

Smithsonian Institution
OCon 501
Field Expenses Review and Authorization

Traveler Name:		Date:	
Museum, Research Ctr., Office:		Department:	
Dates of Travel:		to	Itinerary:

Field Expenses must be itemized and described on the worksheets, pages 3 and 4 of this form (or in formats developed at the units to meet the information requirements). After the sub-totals from each worksheet are transcribed into the appropriate fields below, any adjustments to amounts are completed and approvals and signatures are obtained, the original signed form and all associated worksheets must be filed with unit procurement records. A copy of this form must be filed in this employee's travel record and uploaded into Concur Instructions for using this form are on page 2.

1	Required Property/Goods: <i>e.g.: Personal property items, supplies, equipment, groceries, etc.</i>	Sub-total from Line 18, page 3	\$
2	Required Services: <i>e.g.: Site preparation/reclamation, technical and cultural advisors, food preparers, development, official representation, and business activity expenses, etc.</i>	Sub-total from Line 6, page 4	\$
3	<i>See Instructions on page 2 for routing to obtain required reviews and approvals of planned Field Expenses</i>	Total estimated <i>Field Expenses</i>	\$
4	<i>The estimated Field Expenses amount adjusted by Department Head or Unit Director</i>	Authorized <i>Field Expenses</i> amount (if amount on Line 3 is adjusted)	\$

Request to Authorize Field Expenses

5	Authorization to incur and pay the estimated <i>Field Expenses</i> listed herein is hereby requested. The expenses are necessary to complete field work in conjunction with proposed travel. Use of conventional procurement methods is not feasible.		
		Traveler's Signature	Date
6	I hereby concur that the estimated <i>Field Expenses</i> indicated on Line 4 above are necessary and related to the field work to be conducted by the above named traveler and that use of conventional procurement methods for the good/services is not feasible.		
		Department Head Signature	Date

Unit – Optional Use (Unit APO, Unit Director, etc.)

7			
		Title:	Date

Field Expenses Within Unit Delegated Purchasing Authority

8	Unless otherwise indicated on the attached worksheets, I concur that the property/goods/services to be purchased during planned TDY are necessary and that it is not reasonable to acquire the goods and services using conventional procurement methods.		
		Authorized Procurement Officer Signature	Date

Field Expenses Exceeding Unit Delegated Purchasing Authority

9	Unless otherwise indicated on the attached worksheets, I concur that the property/goods/services to be purchased during planned TDY are necessary and that it is not reasonable to acquire the goods and services using conventional procurement methods.		
		OCon&PPM Contracting Officer Signature	Date

10	Approved travel and <i>Field Expenses</i> must be to the appropriate chartfields and object class codes on travel authorizations and travel vouchers.		
	Travel Authorization No:		Date
	Field Expenses Authorized:	\$	

Instructions – Field Expenses Review and Authorization

- The following broad definitions should be applied by all Smithsonian Institution (SI) employees and unit managers when requesting and approving authorization to incur *Field Expenses*:
 - Field Expenses* are the costs for 1) all personal property items, including possible purchases of sensitive personal property, regardless of dollar amount, and 2) other goods or services with aggregated costs that exceed \$500 per trip, determined necessary to carry out research and/or special projects during extended travel by employees on official SI business and for which use of conventional procurement methods are not practical.
 - The Travel Management Office (TMO), OCon&PPM, must be informed, in advance of travel commencing, when personal property purchases with travel cards are anticipated. Contact TMO at TMOHelpDesk@si.edu.
 - Anticipated *Field Expenses* must be reasonable, both in type and price, and essential to the mission of the SI programs, regardless if the field work is funded by the SI or sponsored and funded by external sources.
 - Field Expenses* are not considered travel expenses (such as transportation, lodging, or meals and incidental expenses); they are other expenses in support of the mission. Do not code these types of field expenses to Object Class Codes 2111 or 2112).

Requirements – Advance Approval

Estimated Dollar Amount per TDY	Routing for Review and Approval
<i>Field Expenses</i> Within UPO Purchase Authority	Traveler → Department Head → Optional Unit Reviewer (e.g.: Unit APO, Unit Director) → Unit Procurement Officer → Traveler
<i>Field Expenses</i> that Exceed UPO Authority	Traveler → Department Head → Optional Unit Reviewer (e.g.: Unit APO, Unit Director) → Unit Procurement Officer → Office of Contracting & Personal Property Management → Unit Procurement Officer → Traveler

- Travelers:** Itemize the personal property items and other goods or services, along with the estimated costs for each, in the appropriate tables on pages 3 and 4 of this form. Transcribe the bottom-line dollar amounts from pages 3 and 4 onto page 1, Lines 1 and 2 and then enter their sum on Line 3, page 1. (Itemization and justification formats established and approved or required by your unit managers, external funding sources and/or the Office of Sponsored Projects that meet the information requirements of pages 3 and 4 of this form are acceptable.) **The Traveler must affix his/her signature in Field 5, page 1.**
- Department Heads:** Review the traveler's estimated *Field Expenses* and make any adjustments in the tables provided and to the dollar amount on Line 4, page 1 of this form. Upon concurrence, sign in Field 6, page 1 and submit this request to your Unit Procurement Officer (UPO).
- Optional Reviewer** to comment and/or sign in Field 7, page 1. (Use by Units opting for internal third party approver)
- Unit Procurement Officers (UPOs)** who are authorized by the Director, Office of Contracting & Personal Property Management (OCon&PPM), or designee, to review and approve or not approve proposed *Field Expenses* may do so when the aggregated costs per trip do not exceed delegated purchasing authority amounts. UPOs must obtain any necessary unit-required justifications when travelers indicate it is not reasonable that personal property items and other goods or services be purchased through conventional methods. UPOs must inform travelers and unit managers when conventional procurement methods can and should be used, and/or personal property purchases, including sensitive property purchases, must be coordinated with the Unit Accountable Property Officer (APO). The UPO attests to determinations and that all appropriate individuals have been advised of decisions by affixing his/her signature in Field 8, page 1 of this form.

When estimated *Field Expenses* exceed the reviewing UPO purchasing authority amount, the UPO must ensure the above actions are taken and then transmit this completed form with all required signatures to OCon&PPM (see Item 6 below).

UPOs must ensure that any additional clearances required at their unit (Field 7, page 1), e.g., concurrence, certification of funds available, etc., are obtained prior to approving *Field Expenses* or submitting forms to OCon&PPM.

- Office of Contracting & Personal Property Management:** OCon 501 forms with aggregate estimated costs exceeding the reviewing UPO's delegation of procurement authority must be signed by the reviewing UPO and submitted to OConHelp@si.edu as an email attachment, Subject: Field Expenses Review and Authorization. OCon&PPM shall review all completed OCon 501 forms received for appropriateness of types and reasonable pricing of the goods and services listed herein. (Forms received at OCon&PPM that do not include the required signatures, including the UPO signature in Field 8, page 1, will be returned to the UPO without action by OCon&PPM.)

Upon approval at OCon&PPM, the reviewer will affix his/her signature in Field 9, page 1, and then return this form to the UPO to forward to the Traveler. The Traveler may then proceed with travel document processing in accordance with OF&A and/or unit procedures. UPOs will inform travelers and unit managers when OCon&PPM determines that any purchases be completed by conventional methods and/or when planned purchases of personal property, including sensitive property purchases, must be coordinated with the Unit APO.

Requirements – Travel Vouchers

- All *Field Expenses* are subject to all above review and approval procedures (Items 1 – 6 above).

Field Expenses Review and Authorization

OCon 501

	Travel Authorization No:	
Traveler's Name:	Dates of Travel:	to

Table 1 – Required Property/Goods ^{1/} *Examples: Supplies, equipment, food, etc., that is required*

*** To calculate and/or update Line Totals, right click on each Total cell and choose 'Update Field' ***

	Items	Qty	Unit	Unit Cost	Chartfield (incl. Obj Class)	Line Total
	<i>e.g.; Camera Lenses</i>	2	<i>ea.</i>	\$125.00	XXX-XXXX-XXXXXX-XXXXXX-XXXX-2616-XXXX	\$ 250.00
1				\$		\$ 0.00
2				\$		\$ 0.00
3				\$		\$ 0.00
4				\$		\$ 0.00
5				\$		\$ 0.00
6				\$		\$ 0.00
7				\$		\$ 0.00
8				\$		\$ 0.00
9				\$		\$ 0.00
10				\$		\$ 0.00
11				\$		\$ 0.00
12				\$		\$ 0.00
13				\$		\$ 0.00
14				\$		\$ 0.00
15				\$		\$ 0.00
16				\$		\$ 0.00
17					<i>Insert sub-total from add'l sheets</i>	\$
18					<i>Total estimated 'Goods' expenses</i>	\$ 0.00

Unit APO initials upon notice for line items:											
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^{1/} Certain types of personal property purchased, regardless if acquired with Smithsonian funds or funds from external sources must be accounted for and disposed of in accordance with the SI Property Management procedures (see SD 315 and the *Personal Property Management Manual*). Unit procurement officers are responsible for ensuring travelers, program managers, and the appropriate Unit Accountable Property Officer are informed when property management policies and procedures are applicable to *Field Expenses*.

Field Expenses Review and Authorization

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	Travel Authorization No:	
Traveler's Name:	Dates of Travel:	to

Table 2 – Required Services^{2/} List services anticipated and required to complete field work. Examples: Site preparation and reclamation, technical or cultural advisors, interviewees, equipment operators, film development, food preparers, etc.

*** To calculate and/or update Line Totals, right click on each Total cell and choose 'Update Field' ***

	Items	Qty	Unit	Unit Cost	Chartfield (incl. Obj Class)	Line Total
<i>Example</i>	<i>e.g.; Translator services</i>	<i>18</i>	<i>da.</i>	<i>\$35.00</i>	<i>XXX-XXXX-XXXXXX-XXXXXX-XXXX-2526-XXXX</i>	<i>\$ 630.00</i>
	Purpose and benefit of services: Principal investigator and work leaders require on-site translator services to communicate task assignments and work reviews with on-site laborers.					
1				\$		\$ 0.00
	Purpose and benefit of services:					
2				\$		\$ 0.00
	Purpose and benefit of services:					
3				\$		\$ 0.00
	Purpose and benefit of services:					
4				\$		\$ 0.00
	Purpose and benefit of services:					
5					<i>Insert sub-total from add'l sheets</i>	\$
6					<i>Total estimated 'Services' expenses</i>	\$ 0.00

^{2/} Costs for services obtained from individuals may require collecting information necessary to comply with Internal Revenue Service (IRS) regulations governing reporting of income or documentation of expenses on forms IRS 1099 and 1054. Travelers and fund control managers should consult with OF&A for guidance on complying with the Accountability Plan established for the SI.