



MLRIT

Raising Engineers

MLR INSTITUTE OF TECHNOLOGY

INTEGRATED-TRAVEL, EVENT & ALLOWANCE MANAGEMENT FRAMEWORK

— (i-TEAM Framework) —

Comprehensive Policy & Standard Operating Procedure – SOP



Seamless
Travel



Efficient
Events



Transparent
Allowances



MLR INSTITUTE OF TECHNOLOGY

(Autonomous Institution)

MLRIT





MLRIT

Raising Engineers

MLR INSTITUTE OF TECHNOLOGY

INTEGRATED-TRAVEL, EVENT & ALLOWANCE MANAGEMENT FRAMEWORK (i-TEAM Framework)

Version	1.0 (Original)
Effective Date	28.03.2026
Document Number	MLRIT/2025-2026/i-TEAM /01
Date of Release (IQAC)	28.03.2026
Process Owner	Head - IQAC
Approved Authority	Principal

Role	Name	Designation	Department	Signature	Date
Prepared By	Dr.T.Shanmugapriya	Associate professor	MBA		
Reviewed By	Dr. P.Promod Kumar,	Associate professor	MECH		
Approved By	Dr.P.Sridhar	Principal	EEE		

Authentication Note

This document is a controlled and official record of the Institution. Any unauthorized reproduction, modification, or circulation is strictly prohibited. The latest approved version shall be maintained by the Internal Quality Assurance Cell (IQAC) or the designated authority.

Table of contents

S. No.	Section Title	Page No.
1	Document Control	1
2	Introduction	1
3	Preamble	2
4	Core Governing Principles	2
5	Scope & Applicability	2
6	Classification of Positions	3
7	Event Classification	4
8	Financial Entitlement Framework	5
9	Travel Entitlement & Mode Rules	10
10	Approval & Sanction Matrix	14
11	Mandatory Process Flow (Travel & Claim SOP)	16
14	Audit, Compliance & Penalty Framework	20
15	Digital Implementation & ERP Control Framework	23
16	Power Clause	26
17	Legal & Compliance Status / Effective Date	26
18	Policy Review & Version Control	26

**INTEGRATED-TRAVEL, EVENT & ALLOWANCE
MANAGEMENT FRAMEWORK
(i-TEAM Framework)
(Comprehensive Policy & Standard Operating
Procedure – SOP)**

Document Control

- Version: 1.0 (Implementation Manual)
- Owners: Management
- Approval: Director and Principal
- Review: Annual (or as required)

INTRODUCTION

In pursuance of establishing a **strong, transparent, and financially disciplined governance system** and to ensure uniformity, accountability, and compliance across all units of the Institution, the Competent Authority hereby approves and notifies the **Integrated Travel, Event & Allowance Management Framework (i-TEAM Framework)**.

This is the **first comprehensive and unified POLICY-cum-SOP** of the Institution governing all travel, event participation, financial entitlements, approvals, reimbursements, audit controls, and digital processes.

This framework shall **supersede all informal practices** and shall be treated as a **binding institutional regulation** with immediate effect.

1. PREAMBLE

The Institution or institute recognizes that official travel and institutional engagements are critical to academic excellence, administrative efficiency, accreditation readiness, and institutional growth.

This framework establishes a **robust, structured, and enforceable system** ensuring that all travel-related expenditures are:

- **Justified**
- **Economical**
- **Transparent**
- **Auditable**

2. CORE GOVERNING PRINCIPLES

This section outlines the key objectives including standardization of processes, financial discipline, optimal resource utilization, transparency, and audit readiness.

All travel and related expenditures shall strictly adhere to:

1. **Necessity Principle** – Travel must be essential and justified
2. **Economy Principle** – Lowest logical cost must be adopted
3. **Accountability Principle** – Every expense must be traceable
4. **Equity Principle** – Entitlements aligned with role hierarchy
5. **Compliance Principle** – Mandatory adherence to SOP
6. **Auditability Principle** – Every transaction must withstand audit scrutiny

2.1 Guiding Principles

This SOP shall be governed by the following principles to ensure responsible and efficient utilization of institutional resources:

- **Value for Money (VfM):** All expenditures must be reasonable, justified, and cost-effective.
- **Necessity over Convenience:** Travel shall be undertaken only when essential for official purposes.
- **Accountability:** All expenses are subject to audit and individual responsibility.
- **Transparency:** All processes must be documented and traceable through ERP.
- **Digital First Approach:** End-to-end execution shall be through the ERP system.
- **Compliance:** All activities must adhere strictly to SOP provisions and approval hierarchy.

3. SCOPE & APPLICABILITY

Covers all employee categories (teaching, non-teaching, contractual, experts) and applies to domestic/international travel, academic events, administrative duties, and institutional activities.

Applicable to:

- All Teaching Staff
- All Non-Teaching Staff
- Contractual Personnel

- Visiting Experts / External Members

Covers:

- Domestic Travel
- International Travel (with special approval)
- Academic, Administrative, and Institutional Events

3.1 Conflict of Interest Clause

All employees must ensure that no personal interest, financial or otherwise, influences travel decisions, bookings, or claims.

- Self-approval of travel or claims is strictly prohibited
- Booking through personal or related vendors must be avoided
- Any potential conflict must be disclosed in advance

Non-disclosure or violation shall attract disciplinary action.

4. CLASSIFICATION OF POSITIONS

Defines hierarchical levels (L1–L7) to determine entitlements, approval authority, financial limits, and accountability structure.

4.1 Statutory Positions (Governance Level)

- Director
- Principal
- Registrar
- Controller of Examinations
- Finance Officer

Governance Note: These positions carry institutional accountability; hence flexibility is permitted within reasonable financial limits.

4.2 Non-Statutory Positions (Operational Level)

- Deans
- Faculty Members
- Administrative Officers
- Staff & Support Personnel

Governance Note: Subject to structured financial caps and strict compliance.

4.3 CADRE CLASSIFICATION & LEVEL STRUCTURE

Level	Classification & Category		Positions Covered	Governance Principle
L1	Statutory	Apex Leadership	Director	Highest level of institutional accountability; financial flexibility permitted within reasonable and justifiable limits
L2	Statutory	Senior Governance	Principal, Registrar,	Strategic and governance roles; limited flexibility allowed with

			Controller of Examinations, Finance Officer, Deans	financial prudence and approval control
L3	Non-Statutory	Academic Leadership	Professors, Heads of Departments	Subject to defined entitlements, structured caps, and compliance norms
L4	Non-Statutory	Academic & Administrative	Associate & Assistant Professors, Officers	Governed by strict financial limits and approval-based controls
L5	Non-Statutory	Operational Staff	Executives, Assistants	Cost-controlled entitlements with mandatory compliance and documentation
L6	Non-Statutory	Support Staff	Drivers, Attendants	Basic entitlement structure with strict cost control and supervision
L7	Special Category	External / Special Category	Visiting Experts	Entitlements defined as per approved terms and engagement conditions

Unified Governance Note

- **Statutory Positions (L1 & L2):**

Carry institutional and legal accountability; therefore, flexibility is permitted within **reasonable, justified, and auditable limits**.

- **Non-Statutory Positions (L3–L6):**

Operate under **structured financial caps, defined entitlements, and strict compliance requirements**.

- **Special Category (L7):** governed by **case-specific approvals and contractual terms**.

4.4. CADRE LEVEL STRUCTURE

Level	Category
L1	Director
L2	Principal, COE, FO, Deans
L3	Professors, HODs
L4	Associate & Assistant Professors, Officers
L5	Executives, Assistants
L6	Drivers, Attendants
L7	Visiting Experts

5. EVENT CLASSIFICATION (MANDATORY TAGGING).

Classifies travel into academic events, administrative duties, student activities, institutional promotion, and special assignments to ensure proper justification and control.

Every travel must be tagged under:

- Academic (Conference/FDP/)
- Administrative (Meetings/Official Work)
- Student-Centric (Visits/Tours)
- Institutional Promotion (Admissions/Outreach)
- Special Duty (Exam/Emergency)

Control Note: No claim shall be processed without event classification.

6. FINANCIAL ENTITLEMENT FRAMEWORK (HYBRID – MARKET + CAP MODEL)

Policy Rule: Reimbursement shall be based on **prevailing market rates**, subject to **defined caps, role hierarchy, and approval control**.

6.1 Policy Principle

Defines the hybrid reimbursement model based on market rates with caps, including:

- City classification (Tier 1, 2, 3)
- Lodging limits by level
- Food and DA structure
- Local conveyance limits
- Daily Cap mechanism (inclusive components)
- DA calculation rules (time-based)
- Food-DA adjustment to avoid duplication
- Inclusion/exclusion under Daily Cap
- Compliance requirements and claim checklist
- Prevailing market rates
- Defined financial caps
- Role-based entitlements

Reimbursement of travel and related expenses shall be governed by a **Hybrid Model**, based on:

This ensures **financial prudence, flexibility, and audit compliance**.

6.2 . CITY (TIER) CLASSIFICATION

Tier	Cities
Tier 1	Metro (Delhi, Mumbai, Bangalore, Chennai, Hyderabad)
Tier 2	State Capitals & Major Cities
Tier 3	Other Cities

6.3 Definition of Daily Cap (Critical Control Clause)

“Daily Cap” refers to the maximum total reimbursement permissible per day towards lodging, food, incidental expenses (DA), and local conveyance, excluding intercity travel (Air/Train/Road between cities).

- The Daily Cap acts as the **final financial ceiling per day**
- All individual components shall be **subordinate to the Daily Cap**

6.4 Governing Rule for Reimbursement

In case the aggregate of all daily expenses exceeds the prescribed Daily Cap, reimbursement shall be **restricted to the Daily Cap limit**, unless prior approval of the Competent Authority has been obtained.

6.5 Market Benchmarking & Rate Validation

All financial limits and caps defined in this SOP are based on prevailing market conditions and institutional benchmarking.

- Rates shall be reviewed annually by the Finance Department
- Benchmarking shall consider government norms, market aggregators, and peer institutions
- Revisions shall be approved by the Competent Authority

This ensures financial relevance, fairness, and audit defensibility.

6.6 Definition of Reasonable Expenditure

“Reasonable expenditure” refers to costs that are:

- Comparable to prevailing market rates
- Not excessive or luxury-oriented
- Justified based on purpose, location, and availability

The Finance Department shall have the authority to determine reasonableness based on supporting evidence and benchmarks.

6.7 Actual Basis Clarification

“Actual” reimbursement shall mean payment against valid supporting documents and shall remain subject to:

- Defined caps (where applicable)
- Approval authority
- Audit verification

6.8 Component-wise Entitlement Structure

Level	Level / Cadre	Air Travel	Train Class	Road Travel	CITY (TIER) CLASSIFICATION FOR LOADING			Food (₹/day)	DA Incidentals (₹/day)	Local Conveyance	Daily Cap (₹) (Excluding Travel)
					T1	T2	T3				
Statutory Positions (Governance Level)											
L1	Director	Business / Economy (Flexible)	1AC / Executive	Staff Car / Actual	Actual (5★)	Actual (4★)	Actual (3★)	Actual	Actual	Actual	No fixed cap (reasonable)
L2	Principal, COE, FO, Deans	Economy (Business if justified)	1AC / Executive	₹10-14/km / Actual Taxi	Actual (4★, cap ₹10000)	Actual (cap ₹8000)	Actual (cap ₹6000)	Actual / up to 2000	1000	Actual	₹10,000
Non-Statutory Positions (Operational Level)											
L3	Professors, HODs	Economy (>500 km)	2AC / Chair Car	₹10-12/km	cap ₹6000	cap ₹4000	cap ₹2500	1000-1500	800	500	₹6,000
L4	Associate & Assistant Professors, Officers	Train / Road (Air if approved)	3AC	₹10/km (approval)	cap ₹3500	cap ₹2500	cap ₹2000	800-1000	600	400	₹4,000
L5	Executives, Assistants	Train / Road	3AC	₹5-8/km	cap ₹2000	cap ₹1500	cap ₹1200	500-700	400	300	₹2,500
L6	Drivers, Attendants	Train / Bus	Sleeper / General	₹5/km	cap ₹800)	cap ₹600	cap ₹500	300-400	300	200	₹1,500
L7	Visiting Experts	As Approved	As Approved	As Approved	As Approved	As Approved	As Approved	As Approved	As Approved	As Approved	As Approved

Detailed approval hierarchy is provided in Section 8: Approval & Sanction Matrix.

6.9 Important Clarifications (Mandatory for Compliance)

6.9.1 Nature of Component Limits

- Lodging, Food, DA, and Local Conveyance limits represent **maximum permissible ceilings**
- They are **not automatically admissible in full**
- Actual reimbursement shall be based on **actual expenditure within limits and Daily Cap**

6.9.2 Daily Cap Supremacy Rule

- The Daily Cap shall **override all individual component limits**
- Even if individual limits are within range, **total claim cannot exceed Daily Cap**

Illustrative Example (For Clarity)

Level 3 (Daily Cap = ₹6000)

	Case-I	Case -II
Component	Amount	Amount
Lodging	₹4500	₹4000
Food	₹1000	₹900
DA	₹800	₹700
Local	₹500	₹300
Total	₹6800	₹5900
Cap	Exceeded	Not Exceeded
Rule	Reimbursement restricted to ₹6000 only	Fully reimbursable

6.10 DA (Daily Allowance) Calculation Rule

DA shall be calculated based on duration and shall form part of the Daily Cap.

Duration	DA Eligibility	Illustration: Level 4 (DA = ₹600/day)
Less than 8 hours	50% of eligible DA	<ul style="list-style-type: none"> Travel duration = 6 hours DA = 50% = ₹300
8 to 12 hours	75% of eligible DA	<ul style="list-style-type: none"> Travel duration = 10 hours DA = 75% = ₹450
More than 12 hours	100% of eligible DA	<ul style="list-style-type: none"> Travel duration = 14 hours DA = 100% = ₹600

6.11 Food and DA Adjustment Rule (Merged Single Table Format)

Scenario	Food Claimed (₹)	DA Eligibility (₹)	DA Allowed (₹)	Total (Food + DA) (₹)	Final Outcome
Case 1: Food Claimed	900 (actual)	600	300 (50%)	1200	DA reduced to avoid duplication
Case 2: Food Not Claimed	0	600	600 (100%)	600	Full DA allowed

Simple Rule for Users

- If you claim food bills → DA will be reduced to 50%
- If you do not claim food → you will get full DA

6.12 Exclusion Clause (Outside Daily Cap – Simplified Table)

Expense Type	Included in Daily Cap?	Amount (Example Level 3)	Reimbursement Rule	Remarks
Air Travel (Flight)	No	₹8500	Separate (Actual as per eligibility)	Not part of Daily Cap
Train Travel	No	—	Separate	Not part of Daily Cap
Intercity Road Travel	No	—	Separate	Not part of Daily Cap
Hotel Stay	Yes	₹3500	Within Daily Cap	Included in cap
Food	Yes	₹900	Within Daily Cap	Included in cap
DA (Incidentals)	Yes	₹800	Within Daily Cap	Included in cap
Local Travel (within city)	Yes	₹600	Within Daily Cap	Included in cap
Total Daily Expense	Yes	₹5800	Within Daily Cap (₹6000)	Fully allowed
Final Reimbursement	—	₹14,300	₹8500 (Travel) + ₹5800 (Daily)	Total payable

Simple Understanding

- **Travel (Flight/Train) → Always separate**
- **Stay + Food + DA + Local → Covered under Daily Cap**
- **If daily total ≤ cap → Fully reimbursed**
- **If daily total > cap → Restricted to cap**

Rule: These expenses are NOT part of Daily Cap

Simple Understanding (Layman Rule)

Step 1: Travel cost (Flight/Train) → Separate

Step 2: Stay + Food + DA + Local → One group (Daily Cap applies)

Step 3: If total exceeds cap → payment restricted

6.13 Compliance Requirement

Component	Claimed (₹)	Compliance Check	Issue Identified	System Action	Final Allowed (₹)
Hotel Stay	₹2500	Bill Required	No bill	Removed	0
Food	₹900	Proof Required	No proof	Removed	0
DA	₹600	Within limit	No issue	Allowed	₹600
Local Travel	₹200	Within limit	No issue	Allowed	₹200
Total Claimed	₹4200	Daily Cap = ₹4000	Exceeds Cap	Cap applied	—
Final Approved	—	All rules applied	—	—	₹800 ONLY

Amount					
---------------	--	--	--	--	--

How System Works

- Missing bill → That component = ₹0
- Invalid proof → That component removed
- Exceeds Daily Cap → Restricted automatically
- Final payment = Only valid + compliant amount

Final Rule

“Any claim not supported by valid documentation, exceeding prescribed limits, or violating SOP provisions shall be rejected, reduced, or subjected to disciplinary review.

The Institution reserves the right to recover excess payments and initiate action in case of deliberate misuse.”

6.1 Claim Submission Checklist

Before submitting any claim, the employee must ensure that all the following conditions are fulfilled:

Sl. No.	Checklist Item	Requirement	Status (✓ / ✗)	Action if Not Complied
1	Approved Travel Request	Prior approval available in ERP		Claim will not be processed
2	Travel Tickets	Air/Train/Bus tickets attached		Expense not reimbursed
3	Boarding Pass (Air Travel)	Mandatory for flight claims		Airfare may be rejected
4	Hotel Invoice	GST bill with name & dates		Lodging disallowed
5	Food Bills (if claimed)	Valid bills OR opt for DA		Food claim rejected
6	DA Eligibility	Calculated as per duration		Reduced accordingly
7	Local Travel Proof	Bills / justification provided		Reduced / disallowed
8	Within Component Limits	Each item within allowed limit		Excess not reimbursed
9	Within Daily Cap	Total ≤ Daily Cap		Restricted to cap
10	Event Proof	Invitation / Approval / Report		Claim may be rejected
11	Claim Timeline	Submitted within 7 days		Delay action / rejection
12	Correct Calculation	Totals verified		Returned for correction
13	No Duplicate Claim	Not claimed elsewhere		Disciplinary action
14	Bank Details	Correct account details		Payment delay

Final Self-Declaration (To be included in Claim Form)

“I hereby certify that all the above checklist items have been verified and the claim submitted is true, complete, and in compliance with Institution SOP. I understand that any discrepancy may lead to rejection, recovery, or disciplinary action.”

7. TRAVEL ENTITLEMENT & MODE RULES

Specifies level-wise eligibility for air, train, and road travel, including:

- **Distance-based mode selection**

- **Class entitlement (Air/Train)**
- **Road travel reimbursement (km-based)**
- **Booking conditions and documentation**
- **Restrictions, prohibited practices, and deviation controls**

7.1 Policy Principle

All official travel shall be undertaken based on the principles of:

- Necessity
- Cost-effectiveness
- Time efficiency
- Role-based entitlement
- Prior approval

7.2 Common Rules Applicable to All Levels

Category	Rule	Impact
Booking	Must be done in advance (preferably 7 days)	Late booking → higher cost may be restricted
Boarding Pass	Mandatory for air travel	Missing → airfare rejected
Route	Shortest route only	Excess distance not reimbursed
Mode Mixing	Allowed (Air + Cab / Train + Taxi)	Must be justified
Taxi Usage	Ola/Uber/Approved Taxi preferred	No bill → may be reduced
Personal Vehicle	Allowed as per rate & approval	No approval → rejected
Upgrade	Not allowed without approval	Excess not reimbursed
Proof	All travel must have valid documents	Missing proof → claim rejected

7.3 Distance-Based Mode Guidance (Decision Rule)

Distance	Preferred Mode	Rule
< 200 km	Road / Train	Air not allowed
200–500 km	Train	Air only with justification
> 500 km	Air (if eligible)	Must follow entitlement

7.4 Strict Prohibited Practices

- No reimbursement beyond approved limits
- No luxury expenditure without approval
- No personal expenses admissible
- GST bills mandatory
- Digital submission compulsory

Violation	System Action
Higher class booking than entitlement	Excess amount rejected
Personal + official travel mixed	Disallowed
Fake / duplicate tickets	Disciplinary action
Luxury travel without approval	Claim rejected

7.5 Cost Optimization Measures

Employees shall adopt cost-efficient practices while planning travel:

- Advance booking is mandatory to minimize cost
- Shared travel and accommodation should be preferred where feasible
- Institutional tie-ups and approved vendors shall be utilized
- Unnecessary upgrades and luxury options are not permitted

7.6 Sustainable Travel Practices

The Institution encourages environmentally responsible travel practices:

- Preference for train travel over air travel where feasible
- Use of shared or public transport
- Digital documentation to minimize paper usage

This aligns institutional practices with sustainability and global standards.

7.7 Mode of Travel – Entitlement Matrix

Level	Cadre	Air Travel Entitlement	Train Class	Road Travel Entitlement	Mode Selection Rule	Key Conditions	Non-Compliance Impact
Statutory Positions (Governance Level)							
L1	Director	Business / Economy (Flexible)	1AC / Executive	Official Car / Actual	Flexible based on priority	Must be reasonable & justified	Excess may be questioned in audit
L2	Principal, COE, FO, Deans	Economy (Business if justified)	1AC / Executive	₹10-14/km / Taxi	Prefer economical option	Advance booking, boarding pass required	Upgrade without approval not reimbursed
Non-Statutory Positions (Operational Level)							
L3	Professors, HODs	Economy (>500 km only)	2AC / Chair Car	₹10-12/km	Air only if distance >500 km	Proof mandatory, shortest route	Air claim below 500 km rejected
L4	Assistant Professors, Officers	Not allowed (unless approved)	3AC	₹10/km (approval required)	Prefer Train / Road	Prior approval mandatory	Air travel without approval rejected
L5	Executives, Assistants	Not allowed	3AC	₹5-8/km	Train preferred	Cost-conscious travel	Excess claim reduced
L6	Drivers, Attendants	Not allowed	Sleeper / General	₹5/km	Basic mode only	Strict cost control	Non-compliant claims rejected
L7	Visiting Experts	As approved	As approved	As approved	As per contract	Defined in approval	As per agreement

Final Policy Statement

All travel must be approved, economical, justified, and compliant with entitlement norms. Any deviation shall result in restriction, rejection, or disciplinary action.

8. Common Approval Rules (Applicable to All Levels)

Defines authority-wise approval structure covering:

- Travel approval
- Financial sanction
- Advance approval
- Claim verification
- Final

approval

hierarchy

Ensures accountability and prevents unauthorized expenditure.

8.1 Approval & Sanction Matrix

Rule Category	Requirement	System Control
Prior Approval	Mandatory before travel	No approval → No reimbursement
Budget Check	Must be within approved budget	Excess → Not sanctioned
Advance Limit	Up to 75% of estimated cost	Subject to approval
Emergency Travel	Must be regularized within 24 hrs	Delay → May be rejected
Multi-Level Approval	Mandatory workflow in ERP	Manual bypass not allowed
Claim Approval	After verification only	Incomplete → Returned/rejected

8.2 Approval Flow Logic

Step	Action	Responsible Authority
1	Travel Request Submission	Employee
2	Purpose & Need Validation	HOD / Reporting Authority
3	Administrative Approval	Competent Authority
4	Financial Sanction	Finance / Registrar
5	Advance Release (if required)	Finance
6	Claim Verification	HOD + Finance
7	Final Approval	Competent Authority

8.3 Emergency Approval Rule

Scenario	Rule	Outcome
Urgent travel without prior approval	Must be approved within 24 hrs	Else claim may be rejected
Delayed justification	Not accepted	Claim disallowed

8.4 Strict Control Clauses

- No travel without approval
- No financial sanction without budget
- No reimbursement without verification
- No override without competent authority

8.5 APPROVAL & SANCTION MATRIX (MASTER CONTROL TABLE)

Level	Cadre	Travel Approval Authority	Financial Sanction Authority	Advance Approval	Post-Facto Approval (Emergency)	Claim Verification Authority	Final Approval Authority	Key Control Rules	Non-Compliance Impact
Statutory Positions (Governance Level)									
L1	Director	Chancellor / Governing Body	Chancellor / Governing Body	Self / Chancellor	Allowed within 24 hrs	Finance Office	Chancellor	Must ensure reasonableness & governance	Subject to audit scrutiny
L2	Principal, COE, FO, Deans	Director	Director / Finance	VC Approval	Allowed within 24 hrs	Finance Office	Director	Mandatory prior approval for all travel	Unauthorized travel may be rejected
Non-Statutory Positions (Operational Level)									
L3	Professors, HODs	VC / Registrar	Registrar / Finance	Required	Allowed (with justification)	Finance + HOD	Registrar	Budget availability check required	Excess claims restricted
L4	Assistant Professors, Officers	Dean / HOD	HOD / Finance	Mandatory	Allowed in exceptional cases	HOD + Finance	Registrar / Dean	Strict adherence to entitlement	Non-approved travel rejected
L5	Executives, Assistants	HOD	HOD / Finance	Mandatory	Rare (with approval)	HOD + Finance	Registrar	Cost control mandatory	Claims reduced/rejected
L6	Drivers, Attendants	HOD / Admin Officer	HOD / Finance	Mandatory	Rare	HOD + Finance	Registrar	Strict supervision required	Non-compliance rejected
L7	Visiting Experts	As per invitation approval	As per sanctioned budget	As approved	Not applicable	Finance	Competent Authority	Defined in engagement terms	As per agreement

Final Policy Statement

“All travel and financial claims shall strictly follow the prescribed approval hierarchy. Any deviation from the approval matrix shall result in rejection of claims, financial recovery, or disciplinary action.”

9. MANDATORY PROCESS FLOW (NON-NEGOTIABLE) (TRAVEL & CLAIM MANAGEMENT SOP)

Describes the complete operational lifecycle including:

- **Travel request initiation**
- **Approval workflow**
- **Budget validation**
- **Advance release**
- **Travel execution**
- **Claim processing**
- **Financial verification**
- **Audit and final payment**
- **Record archival**

9.1 Process Flow Logic (Simple Understanding)

- 1. Request → Approval → Sanction**
- 2. Travel → Collect Documents**
- 3. Submit Claim → Verify → Audit**
- 4. Approve → Pay → Record**

9.2 Time-Bound Control (Critical)

Activity	Timeline
Travel Request	Before travel
Advance Release	Before travel
Claim Submission	Within 7 days
Verification	Within 3–5 days
Payment Processing	Within 7–10 days

9.3 System Control Rules

- ERP-based workflow is mandatory
- No manual or offline claims allowed
- Each stage must be digitally approved
- Auto-check for:
 - o Daily Cap
 - o Missing documents
 - o Approval hierarchy

9.4 Exception Handling

Scenario	Action
Emergency travel	Approval within 24 hrs
Missing documents	Claim returned/reduced

Exceeding limits	Restricted to allowed amount
Late submission	Warning / deduction

9.5 END-TO-END PROCESS FLOW (TRAVEL & CLAIM MANAGEMENT SOP)						
Step No.	Process Stage	Action Description	Responsibility	System Control / Requirement	Output / Outcome	Risk if Not Followed
1	Travel Requirement Identification	Identify need for official travel (academic/admin/event)	Employee	Must be justified with purpose	Travel intent defined	Unnecessary travel
2	Travel Request Submission	Submit request in ERP with details	Employee	Mandatory prior submission	Request generated	No approval → no claim
3	Administrative Approval	Validate purpose, necessity, and role	HOD / Reporting Authority	Approval as per hierarchy	Approved / Rejected	Unauthorized travel
4	Financial Sanction	Budget validation & cost approval	Finance / Registrar	Must be within budget	Sanctioned amount	Budget overrun
5	Advance Processing	Release advance (if required)	Finance	Max 75% of estimate	Advance credited	Excess advance risk
6	Travel Booking	Book tickets (Air/Train/Road)	Employee / Admin	As per entitlement & rules	Confirmed booking	Excess cost / violation
7	Travel Execution	Undertake travel as approved	Employee	Follow route, mode & duration	Travel completed	Policy deviation
8	Document Collection	Collect all bills & proofs	Employee	Mandatory documentation	Records maintained	Claim rejection risk
9	Claim Submission	Submit claim within timeline	Employee	Within 7 days in ERP	Claim submitted	Delay penalty
10	Initial Verification	Check documents & correctness	HOD / Reporting Authority	Completeness check	Verified claim	Errors / misuse
11	Financial Scrutiny	Validate limits, cap & compliance	Finance	Daily Cap & rules applied	Approved / Reduced	Overpayment risk
12	Audit Check	Random / risk-based audit	Internal Audit	Mandatory audit trail	Audit clearance	Compliance failure
13	Final Approval	Approve eligible amount	Competent Authority	As per approval matrix	Final sanction	Unauthorized payment
14	Payment Processing	Transfer approved amount	Finance	Bank transfer only	Amount credited	Delay in payment

15	Record Archival	Store documents in ERP	Admin / Finance	Digital mandatory	record	Audit-ready data	Data loss risk
-----------	------------------------	------------------------	-----------------	----------------------	--------	---------------------	----------------

9.6 Responsibility & Accountability

- **Employee: Accuracy and authenticity of claims**
- **HOD: Justification and necessity validation**
- **Finance: Financial compliance and verification**
- **Approving Authority: Final accountability for approval**

Final Process Statement

“All travel and claim processes shall strictly follow the defined SOP workflow. Any deviation from the process shall result in rejection, delay, or disciplinary action.”

10. AUDIT, COMPLIANCE & PENALTY FRAMEWORK

Covers audit mechanisms and enforcement including:

- Financial and random audits
- Document verification
- Compliance checks (cap, entitlement, approval)
- Violation categories (minor to severe)
- Penalty actions (warning, deduction, recovery, disciplinary action)
- Recovery and audit trail mechanisms

10.1 Violation Severity Matrix (Clear Understanding)

Level	Type of Violation	Example	Action
Level 1	Minor	Late submission	Warning
Level 2	Moderate	Exceeding limits	Deduction
Level 3	Major	Fake bills	Recovery + Action
Level 4	Severe	Fraud / duplication	Disciplinary proceedings

10.2 Zero Tolerance Clause (Very Strong Statement)

“The Institution follows a zero-tolerance policy towards financial irregularities, false claims, and misuse of funds. Any violation shall lead to strict disciplinary action including recovery, penalty, and legal proceedings where applicable.”

10.3 Turnaround Time Commitment

The Institution shall endeavor to process complete and compliant claims within defined timelines.

Delays due to incomplete submission or non-compliance shall be the responsibility of the claimant.

10.4 Audit Frequency & Coverage

Audit Type	Frequency	Coverage
Routine Audit	Monthly	All claims

Random Audit	Continuou s	Minimum 10%
Special Audit	As required	High-risk cases

10.5 AUDIT, COMPLIANCE & PENALTY FRAMEWORK (MASTER CONTROL TABLE)

Category	Control Area	Rule / Requirement	System Check	Non-Compliance Type	Action / Penalty	Authority Responsible
Audit	Financial Audit	All claims subject to verification	100% check for high-value claims	Excess / inflated claim	Amount reduced to eligible	Finance
Audit	Random Audit	Minimum 10% claims randomly audited	ERP-based selection	Misreporting / inconsistency	Claim flagged / investigated	Internal Audit
Audit	Document Audit	All bills must be valid & GST compliant	Document verification	Missing / fake bill	Expense rejected	Finance
Compliance	Approval Compliance	Prior approval mandatory	ERP workflow check	No approval	Claim rejected	HOD / Authority
Compliance	Daily Cap Compliance	Must not exceed cap	Auto cap validation	Exceeds cap	Restricted to cap	Finance
Compliance	Timeline Compliance	Claim within 7 days	Date tracking	Late submission	Warning / delay / deduction	HOD / Finance
Compliance	Entitlement Compliance	As per level & rules	Entitlement validation	Higher class usage	Excess not reimbursed	Finance
Compliance	Duplicate Claim	No double claim allowed	System cross-check	Duplicate entry	Full rejection + recovery	Finance
Compliance	False Claim	Claim must be genuine	Audit scrutiny	Fraud / manipulation	Disciplinary action	Registrar / HR
Compliance	Travel Deviation	Must follow approved route/mode	Route validation	Unapproved deviation	Restricted / rejected	HOD / Finance
Penalty	Minor Violation	Small procedural lapse	Case review	First-time issue	Warning / correction	HOD
Penalty	Moderate Violation	Repeated or financial deviation	Audit escalation	Repeated errors	Deduction / restriction	Registrar
Penalty	Major Violation	Fraud / intentional misuse	Investigation	Fake bills / manipulation	Recovery + disciplinary action	Registrar / HR
Penalty	Severe Violation	Financial misconduct	Formal enquiry	Fraud / duplicate claims	Suspension / strict action	Competent Authority
Control	Recovery	Excess paid must be recovered	Financial	Overpayment	Salary deduction /	Finance

	Mechanism		reconciliation		recovery	
Control	ERP Audit Trail	All actions must be recorded	System logs	Manual bypass	System violation	IT / Audit
Control	Reporting System	Monthly compliance report	Dashboard monitoring	Non-reporting	Escalation	Finance / Admin

10.6 Grievance Redressal Mechanism

Employees may raise concerns regarding claim processing or decisions:

- Grievance must be submitted within 7 days
- Escalation to higher authority if unresolved
- Final decision rests with the Competent Authority

Final Compliance Statement

“All employees are required to adhere strictly to the SOP. Non-compliance at any stage shall attract financial restriction, recovery, or disciplinary action as per Institution rules.”

11. DIGITAL IMPLEMENTATION & ERP CONTROL FRAMEWORK

Ensures full digital execution through ERP including:

- Online request and approval workflow
- Automated entitlement and cap validation
- Document upload and storage
- Audit trail and system logs
- Real-time tracking and MIS reporting
- Alerts, compliance checks, and exception handling

11.1 Core Digital Principles

- **100% ERP-based processing (No manual intervention)**
- **End-to-end digital traceability**
- **Real-time validation & control**
- **Automated compliance enforcement**

11.2 System-Driven Controls (Very Important)

Control Type	System Action
No Approval	Claim cannot be submitted
Missing Documents	Submission blocked
Exceeding Daily Cap	Automatically reduced
Wrong Entitlement	Auto-restricted
Late Submission	System alert / flag
Duplicate Claim	Auto-detection

11.3 User Responsibility Framework

User	Responsibility
Employee	Submit accurate request & claim
HOD	Validate necessity & approve
Finance	Verify financial compliance
Admin	Monitor process
IT	Maintain system integrity

11.4 DIGITAL IMPLEMENTATION & ERP CONTROL FRAMEWORK (MASTER TABLE)

Category	Module / Function	System Requirement	Automated Control	User Responsibility	System Output	Risk if Not Followed
System	ERP Platform	All travel & claims must be processed through ERP	Mandatory workflow enforcement	Submit only via ERP	Digital record created	Manual claims rejected
Request	Travel Request Module	Online submission before travel	Approval workflow trigger	Enter accurate details	Request ID generated	No approval → no claim
Approval	Workflow Engine	Multi-level approval mapping	Auto-routing to authority	Track approval status	Approved / Rejected	Unauthorized travel
Budget	Budget Validation	Check budget before approval	Auto budget check	Ensure cost justification	Budget status visible	Budget overrun
Advance	Advance Processing	Online advance request	Limit up to 75% auto-check	Submit estimate	Advance released	Excess advance
Booking	Travel Entry	Capture travel mode & details	Entitlement validation	Follow policy	Approved booking record	Wrong mode usage
Claim	Claim Submission	Online claim form	Mandatory fields validation	Submit within timeline	Claim ID generated	Incomplete claim rejected
Documents	Document Upload	Upload all supporting proofs	File upload mandatory	Attach valid documents	Digital storage	Missing proof rejection
Compliance	Rule Engine	Apply SOP rules automatically	Cap, limits, eligibility check	Ensure compliance	Auto-calculated eligibility	Over-claim restricted
Daily Cap	Cap Validation	System checks total daily expenses	Auto restriction to cap	Review before submit	Eligible amount calculated	Excess removed
Audit	Audit Trail	Record every action	Time-stamped logs	No manual bypass	Full traceability	Audit failure
Verification	Finance Module	Financial scrutiny	Auto flag inconsistencies	Respond to queries	Verified claim	Delay / rejection
Approval	Final Sanction	Digital approval only	Authority-based control	Await approval	Approved amount	Unauthorized payment
Payment	Payment Module	Direct bank transfer	Integration with finance system	Verify bank details	Payment processed	Payment delay
Reporting	Dashboard &	Real-time monitoring	Auto-report	Use reports for	MIS reports	Poor tracking

	MIS		generation	review		
Alerts	Notification System	Email/SMS alerts	Auto reminders	Respond timely	Status updates	Missed deadlines
Security	Access Control	Role-based access	Login authentication	Use authorized login	Secure system	Data breach
Compliance	Exception Handling	Flag deviations automatically	Auto alert to authority	Provide justification	Exception log	Misuse risk
Archival	Record Management	Digital storage of all claims	Auto archiving	No manual record keeping	Audit-ready data	Data loss
Integration	Finance Integration	Link with accounting system	Auto posting entries	Ensure accuracy	Ledger update	Financial mismatch

Final Digital Governance Statement

“All travel and claim processes shall be executed strictly through the ERP system. The system shall act as the single source of truth, ensuring transparency, accountability, and compliance. Any attempt to bypass the system shall be treated as a violation of SOP.”

14. POWER CLAUSE

The Competent Authority reserves the absolute right to approve, reject, modify, or audit any claim in the interest of institutional governance.

15. LEGAL & COMPLIANCE STATUS

This document shall be treated as:

- ✓ Official Institutional Regulation
- ✓ Financial Governance Document
- ✓ Audit-Referable Policy
- ✓ Binding on all employees

15. EFFECTIVE DATE

Effective immediately upon issuance.

16. Policy Review & Version Control

- This SOP shall be reviewed annually or as required
- Amendments shall be approved by the Competent Authority
- Version control shall be maintained for all revisions

AUTHORITY

By Order of the Competent Authority

Registrar/director/principal

[MLR GROUP OF INSTITUTION]

Copy to:

- Hon'ble Director
- Principal
- All Deans
- Controller of Examinations
- Finance Office
- HR Department
- All Departments
- Office File