

PURPOSE:

Advance Accounts allow for project expenses to be incurred while awaiting receipt of an award for sponsored activity.

Advance Accounts may be requested when a Principle Investigator (PI) is awaiting receipt of an award that the sponsor has indicated is forthcoming, but issuance of that award has been delayed. Advance Accounts should only be requested when delay of the award would have a negative impact on the related project, whether it be a new project awaiting the initial notice of award or an existing project awaiting the next increment of funding or amendment.

To initiate a request for an Advance Account, the PI or Unit administrator (e.g., SP Analyst) should complete the **Advance Account Request Form** and route for appropriate unit signatures. Once completed and signed, the form should be routed to the Director of SPS for review and approval. If approved, an Advance Account will be established for use, as outlined on the request form, and the PI and unit will be notified.

When requesting an Advance Account, it is important that all parties understand that **the Guarantee Account String noted on the Advance Account Request Form assumes the financial risk of expenses incurred under the Advance Account**, should the award, for whatever reason, not be received and/or accepted by Chapman University. The Guarantee Account String would also be responsible to absorb any expenses deemed unallowable, per sponsor award terms and conditions.

NOTE: No agreements shall be issued under Advance Accounts. That action would only be allowable once the related award has been received and processed internally.

Sponsored Projects Services Advance Account Request Form

Please complete all fields of this form and email the completed form to your college/unit's SPS Research Administrator. Be sure to attach any sponsor documentation/communication that indicates the award referenced is forthcoming, if available.

Project Information			
Principal Investigator:		Proposal/Project ID:	
Department:		Department Contact:	
Anticipated Award Start Date:		Anticipated Award End Date:	
Sponsor:		Prime Sponsor (if applicable):	
Project Title:			

Setup Request (Time & Funding)			
All direct costs incurred are at the risk of the responsible unit account string noted below until the award is accepted.			
Purpose:	Request to utilize sponsor funding before award is received		
Duration of Advance:	Approved Advance Accounts are valid for a period of 90 days. Any extension beyond 90 days requires additional approval.		
Advance Account Start Date:		Advance Account End Date:	
Total Direct Costs requested under Advance Account:*	\$		

*Please attach the approved internal budget that was submitted with the related proposal for the pending award.

Compliance (Research Protections)			
	Yes	No	
Human Subjects			If yes, please provide IRB Approval #:
Animals			If yes, please provide IACUC Approval #:
Biohazards			If yes, please provide IBC Approval #:
Check here if human or animal subjects or biohazards are involved in this project, but the applicable protocols have not yet been approved.**			

**By signing below, the PI understands that no work involving humans, animals, or biohazards will take place under this Advance Account until the applicable protocols have been approved and provided to SPS. Conducting work in these areas without approved protocols will be treated as a serious non-compliance issue.

Responsible Unit (Approvals & Signatures)					
By signing below, the parties understand and accept the risk with establishing Advance Accounts and/or incurring Pre-Award costs. If for any reason an award is not received or accepted, or if expenses are otherwise found to be unallowable, the costs incurred will be transferred to the Guarantee Account String noted below. In that event, the PI and department contact will receive a notification from SPS, and the Advance Account must be extended or expenses removed within 30 days of receipt of the notification. If expenses remain after 30 days, SPS will transfer all costs incurred to the guarantee account string identified below.					
GUARANTEE ACCOUNT STRING for the responsible unit(s)	Fund	Dept	Program	Project	Class
(if multiple guarantee accounts are noted, please attached additional signature page)					

	Name (please print)	Signature	Date
Principal Investigator – required			
Dean (or authorized person) – if required for use of noted guarantee account string (e.g., dept/unit funds)			
Director of Sponsored Projects Services - required			

Justification for Request/Comments