



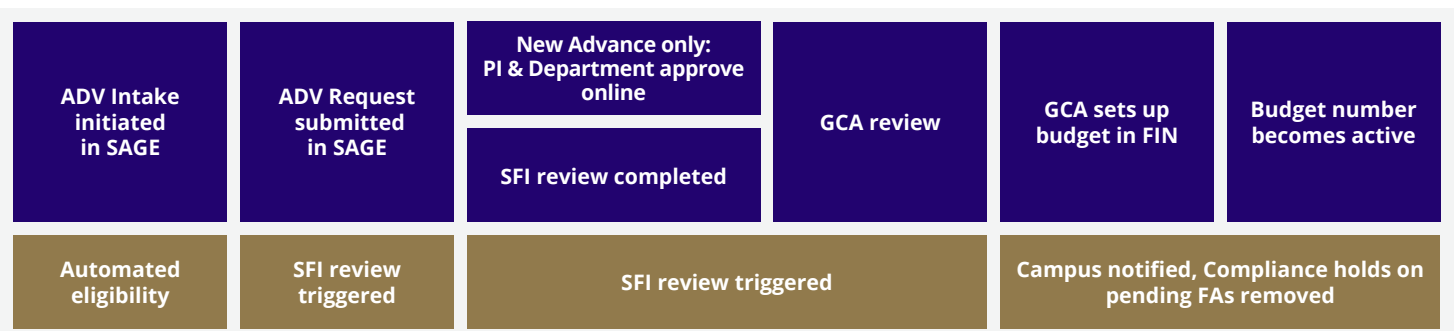
ADVANCE BUDGET

INTRODUCTION

A Principal Investigator (PI) or Research Administrator (RA) can request authorization to spend in advance of the receipt of an award or set up of an award in UW systems. The department must guarantee these expenditures if an award does not come through. The UW authorizes advance spending through the assignment of an advance budget number. Starting June 9, the new advance budget process will take place entirely in SAGE.

NEW ADVANCE PROCESS HIGHLIGHTS

- > 6 steps, as little as 3 days
- > No more webforms, emails, or printouts
- > Automated eligibility checks
- > Electronic routing and approval
- > Greater transparency into the status of advances
- > A new, more intuitive design
- > GIM 9 process alignment - advances can be requested for 12 months with 6 month extensions
- > Foundational setup for future integrations between SAGE and Workday



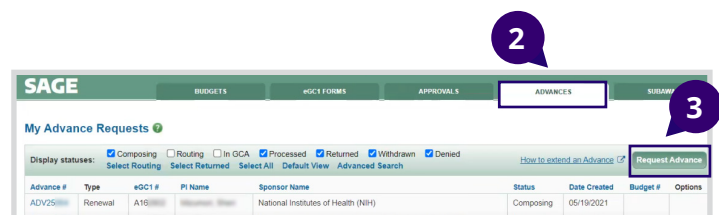
CREATING AN ADVANCE BUDGET REQUEST

NOTE: An eligible eGC1 is one that

- > is in Approved or Awarded status
- > you have permission to edit
- > does not have an Application Type of Non-Award Agreement (NAA) or Pre-Application
- > does not have a child Funding Action with a status of "In GCA" or "Re-sent by OSP"

Not all sponsors allow advances. Be sure to check the funding documentation.

1. Log in to SAGE at <https://sage.washington.edu>
2. Navigate to the **My Advance Requests** page by clicking on the **ADVANCES** tab
3. Click on the **Request Advance** button.



- A page with a list of eligible eGC1s will appear. Use the Search section to limit the criteria by eGC1 Number, Short or Full Title, PI Name, Sponsor Name, Org Code Receiving Funds, or eGC1 Status.

eGC1 Number	Name	Full Application Title	MyResearch Details Link	Sponsor Name	eGC1 Status	Date Created
A16	Bens	Management of Early f	View Details in MR	Agency for Healthcare Research and Quality (AHRQ)	Approved	1/4/2021
A16	Adam	Influenza patho	View Details in MR	National Institutes of Health (NIH)	Approved	11/18/2020

- Click on the **Select** button by the appropriate eGC1. The system will determine if the advance type will be New or Renewal based on the status of any Funding Actions in the same cycle.

NOTE: An advance is New when there are no Funding Actions that are in Process status, and is a Renewal when there are.



The eGC1 I'm looking for does not display or is not eligible.

What do I do?

- Confirm the correct eGC1 number.
- Review the eGC1 to ensure you have edit access. It will not display on your list of eligible eGC1s if you only have read access.
- Review [MyResearch](#) to see if the Funding Action is In GCA.
- Contact gcahelp@uw.edu or sagehelp@uw.edu for more information.

MY ADVANCES REQUESTS

The **My Advance Requests** page displays your existing advance requests, allows you to search for an existing advance, or start a new request for an advance. To view the **My Advance Requests** page navigate to the **ADVANCES** tab.

By default, the list displays advances in **Composing**, **Returned**, **Withdrawn**, and **Denied** statuses. You can use the status checkboxes or the "select" links to filter the advances you want to display.

- Use the **Advanced Search** link to find advance requests that match specific criteria.
- The **How to extend an Advance** link provides help on creating an extension.
- The **Request Advance** button starts the process of creating a new advance request.

Your list will only include advances that you have direct access to as an owner or collaborator. Access to an advance budget request initially originates from the parent eGC1.



Can I initiate an advance request?

- You can initiate an advance request if you have been assigned access to an eGC1 or are the owner of an eGC1.
- If you are a **Global Editor**, you must update your access status before creating an advance. Start on the Approval Flow page of the eGC1. Click on the **View eGC1** link to open the eGC1. On the Contacts & Assign Access page, use the **Add Another User** link in the Access section to assign yourself Read/Write access.

NAVIGATING ADVANCE BUDGET REQUEST MENU

FORM SECTIONS:

General Information

SFI & FCOI

Cost Share

Non-Fiscal Compliance

Supporting Attachments

Review & Submit

Approvals

Access & Roles

Comments & History

The advance budget request menu consists of the following sections located on the left side of the page. As you progress through the request and add information to each section, the circle will include a checkmark to indicate completion.

- Reason for Request:** enter a reason (limited to 300 characters)
- Financially Responsible Department:** Defaults to the Org Receiving Funding of the associated application. This can be edited if needed. Reviewers will be set up based on this code.
- Department Guarantee Budget Number:** Required. Non-sponsored budget number used to guarantee expenses if the award is not made by the sponsor.
- Activity Location:** Required. This value will default from the SAGE Budget primary worksheet if connected to the eGC1.
- Parent Budget F&A Rate:** Required. Defaults to the F&A rate of the parent budget.
- Parent Budget F&A Base Type:** The value will default from the SAGE Budget primary worksheet if connected to the eGC1.

Custom F&A Base Type Details: This field only displays when you select Custom for the Parent Budget F&A Base Type. You can enter up to 300 characters in the field.

Click **NEXT SECTION** to continue.

ADVANCE GENERAL INFORMATION

General Information

Advance Budget Start Date

Advance Budget End Date

Reason for Request

0 / 300

Financially Responsible Department

NEUROLOGY (3040126000)

Department Guarantee Budget Number

Activity Location

On Campus

Parent Budget F&A Rate

55%

Parent Budget F&A Base Type

Modified Total Direct Costs (MTDC)

NEXT SECTION

ADVANCE SIGNIFICANT FINANCIAL INTEREST (SFI) & FINANCIAL CONFLICT OF INTEREST (FCOI)

SFI & FCOI

All investigators must be up-to-date for PHS FCOI training and SFI disclosure before you can submit this request.

INVESTIGATOR	ROLE	SFI DISCLOSURE SUBMISSION STATUS	PHS FCOI TRAINING STATUS
Vick	Principal Investigator	Up-to-date	Up-to-date
Con	Key Personnel	Disclosure required NOTIFY Not yet notified	Up-to-date
Lee	Key Personnel	Disclosure required NOTIFY Not yet notified	Training required NOTIFY Not yet notified

You can add or remove personnel on this request's [parent application](#)

PREVIOUS SECTION

NEXT SECTION



How does an investigator meet the disclosure requirement?

Primary disclosure must be submitted.

If primary disclosure was submitted more than 12 months ago, a more recent disclosure (within the past 12 months) needs to be submitted.



How an investigator meets the FCOI training requirement?

Training completed within past 4 years.

Each investigator must have completed an SFI disclosure in FIDS for the associated application whether or not they have any financial interests to disclose. If the investigator submitted that disclosure more than 12 months ago from the current date, and has not created another disclosure of any kind within the past 12 months, the investigator would need to submit an annual update disclosure.

Use this section of your advance to review the SFI and FCOI Training status of the personnel on the associated application. The table lists each investigator, their role, SFI disclosure submission status, and for PHS sponsored applications, their PHS FCOI training status. When any investigators are not up-to-date, an alert appears above the table.

An investigator's disclosure status is either **"Up-to-date"** or **"Disclosure Required"** with a **Notify** link. Select the **Notify** link to send a notification that either the primary disclosure or an annual update disclosure is needed. The system determines which disclosure is required and sends the corresponding notification. The advance preparer is copied on the notification.

If the application's sponsor is a Public Health Services (PHS) sponsor, the investigator's FCOI training must also be "up-to-date". The training expires after four years. If the investigator's training is not current, their status is "Training Required" with a Notify link. Use the link to send a notification about the training requirement, with instructions. The advance preparer is copied on the notification.

Click **NEXT SECTION** to proceed.

ADVANCE COST SHARE

The Cost Share section displays, by default, the F-3 question and current response from the associated application's Budget & Fiscal Compliance page or the most recent response from a processed advance for the same associated application.

Cost Share ?

Current Responses Responses from older eGC1s & advances

F-3. Has a cost share commitment been made to the Sponsor?
No

[EDIT](#)

1

[PREVIOUS SECTION](#)

[NEXT SECTION](#)

1. Select the **EDIT** link to update the response. If you change the response from No to Yes, a **"Reason for change"** text box will display and **you will need to upload an up-to-date cost share addendum**, as shown in the following image. The file size is limited to 100MB.

Cost Share ?

Current Responses Responses from older eGC1s & advances

F-3. Has a cost share commitment been made to the Sponsor?

☒ Yes

☐ No

Reason for change

0 / 300

[DONE](#)

2

Please upload an up-to-date cost share addendum. For detailed instructions, review the [cost share addendum guidelines](#).



Drag and drop files here
or

[BROWSE FOR FILES](#)

Max 100MB

[PREVIOUS SECTION](#)

[NEXT SECTION](#)

2. Click **DONE** to save any changes.

If the advance is a renewal, one additional cost share question will be included when the F-3 response was "Yes": **"Will there be any changes to cost share during the next budget period?"** Review current cost share setup in the eFECS Cost Share Summary (hyperlinked), ASTRA access required. Yes/No and a cost share addendum (either original or with changes) will need to be attached.

Click **NEXT SECTION** to continue.

NON-FISCAL COMPLIANCE

There are two response tabs: Current Responses, and Responses from older eGC1s & advances. By default, the Current Responses tab is selected.

1. Current Responses

This tab displays two expandable sections, for Human Subjects and Animal Use. Each section shows the questions and current responses from the associated application's Non-Fiscal Compliance page.

2. The **Human Subjects** section displays the current responses from the associated application for the HS-1 question, with HS-1A and HS-1B if HS-1 was answered Yes, and the HS-2 question. IRB Application Details can be added, if known, and will be viewable by OSP.

3. The **Animal Use** section displays the AU-1 question and current response. Protocol details can be added, if known, and will be viewable by OSP.

4. Editing Responses

At the far right of each section there is an **EDIT** link. Select this link to update the responses. The section will become editable, displaying the current response.

When you change a response, a **"Reason for change"** text box will display. Use this section to explain the changes you are making. In some cases, when you change a value from No to Yes, you will see additional questions that need to be answered. You may also be prompted to Add IRB Application (Human Subjects) or Add Protocol (Animal Use).

When you first select the Edit link, the link changes to Done. Select **Done** to save any changes you have made and return to the read-only display. Your changes will need to be saved in order to complete the section.

5. Responses from older eGC1s & advances

The second tab for this section displays the responses from related items.

The associated eGC1 displays in an expandable section. Select the eGC1 number to open the application. The text (Original Responses) follows the eGC1 number. Below the number is the text, Item last edited, with the date.

Use the blue caret to the left of the application number to expand/collapse the section. This will display five collapsed sub-sections, one for each of the eGC1 Non-Fiscal Compliance question sets:

- > Human Subjects
- > Animal Use
- > Environmental Health & Safety
- > Equipment & Materials
- > Data & Technology

You can expand each section to see a read-only view of the responses.

ADVANCE SUPPORTING ATTACHMENTS

In this section, you can upload any additional attachments to explain the request. You can add or delete attachments while your advance is in Composing status. Note the attachment size is limited to 100MB.

Once you have uploaded a file, a table with three columns will display. Each file will be added as its own row on the table.

Supporting Attachments

Please upload any additional attachments that explain your request. Common supporting attachments include timeline correspondences with the sponsor and notices of award.

Drag and drop files here or
BROWSE FOR FILES
Max 100MB

1 2 3 4

FILE NAME	TYPE	DESCRIPTION
Sponsor Correspondence.pdf	Notification To/From Sponsor	final adjustments

PREVIOUS SECTION NEXT SECTION

- FILE NAME**
- TYPE:** Use the drop-down menu to choose the appropriate type: Agreement Document, Internal (UW) Document, or Notification To/From Sponsor. The Cost Share Addendum is not a choice on this page.
- DESCRIPTION:** Required. Enter a description of up to 255 characters.
- Deleting file:** Hovering your mouse over the trash icon displays the text Delete file. Selecting the icon opens a dialog to confirm the action, as shown below. Select **CANCEL** or the **blue X** to close or **DELETE FILE** to delete the attachment.

Delete Attachment?

Are you sure you want to delete **Sponsor Correspondence.pdf**? This action is permanent and cannot be reversed.

CANCEL DELETE FILE

REVIEW AND SUBMIT

Review & Submit

⚠ You need to complete required questions before you can submit this request:

SFI & FCOI
All investigators must be up-to-date for PHS FCOI training and SFI disclosure before you can submit this request

Non-Fiscal Compliance
Confirm you have reviewed responses

While your advance is in Composing status, an alert will display at the top of the page to indicate any required data that is still missing.

Review & Submit

General Information **OPEN & EDIT**

Advance Budget Start Date 5/20/2021	Advance Budget End Date 5/19/2022	Duration 1 Year
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Each of the section summaries has an **OPEN & EDIT** link for that part of the advance form.

Delegation of PI Approval

This option should only be used in special circumstances when the PI doesn't have internet access. It shouldn't be used solely for convenience.

☐ The PI is absent and is not able to complete or sign this request. Delegate approval to the primary department reviewer.

PREVIOUS SECTION SUBMIT & ROUTE

The last section of the page is the **Delegation of PI Approval**. This should only be used in special circumstances. Click the check box to delegate approval to the department reviewer. The Approvals flow will reflect this choice.

The **SUBMIT & ROUTE** button is enabled once you have entered all required data. Select **Submit & Route** to start the routing and approval process. The status of your advance will change to Routing. If your advance was in Returned or Withdrawn status, re-routing it will update the status to Routing or In GCA, as appropriate.

SAGE BUDGETS WGET FORMS APPROVALS ADVANCES SUBMITTANCE SIGN OUT

Advance Budget Request (ADV25)

Request Summary

General Information

Advance Budget Start Date 5/20/2021	Advance Budget End Date 5/19/2022	Duration 1 Year
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Reason for Request
IRB is process but project is starting and needs a budget number

Parent Application Details

Application Number
ADV25001

Long Title
Title: IRB is process but project is starting and needs a budget number

Request Status
Routing

The system will re-validate all required fields, and check that the associated application does not have a child Funding Action with a status of In GCA or Re-sent by OSP. If there is a Funding Action, you will see an alert stating that the advance cannot be submitted.

After submitting, the left panel will show the **Request Summary** screen.

SAGE APPROVALS

After the advance budget request is submitted, the PI should log into SAGE to review and approve, or return the request.

To access **My Approvals**, log into SAGE and click on the **APPROVALS** tabs.

On the Approvals screen, you can see the approvals graph process.

NOTE: Reviewers in the group can approve simultaneously. One approval is not required before another but all three need to be approved to move forward in the process.

After clicking the **APPROVE REQUEST** button, a pop-up box will appear.

Make sure the checkbox is selected, and click **APPROVE REQUEST**.

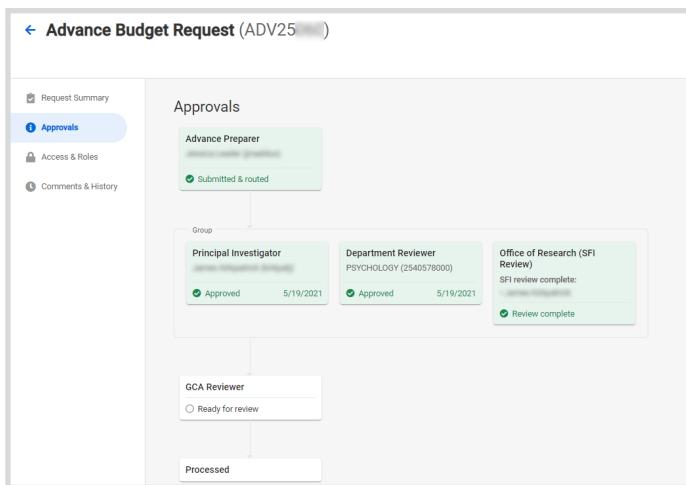
This action will be logged in the **Comments & History** section.

The Department Reviewer will see similar menus as the PI. The pop-up box may be different for the Department Reviewer as certain elements like Human Subjects are only relevant to the PI.

NOTE: If PI Approval is delegated and the research involves Human Subjects or Animals, the Dept. Reviewer will be providing assurance on behalf of the PI that spending will not occur until an approved IRB or protocol is in place.

SFI APPROVAL PROCESS

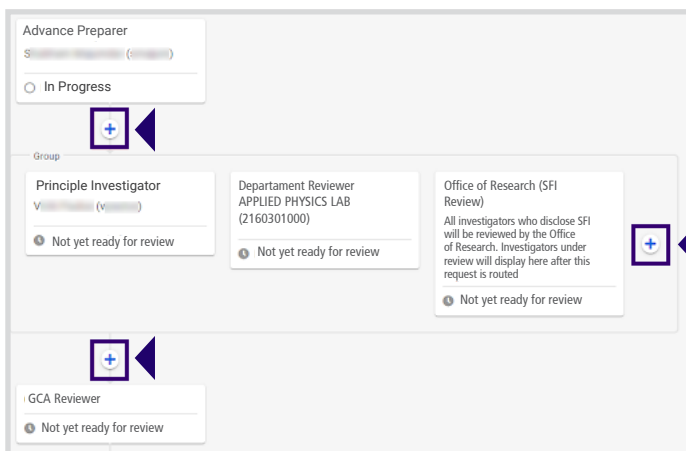
The Office of Research will approve the SFI status and the approvals section will reflect this update.



AD HOC REVIEWERS

If you can edit the advance, you can add an ad hoc (i.e., for a particular purpose only) reviewer to the approval flow. This manually-added reviewer could be a person that needs to review and approve the advance in addition to the Principal Investigator and Department Reviewer.

You can add a person by clicking on one of the plus signs (+) that appear on the approval flow. Once you submit the advance, the group nodes will be ready for review, and you will no longer have the option to add someone before the group. Similarly, once the advance is ready for review by GCA, the plus sign before GCA will no longer display.



When you click on the plus sign, an **ADD REVIEWER** dialog will display. Enter a comment for this reviewer, which is required. Then search by name or NetID for the person you want to add. The **ADD REVIEWER** button will then be enabled for you to select. The approval flow will update to show the added node, and the reviewer will be notified when their node is ready for review, like the other approvers.

To delete the added reviewer, click on the 3-dot menu icon in the node and select **REMOVE REVIEWER**. A confirmation dialog will display.

SFI REVIEW PROCESS

NOTE: If an investigator's disclosure status updates from "Waiting for JIT" to "No Review Required" the investigator's name will no longer appear on the SFI Review node.

SFI Review 1: Displays on approvals prior to routing the advance.

SFI Review 2: Displays once advance is routed.

SFI Review 3: Displays after system process runs to update JIT status.

SFI Review 4: Displays after Office of Research reviews disclosures.

Office of Research (SFI Review)

SFI review complete:

• Jane Doe

• Joe Doe

✓ Review complete

SFI Review 5: Displays when system process updates all disclosures to “No Review Required.”

Office of Research (SFI Review)

Disclosure(s) did not require SFI review.

✓ Review complete

After the reviewers complete their approvals, the process elements will display in green with an Approved checkmark.

BUDGET RENEWALS

You may need to request a new budget number after the beginning of the project for the next segment of funding from the sponsor. To search for the appropriate eGC1 with the “Approved” or “Awarded” status, click **Request Advance** from the Advances tab.

The Advance Budget Request page will have an additional section in the General Information section:

1. Select the **prior budget** for the project
2. Select related **sub-budgets** to be included in the request

To complete a budget renewal, follow the same process for requesting an advance.

EXTENDING A REQUEST

To extend a request, filter the advances by selecting the **Processed** checkbox. Processed requests that qualify for extension will have an **Extend** link in the **Options** column. To qualify, the request has to be within 18 months of the start date of the advance.

Click **Extend** to open the Advance Budget Extension Request window. Budget numbers set up under the original request will display.

To extend the request:

1. Enter the requested advance budget end date
2. Add a reason for the request
3. Select the appropriate budget numbers
4. Click the **REQUEST EXTENSION** button.

The status will change from “**Composing**” to “**In GCA.**” GCA will process the request and send the notification. Please note that the Advance Budget Extension page does not display an approval graph process.

Department reviewers for the financially responsible org on the associated advance will be notified that an extension request has been submitted.

QUESTIONS?

If you have questions about the SAGE Advance Budget process, contact sagehelp@uw.edu