderstandings. The Comptroller may be invited to attend the exit conference. Prior to the exit conference, the auditor should provide a draft of the audit report for review and discussion. The exit conference is an opportunity to discuss the preliminary findings and clarify issues. ***The Director, Bureau of Administration, shall be notified when an exit conference is scheduled and may, at his/her discretion, attend or assign a designee to attend the conference.***
2. ***An Audit Review Committee (ARC), consisting of the Facility Manager/designee, who shall serve as the committee chair, the Business Manager, the Director, Bureau of Administration, and any other members designated by the committee chair will review, evaluate, and formulate positions on the contents of the auditor's draft report. The committee will prepare a formal response that addresses the auditor's findings and recommendations.***
3. ***The ARC response is submitted to the Deputy Secretary for Administration for evaluation and approval.***

4. ***The committee chair of the ARC will forward the approved response to the Auditor General. The auditors will incorporate the Department's response into the draft report, subsequently the Auditor General will issue the final report.***
5. ***The Auditor General will send a copy of the final audit report to the Secretary. The Secretary will, within 60 days of the receipt of the final report, issue a formal response to the Auditor General to acknowledge receipt and review.***

C. Departmental Audits

For departmental audits, the Director, Bureau of Administration, shall serve as the committee chair of the ARC, which shall include a representative of the Comptroller's Office and other members designated by the committee chair. The ARC shall develop a draft response, which shall be forwarded to the Secretary for final review and approval.

D. Implementations of Recommendations

1. Recommendations contained in the Auditor General's reports are advisory. These recommendations are to be implemented only after having been accepted in the Secretary's formal audit response.
2. The Facility Manager/designee is responsible for seeing that recommendations, which are accepted, are implemented. The Director, Bureau of Administration, shall be responsible for coordinating implementation of findings from Department-wide audits. ***Accepted recommendations*** should normally be implemented within six months of ***the initial Department response to the audit report, unless such implementation schedule is not practical. An estimated time frame for corrective actions should be included in the response.***
3. ***Semiannually, the ARC will report the status of the corrective actions to the Regional Deputy Secretary and the Deputy Secretary for Administration. At a minimum, the reports will contain, for each finding, references to the original audit report, status as "Resolved" or "Unresolved," and comments regarding progress to implement the resolution.***

Section 3 – Employees Residing in Commonwealth Housing

A. Commonwealth Housing

1. ***Employees required to reside in Commonwealth housing shall include, but are not limited to, the following:***
 - a. Secretary;
 - b. Executive Deputy Secretary;
 - c. Regional Deputy Secretary;
 - d. Superintendent;
 - e. Boot Camp Commander;
 - f. Director of the Training Academy; and
 - g. any other employee(s) as designated by the Secretary.

NOTE: If the Boot Camp Commander has written permission from the Secretary to reside off premises, the Deputy Commander will be required to live in Commonwealth housing on-site.

2. Any person holding one of the positions listed in **Subsection A.1. above**, who does not wish to reside in Commonwealth housing, where it is available, must have written approval from the Secretary ***granting an exception to this requirement. Required employees not residing in Commonwealth housing must reside within a 60 minute response time to his/her facility.***
3. If additional Commonwealth housing is available, any other employee(s) may request to reside in the housing for his/her personal convenience ***and must complete a lease agreement with the Department of General Services (DGS) in accordance with Subsection C.4. below.*** An employee in this category must accept, as a condition of residing in Commonwealth housing for personal convenience that he/she must vacate the residence within 60 days of notice in the event that the residence is needed for an employee in one of the classifications listed in **Subsection A.1. above** (or if needed for an employee in another classification that is in the best interest of the Commonwealth as determined by the Secretary).

B. Training Academy Lodging

1. The primary purpose of the staff lodging at the Elizabethtown Training Academy is to provide lodging for Department staff for the duration of a temporary detached duty assignment. Maintenance charges for these rooms shall be in accordance with **Management Directive 315.14, Charges for State Employees Residing or Subsisting**

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in Commonwealth Facilities, Enclosure 1. Other staff may be considered for temporary lodging at the Training Academy in accordance with **Subsection B.2. below.**

2. Lodging shall be limited to 90 days with an option to be extended for an additional 90 days for extraordinary circumstances. Staff requesting lodging must submit a written request to the Deputy Secretary of Administration. The request must include the reason for the lodging and the anticipated duration the lodging shall be used.

C. Charges

1. An employee who is required to live in Commonwealth housing shall be assessed maintenance charges as specified in **Management Directive 315.14.** These charges shall be deducted biweekly from the employee's paycheck.
2. The minimum charge for a single employee or a couple sharing a single bedroom will be for four rooms (living room, kitchen, bedroom and bathroom) plus utilities. If other rooms are used on more than an occasional basis, they must be included in accordance with **Management Directive 315.14.**
3. The charge for a garage will be applied if it is used for a personal vehicle or for personal storage. The garage charge will not be applied if the garage is used for a Commonwealth vehicle.
4. An employee who lives in Commonwealth housing for his/her personal convenience must enter into a lease with the DGS. This lease shall be at fair market value with payment terms as stipulated in the lease. The facility Business Manager is responsible for notifying the Bureau of Real Estate, DGS when an employee is moving into a residence for convenience. DGS shall determine the fair market value rate and prepare a lease. If there is any delay between the time that an employee occupies a residence for convenience and the time that a lease is effective, the employee shall be charged the maintenance rates for that period.

D. Processing STD-377s and Lease Deductions

1. The **STD-377, Report of Maintenance Charges** is the deduction approval form used to deduct Commonwealth housing charges per **Management Directive 315.14.** The **STD-377** is used for all housing payments except those leases with DGS. Final approval and input of deductions for **STD-377s** and DGS lease charges will be handled by the **Central Office Bureau of Administration.**
2. Employees Required to Reside in Commonwealth Housing
 - a. The employee will complete a **STD-377** using the left side of the document to reflect the number of rooms and garage stalls used plus utilities in accordance with **Subsections C.2. & 3. above.**

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- b. The **STD-377** will be reviewed by the facility Business Manager/designee and appropriate amounts will be entered onto the **STD-377** in accordance with **Management Directive 315.14** per room rates, utilities, and garage stall rates.
 - c. The **STD-377** will be submitted to the Director, Bureau of Administration for his/her review and signature.
 - d. The **STD-377** will be sent to the Chief of Employee Services, Bureau of Human Resources (BHR) to be entered into the payroll system. Deductions will be entered into the SAP system as a wage type 4300.
 - e. The original and **an electronic** copy of the form will be sent to the employee's Field Human Resource Officer (FHRO) and the **facility Business Manager**. The original will be placed in the official personnel file, a copy will be given to the employee and a copy will be kept on file by the facility Business Manager and retained in accordance with **Subsection H. below**.
 - f. Any changes to the status will be reflected on a new **STD-377** and will be processed as referenced in **Subsections D.2.a.-e. above**.
3. Employees Not Required to Reside in Commonwealth Housing
- a. The employee will complete a **STD-377** using the right side of the document to reflect the number of rooms and garage stalls used in accordance with **Subsections C.2. & 3. above**.
 - b. The facility Business Manager will notify the Bureau of Real Estate, DGS **and the Director, Bureau of Administration** so that a lease can be created at fair market value in accordance with **Subsection C.4. above**.
 - c. Either the **STD-377** alone or the **STD-377** with the lease, if available, will be sent to the Director, Bureau of Administration for review and signature. In the event the lease is not available at the time the employee takes residence, the normal maintenance fees will apply. If the lease is available, a daily lease rate will be calculated by multiplying the monthly lease amount by 12 and dividing this yearly rate by 365.1429 days. The biweekly payroll rate is calculated by multiplying the daily rate by 14. If an employee takes residence or leaves residence other than at the beginning or end of a pay period, a partial amount can be computed based on the daily rate. Separate **STD-377s** will be required to support any changes in the amount to be deducted.
 - d. Applicable **STD-377s** and the lease will be forwarded to the Chief of Employee Services, BHR for input into the SAP system using wage type 4301.
 - e. The original and two copies of the package will be sent to the employee's FHRO. The original will be placed in the official personnel file, a copy will be given to the employee and a copy will be kept on file by the facility Business Manager and retained in accordance with **Subsection H. below**.

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- f. Any changes to the status will be reflected on a new **STD-377** and lease and will be processed in accordance with **Subsections D.3.a.-e. above**.

4. Training Academy Housing

- a. The employee will complete a **STD-377** using the right side of the document to reflect the number of rooms and whether there is cable television service provided.
- b. The Administrative Officer (**Business Manager**/Fiscal Manager) at the Academy will compute the room rate charge in accordance with **Management Directive 315.14**. In the event of a permanent residence situation, the Administrative Officer (**Business Manager**/Fiscal Manager) will notify the Bureau of Real Estate, DGS so that a lease can be created at fair market value in accordance with **Subsection C.4. above**.
- c. Either the **STD-377** alone or the **STD-377** with the lease, if available, will be sent to the Director, Bureau of Administration for review and signature. The package will then be routed to the Deputy Secretary of Administration for review and signature. In the event the lease is not available at the time the employee takes residence, the normal maintenance fees will apply. If the lease is available, a daily lease rate will be calculated by multiplying the monthly lease amount by 12 and dividing this yearly rate by 365.1429 days. The biweekly payroll rate is calculated by multiplying the daily rate by 14. If an employee takes residence or leaves the residence other than at the beginning or end of a pay period, a partial amount can be computed based on the daily rate. Separate **STD-377s** will be required to support any changes in the amount to be deducted.
- d. Applicable **STD-377s** and the lease will be forwarded to the Chief of Employee Services, BHR for input into the SAP system using wage type 4301.
- e. The original and two copies of the package will be sent to the employee's FHRO. The original will be placed in the Official Personnel File, a copy will be given to the employee and a copy will be kept on file by the Administrative Officer (**Business Manager**/Fiscal Manager) and retained in accordance with **Subsection H. below**.
- f. Any changes to the status will be reflected on a new **STD-377** and lease and will be processed in accordance with **Subsections D.4.a.-e. above**.

E. Separation Processing

- 1. The **DC-377** shall be made inactive effective the date of separation.
- 2. In the event that the former employee continues to reside in Commonwealth housing after the date of separation, the FHRO shall keep the leave payout record locked and immediately notify the Central Office Transaction/Payroll Unit (COT/PU) providing the expected date the former employee is to move from the residence.

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3. The COT/PU will make arrangements with the Bureau of Commonwealth Payroll Operations to calculate and deduct the debt owed by the former employee for residing in Commonwealth housing past his/her separation date.

F. Improvements, Renovations and/or Repairs

1. Improvements, renovations and/or repairs to any Commonwealth residence with a total cost of more than \$3,000.00 per fiscal year, must be pre-approved, in writing, by the respective Regional Deputy Secretary prior to commencement of the work. Any changes to the pre-approved scope of work, after the work begins, must be approved in writing by the Regional Deputy Secretary.
2. Improvements, renovations and/or repairs with a total cost of \$3,000.00 or less per fiscal year, may be made at the discretion of the Superintendent/designee.
3. Requests for improvements, renovations and/or repairs, whether to the Regional Deputy Secretary or Superintendent/designee, must include an itemized list of materials. Cosmetic improvements such as paint, wallpaper, floor coverings, etc. must be selected in neutral tones.
4. In those cases where the improvements, renovations and/or repairs are to be completed by facility staff and/or inmates, the \$3,000.00 per fiscal year limit only includes material costs.
5. In those cases where the improvements, renovations and/or repairs are to be completed by an outside contractor, the \$3,000.00 per fiscal year limit includes materials and labor costs.
6. The only household appliances that shall be provided in Commonwealth residences are:
 - a. a refrigerator;
 - b. a stove;
 - c. a dishwasher;
 - d. a clothes washing machine; and
 - e. a clothes drying machine.
7. The facility Business Manager must maintain detailed records of all improvements, renovations and/or repairs to Commonwealth houses. At a minimum, this documentation must include copies of all approvals, invoices, receipts and before/after photographs of the work performed and shall be included in the Annual Review of Housing Report in accordance with **Subsection G.2. below**.

G. Annual Review of Housing

1. Each Superintendent/designee shall conduct an annual review of housing at his/her facility during the first quarter of each calendar year. Upon completion of this review, but no later than the last work day of the month of March, the Superintendent/designee shall submit a written report to his/her respective Regional Deputy Secretary listing all Commonwealth housing and the occupants thereof. The report shall also note any recommendations for change of occupancy. ***A copy of the annual review will be sent to the Bureau of Administration, Bureau of Operations and the facility's Business Office and retained in accordance with Subsection H. below.***
2. The annual review must also include a review of expenditures for improvements, renovations and/or repairs on each residence in accordance with **Subsection F.7. above**. Recommendations for future improvements, renovations and/or repairs may also be included in the review.
3. Employees found to be in violation of these procedures will be subject to disciplinary action and reimbursement to the Commonwealth for unapproved expenditures.

H. Records Retention

Annual review of housing reports as well as STD-377s and Commonwealth lease agreements that are expired or no longer applicable due to employee retirement, job reclassification, demotion, etc., will be maintained for a period of four years in accordance with the Office of Administration's General Records Retention and Disposition Schedule located on DOCNet.

Section 4 - Purchasing

A. Overview

The following information establishes responsibilities and outlines general procedures and guidelines relative to purchasing. An employee whose duties involve purchasing must maintain familiarity with the Field Procurement Handbook.

B. Establishing Need

Each Facility Manager/designee, ***Deputy Secretary/designee of Field Supervision, Director/designee for Bureau of Community Corrections (BCC), Chairperson/designee for the Parole Board, Victim Advocate/designee (OVA), Director/designee Sex Offender Assessment Board (SOAB), and Firearm Education and Training Commission (FETC)***, is expected to determine and plan the purchasing requirements of his/her organization.

C. Agency Purchase Requests (APR)¹

1. Every request for services or supplies must be submitted electronically as an Agency Purchase Request (APR) or ***Systems Application Products (SAP)*** Request. The APR form can be accessed through a computerized APR system, which is available to all locations with purchasing responsibilities ***and the*** Community Corrections Centers, which purchase through their support facility.
2. At a minimum, the following information must be listed on the APR by the requestor. Other essential information, such as the date and number, is computer generated:
 - a. requested delivery date if fast delivery is required;
 - b. description of the product(s);
 - c. volume requested;
 - d. estimated unit price;
 - e. a specific justification for the purchase; and
 - f. account code information.

D. APR Approval

1. ***The Deputy Secretary/designee of Field Supervision, Chairperson/designee for the Parole Board, Victim Advocate/designee, Director/designee for BCC, SOAB, and FETC have the authority to approve all purchase requests up to \$10,000.00.***

¹ 5-ACI-1B-14, 4-ACRS-7D-25

3.1.1, Fiscal Administration Procedures Manual
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2. **Each** Facility Manager/designee has the authority to approve all facility purchases **up to \$100,000.00**. **For the facilities**, this authority may be delegated, in whole or in part, to the Business Manager and Deputy Superintendent for Centralized Services (DSCS) or Operations (for Correctional Industries).
3. **The Director of Administration/designee must approve all APRs over \$10,000.00 for Field Supervision, BCC, OVA, SOAB, FETC, and all APRs over \$100,000.00 for the facilities.**
4. If an item must be purchased immediately, such as an automobile part, an approving authority as mentioned in **Subsection D. 1-3. above** may grant prior approval to purchase the item, and a confirmation APR must then be prepared.
5. A Central Office Director may approve purchases up to \$10,000.00. The Director of Administration/designee or a Deputy Secretary must approve Central Office purchases over \$10,000.00.

E. General Guidelines/Procedures

1. Bidding, preparing appropriate documents, ordering, and receiving of goods shall be handled in accordance with **M215.3, amended, Field Procurement Handbook**.
2. No goods or services may be purchased without an **SAP Requisition or an** approved APR.² An individual who violates this regulation is subject to disciplinary action. Furthermore, an employee may be held financially liable for improper purchases. Exceptions relating to emergency situations may be made in accordance with **Subsection F. below**.
3. Purchases shall be planned in accordance with the cutoff dates issued annually in accordance with **Management Directive 310.3, Encumbering and Lapsing of Appropriations** and other directives. Central Office and Comptroller cutoff dates are usually two weeks or more prior to those of **Management Directive 310.3**.
4. As a general rule, purchases over **\$10,000.00** must be bid or made from pre-approved statewide contracts.³ Exceptions may be granted by the Department of General Services (DGS) if the supply or service is available from only one source. **Sole Source approval must be obtained**.
5. The purchasing role and the payment of invoices must be separated. If an employee has purchasing authority, he/she may not be given authority to approve invoices. Purchasing agents are authorized to make **payments via the** purchasing card.

² 5-ACI-1B-14, 4-ACRS-7D-25

³ 5-ACI-1B-14, 4-ACRS-7D-25

F. Emergency Purchases

1. An emergency purchase is authorized when senior agency personnel determine that failure to acquire services or supplies promptly could endanger the Commonwealth, its property, employees, inmates, or the good order of the facility.⁴ **All emergency procurements which exceed the dollar threshold for small no-bid procurements must also have pre-approval by DGS unless the Agency can establish that because of the nature or time of the emergency, proper Department officials were not available, or the time would not permit contact with DGS.**
2. **Procurement Emergencies (Materials and Services)**
 - a. In the event of an emergency, the Facility Manager/designee shall contact the **Executive Deputy Secretary for Institutional Operations (EDSI)/Regional Deputy Secretary, Chairperson/designee for the Parole Board, Deputy Secretary/designee of Field Supervision, Victim Advocate/designee, Director/designee for SOAB, FETC, BCC** to obtain approval for the emergency purchase. The Director of Administration, **the Central Office Chief, Division of Administrative Services** shall also be notified.⁵
 - b. Central Office Purchasing staff shall contact the **Chief Procurement Officer, DGS/designee** to obtain formal approval for the emergency purchase. To the extent possible, the emergency purchase shall be made in accordance with the Field Procurement **Handbook**.
3. **Construction Emergencies**
 - a. **In the event of an emergency, the Facility Manager/designee shall notify the Executive Deputy Secretary or EDSI/Regional Deputy Secretary, the Director of Operations, the Director of Administration, and the Central Office Chief, Division of Administrative Services.**
 - b. **All emergencies require approval from the Director, Bureau of Operations/designee; Director, Bureau of Administration/designee; and the Deputy Secretary for Administration/designee. The Bureau of Operations shall be responsible for drafting and circulating the Emergency Procurement (EP) request. Once approval is obtained, the procurement shall be done in accordance with the Job Order Contracting Program. To the extent possible, the emergency purchase shall be made in accordance with the Field Procurement Handbook, Part IV, Chapter 4, which can be found at <https://www.dgs.pa.gov/Materials-Services-Procurement/Procurement-Handbook/Pages/default.aspx>.**

⁴ 5-ACI-3B-08

⁵ 5-ACI-3B-08

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- c. In instances where immediate action is required, the Facility Manger/designee shall contact the Job Ordering Contracting (JOC) contractor for his/her region, emergency phone numbers are listed on the DGS Job Order Contracting website. Agency senior management should be notified in accordance with Subsection F.3.a. above, as soon as possible, but no later than the next business day.**

Section 5 - Utility Costs Assessed to Correctional Industries

A. Procedures

Facilities that house Correctional Industries (CI) operations shall charge CI for the use of utilities for all operations and square footage of heated and cooled space used. The **Correctional Industries Utilities Costs (Attachment 5-A)** identifies six utilities used by various facilities.

1. Utility costs shall be determined at each facility with a CI operation by identification of the following symbols:
 - a. X - no charge for this identified utility;
 - b. F - Flat Rate Charge - the facility shall charge CI a percentage of the utility cost for that facility as determined by the percentage of overall square footage occupied by the CI industry to the overall square footage of the facility. For example, if CI occupied 5% of the overall square footage they would be charged 5% of the utility invoice;
 - c. M - Meter Rate - a fixed meter installed to identify an actual amount of this particular utility consumed for this industry operation. CI will be billed directly by the utility; and
 - d. M* - Meter Rate Proposed - a fixed meter is to be installed by the facility to identify actual utility usage for the identified utility.
2. When a CI operation is expanded, added, or eliminated at a facility, the Bureau of Correctional Industries will inform the Bureau of Operations and the Bureau of Administration, in writing, what is planned for that particular facility and how utilities will be affected.
3. The Bureau of Operations shall identify the amount of square footage, at each facility where an industry is located, and supply the Business Manager with the amount of space used for that industry.
4. The Bureau of Operations shall review and update the overall utility chart as needed. The chart will be adjusted accordingly to identify where metered utilities are added or deleted in conjunction with the changes in the CI industries.

Section 6 – Cellular Telephones and Wireless Communication Devices

A. Cellular Phones

1. General

- a. Cellular telephone equipment and services are governed by **Management Directive 240.11**.
- b. The use of cellular equipment and services is for official State purposes only.
- c. A Deputy Secretary (Central Office) or Facility Manager/designee must approve cellular phone purchases.
- d. Cellular telephone numbers may not be listed in public phone directories or in the Commonwealth phone directory since the Department must pay for both incoming and outgoing calls. For audit purposes, it is required that in all cases the Department subscribe to detailed billing of cellular services. Persons submitting invoices for cellular services must certify that the charges submitted for payment are business related. In the event of personal or unauthorized use of a cellular telephone, the facility/bureau must secure reimbursement from the responsible employee.

2. Acquiring of Cellular Telephones

- a. Cellular services must be acquired in accordance with state contract.
- b. Each purchase form must contain the following annotation:

“This cellular equipment/service is required in the performance of official duties.”
- c. After approval and acquisition of cellular phone equipment and service, the facility or bureau must submit the following information to the Bureau of Administration, Support Services Section:
 - (1) make, model, and type of equipment;
 - (2) name of cellular phone service carrier; and
 - (3) name and cost of airtime package.
- d. Facility staff should review cellular telephone invoices on a monthly basis to ensure that the charges are accurate and that calls are for legitimate state business. Employees are responsible for personal calls. On a quarterly basis at the minimum, facility staff should review the number of usage minutes per employee and change calling packages as necessary to provide the most economical service to the Department.

B. Wireless Communication Devices (WCDs)

1. Allocation Guidelines

- a. Provision and use of a WCD shall be in accordance with **Management Directive 240.11, Commonwealth Wireless Communication Policy**.
- b. The Department shall closely manage allocation of WCDs to employees and scrutinize the subscription plans, usage, and costs associated with each device. The Secretary, Executive Deputy Secretary, and Deputy Secretary for Administration are authorized to allocate WCDs as deemed operationally necessary. However, consideration should be given to the following guidelines when assigning a WCD to a particular employee or when considering a request from a particular employee. The employee's duties must meet one or more of the following guidelines in order for a WCD to be assigned.
 - (1) immediate emergency response is critical to successfully carrying out his/her job;
 - (2) immediate response and decision-making to life threatening or any other public safety issue and/or situation;
 - (3) necessary that he/she be accessible to communicate with senior management at any time;
 - (4) significant amount of travel during regular work hours; and
 - (5) when his/her duties may lead to a potentially dangerous situation and there is no acceptable and reliable alternative communication system.
- c. Usage of a WCD is limited to employees who are:
 - (1) senior managers, where necessary to improve productivity and to ensure that they are accessible at all times; and
 - (2) bureau directors, facility managers, or other essential staff, who are critical to the operations of the Department, that must be reachable and are frequently out of the office.
- d. The Secretary, Executive Deputy Secretary, and Deputy Secretary for Administration will have the final approval on any WCD and may grant an exception from the above listed criteria on a case-by-case basis. An unusual exception must be approved through appropriate Department documentation.

2. Allocation, Justification, and Employee Acknowledgement

Allocation justification and employee acknowledgement shall be in accordance with the **WCD Justification and Acknowledgement Form** (available on DOCNet).

Section 7 - Fixed Asset Inventories

A. Procurement

For General Fund fixed asset purchases, the Facility Purchasing Agent must notify the Regional Budget Analyst in the Bureau of Administration of its request to purchase a fixed asset. If the request is approved, the regional Budget Analyst contacts the Department Property Officer for a Systems Application Products (SAP) fixed asset number. The Property Officer provides the fixed asset number to the Purchasing Agent and the Regional Budget Analyst.

For Correctional Industries (CI), purchases are forwarded to the Financial Business Administrator for approval and issuance of the SAP number.

B. Inventory Procedures

1. Each facility, regional office, community service center, and the Central Office must appoint a Fixed Asset Control Coordinator who will oversee tagging of fixed assets, taking of an annual physical inventory and maintenance of inventory records.¹ Each facility and the Central Office must maintain a separate file or ledger for Inmate General Welfare Fund (IGWF) fixed assets.
2. Upon receipt of a new fixed asset, staff must provide the necessary information into SAP to complete the fixed asset transaction.
3. Identification tags are not required in impractical areas such as inmate housing units and some work locations. When the tagging of fixed assets is feasible, the following guidelines should be used:
 - a. the tag must be accessible;
 - b. if an item has a manufacturer's identification plate or serial number plate, the tag should be affixed near the plate;
 - c. the tag must be located so that it is not likely to be removed or defaced in the course of normal operations;
 - d. the tag should not be located so that it distracts from the appearance of the asset;
 - e. once a location is selected for a particular type of equipment, the same location should be used for other pieces of similar equipment; and
 - f. in the event of a conflict on the above locations for affixing the identification tag, the Fixed Asset Control Coordinator shall determine the best location for placement of the tag.

¹ 5-ACI-1B-13

Asset tags are to be purchased from CI. CI shall prepare these asset tags with a four digit identifier code unique to each facility.

4. Inventory records are to be maintained listing each fixed asset item and providing the following identifying data:
 - a. a brief description of the item;
 - b. the manufacturer's name and serial number;
 - c. the cost when acquired;
 - d. the fiscal year acquired;
 - e. location; and
 - f. the agency identification sticker number, if available.

If an item was acquired from state surplus, federal surplus, or a private donation, an estimated dollar value at the time of acquisition must be recorded. Additionally, the source from which the item was acquired must be identified. A separate identifier code must also be used to indicate those items purchased with federal funds.

The location may be specific in terms of a room number or a general area such as Cell Block C or Human Resources Office.

Similar items in the same location may be grouped together as a single inventory record. Some examples of this would be the security camera systems and the telephone systems.

5. Adjustments to equipment records shall be made whenever the status of an item changes. A copy of IGWF fixed asset adjustments (**DC-10**) must be sent to the Comptroller's Office for input into the IGWF consolidated financial statements. Adjustments include receipt, transfer, change, or elimination of fixed assets. These adjustments do not require Central Office approval.
6. Equipment records are to be made available to auditors and other authorized personnel of the Comptroller's Office and the Central Office.
7. Equipment records are to be verified annually by a physical inventory completed no later than September 30 for the preceding fiscal year. A copy of the verified physical inventory must be sent to the Department Property Officer. Significant value assets must be verified prior to June 30.
8. Fixed asset transfers within a facility require the approval of the Department Head or Business Manager who oversees the units involved in the transfer. Fixed asset transfers from one community service center to another require the approval of the Community Services Bureau Director. Transfers within the Central Office require approval of the

Bureau Directors involved. The Fixed Assets Control Coordinator must be notified of all transfers.

9. Fixed asset transfers between facilities require approval of the Facility Managers/designees involved.
10. Transfer of fixed asset items that were purchased with federal funds require written approval from the Bureau of Administration.
11. Surplus general fund equipment must be disposed of through the Department's Surplus Property Officer in accordance with Department policy **3.1.1, Fiscal Administration, Subsection H.**

C. Significant Value Fixed Assets

1. The Bureau of Administration is responsible for overseeing the significant value fixed asset inventory program.
2. All land and building asset documentation will be coordinated with the Department of General Services (DGS) by the Bureau of Operations. The Bureau of Operations will report asset information to the Bureau of Administration for inclusion into the Automated Fixed Asset Accounting System (FAAS).
3. The Fixed Asset Coordinator at each location is responsible for reporting significant value fixed asset information on machinery and equipment to the Property Officer in the Bureau of Administration.
4. Significant value fixed assets must be tagged and recorded.
5. The Department will verify quarterly that agency general fixed assets reported on the Commonwealth's fixed asset accounting system are an accurate representation of the agency's capitalized fixed assets.
6. Organization Fixed Asset Coordinators must conduct a physical inventory of significant value fixed assets no later than June 30 of each fiscal year. The Department Property Officer shall distribute a copy of the organization's inventory report to the Fixed Asset Coordinator. A physical inventory is then conducted and notations are made on the inventory report to add and delete assets. New assets require the preparation of an input document and source documentation. The Business Manger or Regional Director must approve the inventory report and submit a copy to the Property Officer. A copy of this report should be retained by the organization for seven fiscal years. The Property Officer will then update the FAAS for a year-ending total inventory.

Section 8 – Use and Maintenance of State Vehicles

A. Assignment and Use of Commonwealth Vehicles (Employees)

1. Except as noted in **Subsection A.7.** below, all Department automotive equipment shall be considered fleet equipment available for assignment to authorized personnel when needed for use on official business.
2. Only an employee with a valid operator's license shall be permitted to operate automotive equipment and each vehicle is to be operated in accordance with **Management Directive 615.8, Use of State Automobiles**¹. The employee may be held fiscally liable for costs of operation and/or repairs to, or replacement of, an automobile when it is determined that the automobile was used for other than official business or has been physically abused by the operator.
3. In accordance with the **Vehicle Code**, as set forth in **75 Pa.C.S.A. §3805**, persons convicted of a second or subsequent offense related to driving under the influence of alcohol or a controlled substance are required to only operate motor vehicles equipped with an approved ignition interlock system. Since the Commonwealth does not permit the installation of ignition interlock devices on Department vehicles, employees who have been ordered to operate only ignition interlock-equipped vehicles will not be permitted to operate any Department vehicle, during the period the order is in effect. This includes any road or way open to the public for vehicular traffic, including those ways on the grounds of state parks, institutions, or facilities.
4. Any employee who is required to operate a Department vehicle and/or equipment, **or who is required to** operate his/her own vehicle while on duty, shall notify his/her supervisor immediately of any loss or restriction of his/her operating privilege. If the employee's job classification requires him/her to operate a Department vehicle, a Pre-Disciplinary Conference (PDC) will be conducted, in accordance with Department policy **4.1.1, "Human Resources and Labor Relations,"** to review the impact of the order on his/her employment status with the Department. The outcome of the PDC could result in the reassignment of duties, demotion, or separation from employment
5. The employee shall be responsible for the immediate payment of all parking and traffic violations. Procedures for handling outstanding vehicle violations/citations will be followed as outlined in **Subsection B.** of this manual.
6. Assigned vehicles are provided for official business only. Vehicles may be driven to and from an employee's residence **only** when an early departure or late return on official business would indicate a savings in time and mileage.
7. The Secretary, Deputy Secretaries, Facility Managers, and Regional Directors may, at their option, be assigned vehicles on a full-time basis. With the approval of the Secretary and the Department of General Services (DGS), other employees whose functions require the full-time use of a vehicle may also be assigned full-time vehicles. Employees

¹ 4-ACRS-1B-03

who are assigned a full-time vehicle may use their vehicles for commuting to work or for official Department business and are subject to additional federal taxation in accordance with Internal Revenue Service regulations.

8. A personal cellular telephone or similar electronic device (e.g., Personal Data Assistant (PDA), Blackberry, **GPS unit**) may be temporarily connected to a state vehicle through a cigarette lighter to charge its battery while the vehicle is in operation.

B. Parking or Traffic Violations/Citations

1. Reporting

- a. **The operator of a Department vehicle at the time the violation/citation was issued must notify his/her immediate supervisor in writing within five business days of receipt of the violation/citation. The information below must be provided:**
 - (1) **date of violation/citation;**
 - (2) **name of issuing authority;**
 - (3) **violation/citation number;**
 - (4) **nature of violation/citation (e.g., meter expired, speeding, etc.);**
 - (5) **disposition method to be used (e.g., payment, appeal, etc.); and**
 - (6) **amount of fine (if applicable).**
- b. **The immediate supervisor must notify the Department's Automotive Officer in writing of the violation/citation and related information. It is the responsibility of the supervisor to maintain a file that includes the disposition of the violation/citation.**

2. Disposition

The employee is responsible for the payment of all violations/citations to the issuing authority within the date specified on the violation/citation in accordance with this procedures manual and Management Directive 615.9, Permanent Assignment of Commonwealth Automotive Fleet Vehicles. If the employee appeals the violation/citation, he/she must follow the procedure listed on the violation/citation.

3. Monitoring

If the violation/citation is not paid within the specified time period, the Department of General Services (DGS), Bureau of Vehicle Management (BVM) will receive notification from the issuing authority. DGS/BVM will then notify the Department's Automotive Officer in writing regarding the outstanding payment. The Department Automotive Officer will complete and send a [Notice of Citation \(Attachment 8-A\)](#) to the employee with copies to the employee's immediate supervisor and Facility Manager. The employee will be given seven business days to pay the outstanding violation/citation. Proof of payment must be sent to the Department Automotive

Officer so the file can be closed. Failure to pay may result in the employee's driving privileges being suspended or permanently revoked.

C. Toll Violations

1. Reporting

If the operator of the vehicle is aware a toll violation has occurred, he/she must notify his/her immediate supervisor in writing within five business days. The information below must be provided:

- a. date of violation;**
- b. time of violation;**
- c. location/entry/exit;**
- d. name of issuing authority;**
- e. disposition method to be used (e.g., payment, appeal).**

The immediate supervisor must notify the Department Automotive Officer in writing of the violation and related information. It is the responsibility of the supervisor to maintain a file that includes the disposition of the violation.

2. Disposition

The employee is responsible for the payment of all toll violations to the issuing authority. If the employee appeals the violation, he/she must follow the procedure shown on the appeal form received from the issuing authority.

3. Monitoring

The DGS/BVM will receive notification from the issuing authority that a violation has occurred and payment is outstanding. DGS/BVM will then notify the Department Automotive Officer in writing regarding the outstanding payment.

- a. If the employee was aware of the violation and reported it as required, the Department Automotive Officer will complete and send a [Notice of Toll Violation \(Attachment 8-B\)](#) to the employee with copies to the employees' immediate supervisor and Facility Manager. The employee must pay the outstanding violation within seven business days of receipt of this notice.**
- b. If the employee was not aware a violation occurred, the Department Automotive Officer will contact the institution to which the vehicle is assigned and obtain the name of the driver for the date and time the violation occurred. Once the name of the driver is determined, the Department Automotive Officer will complete and send a Notice of Toll Violation to the employee with copies to the employees' immediate supervisor and Facility Manager.**
- c. The employee must pay the outstanding violation within seven business days of receipt of the notice. If the employee chooses to appeal the violation, he/she**

must notify his/her supervisor and the Department Automotive Officer as soon as possible. The employee would then complete the appeal form and submit as instructed. If the appeal is accepted, a letter will be sent to the DGS/BVM. DGS/BVM will then forward the appeal acceptance letter to the Department Automotive Officer who will then forward to the employee. The employee would then submit payment for the amount due to the issuing authority. The employee should make copies of the violation notice, appeal acceptance form and check/money order as these items will be needed when requesting reimbursement. Proof of payment must be sent to the Department Automotive Officer so the file can be closed. Failure to pay may result in the suspension or permanent revocation of the employee's driving privileges.

D. EZ Pass Transponders

- 1. Transponders shall be used for official business only. Any employee who misuses a transponder will be subject to disciplinary action and required to reimburse the Department.**
- 2. At no time shall the transponder be removed from the vehicle.**
- 3. At no time are transponders to be used in personal vehicles.**
- 4. Use the lane marked "EZ Pass Only" when possible.**
- 5. Staff shall contact the Department Automotive Officer immediately if any trouble is experienced using the transponder.**
- 6. Requests for additional transponders shall be made through the facility Business Office to the Department Automotive Officer.**

E. Use of Personal Vehicles²

1. Central Office Staff
 - a. Reimbursement for the use of personal vehicles for travel is limited to the following situations:
 - (1) when a state vehicle is not available and the travel is considered to be essential by the Bureau /Office Director; and/or
 - (2) when an employee requires special controls or accommodations.
 - b. All Central Office vehicles will be non-smoking.
 - c. Any travel, with the exception of travel by personal vehicle without reimbursement, must begin with a [Vehicle Request Form \(VRF\) \(Attachment 8-C\)](#). A VRF must be

² 5-ACI-3A-27

completed to reserve a state car or to be reimbursed for personal mileage when a state car is not available. The employee must receive approval from his/her Bureau/Office Director to incur personal mileage costs. Directors and all other employees not reporting to a Director need approval of any personal vehicle reimbursement from their supervisor such as a Deputy Secretary.

- d. Vehicles reserved for trips less than 30 miles one way are subject to cancellation up to one day prior to travel. In these cases, the employee and his/her Director still need to determine if the trip is necessary prior to using a personal vehicle and seeking mileage reimbursement.
- e. There may be exceptions, such as a late notice or other unusual circumstances that may warrant approval of personal mileage reimbursement without checking on the availability of a state vehicle. Approval of these exceptions is required by the Director. These exceptions should not be recurring issues.
- f. All reasonable efforts must be made to obtain fuel from a facility. If an employee is unable to obtain fuel at a facility, fuel can then be purchased from a curbside location. Only 87 Octane fuel shall be purchased when purchasing fuel from a curbside station. If an employee purchases a higher octane fuel, he/she may be held responsible for the additional cost.
- g. VRF Usage
 - (1) The VRF can either be completed on-line and saved to the employee's personal documents, or the template can be saved and then completed. The employee does not need to sign the request unless he/she is requesting personal mileage reimbursement.
 - (2) Upon completion of the VRF, it must be submitted electronically to Support Services Staff in the Communications Center using CR, CEN Vehicle Request. The VRF must be submitted seven days prior to the scheduled trip, when possible.
 - (3) Staff will still be able to e-mail or call into the Communications Center to request availability of a vehicle, however, the actual reservation of the vehicle will not be completed until the VRF is received and approved.
 - (4) Support Services Staff will complete their portion of the VRF and e-mail the VRF back to the employee with one of the following:
 - (a) the availability of a vehicle with the vehicle number;
 - (b) the unavailability of a vehicle; or
 - (c) a determination that another staff member is traveling to the same location at the approximate time of the trip and a carpool recommendation shall be made.

Support Services staff will maintain copies of this documentation for 15 months.

- (5) If the employee receives an unavailability response and still decides that the trip is necessary and seeks reimbursement for personal vehicle usage, the employee must sign the VRF, justify on the VRF why the trip is necessary to use a personal vehicle and forward to the employee's Director or other supervisor as listed in **1.c.** above. If the Director or other supervisor approves the request, he/she needs to sign on the last line of the form and send a copy of the VRF to the Department Automotive Officer. Requests that are disapproved shall be returned to the employee unsigned. At the Director's option, comments relating to approval or disapproval can be made on the form.
- (6) The Department Automotive Officer shall monitor these reports as well as SAP reports regarding travel expenses. When submitting the travel receipt envelope for reimbursements, do not include the VRF as this is for Department use only.

2. Facility Staff

- a. An employee using his/her personal vehicle on official business is reimbursed for mileage at rates specified in the Commonwealth Travel Regulations and appropriate collective bargaining agreements.
- b. The use of personal vehicles may be permitted under the following situations:
 - (1) when a state car is not available **and the travel is considered to be essential by the Facility Manager;**
 - (2) an employee who requires special controls or accommodations may use his/her personal vehicle at all times; and/or
 - (3) **in other circumstances where the Facility Manager determines that the use of a personal vehicle is appropriate.**

F. General Operational Procedures

1. Facility and Central Office Vehicles

- a. To the extent practical, gasoline, oil, lubrication, accessories, parts, and repairs shall be procured from a state correctional facility automotive shop. Purchase of supplies and parts shall be handled by and through the facility business office with charges made to the proper account.
- b. With permission from the Facility Manager/designee, an inmate may be permitted to fuel a vehicle, but only under direct supervision³.

³ 5-ACI-3A-24

- c. Official automotive credit cards shall be carried in all vehicles that leave the vicinity of their headquarters and shall be used for purchases of gasoline and oil away from the facility. Sales slips and/or invoices received as a result of a credit card purchase shall be initially turned into the Facility's Maintenance Department and then forwarded to the facility Business Office as soon as possible after the purchase. Central Office staff shall leave the sales slip in the vehicle. The Department Automotive Officer shall collect the sales slips at the end of each month.
- d. General and emergency repairs shall be made strictly in accordance with the **DGS/BVM** regulations and established procedures⁴. In the event that emergency repairs are needed, the nearest facility shall be contacted for assistance and direction.
- e. All repairs shall be made at a facility automotive shop unless this is not cost effective or in the event of an emergency.
- f. **Facilities must submit a copy of all vehicle work orders to the Department's Automotive Officer weekly for submission to the BVM. Work orders must contain the vehicle equipment number, license number, year, make, model, part and labor cost and total repair cost.**
- g. An **STD-554, Monthly Automotive Activity Report**, shall be maintained for each vehicle. Information maintained on this form includes daily driver, mileage, travel locations, gas, oil, and maintenance. At the end of each month, this form shall be turned over to the facility's Automotive Officer. Forms are to be retained for a period of no more than **36** months.
- h. **At the end of each month, the facility Automotive Officer shall complete a Monthly Automotive Activity Summary Report (Attachment 8-D) to be forwarded to the Department Automotive Officer by the 10th of the following month. The report shall include month/year, institution number, equipment number, ending odometer reading, days used, miles driven, maintenance cost, in-house fuel (gallons), in-house fuel cost, voyager card cost, voyager fuel gallons, total monthly cost and total accident cost.**

2. Community Corrections Vehicles

- a. When it is not cost effective to have repairs completed at a facility automotive shop, **repairs may be** completed at an authorized vendor listed in the Directory of Commonwealth Automotive Service Facilities. **Prior approval must be obtained from DGS/BVM before any repairs can be completed.**
- b. Where feasible, the purchase of gasoline and oil shall be made at a facility or at the Commonwealth Garage. Official automotive credit cards shall be carried in vehicles at all times and shall be used for all purchases of gasoline and oil. Sales slips and/or invoices received as a result of a credit card purchase shall be turned into the **Business Office at the** support facility as soon as possible. All gasoline and oil

⁴ 4-ACRS-1B-02

obtained from a facility shall be recorded onto the **STD-554, Monthly Automotive Activity Report**.

- c. General and emergency repairs shall be made strictly in accordance with the DGS/BVM regulations and established procedures.
- d. An **STD-554** shall be maintained for each vehicle. This report must be submitted to the **Regional Office**. ***The Regional Office will gather all of the reports and forward them to the Department Automotive Officer by the 10th of each month.***

G. Lease Vehicle Repairs

- 1. All repairs by outside vendors must be approved by DGS/BVM prior to being completed. In-house repairs under \$600 can be completed without prior approval from the DGS/BVM.***
- 2. In-house repairs exceeding \$600 require prior approval from the DGS/BVM.***
- 3. DGS/BVM Customer Service Division will complete the STD-555, Repair Authorization Request form, and keep it on file. If a copy is needed, the Department Automotive Officer will ensure it is forwarded to the facility.***
- 4. Upon completion of the repair work, the vendor is responsible for the submission of the original invoice(s) for payment to the Department of General Services, Bureau of Vehicle Management, 15VHCLMGMT, PO Box 69181, Harrisburg, PA 17106. The invoice must include the location code (15VHCLMGMT), invoice date, invoice number, gross/total amount, year, make, model, equipment number and license number of vehicle.***

H. Commercial Vehicle Repairs

- 1. All repairs by outside vendors must be approved by DGS/BVM prior to being completed. In-house repairs under \$800 can be completed without prior approval from DGS/BVM.***
- 2. In-house repairs exceeding \$800 require prior approval from DGS/BVM.***
- 3. DGS/BVM, Customer Service Division will complete the STD-555, Repair Authorization Request form, and keep it on file. If a copy is needed, the Department Automotive Officer will ensure it is forwarded to the facility.***
- 4. Upon completion of repairs, the vendor is responsible for the submission of the original invoice(s) for payment to the DGS/BVM, 15VHCLMGMT, PO Box 69181, Harrisburg, PA 17106. The invoice must include the location code (15VHCLMGMT), invoice date, invoice number, gross/total amount, year, make, model, equipment number and license number of vehicle.***

I. Preventive Maintenance Schedule⁵

1. A preventive maintenance schedule, as outlined in the most current **Administrative Circulars entitled Automotive Fleet Preventive Maintenance Schedule and Winterization of State Vehicles**, must be maintained for all Commonwealth Automotive Fleet Vehicles.
2. In addition, all Department vehicles shall undergo a maintenance and safety inspection **quarterly**. The items listed below shall be inspected:

Quarterly Maintenance and Safety Inspection Items		
Inside Vehicle		
Steering Play	Windshield Washer	Windshield Wipers
Brake Pedal	Spare Tire & Jack	Mirrors
Emergency Brake	Horn	Defroster
Under Hood		
Engine Oil Level	Radiator Hoses	Battery Terminals
Coolant Level	Vacuum Hoses	Air Filter
Brake Fluid Level	Distributor Cap	Power Steering Fluid
Auto Transmission Fluid Level	Heater	Hoses
Battery Level	PCV Valve and Hose	Spark Plug Wires
Belts	Turn Signals	Windshield Washer Fluid Level
Outside Vehicle		
Headlights	License Plate Light	Taillights
Wiper Blades	Brake Lights	Tire Inflation
Turn Signals	Tire Condition	Backup Lights
Underneath Vehicle		
Fluid Leaks	Shock Absorber/Struts	Tie Rod Ends
Engine Oil	Ball Joints	Steering Linkage
Differential	Brake Lines/Hoses	Exhaust System/Muffler
Transmission	Emergency Brake Cables	U-Joints
Cooling System	Differential Lube	
Power Steering		
Brakes		
Fuel Tank and Lines		

3. Facilities are required to establish and maintain a system for documenting that the above servicing is completed. Such systems must include a tickler file or other means of identifying when vehicles are due for servicing.

⁵ 4-ACRS-1B-01

J. Snow Tires/Accessories

1. All automobiles and other vehicles used mainly on public roads must be equipped with snow tires during those periods of the year when snow is likely. At a minimum, snow tires should be mounted during November through March.
 - a. The Facility Manager/designee may, at his/her discretion, substitute all-season tires for snow tires on front-wheel drive and four-wheel drive vehicles. Such substitutions may be made only if the responsible official feels comfortable that this will not jeopardize safety. Safety is the first consideration. Other equipment designed for use in snow, such as tire chains and studs, may be used at the facility's discretion consistent with applicable laws.
 - b. All-season tires may not be substituted for snow tires on rear-wheel drive vehicles. All Central Office vehicles used for travel to and from facilities must be equipped with snow tires during the above months.
2. All automobiles must be equipped with a scraper and brush to remove snow during the winter **months**. Automotive shops are required to maintain a sufficient supply of scrapers and brushes for this purpose.
3. All automobiles used for travel outside their local area must contain a Pennsylvania road map at all times. This should be located in the glove compartment.
4. **All automobiles shall be equipped with a fire extinguisher and triangle kit.**

K. Damaged or Stolen Vehicles

1. If a vehicle is damaged or stolen, the facility is to first notify the **state/local** police and then advise the **Department Automotive Officer** by telephone immediately with a follow-up in writing **by completing form STD-541, Automobile Accident or Loss Notice**.
2. If an owner's card, credit card, or license plate is lost, the facility shall notify the **Department Automotive Officer**.

L. Accidents

1. Every Commonwealth vehicle shall have in its glove compartment a copy of the **SI-3, Pennsylvania Self-Insurance Financial Responsibility Identification Card**.⁶
2. All accidents involving a Commonwealth motor vehicle shall be handled in accordance with **Management Directive 615.2, Motor Vehicle Liability Insurance and Accident Reporting**.
3. In addition to the procedures contained in **Management Directive 615.2**, employees are expected to follow the procedures outlined below **when** an accident **occurs**:

⁶ 5-ACI-1B-17, 4-ACRS-1B-04

- a. stop and render all possible assistance;
 - b. **DO NOT** engage in controversies at the scene of an accident;
 - c. **DO NOT** discuss the accident beyond the basic information on the **STD-541**;
 - d. secure **ALL** license numbers of **ALL** vehicles involved;
 - e. secure the name and address of **ALL** persons involved;
 - f. secure the name and address of **ALL** witnesses;
 - g. in case of injury or death of any person or damage to any vehicle involved, to the extent that it cannot be driven under its own power in its customary manner without further damage or hazard to the vehicle, other traffic elements, or the roadway, and therefore requires towing, the nearest police department shall be immediately notified;
 - h. **IN ALL CASES**, notify the State Police. If they are unable to come to the scene of the accident, notify local police and wait until they arrive;
 - i. report an accident immediately to your facility or facility Automotive Officer. In instances where vehicles are transporting inmates, the Office of the Secretary shall be notified via a **DC-121, Report of Extraordinary Occurrences** of Department policy **6.3.1, “Facility Security;”** and
 - j. contact the nearest facility for towing/service instructions.
4. Prepare a **STD-541, Commonwealth of Pennsylvania Automotive Accident or Loss Notice, within 24 hours** after any accident, theft, or loss has occurred and submit to the **DGS/BVM, Customer Service Division with a copy sent to the Department Automotive Officer.**
- a. If the operator of the vehicle is incapacitated because of the accident, the facility Automotive Officer shall be responsible for the preparation of the accident report.
 - b. If an accident involving a Commonwealth vehicle results in a fatality, serious bodily injury or property damage in excess of \$10,000, a verbal report is to be given by telephone to the Bureau of Risk and Insurance Management, DGS. This call is to be made as soon as possible by the vehicle operator, or, if the operator is incapacitated, the immediate supervisor. Collect calls will be accepted. The Bureau of Risk and Insurance Management can be contacted during business hours by calling (717) 787-1768 or (717) 787-4987. On weekends, holidays, and other than normal work hours, the Capitol Police shall be contacted by telephone at (717) 787-3199 or (717) 787-5563.
 - c. The accident report is to be signed by the operator of the vehicle.

- d. The original **accident report is to be sent to the DGS/BVM, Customer Services Division, 2221 Forster Street, Harrisburg, PA 17125.** One copy of the report **must** be forwarded to the **Department Automotive Officer and a** copy shall be retained at the facility.
- e. **For** all accidents, regardless of fault, **three** estimates of repair are to be obtained from vendors listed in the Commonwealth's Automotive Service Facilities Directory, regardless of the amount of the loss. **If three estimates cannot be obtained from an approved vendor, the facility must contact DGS/BVM for approval to take the vehicle to a non-approved vendor. In the event the vehicle cannot be driven, one estimate from an approved vendor may be accepted. All repair estimates must be sent to the DGS/BVM, Customer Service Division** for approval as quickly as possible.

M. Disposal of Vehicles

1. When vehicles are turned in, an original and four copies of **form STD-556, Used Car Disposition Report**, must accompany the vehicle to a location designated by the **Department Automotive Officer**. A copy is to be retained at the facility.
2. License plates should be checked to make sure they **can** be removed with little or no trouble since they may be transferred to another vehicle.
3. All decals and lettering **must** be removed. Any damage caused by the decals to leased vehicles must be repaired before the vehicle is returned to the DGS, Bureau of Vehicle Operations.
4. Every vehicle shall be cleaned inside and out.
5. All holes left by antennas must be plugged with appropriate rubber plugs.
6. The registration card, credit card, **and EZ Pass transponder (if equipped)** must be returned with the vehicle.
7. **When a piece of equipment is to be sold from a facility, two digital pictures of the vehicle (one of the left side, front to back, and one from the right side, back to front) must be submitted electronically, in JPEG format, to the Department Automotive Officer along with the Used Car Disposition Report.**

N. Vehicle Identification

1. Each Facility Manager/designee shall set up a numbering system to easily identify all vehicles assigned to his/her **facility**. Vehicles assigned to Community Corrections, except those that transport inmates, and all vehicles with confidential license plates are excluded.
2. Department, number, and letter decals shall be placed on all Department vehicles.

- a. One Department decal shall be placed on each front door.
- b. Number and letter decals shall be placed on the roof. The only exception is for vehicles assigned to Central Office which shall only be numbered.
 - (1) The numbers shall be the reflective type and be 20 inches long. Four-inch wide tape shall be used.
 - (2) White numbers and letters shall be used on all dark colored vehicles.
 - (3) Black numbers and letters shall be used on all light colored vehicles.
3. The following diagrams illustrate where letters and numbers are to be placed on the roofs of the vehicles.

Cars and Minivans Front of Roof
GR
20

Trucks Front of Roof
GR 20

4. The following abbreviations shall be used as the facility codes:

Facility	ID	Facility	ID	Facility	ID
Albion	A	Graterford	G	Quehanna	Q
Cambridge Springs	CB	Greene	GR	Retreat	R
Camp Hill	CH	Greensburg	GB	Rockview	RO
Coal Township	CT	Houtzdale	H	Somerset	S
Chester	CE	Huntingdon	HU	Smithfield	SM
Cresson	CR	Laurel Highlands	L	Training Academy	T
Dallas	D	Mahanoy	M	Waymart	W
Fayette	FA	Mercer	ME		
Forest	FO	Muncy	MU		
Frackville	F	Pine Grove	PG		
		Pittsburgh	P		

O. New Vehicles

Upon receipt of any new equipment, a memo shall be sent to the **Department Automotive Officer** listing the make, type, equipment number, license number, vehicle identification number, credit card number, and EZ Pass transponder number (**if assigned**) for verification of records.

P. Inspection of Vehicles

All state vehicles, regardless of use, must carry a current state inspection sticker. All vehicles not carrying a current state inspection sticker must be parked until the vehicle can meet

inspection requirements. If the vehicle cannot meet inspection requirements or the cost of repairs exceeds the value of the vehicle, the vehicle shall be disposed of in a timely fashion.

Q. Donated Vehicles

Any vehicle donated to the Commonwealth automatically becomes a part of the Commonwealth fleet and comes directly under the supervision of **DGS/BVM**. Guidelines for operation and maintenance of these vehicles are the same as for **all** Commonwealth vehicles.

Section 9 – Billing Procedures – Inmate Transfers for County Convenience

A. General

This section provides the procedures for billing counties for the cost of transporting inmates for county convenience in accordance with the **Act of September 25, 2008, P.L. 1057, No. 82**. (Reference: House Bill No. 5 session of 2007 as amended June 28, 2008.)

B. Procedures

1. The Office of Population Management (OPM) will maintain an Excel workbook entitled **Inmate Transfers for County Court**, to track the number of inmates transferred. The workbook will show the inmate names, inmate numbers, sent-from facility, sent-to facility, requesting county, date of request, requestor (prison, sheriff, judge, district attorney, etc.), date transferred and date returned. Transports that require special services will be flagged, indicating that the county is to be invoiced at the actual cost.
2. The OPM will electronically submit the **Inmate Transfers for County Court** workbook to the Bureau of Administration, Fiscal Management Division Chief with a copy to the Accountant/designee the first week of each month for the purpose of invoicing each county. OPM will also provide the actual round trip costs for those completed inmate transports that required special services because of medical, security and/or other reasons.
3. The Bureau of Administration, Fiscal Management Division's Accountant/designee will bill each county for the inmate transfer costs according to the guidelines listed below.
 - a. Transport costs will be billed quarterly. A county's transport cost total, calculated by adding all the costs for completed inmate transfers for the quarter, must equal or exceed \$100 in order to be billed. Costs less than \$100.00 will be added to the next quarters billing summary. One invoice will be sent to each county for its total amount.
 - b. A transfer is considered complete (billable) when the Department returns the inmate to the facility from which the inmate was transferred. The inmate's return date determines the month that the round trip transport costs are added for billing. If it is determined that the inmate is not to be returned to the home facility, the one-way transport cost will be billed in the month that the determination is made.
 - c. For normal inmate transports, a standard mileage rate determined by the Department and published in the Pennsylvania Bulletin, will be used to calculate the amounts invoiced for the transport miles. The transport miles used will be round trip miles from a standard table of miles organized by origin and destination.
 - d. Inmate transports requiring special services for medical, security or other reasons will be billed at the actual Department cost for the inmate transfer. The actual cost for transportation will be the round trip cost that includes the costs for mileage, security and staffing.

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Section 9 – Billing Procedures – Inmate Transfers for County Convenience

4. The Bureau of Administration, Fiscal Management Division Accountant/designee will track collections against the invoices.

5. The Bureau of Administration, Fiscal Management Division Accountant/designee will maintain a list of “Bill to Addresses” for the purpose of billing inmate transfers for county convenience.

Section 10 – Employee Travel

A. General

1. The Department’s Bureau of Administration administers all travel policy and directives.
2. Travelers are responsible for completing all necessary documents and obtaining approvals for out-service training and travel, **including out of state**. Employees are responsible for becoming familiar with the Commonwealth, Department and facility travel regulations prior to traveling on official duty. Travel-related resources include, but are not limited to, Management Directives, lodging information, subsistence calculations, mileage calculations, on-line booking tools, corporate card information and applications.
3. Travelers are reimbursed for itemized actual expenses incurred while traveling on official Commonwealth business within prescribed maximums and in accordance with **Management Directive 230.10 Amended, “Commonwealth Travel Policy,” M230.1, “Commonwealth Travel Procedures Manual,”**¹ and this procedures manual.²
4. Travelers are required to update and save their travel profile on line at **www.concursolutions.com**. Travelers will select a **Delegate** to access their profile and to assist/make the travel arrangements. At least two **Delegates** should be selected to ensure sufficient support. The **Delegates** will be electronically notified of the selection to arrange travel for future trips.
5. Travel Power Users and **Delegates** are the local sources for information and assistance regarding travel, especially for the infrequent traveler. This will ensure that up-to-date policy is followed to maximize prudent use of Commonwealth funds and minimize delays in travel reimbursement processing. All new employees that will travel, **Delegates**, and supervisors must complete training in the travel-related functions of Systems Application Products (SAP), Employee Self Service (ESS), and the Commonwealth Travel Booking Systems within two months of the job assignment. Training can be provided by the Travel Power Users at the facilities or by classes conducted by the Travel Coordinator.
6. Upon completion of a trip, travelers must complete their request for reimbursement of trip expenses in a timely manner subject to a maximum time limit specified in **Management Directive 230.10 Amended** and **M230.1**.
7. Travelers not assigned a permanent vehicle must use the **Ground Travel Worksheet** (located on the **Intranet** travel site) to determine the most cost effective method of transportation. If a Department fleet vehicle is recommended, a request for a fleet vehicle must be submitted in a timely manner prior to travel. Employee responsibilities related to the operation of Commonwealth vehicles are outlined in **Section 8** of this procedures manual and **M615.3, “Commonwealth Fleet Procedures Manual.”**

¹ 5-ACI-1C-19, 5-ACI-1D-09, 5-ACI-1D-22, 1-CTA-1C-10, 4-ACRS-7B-19, 4-ACRS-7D-17

² 4-APPFS-3E-11

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8. The Department is not responsible for costs that result from employee actions/activities while in travel status that are contrary to the established norms as specified in the **Governor’s Code of Conduct, DC-174, Code of Ethics**, and any other applicable Commonwealth or Department procedure(s).
9. Employees will not be reimbursed if proper documentation is not submitted.
10. Managers/supervisors can cancel travel at any time prior to departure based on facility needs.
11. All out-of-state travel requests that require the expenditure of Commonwealth funds must be submitted **electronically on a** template provided **at www.costa.pa.gov** and must include all appropriate paperwork and supporting documentation. **Once through the approval process, a copy will be electronically sent to the employee with the Governor’s approval. A copy** must be attached to the Travel Expense Report. Requests are to be prepared **and submitted** at least **one month** in advance unless an unexpected out-of-state travel need occurs.

B. Methods of Payment

Travelers on Commonwealth business are required to use one of the below listed methods of payment through the course of their approved travel itineraries.

1. Corporate Credit Card
 - a. Employees that expect to travel four or more times a year (two or more times per year for management employees) must apply for a corporate credit card. The application and credit card agreements are posted on **the Intranet**. Applications and agreements must be submitted to the Corporate Card Coordinator, Bureau of Administration.
 - b. Department special team members must obtain a corporate credit card.
 - c. Employees cannot use their corporate credit card to pay for other employees’ expenses or lodging without prior approval by the Bureau of Commonwealth Payroll Operations (BCPO).
 - d. The Bureau of Administration can suspend or cancel an employee’s corporate credit card for delinquent payments or for wrongful use of the card.
 - e. Travelers who have suspended or canceled corporate credit cards cannot use the agency lodging card or obtain cash advances for trips.

NOTE: Corporate credit cards are assigned to an individual employee, not to the organization.

2. Agency lodging card

- a. The Agency Lodging Card Coordinator shall use the card to pay for the lodging of a onetime event for a traveler whose position/job title does not generally require travel, and who does not have a corporate credit card.
- b. The Agency Lodging Card Coordinator shall use the card to pay for the lodging of an employee who travels less than four times (or a management employee who travels less than two times) in the fiscal year and does not have a corporate or personal credit card. It is important to note that training for two weeks is considered two separate trips when determining if an employee travels four or more times a year. Commonwealth Office of Travel Operations (COTO) considers hotel cancellations as travel for the purpose of determining eligibility for agency lodging card use.
- c. The card is used optionally when arranging lodging for a group of employees that requires less than ten rooms, however the card must be used for an event that requires ten or more rooms in accordance with **Subsection F.3. below**. The rooms must be covered by a hotel contract that was negotiated according to the Commonwealth procurement procedures and guidelines.
- d. Academy basic training cadets will be housed in hotels using the agency lodging card when there are no available rooms at the Training Academy. The Training Academy will make the arrangements with the hotel.

3. Agency Airline Card

- a. All air travel will be charged to the Agency Airline Card automatically when reserved via the online booking tool or the contracted travel agency. Travelers are not permitted to use their corporate credit card or personal credit card to reserve or pay for air flights.
- b. An employee may use a personal credit card that does not give rewards for all travel expenses except air flights. Air flight credits must be utilized for state travel.

4. Cash

- a. A cash advance will be considered only after all other options of payment are explored and exhausted.
- b. Employees may pay for their trip expenses with cash and receive reimbursement by submitting a Travel Expense Request through ESS/SAP. The same rules apply when paying by cash as when using the corporate credit card or agency lodging card.

5. Third Party Reimbursement by an entity other than the Commonwealth of PA shall be in accordance with **Manual 230.1**.

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- a. Indicate on the **Travel Itinerary and Expense Approval Form** that a third party reimbursement is expected in the Expense Description column.
- b. If the travel expenses are to be reimbursed by the federal government, the applicable funding information (i.e., Fund, Work Order, WBS Element) must be provided. If this information is not known, the traveler or **Delegate** must contact their budget or fiscal office for this information prior to submitting the **Travel Itinerary and Expense Approval Form**.
- c. Third parties must remit payments to BCPO. If checks are received by the Department, they are not to be cashed. All checks must be endorsed payable to the “Commonwealth of Pennsylvania” and remitted to BCPO immediately.
- d. Include a copy of the invoice or other official documentation showing the reimbursement agreement along with their receipts when submitting the **Travel Itinerary and Expense Approval Form**.

C. Travel Requests

1. Travel requires prior written approval. A manager/supervisor/designee can issue a verbal approval for a trip on short notice (less than 24 hours).
2. Managers/supervisors/designee must ensure that all elements of a traveler’s itinerary conforms to the Commonwealth and Department travel policies and applicable directives and makes prudent use of Commonwealth funds before approving a trip.

D. Receipts

1. Travelers must always obtain itemized receipts. Itemized receipts must include the name and address of the vendor, the description and date of the service, and the amount paid for each item. If a receipt lacks details, write the required information on the receipt. If obtaining a receipt is impossible, (i.e., a purchase is from a vending machine or parking meter) then a **BCPO3233, Declaration of Missing Receipts Form** must be completed and attached to the Travel Expense Report. Credit card slips and statements are not considered receipts.
2. All travel receipts are needed to submit a Travel Expense Report through **ESS/Concur**. The receipts must be scanned and attached to the Travel Expense Report and submitted electronically to BCPO for reimbursement. No receipts will be accepted by BCPO via mail.
3. All receipts must be retained by the traveler for one year after completing a trip.
4. Employees without computer access must submit all itemized receipts and relevant information to the **Delegate** for input into the travel expense system.

E. Transportation

1. When travel is required, employees are to complete the **Ground Travel Worksheet** and use the most cost effective method of transportation. Justification must be provided on the Travel Expense Report if the lowest cost was not utilized. The **Ground Travel Worksheet** must be attached to the Travel Expense Report.
2. Carpooling is mandatory for employees traveling from the same office location to the same meeting with consistent schedules unless a business justification is given or an employee elects to take his/her personal vehicle and not get compensated in accordance with **Subsection E.3. below**.
3. Employees are free to take their personal vehicles when prior approval is received with Management's signature on the **Ground Travel Worksheet**, approving the "POV Other Vehicle Available" request or when no mileage reimbursement is being requested.
4. Mileage must be entered on the Travel Expense Report on a per day basis for all trips. If the traveler is a passenger, then the mileage must be entered as "non-compensated."
5. Airline flights, lodging, and car rentals are booked through the Commonwealth's on-line booking tool or by calling the Commonwealth travel agency and costs are entered on the Travel Expense Report. Amtrak must be reserved directly with Amtrak at www.amtrak.com or via telephone and the cost must be entered in the Travel Expense Report.
6. Car Rental
 - a. If a car rental is needed when a flight is involved, the rental would be booked using "**SAP Concur**" and a corporate or personal credit card would be used to pay for the car rental.
 - b. If a rental is needed when a flight is not involved, the rental would be booked through the link on the **Ground Travel Worksheet which can be found at <https://www.dqs.pa.gov/Vehicle-Management/InformationCopaAgencies/Pages/default.aspx>**. The rental would be paid for by direct billing and the employee does not have to provide payment information. An itemized bill must be obtained and the charges entered on the Travel Expense Request even though there is no reimbursement to the traveler.
 - c. **Rental vehicles are not equipped with EZ Pass Transponders or WEX fuel cards. Employees must retain receipts and request reimbursement for these expenses using the Travel Expense Request.**
 - d. **Central Office employees may obtain a WEX card from the Communications Center prior to picking up their rental in order to avoid having to request reimbursement for this expense.**

F. Lodging

For overnight lodging for the night prior to a training or conference, travelers must obtain additional approvals when the location is within 75 miles or less of the official headquarters or residence, whichever is closer. MapQuest or Google Maps (or similar internet application) will be used to determine the distance. Facility employees must obtain the Business Manager's approval for the lodging request prior to the manager/supervisor/designee's approval of the trip. Central Office and Community Corrections Center (CCC) employees must obtain the Director's approval for the lodging request prior to the manager/supervisor/designee's approval of the trip. **Please note the 50-mile rule applies for the duration of the actual training dates, but not the night before training starts.**

1. Corporate Credit Card Lodging Reservations

- a. When the traveler is using a corporate credit card, the traveler or designated **Delegate** must make the lodging reservation on-line through the automated travel reservation system (accessible by the **ESS/SAP Concur**), or if no other means are available, by calling the Commonwealth travel agent.
- b. Preferred hotels must be used. If preferred lodging is not available, other hotels within a 15-mile radius of the destination with rates that are below the General Services Administration (GSA) rate must be considered.
- c. **REV1220, PA Tax Exempt Forms**, available on the **Intranet**, must be submitted to the hotel at check in. **PA Tax Exempt Forms** are only accepted in state.
- d. Cancellations or changes in reservations must be made according to the hotel policy. "No Show" charges are not reimbursable and will be the responsibility of the employee.

2. Agency Lodging Card – Lodging Reservations

- a. Reservations using the agency lodging card must be made at least three full business days in advance of the check-in date by calling the Travel Booking Agent (Adtrav or current agent).
- b. Any request for a hotel booked directly with the property must contain the **Agency Lodging Card Request Form**, the copy of the confirmation from the hotel, and the subject line of the email must contain "booked direct." Any requests that do not contain "booked direct" in the email subject line and do not provide the copy of the confirmation will not be processed. The only time travelers are permitted to call the hotel and book directly is if there is a block of rooms reserved for the event and attendees must stay at that location as specified on the registration information.
- c. The COTO approves or denies the request for use of the agency lodging card via email.

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- d. The traveler/**Delegate** must advise the agent that they are using the agency lodging card and COPA hotel guarantee card. Any “No Show” charges that result from a reservation not being cancelled within the hotel cancellation policy will be charged to the agency lodging card and the employee will be responsible for reimbursing the Commonwealth. The traveler/**Delegate** must provide the cost center/SAP fund code information at the time of reservation.
 - e. The COTO relays payment information for hotel rate and tax only to the hotel.
 - f. The traveler will pay for any incidental costs incurred at the hotel. Upon checkout, the hotel will charge the agency lodging card provided to them by COTO for the hotel nightly rate and applicable tax. The traveler must provide the hotel with the **PA Tax Exempt Form** when checking in.
 - g. The traveler must obtain a receipt upon checkout even if the receipt shows a \$0 balance for submission to BCPO, **and must contain the last four numbers of the card that was used for payment.**
 - h. The traveler or **Delegate** must choose the expense type “hotel-agency card” when submitting the Travel Expense Report.
 - i. The Agency Lodging Card Coordinator will reconcile the account and dispute charges with the hotel. Any expenses in excess of hotel rate and tax must be paid by the traveler.
3. Group Lodging
- a. Events requiring ten or more rooms will require group lodging.
 - b. The **Delegate** will confirm the group with the hotel sales department following Commonwealth procurement procedures and guidelines.
 - c. The **Delegate** will forward the contract and group request form to ra-coto@state.pa.us as soon as the specific dates are known and obtain a negotiated contract (draft) from the hotel. Forms are located at <https://www.budget.pa.gov/Services/ForCommonwealthTravelers/Pages/default.aspx>.
 - d. COTO will review the contract only for industry terms and conditions and respond with any suggestions.
 - e. The **Delegate** will sign the contract and submit it to the hotel.
 - f. The **Delegate** will submit the rooming list including all names of attendees and whether the agency lodging card, personal credit card, or corporate credit card is being used to COTO (ra-coto@state.pa.us), the Department’s Travel Coordinator, and hotel upon contract due date. Indicate on the rooming list which method of payment

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will be used by each employee. **The Group** Rooming List template is available on <https://www.budget.pa.gov/Services/ForCommonwealthTravelers/Pages/default.aspx>, click “**Group Travel.**” The name of the group should be **identified** in the subject line of the email.

- g. If the funding is not the same for the entire group, indicate on the rooming list, next to the name of the employee, the cost center and funding codes that apply.
- h. The rooming list must include employee numbers where applicable.
- i. COTO will use the agency lodging card for payment at the contracted due date.
- j. When filling out the form, all required information must be entered. The Agency will be “Department of **Criminal Justice.**”
- k. When training is held at the Training Academy, the Academy Training Coordinator will provide information pertaining to the availability of lodging. If lodging is not available at the Training Academy, it is the responsibility of the event coordinator to follow the group lodging procedures.

4. Basic Training Cadets

Basic training cadets will be housed in Training Academy housing. When no rooms are available at the Training Academy, the agency lodging card will be used for lodging the trainees at hotels. Two cadets will be assigned to each room according to the below listed procedures.

- a. The Academic Services Coordinator at the Training Academy will prepare the existing Agency Lodging Card List for Basic Training. A column will be added that will show cadet assignments for sharing hotel rooms.
- b. Except when special lodging requirements are requested, the Academic Services Coordinator will make the shared room assignments alphabetically within gender by facility. Odd numbers of cadets will occasionally require cadets from different facilities to room together.
- c. If a cadet requires special accommodations for medical or other reasons, the cadet’s home facility must notify the Academic Services Coordinator before the Agency Lodging Card List for Basic Training is prepared.
- d. The Agency Lodging Card List for Basic Training will be distributed to each facility, COTO, and the Agency Lodging Card Coordinator by noon on Friday for the following week. Once the list is issued, any adjustments to the room assignments must be addressed by the cadets with the hotel.
- e. Facilities/cadets must notify the hotel of any cancellations according to the hotel’s cancellation policy. The Academic Services Coordinator and Agency Lodging Card

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Coordinator must also be notified of cancellations as early as possible. The Training Academy will notify COTO and the Department's Travel Coordinator, Bureau of Administration, of lodging cancellations.

- f. If a cadet or trainee fails to report to the hotel reserved under the agency lodging card and fails to cancel the reservation in accordance with the hotel's policy, the cadet or trainee shall be responsible for the cost of the cancellation and any associated charges. The home facility will be responsible for collecting the charges for the cancellation from the cadet/trainee.

G. Subsistence

Subsistence is reimbursed according to Commonwealth allowances except in the following cases:

1. when an employee is at a facility at the time the lunch meal is being served, lunch cannot be claimed and a percentage must be deducted from the maximum subsistence amount allowed ***unless the institution refuses the employee entry for the meal or there is a business reason why he/she cannot eat inside the institution;***
2. alcoholic beverages are not considered subsistence and their costs will not be reimbursed; and
3. attendees at the Training Academy are provided meals and cannot claim subsistence except for the following conditions:
 - a. if an employee is required to depart on Sunday before 4:00 PM to travel to the Training Academy, then the Sunday dinner can be claimed; and
 - b. adjunct instructors at the Training Academy cannot claim breakfast or lunch since the Training Academy provides those meals. They may claim a dinner meal up to the maximum amount allowed for that meal.

H. Audits

1. BCPO or the Department is authorized to perform audits on all travel expense submittals to verify compliance with Commonwealth and Department travel procedures. Audits can be conducted randomly or arbitrarily. Employees are responsible for ensuring that expenses claimed in the Travel Expense Report are proper, accurate, and incurred during official business.
2. A traveler that knowingly presents a false or fraudulent claim may be subject to penalties under criminal statutes in accordance with **Management Directive 230.10**. Failure of a supervisor to exercise care in the review and approval of travel expenses may result in disciplinary action. Travelers are responsible to reimburse the Commonwealth for any inappropriate travel expense reimbursement.

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3. Any trip may be audited at any time within one year from the completion of the travel. The auditor can request any of the following:
 - a. all receipts for the trip from the traveler;
 - b. verification that the supervisor reviewed and approved the trip;
 - c. verification that the most cost effective measures were utilized; and
 - d. verification that the reimbursement request is accurate and in compliance with Commonwealth and Department travel procedures.

Section 11 – Employee Associations

A. Employee Association Requirements

Employee Associations may operate on the grounds of Department facilities if they meet the below listed requirements.

1. The Employee Association shall have its own by-laws and provide the applicable Facility Manager/designee with a copy of those by-laws and any subsequent amendments thereto.
2. An Employee Association that conducts fund raising activities, collects dues from its members and/or operates vending machines on the grounds of a Department facility shall conduct an annual audit of its financial records and accounts and will annually provide a copy of its most recent audit report to the applicable Facility Manager/designee no later than 90 days after the end of each calendar year.
3. An Employee Association whose financial accounts total more than \$2,500 annually shall have an External Audit of its financial records and accounts conducted every two years, and will provide a copy of its most current biennial External Audit Report to the applicable Facility Manager/designee no later than 90 days after the completion of such external audit.
4. ***An Employee Association is an independent entity that is not affiliated with the Department. Employee Associations are not permitted to use the Department's Employer Identification Number (EIN) to open bank accounts or seek tax exempt status.***

B. Employee Association Operation Approval

Employee Associations must obtain prior written approval from the applicable Facility Manager/designee before commencing operations on the grounds of a Department facility. Any Employee Association that commenced operation prior to the effective date of this policy shall be deemed to have received such prior written approval by the appropriate Facility Manager/designee.

**3.1.1, Fiscal Administration
Glossary of Terms**

Agency Lodging Card Coordinator – DOC Bureau of Administration designated individual who is authorized to use the Agency Lodging Card for booking rooms for employees.

Audit – *A review of financial records and accounts of an organization undertaken by an accountant, audit committee or other qualified personnel to establish the accuracy of those records and accounts.*

BCPO – Bureau of Commonwealth Payroll Operations – Audits trip expenses

Commonwealth Travel Agent – Contracted service provider for booking travel arrangements for all agencies. The online booking tool is used to make travel reservations and to maintain a traveler's profile: <http://wcp.getthere.com/adtrav>

Corporate Card - VISA card that is issued to an employee from PNC and is to be used on official Commonwealth business only

Corporate Card Coordinator - DOC Bureau of Administration designated individual who processes corporate credit card requests and addresses account problems

COTO – Commonwealth Office of Travel Operations administers Commonwealth travel policies. URL to access forms for booking rooms for groups of employees, Commonwealth travel policies, and links to access the on-line travel booking tools:
http://www.travel.state.pa.us/portal/server.pt/community/travel_operations/3983

Department - The Pennsylvania Department of Corrections

Employee Association – *An independent organization or committee not sponsored or supervised by the Department, other than a trade union, whose members are composed of Department employees, that plans and executes social, recreational, and/or professional events designed to improve or maintain the level of employee morale at the Department facility served.*

Employee Self Service (ESS) Link – URL to access the on-line booking tool or to input trip expenses: <http://www.myworkplace.state.pa.us/>

External Audit – *An audit of an Employee Association's financial documents that is conducted by an independent third-party auditor.*

Facility - A State Correctional Facility, Motivational Boot Camp, Training Academy, Community Corrections Center, and the Central Office Complex as a group and/or individually

Facility Manager - The Superintendent of a State Correctional Facility, Motivational Boot Camp, Director of a Community Corrections Center, or Director of the Training Academy

**3.1.1, Fiscal Administration
Glossary of Terms**

Fixed Assets - As defined in **Management Directive 310.3**, fixed assets are assets of a long-term character, such as buildings, machinery, furniture, and other equipment costing more than \$5,000, which meet the following general criteria:

1. those items that can be expected to have a useful life of more than one year; and
2. those items that can be used repeatedly without materially changing or impairing their physical condition and that can be kept in serviceable condition by normal repair, maintenance or replacement of parts or components

GSA rate – U.S. General Services Administration (GSA) rate for lodging

Non-Overnight Status – Employees are considered to be in non-overnight travel status if they are traveling on approved official business away from both their residence and Official headquarters but are not entitled to claim reimbursement for overnight lodging

Official Headquarters – Employees regularly assigned work location

PVOVA – Private Vehicle – Other Vehicle Available

Preferred Hotels – Hotels that are listed on the travel booking site and designated as Preferred or Premier Preferred. Employees are required to book a preferred hotel if one is available within reasonable distance

Secretary - The Secretary of Corrections

Significant Value Fixed Assets - As defined in Management Directive 310.14, significant value fixed assets are similar to fixed assets with the following exceptions:

1. the minimum cost of a significant value fixed asset is \$25,000; and
2. in addition to the acquisition or construction costs, the asset is also to include the ancillary charges to place the asset in its intended location and condition for use. These charges include freight, site preparation expenses, capitalized interest and professional and legal fees

Training Academy Academic Services Coordinator – Training Academy employee who determines housing requirements for basic training cadets

Travel Arranger – Facility contact for travel advice, travel arrangements and for processing trip expenses for reimbursement

Travel Coordinator – Bureau of Administration expert on travel related policies, directives and functions. The Travel Coordinator provides training for the Travel Arrangers and Travel Power Users, resolves billing problems, and insures that travel policy and directives are followed by travelers

3.1.1, Fiscal Administration
Glossary of Terms

Travel Power User – Facility expert on travel related policies, directives and functions