

Travel Record Retention - OMAO's Guidelines and General Procedures

Effective Date and Scope

This guidance is **effective October 24, 2011**, and is applicable to Temporary Duty (TDY) and local travel documents.

“Complete Travel Voucher Package”

A “complete travel voucher package” consists of the approved travel voucher, receipts, and any other necessary documents to support the claim (NOAA Travel Regulation, Chapter 301-52.32).

Required Use of SecureZip

To ensure proper safeguarding of PII and/or sensitive information, OMAO guidance and written procedures will require the use of FIPS 140-2 validated encryption software (SecureZip) when forwarding email containing electronic TVs, scanned receipts and other documents required to support the claim.

Linking Receipts to TVs – Email Subject Lines

Subject lines in emails routing vouchers and receipts/supporting documentation should include the traveler’s last name and TA/TV/LV # to associate receipts with the appropriate voucher.

Standard Filing Scheme for Restricted Network Share

To promote uniformity in OMAO's electronic storage for Travel Record Retention, Centers and Headquarters should implement the following filing scheme:

- Create folder by Fiscal Year
- Create 4 sub-folders - "Civilian", "NC Officer", "Wage Marine", "Excepted employees and Invitational "
- Give unique names to each "complete travel voucher package":
 - Month (numeric) travel started, traveler last name (all caps), travel voucher number, TV or Receipts or Supporting Documentation or Complete TV Package (for submissions of one complete scanned file)
 - AOC Example:
Folder - "FY 2012"
Folder - "Civilian"
10 WIERZBICKI 2AN2S6059 - TV
10 WIERZBICKI 2AN2S6059 - Receipts
10 WIERZBICKI 2AN2S6059 - Supporting Documentation
11 MEREK 2AN2F6060 - TV
11 MEREK 2AN2F6060 - Receipts
11 MEREK 2AN2F6060 - Supporting Documentation
11 MEREK 2AN2S6100 - TV
11 MEREK 2AN2S6100 - Receipts
11 MEREK 2AN2S6100 - Supporting Documentation
12 AIKEN 2AN2S6105 - Complete TV Package

Procedures - Routing Travelers (Most employees)

- Includes all employees who will process, route and approve TVs in ITM.
- NOTE - Individuals responsible for actions may vary somewhat throughout the offices.

- Traveler (or voucher preparer) scans receipts and other documents required to support the claim into a PDF file and forwards the scanned receipts/supporting documentation to the voucher preparer via SECUREZIP.
- Traveler keeps original receipts/supporting documentation until TV has been approved, data linked, processed and travel expenses have been reimbursed to ensure scanned documents are legible by all throughout the process.
- Voucher preparer enters the TV into ITM. If the voucher preparer scanned the receipts for the traveler, the voucher preparer will need to forward the original and scanned receipts back to the traveler, via SECUREZIP, for electronic routing.
- Traveler:
 - reviews the TV against the receipts/supporting documentation and electronically signs the TV in ITM.
 - Traveler forwards the scanned receipts/supporting documentation to the approving official, via SECUREZIP, for review and approval.
- Approving official reviews the TV against the receipts/supporting documentation and electronically approves the TV in ITM.
- Approving official (or voucher preparer) saves approved TV from ITM into PDF and forwards the "complete TV package" to designated Travel Record Retention Official via the functional email account established for their office via SECUREZIP.
- Travel Record Retention Official
 - maintains functional email accounts and uploads attached travel records to the designated network share using the standard filing scheme required.
 - saves email with travel record attachments into a sub-folder within the functional email account (for at least a year)
 - has the responsibility to ensure the approving official has provided the "complete TV package". If not, the Travel Record Retention Official will contact the approving official for the missing required elements.
- Vouchers selected for audit by Finance – an electronic file of the “complete travel voucher package” (no hard copies and no ink signatures required) will be emailed to Finance via SECUREZIP.

Procedures - Non-Routing Travelers (Excepted employees and Invitational travelers)

- Includes all employees who process TVs in Integrated Travel Manger (ITM), but do not electronically route and approve in ITM.
 - For OMAO, this includes Public Health Service (PHS) Officers, and any other invitational travelers.
- NOTE - Individuals responsible for actions may vary somewhat throughout the offices.
- Traveler provides receipts and other documents required to support the claim to the voucher preparer via SECUREZIP.
- Voucher preparer enters the TV into ITM, prints the TV and provides hard copy documents to the traveler.
- Traveler:
 - reviews the TV against the receipts/supporting documentation.
 - provides the **required ink signature** on the hard copy TV.
 - forwards the hard copy signed TV and receipts/supporting documentation to the approving official for review and approval.
- Approving official:
 - reviews the TV against the receipts/supporting documentation and electronically approves the TV in ITM.
 - provides the **required ink signature** on the hard copy TV.
 - provides the approved hard copy TV, with ink signature, and receipts/supporting documentation to the voucher preparer
- Voucher preparer:
 - Scans and forwards the "complete TV package" to designated Travel Record Retention Official via the functional email account established for their office via SECUREZIP.
 - Voucher preparer forwards a hard copy (copy - no originals) of the "complete TV package," with ink signature, to NOAA Finance for processing and payment.
 - Voucher preparer returns originals and any other remaining documents received to the traveler (unless travel is related to known on-going investigations/pending litigations – these original vouchers and receipts/supporting documentation must be provided to designated Travel Record Retention Official).
- Traveler keeps original TV and receipts/supporting documentation until TV has been approved, data linked, processed and travel expenses have been reimbursed to ensure scanned documents are legible by all throughout the process (unless travel is related to known on-going investigations/pending litigations – these original vouchers and receipts/supporting documentation must be retained by designated Travel Record Retention Official).
- Travel Record Retention Official
 - maintains functional email accounts and uploads attached travel records to the designated network share using a standard filing scheme required.
 - saves email with travel record attachments into a sub-folder within the functional email account (for at least a year)

- has the responsibility to ensure the voucher preparer has provided the "complete TV package". If not, the Travel Record Retention Official will contact the voucher preparer for the missing required elements.
 - retains the original hard copy "complete TV package" for travel related to known on-going investigations/pending litigations until the litigation hold is lifted by General Counsel even if the retention period for these records has expired.
- Vouchers selected for audit by Finance – No action necessary; the “complete travel voucher package” has already been provided to Finance.

Procedures - Routing Travelers (Travel related to “known” on-going investigation/pending litigation)

- Includes all employees involved in any on-going investigations or pending litigation, such as Deep Water Horizon, SWATH Litigation, etc. Future exceptions may also be warranted due to investigations or pending litigation and will be identified when known.
- NOTE - Individuals responsible for actions may vary somewhat throughout the offices.
- Requires original TVs, receipts and other documents required to support the claim be kept on file until litigation hold is lifted by General Counsel.

- Traveler (or voucher preparer) scans receipts and other documents required to support the claim into a PDF file and forwards the scanned receipts/supporting documentation to the voucher preparer via SECUREZIP.
- Traveler provides original receipts and other documents required to support the claim to the voucher preparer.
- Voucher preparer enters the TV into ITM. Voucher preparer prints the TV and provides hard copy documents to the traveler.
- Traveler:
 - reviews the TV against the receipts/supporting documentation and electronically signs the TV in ITM.
 - provides the **required ink signature** on the original hard copy TV.
 - forwards the scanned receipts/supporting documentation to the approving official, via SECUREZIP, for review and approval.
 - forwards the original hard copy TV, with ink signature, and original receipts/supporting documentation to the approving official for review and approval.
- Approving official:
 - reviews the TV against the receipts/supporting documentation and electronically approves the TV in ITM.
 - provides the **required ink signature** on the original hard copy TV.
- Approving official (or voucher preparer):
 - provides the original approved hard copy TV, with ink signature, and original receipts/supporting documentation to designated Travel Record Retention Official.
 - saves approved TV from ITM into PDF and forwards the electronic "complete TV package" to designated Travel Record Retention Official via the functional email account established for their office via SECUREZIP.
- Travel Record Retention Official
 - maintains functional email accounts and uploads attached travel records to the designated network share using a standard filing scheme required.
 - saves email with travel record attachments into a sub-folder within the functional email account (for at least a year)
 - has the responsibility to ensure the voucher preparer has provided the "complete TV package". If not, the Travel Record Retention Official will contact the voucher preparer for the missing required elements
 - retains the original hard copy "complete TV package" until the litigation hold is lifted by General Counsel even if the retention period for these records has expired.

- Vouchers selected for audit by Finance – an electronic file of the “complete travel voucher package” (no hard copies and no ink signatures required) will be emailed to Finance via SECUREZIP.