

# Advance Budget Requests

When a Principal Investigator receives notification that an award is forthcoming, he or she can request authorization to spend a limited amount of money on an Advance prior to receipt of an executed award from the funding agency if the sponsor allows pre-award funding and the department is willing to approve it. The UW grants authorization of an Advance through assignment of an Advance Budget Number to a project.

This document describes the Advance Budget Request process including:

- Determining Eligibility for an Advance
- Understanding Advance Budget Requirements
- Creating an Advance Budget Request
- The Advance Budget Approval Process
- Tracking the Status of an Advance Request

## Determining Eligibility for an Advance

You can only request an Advance Budget Number for eGC1s that have been approved or awarded by OSP. Your eGC1 must also be eligible for an Advance.

The Office of Sponsored Programs (OSP) may flag an eGC1 as ineligible for an Advance in any of the following circumstances:

- The forthcoming award has outstanding compliance issues that would prohibit spending on a project, for example, Human Subjects IRB (Institutional Review Board) or IACUC (Institutional Animal Care and Use Committee) approval has not been received for a project that involves the use of humans or vertebrate animals.
- The project is a federal or state contract with no pre-award approval.
- Sponsor requirements state that advance spending is not allowed.
- It's an NIH project with a positive SFI/COI (Significant Financial Interest/Conflict of Interest) disclosure in the eGC1. In this case, no Advance Notice request will be processed until a conflict of interest management plan is in place or alternative approval is obtained. For information on this process, see GIM 10.

The department chair or dean who signs the advance notice is responsible for ensuring all compliance requirements are met for all expenditures made on an Advance Budget number, per GIM 9.

## Understanding Advance Budget Requirements

Before you can request an Advance Budget Number, you must have the following information available:

- Proof of commitment on the part of the Sponsor. For example, a subcontract commitment letter or a Federal/State Sponsor's fundable score.
- An agreed amount of money to request as advance funding.
- A time period for which the Advance Budget Number is needed. (You can request an Advance Budget for 6 months or less.)

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- A designated contact person and box number for queries and correspondence from GCA.
- The number of the eGC1 that will be associated with the Advance Budget Request.
- The signature of the Chair or Dean of your department, guaranteeing all advance funding.

The PI or Department Administrator is responsible for monitoring advance budget expenditures and notifying GCA within 10 working days prior to the expiration of the advance budget if an award has not been received by that time. In this situation, you have the option to request:

- A Supplement to increase the amount of funding available on the existing Advance Budget.
- An Extension to extend the availability of an existing Advance Budget Number for an additional three months. **Note:** An Advance budget cannot exceed 12 months.

The process for requesting a renewal, supplement, or extension is similar to requesting a new Advance. In addition to the standard information, however, you will also need to specify the Advance Budget Number for which you are requesting the renewal, extension, or supplement.

## Creating an Advance Budget Request

Advance Budget Requests are created in SAGE. In order to create an Advance, you must have an approved or awarded eGC1 on record in SAGE.

### Create a new Advance

1. Log into SAGE and click the Advances tab.
2. Under My Advance Requests, click **Create New Advance**.
3. Enter the number of the eGC1 for which you want to create an Advance, or other identifying search criteria, and then click **Search**. SAGE will display all the eGC1s to which you have access that match the criteria you entered.

4. From the list of eGC1s, click **Select** next to the eGC1 for which you want to create a new Advance. This takes you to the Details page of the Advance Budget Request Form.

eGC1 Number	PI Name	Full Application Title
A71901	Skalski, John	IMPORTED: EXP-Statistical Support for Salmonid Survival Studies

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**Note:** All eGC1s are automatically blocked from eligibility prior to OSP's approval. When OSP does approve it, they may remove the block. If the block was not removed, use the Advance Budget Number Eligibility Tool to check if your eGC1 can now be made eligible. The link to the Tool is located in the right column in SAGE Advances.

## Complete the Advance Budget Request Form

Many of the details on the Advance Budget Request Form are auto-populated from the eligible eGC1. To complete the form, you need to enter information for the fields under **Advance Budget Number Request Information** at the bottom of the Details page.

**Advance Budget Number Request Information** ?

Complete the following information to request an advance budget. When the type of request is selected additional data fields will display.

Administrative Contact

Administrative Contact Name

Administrative Contact Telephone Number

Administrative Contact Email Address

Org Receiving Funding Box Number

Department Responsible for Covering Expenses Incurred

Look Up an Organization Code OR Enter One Directly Below

Type of Request

Request Justification

Start Date

End Date

(not to exceed 6 months)

F&A Base

Agency's Form of Payment

1. Under **Administrative Contact**, click **Lookup**, enter the name or UW NetID of the person who will serve as the main contact for this Advance Budget Request in the Search box, and then click **Search**.
2. From the search results, click **Select** to select the Administrative Contact. The Administrative Contact's name, telephone number and email address will automatically be entered in the appropriate fields on the request form. This person will receive email notifications from GCA as the request is being processed, and may be contacted by GCA to answer questions about the request.
3. Enter the box number for the organization receiving funding in the **Org Receiving Funding Box Number** field. This is the box number that will be used by GCA when mailing information such as budget status reports to the department.
4. In the **Department Responsible for Covering Expenses Incurred**, enter the organization code for the department that has agreed to cover all expenditures incurred if the Sponsor does not fund the project. You can either enter the number directly in the field or click **Lookup Organization Code** to search for the correct code.

**Note:** Per GIM 9, the Department Chair or Dean who signs the advance notice is responsible for any pre-award costs that are subsequently not allowed by the sponsor

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as well as any amounts authorized by the advance notice, but not funded by the sponsor.

5. Select the type of request you are submitting from the **Type of Request** drop-down menu:
  - Select **New Advance Budget Number** if you need to request advance funding for a new research project that has not yet received funds from the sponsor.
  - Select **Renewal of a Prior Budget Number** if you need to get an advance on next year's funding for an existing project.
  - Select **Advance Budget Extension** if you need to extend the length of time your current Advance Budget Number will be available.
  - Select **Advance Budget Supplement** if you need to request an increase in the amount of funds available on a current Advance Budget Number.
6. Enter a brief explanation for why you are requesting an Advance in the **Request Justification** field.
7. If you are requesting a renewal, an extension, or a supplement, enter your existing Budget Number in either the Prior Budget Number for renewals or the Budget Number field for extensions and supplements.
8. For new advances, renewals, and supplements, enter the amount of advance funding you are requesting in the **Dollar Amount of Request** box. This can be any amount, as long as your department has agreed to it. (This field does not display for an extension.)
9. In the **Start Date** box, enter the date from when you would like the Advance Budget Number to be available.
10. In the **End Date** box, enter the last date of the period for which you will need the Advance Budget Number.
11. Select the F&A base applied to your award from the F&A Base drop-down menu. For more information on F&A Base, see GIM 13 Attachment A.
12. If you know the payment method agreed upon with the Sponsor, select one of the following options from the **Agency's Form of Payment** drop-down menu:
  - **Scheduled Payments (auto)**: This is when the Sponsor agrees to pay a portion of the awarded funds up front, and the rest at a later date according to a pre-determined schedule.
  - **Scheduled Payments (invoice)**: This is when the Sponsor agrees to pay a portion of the awarded funds up front, and some of it at a later date based on invoices. Select this option if your agreement states that it is necessary to invoice the Sponsor in order to receive payment.
  - **Milestones**: This is when your agreement states that you can invoice the Sponsor to receive payment as certain key tasks are completed on the project.
  - **Pay in Advance**: This is when the Sponsor submits payment of the entire award before the start of the project.

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- **Cost Reimbursable:** This is when the Sponsor reimburses the University based on invoices received showing the exact amount of money spent.
- **Letter of Credit:** This is when a Federal Agency agrees that funds can be drawn on a regular basis based on the costs incurred the previous period.

After you complete the Details portion of the Advance Budget Form, you have several options. From the left-hand navigation menu, click:

- **Assign Access** to give others “read-only” or “read/write” access to the form. For example, you may want to assign read/write access to someone who can assist you in filling out the form; or read-only access to someone who wants to review the form as it is being completed, or track its progress in GCA.
- **Print Draft** or **Print Final** to open a PDF version of the form in a new browser window for convenient printing. Note: the Print Draft PDF will display a “DRAFT” watermark in the background.
- **Complete** to finalize and lock the form so that no further changes can be made to it.
- **Save & Close** to close the form, saving any changes you've made to the form. You can still make changes to the form when you reopen it, as long as you do not click **Complete**.

## Open a saved Advance

1. Log into SAGE and click the Advances tab.
2. Next to **Select Advance Statuses to Display**, select the **Composing** checkbox, if necessary.  
**Note:** If the form has been completed, select **Routing** instead of Composing.
3. From the list of Advance Budget Requests still in composing, locate the relevant Advance Budget Request form and click the Advance number.

## Advance Budget Approval Process

After you complete the Advance Budget Request Form, it needs to be routed for departmental approval and then submitted to GCA for final approval.

**Routing the form for approval is a manual process:** you must print and send the final completed form to all departmental Approvers and then to GCA. GCA will begin processing the Advance Budget Request Form you created in SAGE after they receive the printed copy of the form signed by all Departmental Approvers.

## To route the final Advance Budget Request Form

1. If you have not already done so, lock the form by clicking **Complete** from the left navigation menu of the open form. This ensures that no further changes can be made after you route the printed copy for approval.
2. From the same menu, click **Print Final** to generate a PDF version of the completed form, and then use your browser controls to send the PDF to your printer.

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3. Take or mail the printed form to your departmental approvers for their sign-off. At minimum, the form must be signed by the PI and the Chair or Dean of the Department.
4. After you have obtained all necessary departmental signatures, scan and email the form to [gcahelp@uw.edu](mailto:gcahelp@uw.edu).

Note: If your budget includes cost sharing, please attach the Cost Share Addendum to your email message to GCA.

## Tracking the status of your Advance Budget Request

The PI, eGC1 Admin Contact, eGC1 Pre-Award Budget Contact, and the administrative contact listed on the Advance Budget Request are automatically notified when GCA establishes an Advance Budget Number for a project. You can also check the status of your Advance Budget Request from within SAGE.

1. Log into SAGE, and click the Advances tab.
2. In the Select Advances to Display area, click **Select All**.
3. From your list of Advances, locate the relevant Advance Budget Request form.
  - If your form is finalized, but GCA has not yet received a signed copy, the status of your Advance Budget Request will be **Routing**.
  - If your signed form has been received by GCA, the status of your Advance Budget Request will be **In GCA**. The Budget Column # will be blank.
  - If the new Advance Budget Number is available, the status of your Advance Budget Request will be **Processed**. The Budget Column # will contain your new Advance Budget number.

## Resources

For assistance with your Advance Request, contact [gcahelp@uw.edu](mailto:gcahelp@uw.edu).

For more information about the UW's policy on Advance Budget Requests, see GIM 9.