

M14: TRAVEL AUTHORIZATION REQUEST & ENCUMBRANCE, 1036

Effective Date: 11/30/04
Prior Date: 7/01/03

[Fiscal Agent Handbook Index](#) | [Forms Instructions Index](#)

Purpose and Scope	Authority and Responsibility	References
Definitions	Facsimile	Instructions
	Form Acquisition	Questions

Purpose and Scope

The *Travel Authorization Request and Encumbrance* serves as the official travel authorization for faculty and staff on University sponsored business and encumbers the funds to be utilized.

[Return to Top](#)

M14: TRAVEL AUTHORIZATION REQUEST & ENCUMBRANCE, 1036

Effective Date: 11/30/04

Prior Date: 7/01/03

[Fiscal Agent Handbook Index](#) | [Forms Instructions Index](#)

Purpose and Scope	Authority and Responsibility	References
Definitions	Facsimile	Instructions
	Form Acquisition	Questions

Authority & Responsibility

1. The traveler prepares the *Travel Authorization Request & Encumbrance* (1036) form, attaches supporting documentation, obtains the approval signatures and forwards the approved form for processing.
2. The fiscal agent or alternate insures that requested monies meet budgetary requirements and proposed expenditures are reasonable and appear to be proper.
3. The traveler obtains override approval for travel expenses being charged to a grant account from the Controller's Office, E-212, and override approval for travel expenses being charged to all other accounts from the Office of University Budgets, C-423, when available funds are not adequate to cover anticipated expenses.
4. The Office of University Budgets tests forms for availability of funds and validity of fiscal agent's or alternate's signature.
5. The Office of University Budgets and the Director of Financial Affairs/Controller advises the Procedure and Systems Analyst of all changes to this procedure.

[Return to Top](#)

M14: TRAVEL AUTHORIZATION REQUEST & ENCUMBRANCE, 1036

Effective Date: 11/30/04

Prior Date: 7/01/03

[Fiscal Agent Handbook Index](#) | [Forms Instructions Index](#)

Purpose and Scope	Authority and Responsibility	References
Definitions	Facsimile	Instructions
	Form Acquisition	Questions

References

Fiscal Agent Handbook, [F2: Travel Authorization Request & Encumbrance for Employees](#)

Fiscal Agent Handbook, [F9 Employee Group Travel](#)

[Return to Top](#)

M14: TRAVEL AUTHORIZATION REQUEST & ENCUMBRANCE, 1036

Effective Date: 11/30/04

Prior Date: 7/01/03

[Fiscal Agent Handbook Index](#) | [Forms Instructions Index](#)

Purpose and Scope	Authority and Responsibility	References
Definitions	Facsimile	Instructions
	Form Acquisition	Questions

Definitions

Appropriated Funds: Funding approved by the governor to provide general revenue and education assistance for operating purposes.

Local Funds: Funds retained by the University locally as compared to those retained by the state in Springfield.

TARE: The *Travel Authorization Request & Encumbrance* (1036) form.

[Return to Top](#)

M14: TRAVEL AUTHORIZATION REQUEST & ENCUMBRANCE, 1036

Effective Date: 11/30/04

Prior Date: 7/01/03

[Fiscal Agent Handbook Index](#) | [Forms Instructions Index](#)

Purpose and Scope	Authority and Responsibility	References
Definitions	Facsimile	Instructions
	Form Acquisition	Questions

Form Acquisition

The *Travel Authorization Request and Encumbrance* (1036) form is a three part form set that can be ordered using the on-line [Forms Requisition](#) on the Controller's Office Resources web site at <http://www.neiu.edu/~finanaff>.

[Return to Top](#)

M14: TRAVEL AUTHORIZATION REQUEST & ENCUMBRANCE, 1036

Effective Date: 11/30/04

Prior Date: 7/01/03

[Fiscal Agent Handbook Index](#) | [Forms Instructions Index](#)

Purpose and Scope	Authority and Responsibility	References
Definitions	Facsimile	Instructions
	Form Acquisition	Questions

Form Instruction

The traveler completes applicable data fields on the form, signs the document and routes for approval. The burden for obtaining approvals resides with the traveler.

Item	Description
1 Document Date:	Enter the processing date of the travel authorization request.
2 Traveler's Name:	Enter the traveler's name: last name, first name, and middle initial.
3 Department:	Enter the unit to which the traveler is assigned.
4 Status:	Enter the status of the traveler: faculty or staff.
5 Name of Conference, City, State, Meeting Dates and Reason for Attending:	Enter the name of the conference, the city and state where the conference will be held, the dates that the conference will be held and the reason for attending the conference.
6 Method of Travel:	Check appropriate box that describes the mode of transportation to be utilized.
7 How Will Your Teaching Obligations Be Met During Your Absence:	Enter a description of how your teaching obligations will be met during your absence.

- 8 University Travel Funds Required: Indicate whether or not travel funds are required. If answer is "yes", then complete encumbrance data items "10" through "17". If "no", keep the completed form for your records do not mail the form to the Office of University Budgets.
- 9 Vendor ID Number: Leave blank.
- 10 Emp. ID/Univ ID/SSN Enter the traveler's Employee ID/University ID or social security number.
- 11 Account Number To Be Charged: Complete the six digit account number to which the traveler reimbursement expenses will be charged.
- 12 Estimated Traveler Expense: Estimate expenses (other than travel agency expenses and conference fees paid in advance) which will be incurred. Amount must reflect both dollars and cents.
- 13 Agency ID Number: If the University travel agency is to procure the air or rail tickets, enter the vendor code of the travel agency.
- 14 FEIN Number If the University travel agency is to procure the air or rail tickets, enter the travel agency FEIN number.
- 15 Account Number To Be Charged: Complete the six digit account number to which the agency payment expense will be charged.
- 16 University Travel Agency Expense: Enter the dollar value for air or rail fares to be charged. Should air or rail tickets be obtained from other than the official University travel agency, the cost will be paid by the traveler. The cost should then be reflected in "Estimated Traveler Expense", item "12".
- NOTE:** Maximum allowable transportation charges for air travel will be based on coach fare. The amount for air travel is limited to the transportation cost charged the school by the official University travel agency.
- 17 Total T&A To Be Enter the total traveler and travel agency amounts to be encumbered as described in items "12" and "16" above.

Encumbered:

- 18 Certification & Approvals: This block must contain signed approvals indicated below. Please bear in mind that the traveler's signature certifies that the traveler is an insured driver holding a valid driver's license. Also, please bear in mind that the authorizing signature of the fiscal agent or alternate must be on file with the Controller's Office. Travel authorizations with unauthorized signatures will be returned.
- a. **Traveler.**
 - b. **Unit Head**, unless the unit head and the fiscal agent or alternate are one and the same.
 - c. **Fiscal Agent** - the responsible officer of an account who has an approved signature card on file (alternate fiscal agent signs in fiscal agent's absence.)
 - d. **Division Head** - the person at a level above a chairperson or director who reports to a vice president and heads multiple units, typically a dean or assistant vice president. (Leave blank if fiscal agent reports directly to an area executive officer.)
 - e. **Area Executive Officer** - In instances where individuals on the dean/director level are requesting authorized travel, then respective vice presidential approval is required.

Note: The President must approve all foreign travel.

Once all required approvals have been obtained, the traveler keeps the third copy of the form set, forwards the first (original) page of the form set to the Office of University Budgets, room C-423, extension 5110. The second copy of the form set is retained by the fiscal agent for reconciling purposes.

[Return to Top](#)


M14: TRAVEL AUTHORIZATION REQUEST & ENCUMBRANCE, 1036

Effective Date: 11/30/04

Prior Date: 7/01/03

[Fiscal Agent Handbook Index](#) | [Forms Instructions Index](#)

Purpose and Scope	Authority and Responsibility	References
Definitions	Facsimile	Instructions
	Form Acquisition	Questions



IMPORTANT
USE DIRECT PAYMENT VOUCHER FOR PAYMENT OF CONFERENCE FEE WHEN FEE MUST BE PAID IN ADVANCE OF TRIP.

TRAVEL AUTHORIZATION REQUEST AND ENCUMBRANCE

DOCUMENT NUMBER
T_13401

A _____

DOCUMENT DATE
_____ (1)

TRIP DATA

TRIP DATA	DEPARTMENT (3)	STATUS (FACULTY/STAFF) (4)
TRAVELER'S NAME (2)		
NAME OF CONFERENCE (5)		
CITY (5)	STATE (5)	MEETING DATES (INCLUSIVE) FROM: (5) TO: (5)
REASON FOR ATTENDING (5)		
METHOD OF TRAVEL (CHECK ONE) (6) <input type="checkbox"/> PRIVATE VEHICLE <input type="checkbox"/> MOTOR POOL <input type="checkbox"/> AIR <input type="checkbox"/> TRAIN <input type="checkbox"/> OTHER (SPECIFY) _____		
HOW WILL YOUR TEACHING OBLIGATIONS BE MET DURING YOUR ABSENCE (7)		
UNIVERSITY TRAVEL FUNDS REQUIRED (8) <input type="checkbox"/> NO IF NO, DO NOT FORWARD TO THE OFFICE OF UNIVERSITY BUDGETS OR CONTROLLERS OFFICE. KEEP TAPE FOR YOUR RECORDS. <input type="checkbox"/> YES IF YES COMPLETE ENCUMBRANCE DATA SECTION		

ENCUMBRANCE DATA

TRANSACTION	AMOUNT
<p>TRAVELER REIMBURSEMENT (9)</p> <p>TRIP # _____ (10)</p> <p>VENDOR ID NUMBER _____ (11)</p> <p>ACCOUNT NUMBER TO BE CHARGED: 1 2 9</p> <p>ESTIMATED TRAVELER EXPENSE → (12)</p>	T (12)
<p>AGENCY DOCUMENT NUMBER (13)</p> <p>AGENCY ID NUMBER _____ (14)</p> <p>ACCOUNT NUMBER TO BE CHARGED: 1 2 9</p> <p>UNIVERSITY TRAVEL AGENCY EXPENSE → (16)</p>	A (16)
TOTAL T&A TO BE ENCUMBERED → (17)	

CERTIFICATION & APPROVALS (18)

I CERTIFY THAT IN ACCORDANCE WITH ILLINOIS COMPILED STATUTES, §025 ILCS §07-203, I HAVE MET THE MINIMUM AUTO INSURANCE LIABILITY REQUIREMENTS IN AMOUNTS NOT LESS THAN IS CURRENTLY MANDATED BY THE STATE (CURRENTLY \$20,000 PER PERSON, \$40,000 PER ACCIDENT FOR PERSONAL INJURY AND NOT LESS THAN \$15,000 PROPERTY DAMAGE PER ACCIDENT.) I ALSO CERTIFY THAT I HOLD A VALID DRIVERS LICENSE.

TRAVELER	DATE	<p>FOR OFFICE USE ONLY</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">ACTION</td> <td style="width: 15%;">STATE EC</td> <td style="width: 15%;">LOCAL EC</td> <td style="width: 55%;">AUTHORIZED SIGNATURE & DATE</td> </tr> <tr> <td>BUDGET CHECK</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td>OVER-PRICE</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> </table>		ACTION	STATE EC	LOCAL EC	AUTHORIZED SIGNATURE & DATE	BUDGET CHECK	<input type="checkbox"/>	<input type="checkbox"/>		OVER-PRICE	<input type="checkbox"/>	<input type="checkbox"/>	
ACTION	STATE EC			LOCAL EC	AUTHORIZED SIGNATURE & DATE										
BUDGET CHECK	<input type="checkbox"/>			<input type="checkbox"/>											
OVER-PRICE	<input type="checkbox"/>			<input type="checkbox"/>											
UNIT HEAD	DATE														
FISCAL AGENT	DATE														
DIVISION HEAD (if applicable)	DATE														
AREA EXECUTIVE OFFICER	DATE														

DISTRIBUTION: White - Controller's Office
 Yellow - Fiscal Agent
 Pink - Traveler

[Return to Top](#)

M14: TRAVEL AUTHORIZATION REQUEST & ENCUMBRANCE, 1036

Effective Date: 11/30/04

Prior Date: 7/01/03

[Fiscal Agent Handbook Index](#) | [Forms Instructions Index](#)

Purpose and Scope	Authority and Responsibility	References
Definitions	Facsimile	Instructions
	Form Acquisition	Questions

Questions

Questions should be directed to the Office of University Budgets, X5110 or the travel desk at X5128.

[Return to Top](#)

For more information contact us
[Controller's Office](#)