

 <b>Corrections and Community Supervision</b>  <b>DIRECTIVE</b>	TITLE <b>Request to Attend/Conduct Training/Conference</b>		NO. 2005
			DATE 5/3/2016
SUPERSEDES DIR #2005 Dtd. 10/16/2015	DISTRIBUTION A	PAGES PAGE 1 OF 4	DATE LAST REVISED
REFERENCES (Include but are not limited to) OSC Travel Manual; Budget Bulletin B-1184; Dir. #2724	APPROVING AUTHORITY 		

## I. PURPOSE

- A. This directive provides guidelines for gaining prior approval to travel to and attend non-Departmental training courses, conferences, conventions, and meetings of associations or organizations which shall be directly related to the employee's profession or duties. Attendance will not be authorized for the purpose of general education. See Directive #2724, "Travel Voucher Preparation," for Departmental travel.
- B. This directive provides guidelines for gaining prior approval to hold or conduct a training session or conference. See Section VI.
- C. This directive provides guidelines to document the value of conference attendance to attendees and other staff.

## II. DEFINITIONS

- A. Non-Departmental: For the purpose of this directive non-Departmental shall mean any department, agency, or organization other than New York State Department of Corrections and Community Supervision (DOCCS).
- B. Departmental: Shall mean any location or division of the New York State Department of Corrections and Community Supervision.

## III. POLICY

- A. The "Request for Non-Departmental Training/Meeting/Conference Attendance," [Form #1042A](#), shall be utilized for request and approval of the types of meetings described above. Individual requests for conference attendance require approval as indicated on [Form #1042A](#). Special consideration may be given to employees who are presenters at a conference. Job performance, time/attendance, previous conference participation, officer status with an organization, etc. may also be considered. The Department will only authorize travel and attendance for individuals who have received approval following the procedure outlined in this directive.
- B. Refer to the Office of the State Comptroller [Travel Manual](#), current OSC travel guidelines, and Department directives for additional information.

## IV. REQUEST/APPROVAL PROCEDURES TO ATTEND TRAINING OR CONFERENCE

### A. Attendees

1. Prior approval is required for employees who wish to attend non-Departmental training courses, conferences, conventions, or meetings of associations or organizations.

This approval must be obtained prior to submitting registration forms.

2. To initiate the formal request, each prospective attendee shall complete items 1 through 13 on [Form #1042A](#), giving special attention to items 10 and 11 which ask for clear descriptions of the purpose of the conference and expected benefits.  
The employee should be careful to allow sufficient time for processing the request and should attach any available literature that will aid in the review process. This form should then be delivered to the employee's supervisor.
3. For out of State travel please include information on whether this training is offered in New York State. Also include information on whether additional employees will attend the training, if known.

B. Attendee's Supervisor

1. Shall review the request considering any benefits to the unit and availability of funds.
2. If approved, shall sign and date the request in item 14 and forward to Appropriate Deputy Commissioner or Superintendent for further approval as indicated on [Form #1042A](#).
3. If disapproved, shall return the request to the employee, giving reason for the disapproval in item 14.

C. Deputy Commissioner for Administrative Services or Superintendent: Shall review the request considering any benefits to the Department, check the appropriate box in item 15, sign, and date.

D. Deputy Commissioner for Administrative Services: Deputy Commissioner for Administrative Services approval is required for air travel.

E. Commissioner and the Office of State Operations: Commissioner and the Office of State Operations approval is required for out of State travel. A three week lead time is required for this approval.

F. Fiscal Office: The Fiscal Office shall review the request considering fiscal obligations; determine the reasonableness of the amount of funding requested, check the appropriate box(s) in item 18, sign, and date. Return [Form #1042A](#) to attendee. In accordance with Budget Bulletin B-1184, revised October 13, 2011, if an "Agency Spending Controls Application-Attachment A" is required, the Fiscal Office will submit for approval.

G. If disapproved, shall enter the reason and return to the attendee's supervisor.

**V. FOLLOW UP PROCEDURES**

A. In accordance with DOCCS Travel Guidelines and OSC Travel Guidelines, if entitled to reimbursement for travel expenses and/or the Corporate Card was utilized for expenses, a Travel Voucher, OSC Form AC 132-S, per Directive #2724, should be submitted immediately (no later than 21 days) after completion of the trip to the facility Fiscal Office or Central Office Division of Budget and Finance Office. The original [Form #1042A](#) (if not submitted with a standard voucher or a photocopy) and all required receipts should be attached to the OSC Form AC 132-S, "Travel Voucher." Expenses not mentioned on [Form #1042A](#), or special functions such as banquets not vital to attendance, may be denied reimbursements.

- B. Training Credits: Upon returning from a conference or non-Departmental training course, the attendee should submit a copy of the approved [Form #1042A](#) and a copy of the conference or course agenda, along with a Report of Training Form (RTF) signed by attendee's supervisor, to the facility time and attendance Lieutenant and Regional Training Office so that attendance may be noted on the training record and appropriate training credits awarded.
- C. When a registration fee has not been prepared or charged to a corporate travel card, the attendee shall submit a Standard Voucher, OSC Form AC 92, with the original completed [Form #1042A](#) and any attached supporting documentation to Central Office Division of Budget and Finance or facility Fiscal Office for payment. With prior approval, registration fees can be prepaid.

## VI. REQUEST/APPROVAL PROCEDURE TO HOLD/CONDUCT TRAINING OR CONFERENCE

- A. Unit Head
  - 1. Completes items 1 through 8 of "Request to Hold/Conduct Training or Conference," [Form #1042B](#).
  - 2. Submits [Form #1042B](#) to Division Head for approval.
- B. Division Head
  - 1. Reviews the request considering any benefits to the unit and the availability of funds.
  - 2. If approved, signs and dates the request in item 9 and forwards to the Deputy Commissioner for Administrative Services or higher, or Superintendent, for further approval as indicated on [Form #1042B](#).
  - 3. If disapproved, returns request to Unit Head giving reason for disapproval.
- C. Deputy Commissioner for Administrative Services, or higher, or Superintendent
  - 1. Reviews the request considering any benefits to the Department, checks appropriate box in item 10, signs, and dates.
  - 2. If approved, submits for funding approval to facility Fiscal Office or Director of Budget and Finance as appropriate.
  - 3. If disapproved, enters reason and returns to Division Head.
- D. Director of Budget and Finance or Facility Fiscal Office
  - 1. Reviews the request considering fiscal obligations; determines the reasonableness of the amount of funding requested, checks the appropriate box(s) in item 11, signs, and dates. Returns [Form #1042B](#) to Unit Head.

## VII. POST CONFERENCE REPORT

- A. Each attendee will submit a written report summarizing the conference.
  - 1. Facility staff are to forward the report to the Superintendent with a copy to the Director of the Training Academy.
  - 2. Central Office staff are to forward the report to the appropriate Deputy Commissioner with a copy to the Director of the Training Academy.

- B. Written reports are to be submitted no later than ten business days after returning from the conference.
- C. Written reports are to include the following information:
1. Name and title of conference attendee;
  2. Name of conference attended;
  3. Location of conference, including city and state;
  4. Date(s) of attendance;
  5. Summarization of conference;
  6. General highlights of critical information provided at conference;
  7. Comparison of NYSDOCCS activities to other State activities;
  8. How/when conference information will be shared with other staff;
  9. Attendee's opinion of the value of the conference;
  10. Signature of attendee; and
  11. Date of report.

Copies of documents received at the conference should be included with the report, when possible.