

Procedure Number: AC013

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Rick Evans, Executive Director

**Title: Advance Request Procedure**

**Objective of the Procedure**

This procedure is intended to define the handling of advances within The University Corporation (TUC). This procedure applies to all faculty, staff, and students working on or participating in funds held at TUC.

**Definition of Advance**

Advances are provided to individuals in the following circumstances:

- For a specific event such as gift cards or incentives for participants in a research study, or for projected program costs
- Travel related expenses such as airline tickets, meals, lodging, rental cars, etc.
- Conference registration fees, tradeshow, seminars, and training courses

All advance requests must include a detailed justification including budget and authorized signatures.

**Procedure**

TUC asks all individuals to use their TUC purchase cards or personal credit cards to pay for travel expenses rather than requesting advances. All advances must be requested with appropriate signatures and submitted promptly with supporting documentation to TUC after the reason for the advance has taken place. The expense information is required for final audit and clearing of the advance. TUC's practice is to reimburse travel expenses as quickly as possible with receipt of required documentation.

**1. Requests for Advance**

Individuals may request an advance via a completed check request, and the recipient of the advance must be the submitter of the check request, except for students whose requests must be submitted by the PI. The request must be submitted to TUC at least 12-15 business days before the advance is needed. The amount of the requested advance cannot exceed 75% of the expected total expenditure for staff employees and Principal Investigators. Students and student assistants are eligible for advances up to 100% of the expected expenditure amount.

Advances should not be less than \$100.

***Advances for travel***

Travel policy and guidelines apply to a request for advance for a business trip. The advance must be refunded immediately when a trip is cancelled or postponed.

**2. Proof of Expenditures / Clearing of Advance**

Unless otherwise approved in writing at the time the advance request is made, individuals must submit the appropriate supporting documentation to TUC Accounting within 30 days of the completion of their travel or occurrence of the actual expenditures. The supporting documentation

will be reconciled with the advance request and an amount due to or from the employee/Principal Investigator will be calculated.

***Travel advances***

For travel advance requests, a completed eTravel Expense Report (or for some exceptions a Travel Expense Claim form) must be included as part of the proof of expenditures. All original receipts, including, those receipts pertaining to the advance amount must be attached to the expense report, including a copy of the signed travel approval form if the traveler is a CSUN employee, or a print out of the fully approved travel authorization.

***Participant incentives, including gift cards***

For other types of advances, Principal Investigator(s) must submit a log and reconciliation of monies disbursed. The log must include the dates of study participation on which incentives were provided, the amount of the incentive, and as much detail on individual subject records (e.g., names, email addresses, student IDs, signatures or other records) as is permissible under the approved IRB protocol.

Extensions beyond the 30-day clearance period will typically not be granted except in cases where clearing the advance in that time frame presents an obvious hardship (example, advance for an extended travel period, or for research incentives when subject recruitment/participation may occur over the course of a year). In all cases, the Principal Investigator (PI) or employee requesting the advance must provide an estimate of when TUC can reasonably expect the advance to be cleared.

*See Figure "Procedure for Advances" Next Page*

**Fig. Procedure for Advances**

**Employee/Principal Investigator**

- Determines need for and amount of advance
- Submits a Check Request with detailed estimate of expenses

Note: Students may not submit cash advance requests. If a student requires an advance in conjunction with a sponsored project, it is the responsibility of the PI or another employee to request the advance on the student's behalf.



**The University Corporation – Accounts Payable**

- Verifies all required information is provided and advance amount is within policy
- Enters required information into advance log
- Forwards Check Request to TUC - Post-Award



**The University Corporation – Post Award**

- Verifies availability and allowability of funds
- Verifies signature authorization
- Approves the Check Request



**The University Corporation – Accounts Payable**

- Verifies all required information is provided and advance amount is within policy
- Enters required information into advance log
- Records expense information as detailed on the request
- Generates payment and forwards to employee or Principal Investigator



**Employee/Principal Investigator (PI)**

- Spends money for intended reason and collects receipts
- Promptly submits the documentation to clear the advance:
  - Travel* - employees submit Expense Report via eTravel or Travel Reimbursement Claim to TUC- Accounts payable. Supporting documents, such as receipts, must be attached to the expense report/expense claim.
  - Research Incentives*- PI prepares reconciliation log reflecting participation dates, incentive amounts, and subject records (e.g., names, email addresses, study IDs, or other records as permitted by approved IRB protocol) of participants who received money/incentives and Forwards to TUC - Accounts Payable



**The University Corporation – Accounts Payable**

- Verifies accuracy and eligibility of expenses
- Clears the advance and updates the advance log

### **3. Limitations and Recovery**

#### ***Limitations on Advances***

Only one advance per person may be outstanding at any given time.

Uncleared advances will result in further requests for advances being denied.

#### ***Recovery***

In the event an employee does not submit an eTravel Expense Report or Travel Expense Claim Form within 90 days from when the trip or activity is expected to be completed, TUC will initiate proceedings for the recovery of the outstanding advance.

The employee's written permission must be obtained before an outstanding advance can be deducted from wages or from any other amounts due the employee. If the employee's consent cannot be obtained, TUC may recover the debt through a collection agency.

### **4. Responsibilities**

#### ***Principal Investigators/Project or Fund Directors***

Principal Investigators/Project or Fund Directors (PIs/PDs/FDs) are responsible for:

- Communicating the procedure for advances to all employees seeking an advance and for ensuring compliance.
- Ensuring
  - Employees attend the seminars, conferences, trade shows and training for which they received an advance.
  - Individual advances are cleared with TUC within 30 days of the actual expenditure unless an alternate deadline was approved in writing at the time of the advance request.
  - All advances within a project are cleared before the end of the project.

The PIs/PDs/FDs will be held accountable for any advances that are not cleared and therefore not reimbursed by the grantor.

#### ***TUC-Post-Award (this only applies to advance requests in a sponsored project)***

When approving Check Requests, Post-Award personnel must consider any outstanding advances within the project. TUC-Post-Award will assist TUC-Accounts Payable in contacting PIs/PDs/FDs regarding un-cleared advances. TUC-Post-Award will ensure that all advances are considered before a sponsored project is closed by reviewing the outstanding advance log. During the closing process, Post-Award personnel will contact the Principal Investigators and inform them about any un-cleared advances.

#### ***TUC-Accounts Payable***

TUC Accounts Payable personnel will:

- Track and monitor the timely clearing of all advances
- Maintain and monitor the advance log.

The advance log is accessible by TUC-Post-Award for additional control purposes. The AP Manager/Associate Director of Accounting will review the advance log on a monthly basis to ensure adherence with the TUC advance procedure.