



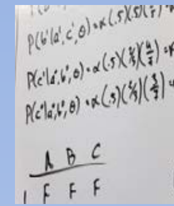

Successful Grants for Graduate Students

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Speakers

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Grants 4 Grads

Your Goal

Successfully take your intriguing idea
from conception
to funding
to publishing

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Outline

Overview
- Research administration lifecycle

Focus
- Roles & responsibilities
- Proposal submission process
- Tools

Resources
- Tips and best practices

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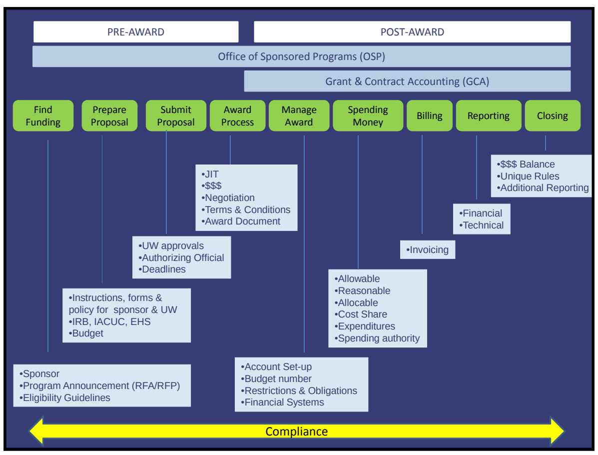
It All Begins with an Idea

- Your research idea can come from anywhere
- It must intrigue you
- You must be fired up about it

- Now, hone the idea
- Express it in 3-4 major bullet points
- Start getting feedback & refine your idea

- See Grantsmanship handout



Who is Involved?

- Principal Investigator (PI)
- Mentor
- Grad Student
- Post Doc
- Sponsor
- Your Research Administration Mentor

Which Offices are Involved?

- Your department
- Your dean's office
- Office of Sponsored Programs (OSP)
- Compliance Offices:
  - Human Subjects Division (HSD)
  - Office of Animal Welfare (OAW)
  - Environmental Health & Safety (EH&S)

Department & Dean's Offices

- Administrative staff are your new best friends!
- Identify local business process
- Direct you to research administration resources
- Provide guidance/oversight with compliance and budget
- Approve your funding proposal

Office of Sponsored Programs

- Authorized office to approve proposals and accept awards on behalf of UW
- Answers questions about proposal development and compliance documentation
- Grant Information Memoranda (GIMs)
- GIM 19 – internal UW deadlines

GIM 19

Internal UW Deadlines for Proposals to Outside Agencies

- 7 Day Deadline
  - OSP needs to be able to do a meaningful review of the proposal
  - Final business elements and draft science
- 3 Day Deadline
  - 5pm 3 business days before sponsor deadline
  - Final documents ready to do to the sponsor

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Compliance Offices

- Separate application process
- HSD & OAW have committee review based on federal regulations
- EH&S oversees employee safety and research safety at UW
- For additional information watch the webcasts – URLs on the Resource Sheet

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Proposal Submission

- START EARLY
- Follow sponsor instructions and submission process – eligibility, requirements, format, deadlines
- Create a planning calendar
- The Budget is the financial expression of your scope of work
- Submit compliance applications as needed
- Get access to systems
- Feedback, feedback, feedback!
- Revise, revise, revise

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ORIS

Office of **R**esearch **I**nformation **S**ervices

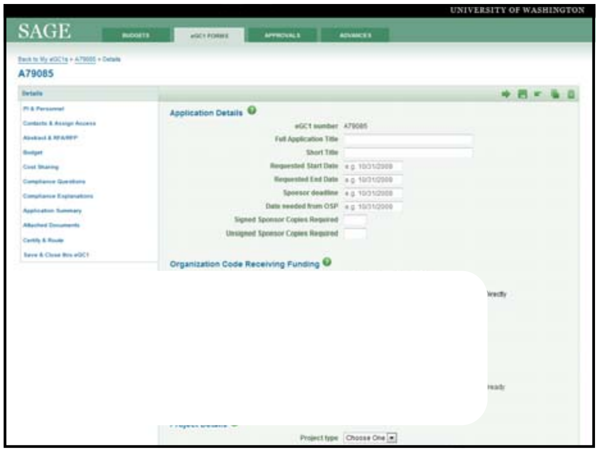
- Create an integrated information management system that will enhance the ability of faculty, administrators, and staff at UW to procure and administer research grants and contracts.
- Improve services to Principal Investigators and staff by:
  - Enhancing your ability to obtain funding
  - Reducing your administrative workload
  - Streamlining the proposal process

SAGE

System to **A**dminister **G**rants **E**lectronically

- **Use SAGE to:**
  - Prepare, submit, and track your grant proposals
  - Route your proposal for online review and approval
  - Build your budget using a tool integrated with payroll systems and customized to comply with UW research and accounting rules
  - Request advance budgets on approved projects

www.sage.uw.edu



FIDS

Financial **I**nterest **D**isclosure **S**ystem

- FIDS makes the significant financial interest (SFI) disclosure process electronic and seamlessly integrates with SAGE to allow PIs and administrators to easily track compliance.
- **Use FIDS to:**
  - Submit significant financial interest (SFI) and travel disclosures
  - Track the review status of SFI disclosures

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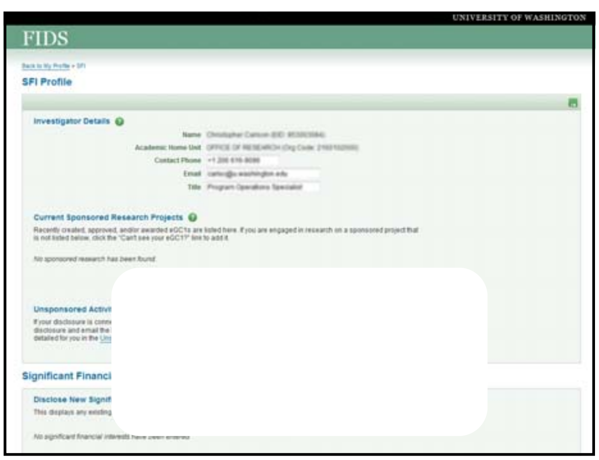
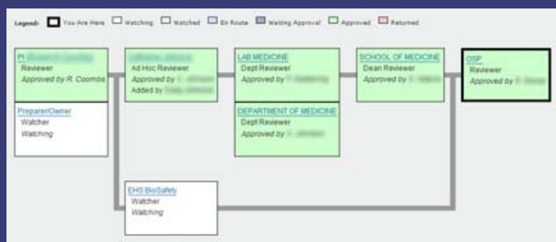


Approval Process



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Submission to Sponsor

- Almost always required to be done by OSP
- Sponsor systems
  – Grants.gov (portal to federal agencies)
  – NIH eRA Commons
  – NSF Fastlane

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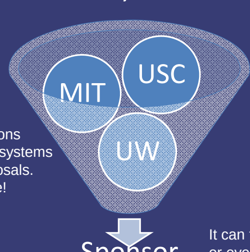
First to Submit, First to Arrive!



All research institutions are using the same systems to submit their proposals. First in, first to arrive!

Sponsor Systems

It can take up to **48 hours** or even longer for Grants.gov or electronic sponsor systems to process applications once they are submitted by OSP.

Submitting early remains the best way to ensure successful submission

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Proposal Development Resources

- Sponsor websites
- Graduate Funding Information Service (GFIS)
  - gfis@uw.edu to request an appointment
  - Drop-in hours, databases and recordings http://commons.lib.washington.edu/services/gfis
- OSP
- ORIS
- Compliance Offices: HSD, OAW, EH&S

Questions?

Thank You

Feel free to contact us with future questions.

Tips for Successful Proposal Writing

Taken from the Faculty Brown Bag Session: Basic Grantsmanship & Proposal Development,
Paul Yager and Lynne Chronister (10/21/11)

Things to do BEFORE Writing

1. Match your interests to the needs/desires of a funding source
    a. Plan to work on an idea that is recognized by the funding agent(s) to be clinically/practically VERY important
2. Have a technical approach that differs from that of others well-known in the field
3. Have a technical approach that leaps over a major hurdle in the science/technology development
4. Assemble a perfect team for carrying out the work (and, ideally, translating the work into clinical practice at very low cost)
5. Honestly assess the competition (teams and technology)
6. Understand how YOUR work could change the world
7. Have a good set of ideas that seem to match the area of interest of a funding agency
8. Consult colleagues who have been funded by the target agency
9. Call around to connect with the right people at the funding agency
10. Travel to the funding agency (yes, it costs money!)
    - Plan ahead to make sure to meet for at least an hour with the most appropriate funding agent
    - Meet as many additional people as possible
    - Give a talk on your latest work to as many of those people as your funding agent can gather
    - Take careful notes of what they tell you
11. Repeat every ~2 years

Things to do IN writing the proposal

1. If possible, response to an RFP rather than submitting a user-initiated proposal
2. Read the RFP very very carefully
3. Respond to what they say they want
4. Respond to EVERYTHING that they say they want
5. Check at the end to make sure that you covered everything (and then some)
6. Start with an outline
7. Don't write on days when you're not manic
8. Over time, develop proposal co-authors who you trust with your life

How to Write the Proposal

1. Short sentences—never make the reader work to figure out what you mean
2. Mix up writing styles—use the first person very sparingly, and mostly for emphasis.
3. Be sure to grab the reviewer's attention as early as possible (the title is a good place to start), but the first page is THE MOST IMPORTANT ONE. If you've lost them there, you're done
4. **Design** the proposal to allow the reader to skim and still clearly get the point of your whole proposal
   - Bold headers for every paragraph?
   - Italicized topic sentences?
   - Have the <u>whole story</u> in figures and their captions (like the National Geographic Magazine)
   - Include a few gorgeous (memorable) graphics that VERY CLEARLY illustrate what you're trying to do (or get their curiosity going), and put the best one **on page one**
5. Include one really catchy new phrase or acronym that will get stuck in their heads like an earworm
6. As in good orchestral music, a wide dynamic range can be used to your advantage
   - Don't be afraid to **"shout"** when you need to get their attention (remember it's 2 AM and yours is the 30th proposal)

- Scatter **bold-face type,** *italics* and <u>underlining</u> for emphasis for the things you don't want them to forget

- Don't wear them out with too many superlatives

7. Never exaggerate

8. Make sure they understand that you understand the practical issues of "translating" your work to the real world (and that you have a great plan to solve them)

BEFORE You Submit

1. Find friends whom you trust, and from whom you can take harsh criticism

2. Always leave time to let a colleague review the outline

    - Have them tell you if the idea is not good enough, the team is wrong, or the match with the RFA is poor

    - Be ready to scrap it completely if you can't find one colleague who is enthusiastic

3. Always leave time to let a colleague review the near-final draft

    - Have them tell you if it has any flaws

    - Leave time to make corrections as needed

4. Have a real non-expert read the near-final draft

    - If your significant other doesn't understand the basic idea, you haven't been clear enough

5. Revise, revise, revise! It should glow when you're done.

6. Note that all this takes time!

Things NOT to Do

1. Try to force your favorite idea onto a funder, even if it is not a good match to their interests/RFP
2. Rush the proposal-writing process
3. Send in something not ***thoroughly*** proofed
4. Adjust your writing effort to the budget size
5. Collaborate just for the sake of making nice
6. Pick team members just on the recommendations of others
7. Whine when you're not funded (revise or move on!)
8. Get discouraged

A Few Tips

1. Read the directions / Follow the directions!
2. Always be positive!
3. Be creative…but not too creative!
4. Know your audience
5. Write to your audience
6. Know the review process
7. Proof your proposal!

Selected Glossary of Common Terms Sponsored Projects Terminology

Introduction to Research Administration Course
Revised November 2012

Allocable Costs

- Costs on a project are allocable only if they benefit the project specifically. At the proposal stage this should be documented in the budget justification section of the application. At the post-award stage (spending the money) proof that the cost is directly related to the project must be documented.

Allowable Costs

- Costs on a project are allowable based on the sponsor instructions, A21, UW policy and the sponsor award document. Only allowable costs should be included on a proposal budget and expended.

Application

- A set of forms and format to request funding from a specific sponsor. Sponsors usually have their own application forms, instructions and submission process. See the funding announcement for this information.

Authorizing Official

- The person designated to approve proposals and awards on behalf of the University of Washington. The signature of an authorized official certifies that commitments made on grant proposals or contract agreements can be honored; and ensures that all sponsored agreement s conform to federal regulations, agency guidelines, and University policies.

Award

- An Award is a sponsors agreement to provide funding, property or service in response to an application submitted by the UW. When the sponsor approves an award, a formal notice is sent by the sponsoring agency to OSP. This notice is usually in the form of a grant or a contract. Once OSP accepts the award they issue an electronic Funding Action (eFA) to Grant and Contract Accounting (GCA) who will establish a budget for the amount of the award.

Award document

- This formal documentation from the sponsor outlines the financial contribution to support a special project. It includes terms and conditions. The award document must be followed for the life of the project and includes project dates, restrictions and reporting.

Budget Number

- This reference number is assigned by Grant & Contract Accounting and facilitates spending from the project budget. Salaries, benefits, supplies, equipment, services, etc. are all changed to the budget number.

Carry forward

- Unexpended award funds that are allowed by the sponsor agency to the moved into the next funding period (typically one year).

Clinical Research Budgeting & Billing Office (CRBB)

- The CRBB provides budget review and preparation, budget negotiation with industry sponsors, and billing support to clinical research investigators and staff.

- Clinical research contracted through the University of Washington must be reviewed by the CRBB. This includes clinical services, items or tests that are provided by UW Physicians, Seattle Cancer Care Alliance or UW Medicine hospitals or clinics, including UW Medical Center, Harborview Medical Center, Eastside Specialty Center, Hall Health Primary Care Center and Sports Medicine Clinic.

Contract

- An award instrument used for acquisition, by purchase, lease, or barter, of property or services.

Cost Sharing

- Financial contribution by the grantee (UW) or a third party to project demonstrating its commitment to the project. It is typically less than one-third of the total cost, more common in research grants and is a form of matching.

Department of Defense (DOD) is a sponsor.

Direct Costs

- Those costs that can be specifically identified with a particular project, program or activity. Examples include salaries, supplies and equipment.

eApprovals in SAGE

- The eApproval graph is generated based on the content of the eGC1 and the approval rules for your department, school or college. Email notifications are sent automatically requesting each unit to approve. When all campus units have approved, then the eGC1+application is routed to the Office of Sponsored Programs (OSP). For questions about SAGE, contact the SAGE Help Desk.

Environmental Health & Safety (EHS)

- Environmental Health & Safety is a UW administrative department that is responsible for addressing environmental issues in order to provide a safe educational and work place on campus.

eRA Commons

- Electronic Research Administration system for National Institutes of Health

Expenditures

- Any and all charges to a budget. These may include salaries, benefits, services, supplies, equipment and travel. All expenditures must be reasonable, allowable and allocable. MyFinancial.desktop displays budget expenditures for reference and reconciliation.

Export Control

- The federal requirement that controls the export, re-export and other activities regarding the export of sensitive materials, person or activities. Export transactions may require a license or other written approval by the US government, while others are prohibited.
- Export control laws govern:
  - The release of technology, technical data, software, and information to foreign nationals within or outside the US
  - The furnishing of defense services to foreign persions whether in the US or abroad
  - The shipment or other transmission of items or defense articles outside the US
  - The ability to export or otherwise transact with certain individuals, entities and countries.

Facilities & Administration (F&A)

- Those costs that pay for expenses which cannot be identified to a particular project, program or activity but are nevertheless necessary to the operations of the university. F&A costs are synonymous with Indirect Costs (IDC).
- F&A rate, expressed as a percentage, is established by negotiation on an annual basis. Current F&A rates can be found in GIM 13.
- F&A base type determines which budget items are excluded from the F&A calculation. There are several base types: MTDC = Modified Total Direct Costs, TDC = Total Direct Costs, S&W = Salaries and Wages, and TDC less T&E = Total Direct minus Tuition & Equipment.
- F&A cost are determined by multiplying the rate by the base amount.

Fastlane

- Online sponsored programs system for the National Science Foundation.

Financial Conflict of Interest (FCOI)

- A Significant Financial Interest (SFI) of an Investigator or Innovator that could directly and significantly affect the design, conduct, or reporting of research or adversely affect a technology transfer transaction.

Financial Interest Disclosure System (FIDS)

- The Financial Interest Disclosure System (FIDS) is the interface research investigators use to disclose Significant Financial Interests (SFI) in accordance with the UW's policy as defined in Grants Information Memorandum (GIM) 10.

Financial Status Report (FSR)

- Grant & Contract Accounting (GCA) generates this report…

Funding Opportunity Announcement (FOA)

- Published grant opportunities which usually have their own instructions, forms and requirements.

GC1

- This online form is submitted to the Office of Sponsored Programs along with proposal which contains the budget, institutional signatures, basic proposal information, addresses and policy issues. This online form is located in SAGE.

Grant & Contract Accounting (GCA)

- A department of Financial Management that helps set up grants, contracts and gift budgets in the Financial Accounting System. They invoice sponsors, manage related cash, prepare fiscal reports to sponsors and close grant budgets.

Grants Information Memorandum (GIM)

- GIM is the acronym for Grants Information Memoranda. GIM's define the policies and procedures associated with grant and contract awards/budgets an can be found on the OSP website under “policies”.

Grant Runner

- A component of SAGE that allows some grants applications to be submitted to Grants.gov electronically by OSP. SAGE combines the eGC1 and the sponsor forms for some funding opportunities (NIH R01s, R03s and R21s with modular budgets). UW institutional codes and some eGC1 information are pre-populated, there is automatic checking for required fields and common errors, and the status of the submission is documented in the History for easy tracking and reference.

Grant Tracker

- Once a budget number has been assigned to a project by GCA it will be available in Grant Tracker for reference.

Grants.gov

- The source to find and apply for federal grants. Users of this system must register
- Funding opportunities

INSPIRE

- Interdisciplinary National Science Program Incorporating Research and Education Experience

Intellectual Property (IP)

- Creative work or idea embodied in a form that can be shared or can enable others to recreate, emulate or manufacture. It is protected by trademark, trade secret or copyright. The UW Center for Commercialization (C4C) manages IP rights along with OSP.

Indirect Costs

- See Facilities & Administration (F&A) costs.

Institutional Review Board (IRB)

- Reviews and approves all proposed research projects that involve human subjects to insure that the rights of subjects are protected, that adequate and informed consent for their participation is obtained, and that any possible benefits of the research are commensurate with the risks involved. At the University of Washington the IRB is facilitated by the Human Subjects Division in the Office of Research.

IACUC

- Reviews and approves all use of vertebrate animals in teaching and research; monitors care and use of animals in laboratory and research programs to ensure humane treatment of animals in accordance with applicable laws and regulations. At the University of Washington the IACUC is facilitated by the Office of Animal Welfare.

Invoicing

- The process in which the university submits a request for payment to the sponsor.

Just-in-Time (JIT)

- In the research arena, it generally refers to the process of providing assurances and other information at the point that it is needed. For example, NIH requires various approvals and assurances prior to an award being made, but not at the proposal stage.

MyFinancial.desktop

- The UW system to access, review and reconcile expenditures.

National Institutes of Health (NIH) is a sponsor.

National Science Foundation (NSF) is a sponsor.

No Cost Extension

- An extension of the period of performance beyond the expiration data that allows the PI to complete a project; typically, no additional costs are provided.

Object Codes (UW) –

- The University of Washington Financial Accounting system (FAS) uses codes and categories track all expenditures. Object codes are further incremented into sub-object codes for greater detail.

Office of Sponsored Programs (OSP)

- A unit in the Office of Research at the University of Washington which supports and advises the entire academic community in securing external support for sponsored projects and collaborations. They review, negotiate, approve, and provide administrative oversight related to proposals and establishment of awards on behalf of the University of Washington in accordance with all applicable policies, and regulations.

Prime Institution

- The institution receiving the award from the sponsor.

Principal Investigator (PI)

- The individual responsible for the conduct of research or other activity described in a proposal for an award.

Program Announcement (PA)

- Describes existence of a research opportunity. It may describe new or expanded interest in a particular extramural program or be a reminder of a continuing interest in an extramural program.

Reasonable Cost

- A cost may be considered reasonable if its amount and nature reflect what a reasonable person would incur in the conduct of the same business in the same or similar circumstances.

Request for Application/Proposal (RFA or RFP)

- A specific solicitation for project ideas which may or may not involve a special allocation of funding, unique forms or other restrictions.

Research Administration

- The non-scientific responsibilities of funded projects are referred to as research administration. It includes preparing the proposal, fiscal and non-fiscal compliance and other activities throughout the lifecycle.

System to Administer Grants Electronically (SAGE)

- The SAGE Suite is the web-based system for supporting electronic Research Administration (eRA) at the University of Washington. The suite is comprised of three systems - SAGE, SPÆRC, and SERA - three views of a single database. Faculty, administrators, and staff submit funding applications and request advance budget numbers via SAGE. The Office of Sponsored Programs tracks and approves these requests via SPÆRC. The Grant and Contract Accounting office handles post-award functionality via SERA.

SERA

- This tool is part of the SAGE Suite. See 'SAGE' for more details.

Significant Financial Interest (SFI)

- Any financial interest that meets the threshold established in GIM 10 and is related to an investigator's research or, for Public Health Service funded investigators, to their institutional responsibilities.

SPAERC

- Sponsored Programs Administration and Electronic Research Compliance (SPAERC) is part of the SAGE Suite to tools to support research administration which is used by the Office of Sponsored Programs. See "SAGE" for more information.

Sponsor

- An outside agenda that provide funding or non-monetary project support. Examples: Department of Defense (DOD), National Endowment for the Arts (NEA), Annenberg Foundation, Fred Hutchinson Cancer Research Center (FHCRC).

Sponsored project

- Research funded by an outside agency, either through grant, contract or other transaction.

Status Checker

- This look-up tool extracts information about the status of new awards and administrative actions from SPAERC (OSP's administrative module in SAGE). Status Checker contains information for the past 60 days, and is updated each day at 6am.

Terms & Conditions (T&C)

- The contractual agreements approved by the sponsor and OSP. They are included in the award document.

ORIS Learning Job Aid

SAGE Quick Start

What it is

SAGE is a Web-based tool that supports the UW's internal compliance process by enabling the submission, routing, review, and approval of grant applications and subcontracts through the electronic Grant and Contracts Form 1 (eGC1).

When to use it

An eGC1 must be completed in SAGE in each of the following situations:

- When completing a grant pre-application in which:
  - the sponsor requires sign-off or electronic submission by the institutional official
  - a detailed budget is proposed
  - a commitment of University resources is made
- When applying for grants - including new applications, revisions, re-submissions, renewals, supplements, extensions and transfers from other institutions
- To acquire a budget number for funding that is received from a sponsor, in which the funding qualifies as a sponsored project per GIM 34
- When applying to be the subcontractor on a Subcontract

How to get access

To use SAGE, obtain ASTRA authorization from your designated ASTRA administrator. In ASTRA you may be assigned one or more SAGE roles: Principal Investigator, Proposal Preparer, Reviewer (Div, Dept, Dean), or Global Edit access.

- **Proposal Preparers** generally create the eGC1 and help in its preparation. They can access all eGC1s they have created.
- **Principal Investigators** (PIs) may create and/or help prepare the eGC1, and must review and approve all eGC1s for which they are the designated PI.
- The **Administrative Contact** and **Pre-Award Budget Contact** are named on the eGC1 and may respond to inquiries from reviewers, OSP, or GCA. They can access any eGC1 on which they are designated as a contact.
- **Assigned Access** individuals are given read-only or read-write access to a specific eGC1. They could have a role of preparer, PI, or reviewer.
- **Reviewers** can access any eGC1 that needs their unit's approval. They are responsible for reviewing and approving the eGC1s in their organizational code.
- **Global Edit** access may be assigned to individuals to view and edit routing, approved, etc., eGC1s for their unit.

The eGC1 process

Composing
Prepare the application or subcontract and complete the eGC1.

→

Routing
Reviewers view and approve the eGC1.

→

In OSP
OSP reviews and approves the eGC1.

→

Approved
OSP or PI/research team submits application or contract to sponsor.

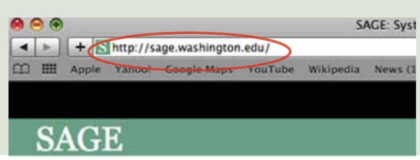
Returned/Withdrawn: The eGC1 may be returned by an approver or OSP, or withdrawn by the PI or research team, so that changes can be made.
Timeline: Allow one to five business days for routing and have your required documents and a draft scope of work in OSP seven business days before the sponsor deadline. The final scope of work needs to be in OSP three business days before the sponsor deadline.

SAGE acronyms

eGC1	electronic Grants and Contracts form 1
FIDS	Financial Interest Disclosure System
GCA	Grant and Contract Accounting
JIT	Just in Time
OSP	Office of Sponsored Programs
PI	Principal Investigator
RTS	Ready to Submit
SAGE	System to Administer Grants Electronically
SFI	Significant Financial Interest

Getting started

Since SAGE is Web-based, you can access it through your Web browser anytime and anywhere!
Before you start, turn off your pop-up blocker. SAGE conveniently displays some content in separate pop-up windows.
Access SAGE at: **sage.washington.edu**. Sign in with your UW NetID and password.



SAGE Helpdesk: sagehelp@u.washington.edu or (206) 685-8335, M-F: 8am-5pm
SAGE Learning: http://www.washington.edu/research/oris/learning or orislearn@u.washington.edu

Updated: Aug. 2012

SAGE Quick Start

Composing

Composing is the initial state of the eGC1 in which it is visible only to the PI, preparer, contacts, and anyone who has been assigned access. The eGC1 remains in Composing status until steps are taken to route it to Approvers and OSP for review and approval.

Creating the eGC1

To create a new eGC1, click the **Create New eGC1** button on your **My eGC1s** page.

Here are some quick tips to help you navigate through the eGC1:

- Use the left menu, or the **Previous** and **Continue** buttons to navigate through the pages.
- Information you enter is automatically saved when you navigate to another page.
- To save and close the eGC1, select **Save & Close this eGC1** from the left menu.
- To re-open an eGC1 (while it is still in Composing), click the eGC1 Number on the My eGC1s list.

A SAGE 101 class is available for more detailed explanation and practice in completing an eGC1. Visit SAGE Learning (see below) to register for a class.

Attaching documents

Grant applications, subcontract letters, and all supporting documents are attached to the eGC1 on the **Attached Documents** page. When attaching documents to your eGC1:

- Prepare the grant application before attaching it: order the pages in the sequence specified in the Sponsor's guidelines, and combine them into a single file.

- If you are using PDF format and there are signature pages, create a second PDF file containing a copy of just the signature pages.
- Attach all documents that will ultimately be submitted to the Sponsor under the **Documents to be Submitted to Sponsor** section.
- Attach documents that will not be submitted to the Sponsor, but are needed internally by OSP under **Internal Documents for OSP**.
- Attach documents that are required by your department but are not needed by either the Sponsor or OSP under **Internal Documents for Dept/School/College**.

Routing

An eGC1 in routing status is available to departmental Approvers and OSP for review and approval. During routing the eGC1 may be returned for modifications by an Approver or can be withdrawn by the Preparer or PI, if needed.

Preparing for routing

Before routing an eGC1, you may wish to delete any draft documents that are no longer needed. After the first approval, you will not be able to delete documents from the eGC1; you must update them.

Routing the eGC1

Prior to routing an eGC1, all investigators must have received notification that they are required to disclose SFI. To put your eGC1 into routing, click **Complete** - located at the bottom of the **Certify & Route** page.

Withdrawing the eGC1 to make changes

To remove your eGC1 from routing, click **Withdraw** - located on the **Certify & Route** page. Ready-to-Submit eGC1s in OSP can only be returned by OSP.

Updating documents

After the first approval you can replace existing documents by using **Update** to attach a newer version. This process leaves a history trail.

Putting the eGC1 back into routing after changes

When your changes are complete, put your eGC1 back into routing by clicking **Complete** on the **Certify & Route** page.
Note: Approvers who have already approved your eGC1 will not receive e-mails notifying them of the latest changes. This allows you to determine which Approvers need to be informed based on the nature of the change and to notify them accordingly.

In OSP

When all campus Approvers have approved the eGC1, its status is automatically changed to **In OSP**, and the OSP review officially begins. The PI, preparers, and Administrative Contact will be notified when this occurs.

Approved

Once all SFI disclosures are complete and OSP has approved the grant application or subcontract, it can be submitted to the Sponsor. You will no longer be able to withdraw the eGC1.

ORIS Learning Job Aid

SAGE Budget Basics

SAGE Budget

SAGE Budget enables you to create accurate, detailed budgets for your grant and contract proposals. An easy-to-use wizard expedites budget set-up; the comprehensive budget worksheet minimizes errors and improves data quality.

Why use SAGE Budget?

It's simple. Set up your budget in five easy steps.

It's accurate. SAGE Budget automatically populates your budget with real-time salary and benefits information, calculates budget totals for each period, and identifies the correct F&A rate.

It's efficient. Apply inflation rate for Salary, Tuition, and other line items across budget periods. Cascade entries on non-salary line items, so the values you enter in one budget period are automatically propagated to subsequent budget periods.

It's flexible. With the click of a button, you can copy a budget and reuse it as a template for future budgets.

It's tailored for the UW Research Community. SAGE Budget is customized to comply with UW Accounting Rules, so you needn't memorize object codes or look up the latest F&A rates.

It's tailored for you. At your request, we've recently added the features you want, including rounding, Targets & Limits, customizable decimal display, and version control.

It's convenient. Connect your budget to an eGC1, and they will route together so reviewers can easily see budget details in a standard format.

The Budget Wizard

Step 1: Properties	2: Periods	3: F & A	4: Assign Access	5: Targets & Limits

The Budget Wizard walks you through the first steps of setting up a budget. Once you complete the wizard, the budget you created will be available for review and modification from the Home page of SAGE Budget.

Step 1:	**Define Budget Properties**	**Global Attributes**	**Advanced Settings**
	Budget Title	Inflation rates	APL & Sea Pay
	Org. receiving funding	Rounding	Decimals
	Sponsor name	Cascade entries	Targets & Limits

Step 2: Define Budget Period start and end dates.

Step 3: Specify Funding Details and F&A Rate

- Select Type: Research, Training, Other Sponsored Activity
- Select Location: APL, On/Off Campus, Lake Union, or Harborview
- Select F&A rate. To use a standard rate, simply click **Get Rate**. To use a custom rate, specify the rate and items included in the base, and provide a justification.

Step 4: Set Access Rights – Specify others who may review or edit your budget.

Step 5: Set Targets and Limits (optional step)**--** Optimize use of available funds in your budget.

Access SAGE Budget

To sign in to SAGE, go to *http://sage.washington.edu/* and select the Budgets tab. To practice using SAGE Budget, sign in to the Training Server.

If you are unable to sign in, contact your unit's ASTRA Administrator to request access to SAGE.

Connect a Budget

To import budget data into your eGC1, go to the Budget page on your eGC1, click the **Connect a Budget** link and select your budget.

Any updates to your budget worksheet automatically display on the budget page of the connected eGC1. When a budget is connected to an eGC1, it shares the same routing path, and all users who have access to the eGC1 also have read-only access to the budget.

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SAGE Budget Basics

Navigate SAGE Budget

When you finish the wizard, SAGE Budget will display the following tabs which you can use to navigate your budget.

Worksheet

The SAGE Budget worksheet helps you organize your budget using standard UW object-sub object codes. When you add people, their current salaries and benefit rates are automatically added. You can also manually change salaries and add "TBD" personnel.

Sub Budgets

You can create three types of sub budgets in SAGE budget:

- Internal UW sub budgets are displayed in the parent budget as a single line item for each object code, and they inherit all of the parent's UW business rules, benefit rates, and F&A settings. You can also specify other rates.
- Fabrication sub budgets roll up to a single line on the parent under the (06) Equipment category.
- Subcontract sub budgets roll up to a single line on the parent budget under the (03-62) Other Contractual Services category. Subcontracts support custom external F&A rates and external benefit rates.

If the parent budget is connected to an eGC1, the sub budgets will route with it and be viewable by approvers.

F&A (Facilities & Administration)

SAGE Budget automatically calculates the correct F&A rate (also known as "overhead" or "indirect costs") based on the project location, type of research, and budget periods you specify. SAGE Budget also calculates F&A rates that change from one year to the next and applies the appropriate rate to each period of your budget.

You can apply split F&A rates to your budget by creating a sub budget for any part of your proposal that requires a different F&A rate from the parent budget.

You may also specify a custom F&A rate and select the budget items where the F&A will be applied.

Targets & Limits

With auto-adjusting entries, you can set a period minimum and maximum amount for specific Budget Line Items and prioritize the order in which remaining funds are allocated to each line item. This function is particularly helpful when you anticipate having some unspent dollars in your budget and would like to optimize the funds available in specific areas.

Target budget amounts may be applied by: 1) total direct costs only, 2) total direct costs less subcontract (consortium) F&A (only for subcontracts built using the sub-budget feature), or 3) total costs.

History

Track changes to your budget and access previous versions. New Budget Edit Numbers in the Budget History enable you to see when a budget has been revised and to read comments associated with those changes.

EApproval History & Comments for any connected eGC1s are also displayed below the Budget History.

ORIS Learning Job Aid

FIDS

Background

Conflicts of interest in research may occur when outside financial interests compromise, or have the appearance of compromising, the professional judgment of a researcher when designing, conducting, or reporting research.

The UW's Financial Conflict of Interest policy (GIM10) seeks to maintain the appropriate balance among all competing interests that have the potential to produce bias in the design, conduct, or reporting of the research or distort technology transfer transactions.

Definitions

Investigator: The Principal Investigator (PI) and anyone, regardless of title or position, that the PI identifies as independently responsible for the design, conduct, or reporting of research.

Significant Financial Interest: Financial interests in an entity (which could include compensation, equity, intellectual property, gifts, and/or travel) that when aggregated together exceeds certain thresholds in the UW's FCOI policy (GIM10).

Financial Conflict of Interest: An SFI that could directly and significantly affect the design, conduct, or reporting of research.

Investigator Responsibilities

All UW Investigators

- Submit disclosures through the Financial Interest Disclosure System (FIDS).
- Understand the minimum monetary thresholds for reporting SFI.
    - o For Publicly Traded Entities: $5,000 threshold for aggregate of all financial interests (Compensation, Equity, Intellectual Property, Sponsored or Reimbursed Travel) in a particular publicly traded entity.
    - o Private (Non-Publicly Traded) Entities: $5,000 threshold for aggregate of Compensation, Intellectual Property, Sponsored or Reimbursed Travel or ANY Equity in a particular private entity.

Public Health Service (PHS)-Funded Investigators Only

- Complete required online FCOI training every 4 years
- Disclose all Sponsored and Reimbursed Travel through FIDS
- Understand that some details of FCOI management plans will be made available on a publicly-accessible website

What is FIDS?

FIDS is the UW's Financial Interest Disclosure System. FIDS replaces the University's prior paper-based SFI disclosure process. For every funding proposal, all investigators must use FIDS to electronically disclose whether or not they have SFI.

When to use FIDS

Investigators must submit disclosures in FIDS:

- Prior to submission of proposals for funding
- Within 30 days of an acquisition or change in the investigator's SFI
- (PHS-Funded Investigators Only) Within 30 days of any sponsored or reimbursed travel

Steps to Disclosing in FIDS

To satisfy the disclosure requirement for new funding proposals:

- Look for the notification email from sagemail@uw.edu with an "Action Required" subject line. Click the link to the FIDS homepage.
- Log into FIDS with your UW NetID.
- In the Disclosure section of the SFI Profile page, click the "Complete Disclosure" button.
- Walk through system-prompted steps to disclose whether or not you have SFI.

Tip: Clicking the "Complete Disclosure" button is the only way to link your SFI to your research.

For training, FAQs, FIDS tool, and the FIDS user guide visit:
http://uw.edu/research/tools/systems/fids

My Notes