School of Education
The SOE Office of Research and Engaged Scholarship

Principal Investigator Handbook
# Table of Contents

Sponsored Programs Contacts  Page 4  
Life Cycle of Grant  Page 5  

**Pre-Award**  
Planning and Submitting your Proposal  Page 7  
Proposal Development  Page 8  
Frequently Requested Information  Page 9  
UW-Milwaukee - Facts at a Glance  Page 10  
School of Education - Facts at a Glance  Page 11  
Milwaukee Public Schools- Facts at a Glance  Page 12  
City of Milwaukee- Facts at a Glance  Page 13  
UW-Milwaukee Grant Management Capacity  Page 14  
Data Management Plan  Page 15  
Award Submission Responsibilities  Page 16  
WISPER  Page 17  
WISPER Budget and Budget Narrative  Page 18  
Budget Development  Page 19  

**Post-Award**  
Award Management Overview  Page 21  
Managing your Grant Funds  Page 22  
Grant funding string  Page 23  
WISDM Financial System  Page 24  
Paying Consultants and Collaborators  Page 25  
Purchasing - Chart  Page 26  
Payments to Research Subjects  Page 27  
Direct Payment Form (payments with vendor invoice)  Page 28  
Payment to Individuals (payments without invoices)  Page 29  
External Requisition (Purchase Orders and Blanket Accounts)  Page 30  
Travel Expense Report (reimbursement of expenses)  Page 31  
Visa Purchasing Card (credit card billed directly to grant)  Page 32  
Effort Reporting  Page 33
<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Award Close Out processes</td>
<td>34</td>
</tr>
<tr>
<td>Policy on Dangling Research Accounts</td>
<td>36</td>
</tr>
<tr>
<td><strong>Appendix A</strong> – Budget Narrative Template</td>
<td>37</td>
</tr>
<tr>
<td><strong>Appendix B</strong> - S&amp;E Funding for Research Collaborators form</td>
<td>38</td>
</tr>
<tr>
<td><strong>Appendix C</strong> - Employee/Independent contractor Checklist</td>
<td>39</td>
</tr>
<tr>
<td><strong>Appendix D</strong> - Example of a Payment Funding String</td>
<td>41</td>
</tr>
<tr>
<td><strong>Appendix E</strong> - Common Account Codes</td>
<td>42</td>
</tr>
<tr>
<td><strong>Appendix F</strong> - Sample of a Direct Payment form</td>
<td>44</td>
</tr>
<tr>
<td><strong>Appendix G</strong> – URL for links in the document</td>
<td>45</td>
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</tbody>
</table>

Version 2.2, Summer 2015- S. Osborne
Sponsored Programs Contacts

**SOE Office  Research & Engaged Scholarship**

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Associate Dean  
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cmwalker@uwm.edu

Sarah Osborne  
Pre and Post Award Administration  
END 389  
Milwaukee, WI 53201  
(414) 229-3024  
sosborne@uwm.edu

**Office of Sponsored Programs**

Proposal Development Services  
Michelle Schoenecker  
(414) 229-4421  
schoene7@uwm.edu

Kari Whittenberger-Keith  
(414) 229-4062  
kariwk@uwm.edu

Pre-Award Administration  
Katherine Kober  
(414) 229-5692  
odonnelk@uwm.edu

Post-Award Accountant  
Eva Hoaglund  
(414) 229-2715  
hoaglund@uwm.edu

Sub-Awards/Contracts  
Mark Doremus  
(414) 229-6302  
doremus@uwm.edu
Using this Handbook

The handbook is not a complete guide to grant application or program administration, but a guide to help you, understand the basic processes that affect the life of a grant, and direct you to the correct resource for your situation.
Pre-Award Information
Planning your Proposal

Do you need assistance with finding funding or writing your proposal?
Contact - Kari Whittenberger-Keith in OSP proposal development services. (kariwk@uwm.edu)

Do you need assistance with finding faculty collaborators or community partnerships for your research?
Contact - Cindy Walker, SOE Associate Dean of Research (cmwalker@uwm.edu)

Do you need assistance with budget development, rules and regulations, submission packets, and WISPER routing
Contact - Sarah Osborne, SOE Office of Research (sosborne@uwm.edu)

Submitting your Proposal

Complete submission packet documents

Finalize narratives, budgets, sub-awards, and letters of commitment

Create WISPER Record, with Budget, Abstract, Budget Narrative, Sub-award documents, & route to Sarah Osborne for approvals

OSP will provide authorized signatures

Sarah Osborne will route for SOE approvals. SOE Assoc. Dean will route to OSP

- OSP submits to sponsor for Federal proposals
- PI submits to sponsor for non-Federal proposals

● OSP submits to sponsor for Federal proposals
● PI submits to sponsor for non-Federal proposals
Proposal Development

Each agency that provides research funding has unique missions, goals, and program guidelines. Identify the agencies whose missions are closest to your research interests. Learn their priorities and programs. Keeping these in mind when establishing your research program may increase your chances of getting funded.

Resources for developing research proposal

- Office of Sponsored Projects, Proposal Development Services advises and assists faculty in the research, planning, development, writing, and administrative coordination of scientific/technical, scholarly, and public service grant and contract proposals to secure extramural funding. If you would like assistance developing your proposal contact, Kari Whittenberger-Keith kariwk@uwm.edu (414-229-4062) or Michelle Schoenecker schoene7@uwm.edu (414) 229-4421

Where to find Internal Seed Funding and Support Programs

- Links to the Research Growth Initiative (RGI), and Research and Creative Activities Support (RACAS) Awards; Research Fellows; travel awards can be found here

Where to find external funding opportunities

- The University of Wisconsin Milwaukee subscribes to several external searchable databases, Faculty and staff can access these databases through the Office of Sponsored Projects Finding Funding page
  - PIVOT (formerly Community of Science): A comprehensive database of funding opportunities, funding alerts, and expertise.
  - FedBizOpps: Contracting opportunities with federal agencies (updated daily)
  - Federal Register: Federal funding announcements (updated daily)
  - Foundations in Wisconsin: Profiles the largest operating foundations in Wisconsin.

Other useful information for developing your proposal

- UWM Data Sources for Proposal Development
- UWM Fact Book
- Research Compliance
- UWM Academic Calendar
- Tuition Rate Schedules
- Rates for Developing Budgets
# Frequently Requested Information

The link to additional information, typically required for the development and submission of proposals, can be found [HERE.](#)

<table>
<thead>
<tr>
<th>Legal Name of Applicant</th>
<th>The Board of Regents of the University of Wisconsin System on behalf of the University of Wisconsin-Milwaukee</th>
</tr>
</thead>
</table>
| Authorized Signatures for the Board of Regents of the University of Wisconsin System (the Institution). | Thomas R. Marcussen  
Director, Office of Sponsored Programs  
Office of Research  
University of Wisconsin-Milwaukee  
Mitchell Hall 273  
Phone: (414) 229-4537/3332  
Fax: (414) 229-5000 |
| *For all application submissions, the official institutional e-mail is [grant-notice@uwm.edu.](mailto:grant-notice@uwm.edu) This e-mail is monitored throughout each business day to ensure prompt responses by OSP staff.* |
| Address of Institution and Contact Telephone Number | Office of Sponsored Programs  
UWM Office of Research  
P.O. Box 340  
Milwaukee, WI 53201-0340  
Phone: (414) 229-3332 |
| Employer Identification Number (EIN) and Federal Tax ID Number | 39-1805963 |
| Type of Institution | The University of Wisconsin-Milwaukee, a state agency, is a public, nonprofit educational institution exempt under Section 115 of the IRS code. In addition, donations, gifts, etc. to UWM are exempt under Section 170(c)(1). [UW System Office of General Counsel letter regarding UW System tax exempt status](mailto:UW System Office of General Counsel letter regarding UW System tax exempt status) |
| U.S. Congressional Legislative District | WI-004 |
| Wisconsin Senate Legislative District | 7 |
| Wisconsin Assembly Legislative District | 19 |
UW-Milwaukee - Facts at a Glance

As Wisconsin’s only public urban research university, UWM has established an international reputation for excellence in research, community engagement, teaching and entrepreneurism. The Princeton Review named UWM a “2015 Best in the Midwest” university based on overall academic excellence and student reviews. In 2014, the U.S. Department of Education named UWM a National Resource Center for Global Studies, recognizing the university’s ability to strengthen global competitiveness through international studies and world language training.

**Operating Budget (2014/15)**

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>State appropriations</td>
<td>$130,046,000</td>
<td>24%</td>
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<tr>
<td>Student tuition</td>
<td>$234,206,000</td>
<td>43%</td>
</tr>
<tr>
<td>Other operating receipts</td>
<td>$123,183,000</td>
<td>23%</td>
</tr>
<tr>
<td>Federal aid, grants &amp; contracts</td>
<td>$45,000,000</td>
<td>8%</td>
</tr>
<tr>
<td>Gift fund income</td>
<td>$13,215,000</td>
<td>2%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$545,650,000</strong></td>
<td></td>
</tr>
</tbody>
</table>

*The “true operating budget” differs from the published budget in that it excludes federal financial aid, a pass-through to students, and includes credit outreach tuition revenues that are traditionally not included in UWM’s budget.*

**Employees (2014/15)**

- 1,703 faculty/instructional staff
- 1,063 academic staff
- 1,013 classified staff
- 3,779 total employees

**Enrollment (2014/15)**

- Total Enrollment: 28,042
  - Undergraduate: 23,108
  - Graduate: 4,934
  - Wisconsin residents: 23,956
  - Non-residents: 4,086
  - Women: 14,798
  - Men: 13,244

1,562 international students represent 80 countries. UWM students come from 48 states, D.C., Puerto Rico and overseas military bases.

**Academic Programs**

- 186 programs offered
- 93 bachelor’s degree programs
- 59 master’s degree programs
- 34 doctoral degree programs

**Community Engagement**

UWM has been building bridges and nurturing partnerships with nonprofits and service providers across southeastern Wisconsin for nearly 30 years. In 2015, the White House and Carnegie Foundation recognized UWM for this work with two major commendations, a spot on the President’s Higher Education Community Service Honor Roll and a community engagement classification from the Carnegie Foundation for the Advancement of Teaching. On average, our students volunteer 43,000 hours per year, and UWM faculty, staff and students partner with more than 125 organizations in southeastern Wisconsin.
School of Education - Facts at a Glance

UW-Milwaukee School of Education is Wisconsin’s premier school for the study, research and practice of urban education, the UW-Milwaukee School of Education prepares students to be leaders in their field - as teachers, adult educators, administrators, community leaders, researchers, counselors, sign language interpreters, trainers in the business community and much more.

Points of distinction: 80% of our students remain in Southeast Wisconsin after graduating. It is estimated that UWM supplies 50% or more of teachers and other education leaders to Milwaukee Public Schools, and uniquely prepares them for life in urban classrooms.

- In 2013-14 the School of Education placed 1,134 undergraduate teacher education students in 32 different school districts in over 190 different schools across South Eastern Wisconsin.
- We have trained the majority of school and community counselors in the Milwaukee area since 1970.
- We offer the only public four-year degree Interpreter Training Program (ITP) in Wisconsin that prepares students to work with persons who are Deaf and Hard of Hearing in a variety of settings.
- SOE offers 20 teaching education certification programs and the only PhD in Urban Education in Wisconsin.

Enrollment (Spring 2015)

1,447 Undergraduate 711 Graduate 2,158 Total

Programs

Bachelor of Science (B.S.)
- American Sign Language Studies
- ASL/English Interpretation
- Community Engagement & Education (CEED)
- Early Childhood Education
- Educational Studies
- English Education
- Mathematics Education
- Middle Childhood – Early Adolescence Education
- Science Education
- Second Language Education: Early Childhood – Adolescence
- Social Studies Education
- Special Education Early Adolscence
- Special Education Early Childhood

Master of Science (M.S.)
- Adult & Continuing Education Leadership
- Cultural Foundations of Education (CFE)
- Curriculum & Instruction Graduate Studies
- Deaf and Hard of Hearing
- Deaf and Hard of Hearing – Online
- Early Childhood Education
- Educational Administration & Supervision
- Educational Statistics & Measurement
- English Education
- Higher Education Administration
- Learning & Development
- Master of Science in Exceptional Education
- Mathematics Education
- Middle Childhood – Early Adolescence Education
- Reading Education
- School & Community Counseling
- School Psychology
- Science Education
- Second Language Education: Early Childhood – Adolescence
- Social Studies Education

Specialist (Ed.S.)
- School Psychology

Doctor of Philosophy (Ph.D.)
- Counseling Psychology
- Educational Statistics & Measurement
- Learning & Development
- School Psychology
- Urban Education Doctoral Program
Milwaukee Public Schools - Facts at a Glance

Milwaukee Public Schools is committed to accelerating student achievement, building positive relationships between youth and adults and cultivating leadership at all levels. The district’s commitment to improvement continues to show results:

- More MPS students are meeting reading standards
- The MPS Class of 2014 earned $31 million in scholarships, up $7 million; and MPS is home to 4 of the state’s top 15 high schools according to *U.S. News and World Report*

**There are 157 schools in MPS. They include:**

- 43 K-5/K-6 elementary schools
- 66 K-8 schools
- 9 multi-grade (K-12, 6-12) schools
- 6 middle schools
- 19 High schools
- 14 Alternative schools
- MPS offers neighborhood specialty, charter and partnership schools including Early Childhood/Head Start sites.

**Enrollment + demographics**

77,391 students (2014–15 data) including:

- 0.7% Native American
- 6.0% Asian
- 13.9% White
- 24.6% Hispanic
- 54.7% African American

**Graduation rates**

*(2012–13)*: 4-Year: 61%; 5-Year: 71%; 6-Year: 73%

**Attendance and mobility**

**Attendance Rate for 2013–14:** 89.9%

**Mobility Rate for 2012–13:** 14.7% of students moved to a new MPS school after the start of the school year.

**District academic performance**

State test results – Nov. 2013, Percentage proficient or advanced

- **Reading MPS:** 15%; MPCP (Voucher program): 12%; State: 37%
- **Math MPS:** 19%; MPCP (Voucher program): 16%; State: 49%

**Budget**

Total budget: $1,170,412,143 (includes grant and Milw. Recreation funding) School operations budget: $968,656,551. 86% pays for school-based staff and supplies for educating children, 8% pays for non-school based staff and services to support schools, 6% pays for operations expenses. Per-student funding for comparison purposes: $9,921 (2012–13 data)
City of Milwaukee – Facts at a Glance

Milwaukee, the largest city in the State of Wisconsin, and the 31st most populous city in the United States, is located on the southwestern shore of Lake Michigan. According to 2010 census data, the City of Milwaukee has a population of 594,833. Milwaukee is the main cultural and economic center of the Milwaukee–Racine–Waukesha Metropolitan Area with a population of 2,040,498 as of an official 2013 estimate. This ranks the region as the 29th most populous Combined Statistical Area of the United States. In 2012, Milwaukee was listed as a gamma global city by the Globalization and World Cities Research Network.

Population:
1.57 Million in the Greater Milwaukee area
(Source: US Census Bureau 2013)
- City of Milwaukee – 599,164 (#31 in U.S.)
- Milwaukee County – 956,023
- Waukesha County – 393,843
- Washington County – 132,739
- Ozaukee County – 87,054
- Total 4-County area – 1,569,659

7 fortune 500 Companies in the city:
(Source: Fortune.com)
- Johnson Controls
- Northwestern Mutual
- Manpower Group
- Kohl’s
- Rockwell Automation
- Joy Global
- Harley-Davidson

Breakdown of Employment by industry:
(Source: Metropolitan Milwaukee Association of Commerce)
- Total nonfarm employment: 807,900
- Construction, mining & natural resources: 26,000
- Manufacturing: 113,100
- Trade, transportation, & utilities: 138,700
- Information: 15,600
- Financial activities: 55,500
- Professional & business services: 105,500
- Educational & health services: 148,200
- Leisure & hospitality: 68,300
- Other services excluding public: 45,700
- Government: 91,400

Demographics City of Milwaukee
(2010 census) population (rank): 594,833 (28);
Male: 286,949 (48.2%);
Female: 307,884 (51.8%);
White: 266,339 (44.8%); African American: 237,769 (40.0%); Hispanic/Latino: 103,007 (17.3%); Asian: 20,851 (3.5%); American Indian and Alaska Native: 4,695 (0.8%); other race: 44,650 (7.5%); Two or more races: 20,288 (3.4%).
UWM’s capacity and experience at managing large grants (Boiler Plate Language)

UWM has an electronic, Internet-based accounting system that assists principal investigators and project directors with financial management. The system allows for the creation of individual grant and contract award accounts so as to segregate funds for a particular project from other grant or contract funded projects, as well as other funds used for university operations. UWM’s accounting system provides a detailed breakdown of expense categories (e.g., personnel, fringe benefits, travel) and the ability to view the original budgeted amount and the actual expenses incurred. The accounting system is linked to UWM’s payroll/human resources system, which allows for the verification of time and effort of project personnel towards each funded project.

UWM manages more than $60 million in federal grants and contracts annually; as a publicly controlled institution of higher education of the State of Wisconsin, UWM is subject to A-133 audits annually. UWM’s most recent audit, for the period July 1, 2013 through June 30, 2014 and available online at http://legis.wisconsin.gov/lab/reports/15-2full.pdf, had no findings for its sponsored programs activity.
Data Management Plan

Many federal sponsors require Principal Investigators to include with their proposal a plan that describes how the data generated from the funded project will be accessed, stored, managed, and shared. UWM Library Data Services offers comprehensive data management planning support and training. Additionally, UWM Library Data Services publishes a Data Management Guide for researchers on our campus. Guidance is also available from a host of online resources, including:

- **Department of Energy Data Management Plans**: Effective October 1, 2014, all new, renewal, and some supplemental requests for funding to the Department of Energy Office of Science will require the inclusion of a Data Management Plan.

- **DMPTool**: A free tool to help you develop data management plans for most NSF and NIH applications.

- **Inter-University Consortium for Political and Social Research (ICPSR)**: Useful for researchers in the social sciences and humanities, this site provides data management plan creation, implementation, and monitoring information, and hosts data in a repository for public access.

- **Institute of Education Sciences**: Useful guidance for education researchers on data sharing and management.

- **MANTRA Research Data Management Training**: MANTRA is a free, online course to provide best practices on data management, use, maintenance, and security.

- **National Institutes of Health**: Guidance and resources for developing data sharing and management plans for NIH-funded projects.

- **National Science Foundation**: Data management plans are required for all NSF proposals. Each Directorate has its own content requirements for data management plans; however, program solicitations that provide specific guidance/instructions on data management plans supersede Directorate-wide guidance and must be followed.

- **UWM Data Publishing Guide**: In addition to various federal agency data sharing requirements, many academic journals also require researchers to share data following publication.
Proposal Submission Responsibilities

The Principal Investigator has primary responsibility for:

- Developing proposal and budget documents.
- Preparing sponsor requested submission documents.
- Approving WISPER record as PI.
- Submitting and following up on proposals submitted to non-Federal sponsors.

The Associate Dean’s Office has primary responsibility for:

- Providing application submission templates and training.
- Assistance with the creation of the WISPER record.
- Final proposal narrative review, if requested.
- Reviewing proposal submission documents.
- Approving proposal budget.
- Approving proposals for submission on behalf of the School of Education.
- Routing WISPER record to Office of Sponsored Programs

Office of Sponsored Programs has primary responsibility for:

- Assisting Principle Investigator with finding funding opportunities.
- Providing assistance with proposal narrative development and review.
- Approving proposals for submission on behalf of the University.
- Providing authorized signatures.
- Submitting and tracking Federal proposals.
- Negotiating terms, conditions, and rates with sponsors.
WISPER

WISPER is the UW System-wide electronic routing tool for extramural funding applications and agreements. The WISPER system will route your proposal, *Abstract, Budget, Budget Narrative, Sub-Award Budgets, and Letters of Commitment* for Department Chair, SOE Dean, and University approvals.

The link to the WISPER tool can be found [HERE](#), you log into the system with your ePantherID and Password.
WISPER Budget

Budgets submitted through UWM, should use the Budget Development Tool. The Tool is a MS Excel Workbook that is updated several times a year with current UWM rates. The benefit of the tool is that it will automatically calculate parts of your budget, including fringe benefits and F&A rates. Be sure to download and save a current copy of the Budget Development Tool every time you start working on a new budget.

The Budget Tool can be found HERE.

Budget Narrative

The Budget Narrative or budget justification typically accompanies all grant submissions. The Budget Narrative describes what the numbers in the budget represent, and how you determined them.

A Budget Narrative template can be found in Appendix A at the end of this handbook.
Budget Development

On December 26, 2014, the Office of Management and Budget (OMB) Uniform Guidance (UG), or OMB Circular A-81, took effect. These regulations will have an impact on preparing and submitting grant proposals in the following ways:

Subawards
To provide greater flexibility to institutions, subrecipients that do NOT have a federally-negotiated Facilities and Administrative Cost rate may use a minimum standard rate of 10% (known as the ‘de minimis rate’ of modified total direct costs [MTDC]. Note, that subrecipients with an existing federally negotiated F and A cost rate should continue to use their negotiated rate.

Administrative and Clerical Salaries
Previously, direct charges for administrative and clerical salaries were permitted only in “major project” proposals (such as “Center” grants). The new UG, however, recognizes that administrative and clerical salaries may be “integral” to project success and are now eligible expenses. The following are guidelines for including administrative and clerical salaries in federal grant budgets:

1. The administrative and clerical personnel involved must devote 20% or more of their time to the project. A detailed description of how these expenses are integral to the project must be included in the budget justification.

2. The personnel involved must be specifically identified.

3. The administrative and clerical expenses must be included in the budget submitted to the sponsor and recognized in the official award documentation if the project is selected for funding.

Direct charges for computing devices
Principal Investigators may now include computing devices that cost less than $5,000 in their budgets to federal sponsors. Principal Investigators should explain in the budget justification why a computer device may be directly charged to a project.

Cost-Sharing
Cost-sharing (or “match-funding”) occurs when UWM provides resources (cash or in-kind) towards a project. Under Uniform Guidance, federal agencies are no longer allowed to use voluntary committed cost-share as a consideration in the merit review process.

Note: in cases of Mandatory cost share; failure to provide cost-share will result in the return of the proposal without review. Mandatory cost-share is typically required by the program solicitation or legislative requirements.
Post-Award Information
Award Management Overview

Effectively managing grants and contracts at UWM involves the Principal Investigator (PI), the Associate Dean’s Office, and the Office of Sponsored Programs.

The Principal Investigator has primary responsibility for:
- Agreeing to all award terms and conditions
- Ensuring appropriateness of expenditures.
- Managing expenditures so as not to exceed award budget.
- Verifying Effort reports.
- Initiating requests to sponsor for re-budgeting, time extensions, and cost transfers.
- Approving payment of subcontractor invoices.

The Associate Dean's Office has primary responsibility for:
- Overseeing sponsored project administration, including cost transfers and Effort reporting.
- Account set up procedures, and WISPER training.
- Assisting PI with the preparation of budget reports, as needed.
- Ensuring timely resolution of misplaced expenditures.

Office of Sponsored Programs has primary responsibility for:
1. Accepting the award on behalf of the University.
2. Establishing the WISDM account associated with the award.
3. Issuing sub-agreements.
4. Reviewing expenditures for allowability.
5. Managing Effort reporting.
6. Approving cost transfers.
7. Processing award modifications.
8. Preparing and submitting invoices to sponsors.
9. Preparing and filing appropriate financial reports and close-out documents as required.
Managing your Grant

Managing and spending your grant funds involves many different Departments, websites, and forms, the below graphic describes the most common processes.

- **Do you want to - monitor your funding account activity?**
  - Log into the WISDM system

- **Do you want to - pay consultants or project collaborators?**
  - Use the S&E Honorarium Form, Direct Payment Invoicing, or Payroll System as appropriate

- **Do you want to - hire students or staff**
  - For GA’s, work with Kerry Korinek, in the Office of Academic Affairs, for other staff, work with BATO

- **Do you want to - purchase items or services**
  - Use a P-Card VISA, a Direct Payment form, Purchase Order, TER, or Internal Direct Payment form as appropriate *

- **Do you want to - verify the Effort of individuals funded on your project**
  - Log into the ECRT (Effort Certification and Reporting Technology) System
Your Funding Account

As the Principal Investigator, you will work closely with both your department and your school/college business office to initiate expenditures. You are responsible for ensuring the appropriateness, reasonableness, and allowability of expenditures and ensuring that expenditures do not exceed the award budget.

Once the sponsor has awarded you a grant, the Office of Sponsored Programs will create an account for your project and you can begin the process of spending your funds.

Sample account string would be*:

<table>
<thead>
<tr>
<th>Fund</th>
<th>Org</th>
<th>Program</th>
<th>Grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>133</td>
<td>172000</td>
<td>2</td>
<td>PRJ56UD</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Fund</th>
<th>The fund describes what type The Division purchasing the item or service</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The Division purchasing the item or service</td>
</tr>
<tr>
<td></td>
<td>• 144 for Federal grants</td>
</tr>
<tr>
<td></td>
<td>• 133 for Non Federal grants</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Org</th>
<th>The department where the fund is located</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The department where the fund is located</td>
</tr>
<tr>
<td></td>
<td>• 170100 Education Admin-General</td>
</tr>
<tr>
<td></td>
<td>• 170102 Associate Dean's Office</td>
</tr>
<tr>
<td></td>
<td>• 172000 Curriculum &amp; Instruction</td>
</tr>
<tr>
<td></td>
<td>• 173000 Educational Psychology</td>
</tr>
<tr>
<td></td>
<td>• 173500 Exceptional Education</td>
</tr>
<tr>
<td></td>
<td>• 170700 Administrative Leadership</td>
</tr>
<tr>
<td></td>
<td>• 175030 Ctr For Math_Sci Education Res</td>
</tr>
<tr>
<td></td>
<td>• 177500 CORE</td>
</tr>
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<table>
<thead>
<tr>
<th>Program</th>
<th>Describe the purpose of the expenditure</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Describe the purpose of the expenditure</td>
</tr>
<tr>
<td></td>
<td>• 2 is for “Instruction”</td>
</tr>
<tr>
<td></td>
<td>• 4 is for “Research”</td>
</tr>
<tr>
<td></td>
<td>• 5 is for “Public Service”</td>
</tr>
</tbody>
</table>
|         | • 9 is for “Student Aid – used for grants that give “stipends to students

Look up your grant’s program code [HERE](#)

<table>
<thead>
<tr>
<th>Grant number</th>
<th>This is the number assigned by OSP to a grant usually starts with PRJ</th>
</tr>
</thead>
<tbody>
<tr>
<td>Examples:</td>
<td>PRJ19VD, PRJ21CE, PRJ47UK</td>
</tr>
</tbody>
</table>
WISDM Financial System

Expenditures against each unique 133/144 account number are posted to the University accounting system, PeopleSoft Shared Financial System (SFS). WISDM (Wisconsin Data Mart) was developed to provide Web-based financial data reporting and provides detailed information regarding budgets and expenditures. Specific expense information can also be reviewed.

Log into WISDM with your ePantherID and Password (contact the SOE Office of Research, to set up initial WISDM access)

On the dropdown “Main Menu” choose “My Projects”, the grant accounts for which you are PI will be listed.

Main Menu page

Sample of grant account home page
Paying Consultants and Collaborators

**UWM faculty**

- For UWM faculty collaborating on your project you can “buy out” the Research Portion of their time, and transfer funds to an S&E account for them.

- Your grant will be charged fringe benefits.

- You research colleagues will need to certify their Effort in the appropriate period.

**S&E Funding for Research Collaborators Form** can be found in Appendix B, at the end of this handbook.

**Consultants**

- If trying to pay an individual who **has been on UWM payroll** (for any reason) within that previous two years, you will be required to pay that person via the payroll system.
  - Work with BATO on the appropriate employment forms (including possible overloads)

- If the individual **has been NOT been on UWM payroll**, then they should be directed to submit invoice.
  - Invoices can be paid with a Direct Payment Form (see Appendix X for form)
  - **Note**, payments to individuals (not being payrolled) must be accompanied an **Employee / Independent Contractor Checklist** can be found in Appendix C at the end of this handbook.
  - Individuals who have not previously been issued payments by UWM will be required to fill out a W9 Form before the University will issue payment. You forward the form to your consultant yourself or Accounts Payable will forward the request after they receive the Direct Payment Form.
Purchasing items and services

<table>
<thead>
<tr>
<th>Question</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the item or service cost less than $5000, and you have an INVOICE?</td>
<td>Use a Direct Payment Form</td>
</tr>
<tr>
<td>Is the payment less than $500, and to a non-UWM employee?</td>
<td>Use a Payment to Individual Report and Employee / Contractor checklist</td>
</tr>
<tr>
<td>Are you purchasing goods or services over $5000 or where the vendor requests a purchase order</td>
<td>Use an External Requisition</td>
</tr>
<tr>
<td>Are you reimbursing yourself for a purchase you made with personal funds?</td>
<td>Use a Travel Expense Report</td>
</tr>
<tr>
<td>Is the purchase from other campus departments?</td>
<td>Use a Direct Charge of Internal Services Form</td>
</tr>
<tr>
<td>Are you purchasing computer equipment?</td>
<td>Work with BATO IT for Dell products and the UWM Tech Store for Apple products</td>
</tr>
</tbody>
</table>

All goods and services purchased with grant funds must be in accordance with State, UW System and Campus laws, rules and guidelines.

- Use the Purchase Check List to determine the most appropriate method to obtain needed goods or services.
- All forms and rules for payments can be found at the UWM Business & Financial Services (BFS) website

A reference guide on how to fill out a grant funding string for all forms can be found in Appendix D of this document.

A list of Common Account Codes, the number that describes the item being purchased, can be found in Appendix E of this document.
Payments to Research Subjects

Non-UWM Employee Research Subjects can be paid two ways, with UWM issued check or vendor gift card. Note: unless your grant has assigned Level 3 Confidentiality by IRB, your Research Subjects will need to provide their social security numbers and contact information by filling out Research Participation Form; whether the receiving gift cards or checks.

To issue checks to research subjects:
Fill out one Payment to Individual (PIR) form, (use Account Code 2637) and attach a participant address information sheet

Sample of participant address information sheet

<table>
<thead>
<tr>
<th>Participant</th>
<th>Participant address</th>
<th>Social Security number</th>
<th>Check amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jane Smith</td>
<td>111 Main St, Mil, WI 53211</td>
<td>222-11-3333</td>
<td>100.00</td>
</tr>
<tr>
<td>John Doe</td>
<td>222 Center Ln, Mil, WI 53222</td>
<td>111-22-3333</td>
<td>100.00</td>
</tr>
</tbody>
</table>

To issue gift cards to research subjects:
Card amounts must be $99 or less per gift card. Individual research participants should not receive more than $300 in gift cards per calendar year; any payments over $300 per year will require documentation to be submitted to Accounts Payable.

- Get an invoice for your gift card order and attach it to a Direct Payment Form, use Account code 3100 (supplies) and submit the form and invoice to BATO. (The Direct Payment Form must include the description of what the cards will be used for. Also, attach a written statement indicating all documentation will be retained by the PI.)

- BATO will send the form to Accounts Payable, who will mail a check and your order form to the vendor.

- The vendor should be directed to mail the Gift Cards directly to the PI.

The PI must to keep a record of all research recipients’ payments. A sample gift card disbursement log can be found HERE. All required backup paperwork must be attached to the Log. Documentation should include Legal Name, Social Security Number, and Home Address.

- Signatures for receipt of cards must be obtained. (The only exceptions to the requirement are for anonymous surveys. Proof of the anonymous requirement must be provided.)

Suggested retailer for Gift Cards is Solutions That Motivate (SVM)
This company offers gift cards from over 150 of the most popular retail brands. For additional information please call 1-877-300-1786 and ask to speak to an Account Manager who works with UWM.
The Direct Payment Form is used to process payments of $5,000 or less, where the vendor provides an invoice.

To fill out a Direct Payment Form:
1. Provide your campus office or department name, contact person, phone number and e-mail address.
2. Ensure the vendor’s name, address, and phone number is complete.
3. Fill in the total cost and the complete accounting codes to be charged.
4. The first 30 characters in the Description Box will appear as the description in WISDM.
5. Attach the invoice to the Direct Payment Form.

**DIRECT PAYMENT FORM - Payments $5,000 or Less**

<table>
<thead>
<tr>
<th>Check Payable To (Vendor Name):</th>
<th>Item Description: (Do not use Invoice Number)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sample Transcriber Company</td>
<td>Transcription interviews</td>
</tr>
</tbody>
</table>

| Taxpayer ID #: | |
|----------------|

<table>
<thead>
<tr>
<th>Vendor Address:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>123 Main Street</td>
<td>Milwaukee, WI 53211</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Invoice number:</th>
<th>101456</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Amount(s)</th>
<th>Account</th>
<th>Fund</th>
<th>Org</th>
<th>Prog</th>
<th>Class</th>
<th>Fiscal Yr</th>
<th>Project/grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>657.38</td>
<td>3165</td>
<td>133</td>
<td>172000</td>
<td>4</td>
<td></td>
<td>2014</td>
<td>PRJ15TE</td>
</tr>
<tr>
<td>657.38</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Amount</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Campus Address:</th>
<th>Enderis Hall, room 541</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Contact Person:</th>
<th>Telephone Number:</th>
<th>E-Mail Address:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Your Name</td>
<td>229-0000</td>
<td><a href="mailto:youremail@uwm.edu">youremail@uwm.edu</a></td>
</tr>
</tbody>
</table>

- For payments to **an individual who has provided personal services** (exp., consultant, **speaker, transcriber**) you must verify that there is not an employer/employee relationship with UWM, do this by completing the **Employee/IC Checklist** and attach it to the Direct Payment Form. **Note: The first time the individual is paid by UWM they must fill out an **IRS W-9** form.

- For payments for catering services you must attached a **HEADQUARTERS CITY Catering Event Justification Form** Along with a list of **attendees** and the **meeting agenda**.
Payment to Individual Report

Use the **Payment to Individual Report** form to pay:
1. For Services (Presenters or non-UWM collaborators who do not provide invoices.)
2. Scholarships/Fellowships
3. Prizes and Awards
4. Research Subjects

**How to fill out a Payment to Individual Report (PIR)**
1. Fill in the total cost and the complete accountings codes (Dept., Grant, etc.) to be charged.
2. The Name/Home Address and Social Security number of the person to be paid
3. Indicate whether they are current are a student or professional public speaker.

**For Services (use Account Code 2620)**
- Complete the **Employee/Independent Contractor Checklist** and attach to the PIR. *If the individual was paid by UWM in the past year the individual should be paid through the payroll system.*
- Payments to students for $100 or less (except Student Association).

**Scholarships/Fellowships (use Account Code 5711)**
- Lump sum payments for scholarships/fellowships which are not related to student assistantships may be requested on the PIR form. *Program 9 MUST be used with Account Code 5711. Program 9 requests will be reviewed and signed by the UWM Financial Aid Office.*

**Prizes and Awards (use Account Code 3750)**
- The payment for prizes and awards not related to a person's employment with the university may be paid on a PIR.

**Research Subjects (use Account Code 2637)**
External Requisition

The Low-dollar Order/External Requisition is an Acrobat file, available HERE.

How to fill out an External Requisition

1. You need to create a Number for each Requisition (upper right corner):
   - First and Second digits: Fiscal year
   - Third and Fourth digits: 17 (Indicates SOE)
   - Fifth and Sixth digits: Whatever numerical designation for your Department
   - Seventh, Eighth and Ninth digits: Whatever you wish, but don’t use letters.

2. Request Type
   - **Low Dollar Order** – When the Vendor requests a PO to hold your goods or services.
     - If you have placed the order by telephoned or faxed to the vendor, put in the body of the form description should include: “TELEPHONE/FAX ORDER PLACED WITH (full name of person contacted and date) BY (initials of individual placing the order)-DO NOT DUPLICATE” -
   - **Blanket Purchase Order**: A request for Purchasing to issue a purchase order that allows purchases initiated by the requesting department from the same vendor, using the same purchase order number, for a stated period of time.

3. Fill in the Account string and amount of the purchase in the funding string information section.
4. Fill in the Vendor’s information.
5. Fill in your information in the “Ship To” section.
6. Fill in the description of goods or services being purchased.
7. Fill in in the name and information of the “Contact” person
8. PI would sign the form in the Dean or Director section.

---

**LOW DOLLAR ORDER/EXTERNAL REQUISITION** (see instructions for numbering)

- **Vendor #**:
- **SHIP TO**: UNIVERSITY OF WISCONSIN - MILWAUKEE

<table>
<thead>
<tr>
<th>Account</th>
<th>Fund</th>
<th>Organization</th>
<th>Program</th>
<th>Class</th>
<th>Project/Grant</th>
<th>Year</th>
<th>$ Amount</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Vendor</th>
<th>Name:</th>
<th>Address:</th>
</tr>
</thead>
<tbody>
<tr>
<td>City/Std/Zip:</td>
<td>Email/Fax:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>F.O.S.</th>
<th>Term</th>
<th>Delivery</th>
<th>Purchasing Buyer Reference</th>
<th>Contract/Bid/File</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>QUANTITY</th>
<th>UNIT</th>
<th>ITEM DESCRIPTION</th>
<th>Commodity Code</th>
<th>UNIT PRICE</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

414-229-5401
The Travel Expense Report can be used to reimburse yourself, for expenses & goods, purchased with grant funds. The form can be found HERE. The instructions for filling out a TER form can be found HERE.

When using the TER to reimburse purchases, you must provide a receipt and any required justifications.

Note: the University will no longer reimburse employees for services purchased from individuals, for example - you can no longer pay someone for transcription services with a personal check, and then reimburse yourself with a TER. If you want to pay an individual for services you should pay them with either a Payment to Individual Report (they do not submit an invoice) or a Direct Payment Form (they submit an invoice)

For travel reimbursement policies and procedures visit the Travel Office website HERE.
Visa Purchasing Card

This university issued credit card will directly charge your grant account for your supply and travel purchase and for travel associated with your grant. Note: the card cannot be used for food or catering purchases. The application for the credit card can be found [HERE](#).

You log into the website with your Person ID number *(found on your pay stub)* and last name.

On the card section screen, for card type – select **S&E and Travel**, this will allow you to use the card for both supplies and hotel fees. Choose an Account number – suggested is “3100” “supplies”.

Submit your application to your “Supervisor”, most likely your Department Chair, who will then receive an email request to log into the website and approve your record.

To approve your application your “Supervisor” must forward your application onto the SOE Unit Business Representative, Margie Anunson anunson@uwm.edu, who will sign and forward your Purchasing.

Visa statements will come monthly, based on usage, and you should keep your receipts with the statement for seven years – see the [Visa Cardholder Manual](#) for more information.
Effort Reporting

Effort Reporting is the University’s means of providing assurance to sponsors that:

- Salaries charged to sponsored projects are reasonable in relation to the work performed.
- Faculty and staff have met their commitments to sponsored projects.

Success in the effort realm depends on careful attention to important issues throughout the sponsored project’s lifecycle. You can log into ECRT the effort certification system HERE.

Sample of an Effort Statement

<table>
<thead>
<tr>
<th>Projects</th>
<th>Commitment</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Certify checkboxes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>144-1440F84 EXPLORING NEW ASTROPHYSICAL DIAGNOSTICS WITH THE FAR-ULTRAVIOLET SPECTROPOLARIMETER (FUSIP)</td>
<td>60.00%</td>
<td>59.36%</td>
<td>0.00%</td>
<td>59.36%</td>
<td>[ ] 0%</td>
<td>[ ]</td>
</tr>
<tr>
<td>144-1440GG05 GLOMPS 3D: The Vertical Stellar and Interstellar Structure of the Inner Galaxy</td>
<td>0.00%</td>
<td>20.32%</td>
<td>0.00%</td>
<td>20.32%</td>
<td>[ ] 0%</td>
<td>[ ]</td>
</tr>
<tr>
<td>144-1440GT60 SAGE-SMC: SURVEYING THE AGENTS OF GALAXY EVOLUTION IN THE TIDALLY-DISRUPTED, LOW-METALICITY SMALL MAGELLANIC CLOUD</td>
<td>0.00%</td>
<td>20.32%</td>
<td>0.00%</td>
<td>20.32%</td>
<td>[ ] 0%</td>
<td>[ ]</td>
</tr>
<tr>
<td>Sponsored Total</td>
<td>50.00%</td>
<td>100.00%</td>
<td>0.00%</td>
<td>100.00%</td>
<td>0%</td>
<td></td>
</tr>
<tr>
<td>Non Sponsored</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UVMN-OTHER All Non-Sponsored Effort</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>[ ] 0%</td>
<td>[ ]</td>
</tr>
<tr>
<td>Non Sponsored Total</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0%</td>
<td></td>
</tr>
<tr>
<td>Grand Total</td>
<td>50.00%</td>
<td>100.00%</td>
<td>0.00%</td>
<td>100.00%</td>
<td>0%</td>
<td></td>
</tr>
</tbody>
</table>

Certifying your Effort Statement is simple –

- Log into the system with your PantherID; confirm that all your projects are all listed.

- Round your “Computed Effort” percentages in “Certified Effort” column until the “Grand Total” equals 100%.

- If you have banked salary funds (example, using Academic Year funds for Summer payroll) and your payroll percentage or “Computed Effort” is larger than your actual worked commitment, you should still use “Computed Effort” percentage for your “Certified Effort”. *Effort is calculated twice a year and it is assumed that your actual work on your project and the payroll you receive will balance out over the full year.*

- For projects with no “Payroll” percentage, but where you did have committed to the project, chose a percentage that best reflects your commitment (ex. 1%, 3%, or 5%) and put that number in the “Certified Effort” column.
Award Closed Out Processes

Financial Reports

- In most instances the Office of Sponsored Program’s grant accountant will prepare all financial reports for your project.

Technical Reports

- As the Principle Investigator, it is your responsibility to prepare and transmit both interim and final technical reports to the Sponsor.

No-Cost (Time) Extension Request

- Many sponsors allow no-cost extensions in the event that a sponsored program cannot be completed in the original award period. No additional funds will be provided to UWM during this period; it is simply additional time for the PI to finalize remaining project tasks. No-cost extensions typically are available for an additional 12 months. No-cost extensions may NOT be granted in order to simply expend funds.

- All no-cost extensions must be appropriately justified within the context of the original scope of work and require approval from the PI’s Dean or Department Chair. All no-cost extensions requests are reviewed by the Office of Sponsored Programs prior to submission to the sponsor. The timeframe for submitting no-cost extensions may vary, but generally must be submitted at least 90 days prior to the original project end date. Under no circumstances should a request for an extension be sent to the sponsor after the original project end date. PIs should carefully review their award terms and conditions regarding no-cost extensions. The “final report” due date now becomes an “annual report” due date. PIs should prepare to submit an annual report in lieu of a final report if a no-cost extension request is approved by the institution and the sponsor. A no-cost extension request does not serve as an annual report.

- Contact your OSP Post-Award representative Eva Hoaglund at (414) 229-2715 hoaglund@uwm.edu for help in identifying your sponsor’s specific requirements.
Closing out your grant

- After all of the final reports (financial, technical, patent, etc.) have been submitted to the sponsor and the final payment has been received, the account must be closed out (deactivated) in UWM’s financial system. In order to do this, the grant accountant must verify that the budget expenditures and reimbursements are equal.

- The most common cause for delay in closing an active grant is that the account is over-expended. Until this situation is corrected, by moving expenses to another source of funds, the account cannot be closed out.

- **Federal Project Closeout and Subawards.** The Federal Uniform Guidelines makes it clear that federal awards must be closed out within 90 days of the end-date for the period of performance or face potential penalties. Therefore, it is important to communicate with subrecipients at the time of the proposal submission that their organization must be able to comply with timely final reporting and invoicing.

**Close-out Considerations**

PIs are strongly encouraged to consider the following questions before, during, and after the award close-out process:

- Is the account tied to the project at a $0 balance?
- Have all project personnel satisfied their Effort for the project?
- Have all subrecipients submitted their final invoices for reimbursement? If not, they have 45 days from the end of the award to submit their final invoice for payment.
- Has all cost-sharing been satisfied for the project (including subrecipient cost-sharing)?
- Has the data management plan and/or long-term data storage requirements been satisfied?
- Have the final technical and financial reports been submitted to the sponsor?
- Have all other reports/documentation requested by the sponsor been submitted?
- Has the UWM Institutional Review Board been notified that the project has ended? Have the final reports been submitted to the appropriate institutional committee?
- Have all purchasing and/or travel cards associated with the award been destroyed?
Policy on Dangling Research Accounts

SOE Research Related Account Closeout Procedures, when Faculty Leave the Institution –

- Pertains to Fixed Price Contracts, 150/136 accounts, and S&E Accounts associated with grants.

- When a grant period ends (i.e. grant ending date) it is imperative that any remaining funds are used so that eventually the grant can be closed out with a remaining balance of zero. When PIs leave the institution and a balance remains in a fixed price contract account, 150 account, 136 accounts, or S&E account, the Associate Dean of Research will determine how those funds are utilized, after consultation with the Dean of the School of Education.
Appendix A

Budget Narrative Template

Salaries and Wages- Senior Personnel
The Principal Investigator, XXXX, will devote (X person months, or X Effort) per year toward the project for Year One

The Principal Investigator, XXXX, will devote (X person months, or X Effort) per year toward the project for Year Two

Salaries and Wages- Other Personnel
Faculty/Staff collaborators will be paid X for (X person months, or X Effort) per year toward the project for Year One, etc.

Funding for X number graduate/undergraduate students is requested. He/she will work XXX hours per year, per established University policy. The student will work on tasks assigned by the PI related to the area of X as described in the project narrative.

Fringe Benefits
Fringe Benefits in the amount of $XX are calculated as direct costs in accordance with UW-Milwaukee Indirect Cost Rate Agreement for Senior Personnel.

Travel
A total of $XX/per year is requested for XXX Senior Personnel for X reason

Other Direct Costs
Materials and Supplies: A total of $XX per year is requested for materials, supplies and consumables needed to carry out the proposed research.

Consultant Services: A total of $xx per year is requested for consultant services for the purpose of xx

Subcontracts: A total of $XX per year is requested for a subcontract to XXX. (Note, a formal detailed budget and narrative is required for any subcontract)

Indirect Costs
Indirect Costs in the amount of $xx are calculated in accordance with University of Wisconsin-Milwaukee’s Indirect Cost Rate Agreement (any modification would be listed here)
Appendix B

S&E FUNDING FOR RESEARCH COLLABORATORS FORM

Please fill out this form to "buy out" a portion of a colleague’s Research Unit of Work and pay them an honorarium for their work on your grant. Please note that fringes and indirect costs will be added to the honorarium total. Faculty/staff paid through this system, will be required to certify their “Effort” on your project through the reporting system.

Name of UWM Faculty/Staff
to receive Honorarium: ________________________________

Amount of Honorarium: $ ___________________________ • __________
(FY 2013/14 Fringe rate of 33.7% and grant F&A will be charged on Honorarium amount)

Semester Honorarium should be credited to: __________ Year: __________

Source of Funds for the Research Unit ‘buyout’:

<table>
<thead>
<tr>
<th>Department Number</th>
<th>Fund</th>
<th>Program</th>
<th>Grant Number</th>
<th>Fiscal Year</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

APPROVALS

Principal Investigator (PI) Signature: __________________________ Date __________

SOE Associate Dean of Research Signature: __________________________ Date __________

Return completed form to the SOE office of the Associate Dean of Research, Room 510

<table>
<thead>
<tr>
<th>Fund</th>
<th>The Division paying for the Honorarium:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• 144 for Federal grants</td>
</tr>
<tr>
<td></td>
<td>• 133 for Non Federal grants</td>
</tr>
<tr>
<td></td>
<td>• 150 for PI accounts associated with grants</td>
</tr>
<tr>
<td></td>
<td>• 101 UWM Dept./Faculty accounts</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Dept.</th>
<th>The Department where the Grant is located</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• 170100 Education Admin-General</td>
</tr>
<tr>
<td></td>
<td>• 170102 Associate Dean's Office</td>
</tr>
<tr>
<td></td>
<td>• 172000 Curriculum &amp; Instruction</td>
</tr>
<tr>
<td></td>
<td>• 173000 Educational Psychology</td>
</tr>
<tr>
<td></td>
<td>• 173500 Exceptional Education</td>
</tr>
<tr>
<td></td>
<td>• 170700 Administrative Leadership</td>
</tr>
<tr>
<td></td>
<td>• 175030 Ctr For Math, Sci Education Res</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Prog.</th>
<th>Describes the purpose of the Grant</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• 2 for “Instruction”, 4 for “Research”, 5 for “Public Service”</td>
</tr>
</tbody>
</table>
Appendix C
Employee / Independent Contractor Checklist

Instructions: Units should carefully and accurately complete this checklist prior to making any arrangements with an individual* using an ASSA, PIR, or other independent contractor mechanism (i.e. research subaward or purchasing contract for services). Unless an individual is clearly an independent contractor, he or she should be treated as an employee. The completed checklist should be retained in case of a future audit and a copy should be attached to the ASSA and/or PIR when it is transmitted to Accounts Payable for payment. A check in any one of the boxes in the first (“Employee”) column in Part I or Part II (Questions 1-6) means that the individual must be treated as an employee. If you do not have any checks in the “employee” column in Part I or Part II, you should proceed to Part III and Part IV of the checklist. In that case, whether or not an individual should be properly considered an employee or an independent contractor will then depend on a review of the whole context and circumstances. Generally, however, checkmarks in more than one-third of the boxes in the “Employee” column in Parts III and IV combined indicate that the individual should be treated as an employee. If you have any questions as to how to classify an individual based on the checklist, you should contact Accounts Payable Pre-Audit at x6656.

I attest that the below information is accurate and complete:

<table>
<thead>
<tr>
<th>Signature of Person Completing Checklist</th>
<th>Department / School / College</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual Providing Services Service</td>
<td>Business Name, if any</td>
<td>Dates of</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Part I:</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Will UWM provide insurance, sick leave, vacation or other benefits?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Do the parties have a continuing relationship? (For example, being under contract for significant periods of time in the last year and/or entering into multiple ASSAs or separate engagements with the same individual in the past several years)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Is the individual providing the primary instruction for a UWM course/seminar/workshop, for college credit, continuing education credit or non-credit (other than as a guest lecturer for a small portion of a course with a different course)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Is the individual being hired to perform research services for a university department (as opposed to research relating to a specific study)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. If the individual is a researcher, will s/he be working under the supervision or direction of a UWM professor or other UWM employee</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Part II:</th>
<th>No</th>
<th>Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Is the individual making services available to the general public (e.g. advertises, holds himself out as an individual for hire)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Part III: Will UWM do any of the following?</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>7. Tell the individual how, when, or where to do the work (as opposed to relying on the individual’s expertise)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Set specific work hours (e.g. 9-4) or require that a set number of hours be worked (as opposed to allowing him/her to work at their discretion)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Dictate what tools or equipment should be used to complete the project?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Decide who, if anyone, the individual can hire to help with the project?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Determine where the individual can purchase supplies and/or services?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Train the individual in how to perform the work?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Require him/her to attend regular meetings?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>g. Require that the services be personally rendered (the individual cannot hire someone else to complete the work)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>h. Dictate the order or sequence that the work is performed (as opposed to merely expecting the delivery of the final product)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>i. Require the individual to submit regular oral or written reports?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>j. Control where the work is performed (e.g. at UWM) or otherwise require the individual to perform work at a specified location</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Pay, hire and/or supervise any assistants hired to help the individual with the project?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Require the individual to work full-time or devote substantially all of his/her time to the project?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Terminate the agreement/relationship with the individual at any time and/or without incurring significant costs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Pay the individual an hourly, weekly, or monthly rate (however, a lump sum can be paid in smaller increments without regard to the individual’s output)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
12. Pay any of the individual’s business and/or traveling expenses (e.g. mileage, phone bills, parking, conference

13. Provide the individual with the tools, materials and/or equipment to carry out the work (e.g. voicemail, office space, a

14. Employ (as employees) other individuals who are providing services similar to services performed by the

<table>
<thead>
<tr>
<th>Part IV:</th>
<th>No</th>
<th>Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>15. Does the individual have a significant investment in tools/facilities necessary to complete the work (e.g. s/he has a home</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. Can the individual realize a profit or suffer a loss under the contract?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17. Is the individual performing more than de minimis services for clients other than UWM?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18. Is the individual receiving an unusually large (indicating expert) or small (indicating token appreciation) amount of pay for</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

UWM & UW System policies which the UBR may also want to consult can be found at:
Financial Administration; Personal Services Payments (F31) [http://www.uwsa.edu/fadmin/fppp/fppp31.htm](http://www.uwsa.edu/fadmin/fppp/fppp31.htm); UWM Accounts Payable Procedure 5.4.2 [http://www4.uwm.edu/bfs/procedures/acp/index.cfm](http://www4.uwm.edu/bfs/procedures/acp/index.cfm).

Revised 8.11.12
# Appendix D

## Example of a payment funding string

<table>
<thead>
<tr>
<th>Amount (s)</th>
<th>Account</th>
<th>Fund</th>
<th>Org</th>
<th>Prog</th>
<th>Class</th>
<th>Fiscal Yr</th>
<th>Project/grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1000.00</td>
<td>3100</td>
<td>133</td>
<td>172000</td>
<td>2</td>
<td>13</td>
<td>PRJ56UD</td>
<td></td>
</tr>
</tbody>
</table>

**Amount (s)**  
The dollar amount

**Account**  
The code that describes the item being purchased (exp. 3100 = “supplies”)

**Fund**  
The fund describes what type  
The Division purchasing the item or service  
- 144 for Federal grants  
- 133 for Non Federal grants  
- 150 PI accounts associated with grants  
- 101 UWM Departments/Faculty “Special” accounts

**Org**  
The department where the fund is located  
- 170100 Education Admin-General  
- 170102 Associate Dean’s Office  
- 172000 Curriculum & Instruction  
- 173000 Educational Psychology  
- 173500 Exceptional Education  
- 170700 Administrative Leadership  
- 175030 Ctr For Math_Sci Education Res  
- 177500 CORE

**Prog**  
Describe the purpose of the expenditure  
- 2 is for “Instruction”  
- 4 is for “Research”  
  - Less often used  
    - 5 is for “Public Service”  
    - 7 is for “Physical Plant” services  
    - 9 is for “Student Aid – used for grants that give “stipends to students”

**Class**  
Not used at UWM

**Fiscal Yr**  
Not the same as calendar year. The fiscal year starts on July 1, so we are in fiscal year 2014, until July 1, 2014.

**Project/grant**  
This is the number assigned to a grant usually starts with PRJ  
Examples: PRJ19VD, PRJ21CE, PRJ47UK
## Appendix E

### Common Account Codes

<table>
<thead>
<tr>
<th>Account</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>2100</td>
<td>Travel-Employee-In State Bus</td>
</tr>
<tr>
<td>2120</td>
<td>Travel-Employee-Out State-Bus</td>
</tr>
<tr>
<td>2126</td>
<td>Travel-Employee-Foreign Bus</td>
</tr>
<tr>
<td>2130</td>
<td>Travel-Employee-Out State-Conf</td>
</tr>
<tr>
<td>2162</td>
<td>Travel-Non Empl, Student, Job App</td>
</tr>
<tr>
<td>2200</td>
<td>Telecomm-Blanket Encumbrance</td>
</tr>
<tr>
<td>2310</td>
<td>Rental of Space-UW/State Owned</td>
</tr>
<tr>
<td>2320</td>
<td>Rental of Space (school build rooms, corporations, etc)</td>
</tr>
<tr>
<td>2610</td>
<td>Data Processing Services - Outside Source</td>
</tr>
<tr>
<td>2620</td>
<td>Services - Professional</td>
</tr>
<tr>
<td>2627</td>
<td>Background Checks</td>
</tr>
<tr>
<td>2650</td>
<td>Services - Internal</td>
</tr>
<tr>
<td>2670</td>
<td>Printing &amp; Duplicating-State</td>
</tr>
<tr>
<td>2675</td>
<td>Printing &amp; Duplicating-NonStat</td>
</tr>
<tr>
<td>2810</td>
<td>Car Rental - In State</td>
</tr>
<tr>
<td>2811</td>
<td>Car Rental - Out of State</td>
</tr>
<tr>
<td>2812</td>
<td>Car Rental - Foreign</td>
</tr>
<tr>
<td>2840</td>
<td>Registration Fees - In State</td>
</tr>
<tr>
<td>2841</td>
<td>Registration Fees-Out of State</td>
</tr>
<tr>
<td>2842</td>
<td>Registration Fees - Foreign</td>
</tr>
<tr>
<td>2850</td>
<td>Lodging - In State</td>
</tr>
<tr>
<td>2851</td>
<td>Lodging - Out of State</td>
</tr>
<tr>
<td>2852</td>
<td>Lodging - Foreign</td>
</tr>
<tr>
<td>3100</td>
<td>Supplies</td>
</tr>
<tr>
<td>3150</td>
<td>Software Purchases</td>
</tr>
<tr>
<td>3165</td>
<td>Food &amp; Food Service Contracts</td>
</tr>
<tr>
<td>3194</td>
<td>Computers and Related Peripherals - Not Capitalized</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
</tr>
<tr>
<td>-------</td>
<td>--------------------------------------------------</td>
</tr>
<tr>
<td>3195</td>
<td>Equip &amp; Furnit not Capitalized</td>
</tr>
<tr>
<td>3700</td>
<td>Postage</td>
</tr>
<tr>
<td>3720</td>
<td>Subscriptions</td>
</tr>
<tr>
<td>3730</td>
<td>Memberships</td>
</tr>
<tr>
<td>3740</td>
<td>Advertising &amp; Notices</td>
</tr>
<tr>
<td>3750</td>
<td>Prizes &amp; Awards</td>
</tr>
<tr>
<td>3780</td>
<td>Conference/Workshop Expenses</td>
</tr>
<tr>
<td>3781</td>
<td>Conference/Workshops - Educational Programs</td>
</tr>
<tr>
<td>3840</td>
<td>Subcontracts &lt; $25,000</td>
</tr>
<tr>
<td>3845</td>
<td>Subcontracts &gt;$25,000</td>
</tr>
<tr>
<td>3890</td>
<td>Resident Fee Remissions</td>
</tr>
<tr>
<td>5713</td>
<td>Tuition &amp; Fees (Program 9 Only)</td>
</tr>
</tbody>
</table>
# Appendix F

## DIRECT PAYMENT FORM - Payments $5,000 or Less

Do not place orders over $5,000 with vendors or sign vendor contract documents of any amount. Low dollar order restrictions in BFS Procedure 3.2.11 apply. See BFS Procedure 2.2.21 for instructions on use of this form.

<table>
<thead>
<tr>
<th>Check Payable To (Vendor Name):</th>
<th>Vendor’s name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Item Description: (Do not use Invoice Number)</td>
<td>Item Description - example transcription services</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Taxpayer ID # :</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Vendor Address:</td>
<td>200 Main Street</td>
</tr>
<tr>
<td></td>
<td>Milwaukee, WI 53202</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Invoice number:</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Amount (s)</th>
<th>Account</th>
<th>Fund</th>
<th>Org</th>
<th>Prog</th>
<th>Class</th>
<th>Fiscal Yr</th>
<th>Project/grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>$600</td>
<td>3100</td>
<td>133</td>
<td>17200</td>
<td>4</td>
<td>14</td>
<td></td>
<td>PRJ15TE</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Amount</th>
<th>$600</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Campus Address:</th>
<th>Enderis Hall Room</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Contact Person:</th>
<th>Telephone Number:</th>
<th>E-Mail Address:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Your name</th>
<th>number</th>
<th>E-Mail Address:</th>
</tr>
</thead>
</table>

I certify that I have reviewed this payment and find it to be in compliance with all established purchasing and accounting policies.

<table>
<thead>
<tr>
<th>Supervisor Approval</th>
<th>Date</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Dean/Director Approval</th>
<th>Date</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Institution Pre-Audit Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

Attach original invoice or payment document or itemized receipt to this form and forward to your Dean/Director’s Business Office. **Note:** Your Dean/Director’s Business Office may require additional copies. Upon receipt of a properly submitted invoice, Accounts Payable will process payment according to prompt pay statute.
Appendix G

URLs for the embedded links in the Handbook

Departments

SOE Office Research & Engaged Scholarship
www4.uwm.edu/soe/research/

Office of Sponsored Programs
http://uwm.edu/officeofresearch/

BATO
http://www4.uwm.edu/bato/

UWM Tech Store
http://www4.uwm.edu/techstore/

Office of Sponsored Programs Tools

Developing Research Ideas
http://uwm.edu/officeofresearch/osp/proposal-development/

Searchable External Funding Opportunity Databases
http://uwm.edu/officeofresearch/find-funding/

WISPER
http://uwm.edu/officeofresearch/wisper/

Budget Development Tool
http://uwm.edu/officeofresearch/budget-development/

Grant Program Code Lookup
http://uwm.edu/officeofresearch/program-codes-lookup/

WISDM
http://uwm.edu/officeofresearch/osp/post-award/

Effort Reporting
http://uwm.edu/officeofresearch/osp/compliance/
UWM Links

Academic calendar
http://www4.uwm.edu/secu/calendars/

Bursar Office - Tuition Rate Schedules
http://www4.uwm.edu/bfs/depts/bursar/tuition-rate-schedules.cfm

UWM Business & Financial Services Forms

Direct Payment Form
http://www4.uwm.edu/bfs/forms/acctp

Payment to Individual Report
http://www4.uwm.edu/bfs/forms/acctp

Employee / Independent Contractor Checklist.
https://www4.uwm.edu/bfs/forms/acctp/upload/Employee_IC_-Checklist.pdf

External Requisition
http://www4.uwm.edu/bfs/forms/purch/upload/Requisition.pdf

Travel Expense Report (TER)
http://www4.uwm.edu/bfs/forms/travel/

Purchase Check List
https://www4.uwm.edu/bfs/procedures/purch/upload/purchase_check_list.pdf

Payments to Research Subjects
http://www4.uwm.edu/bfs/procedures/acctp/upload/2-4-6-Research-Subjects.pdf

Research Participation Form
http://www4.uwm.edu/bfs/forms/acctp/upload/RESEARCH-PARTICIPATION-FORM.pdf

Gift Card Disbursement Log

IRS W-9 Form
http://www4.uwm.edu/bfs/forms/acctp/upload/IRS-W9-Form.pdf

Headquarters City Event Justification (for Catering)
http://www4.uwm.edu/bfs/forms/acctp/

Purchasing Card Application
https://pollux.uwsa.edu/PRODUCTION/pcard/

Visa Cardholder Manual
https://cms.uwm.edu/bfs/depts/acctp/visa_purchasing_card.cfm