



School of Human Ecology
UNIVERSITY OF WISCONSIN-MADISON

CORE Handbook

Centers, Outreach, Research and Engagement Team:



Mary Beth Collins, Director of Centers, Research and Public Affairs



Natalie Feggestad, Associate Dean for Administration



Andrea Plassman, Research Administrator

THIS HANDBOOK WAS CREATED FOR SoHE FACULTY AND STAFF. IT WAS DESIGNED TO PROVIDE A “ROAD MAP” TO HELP NAVIGATE THE MOST COMMON BUSINESS, ADMINISTRATIVE AND OTHER OPERATIONAL POLICIES AND PROCEDURES ENCOUNTERED AT UW MADISON. THE HANDBOOK REFERENCES MORE DETAILED CAMPUS POLICIES AND OTHER RESOURCES IF NEEDED; HOWEVER, WE ENCOURAGE YOU TO CONTACT THE SoHE STAFF REFERENCED IN THE HANDBOOK IF YOU NEED MORE INFORMATION OR ASSISTANCE.

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SOHE RESOURCES

BUILDING, INFRASTRUCTURE & TECHNOLOGY SERVICES (BITS)

Natalie Feggstad, Associate Dean
John Hilgers, Director of BITS
Justin Vorel, Assistant Director of BITS

Location: 1116 Nancy Nicholas Hall
Contact by Email: BITS@sohe.wisc.edu

Contact for:

- Desktop computer support
- Data storage and backup
- Technology purchasing
- Instructional technology
- Room technology (Powerpoints, videoconferencing)
- Facilities management
- Facilities remodeling
- Building security
- After hours building access
- Room Reservations

Please note that BITS does NOT provide the following: room set-up or breakdown, furniture moving, or off-hours event support.

BUSINESS OFFICE

The Business Office is responsible for managing SoHE's financial resources through the annual budget process, monitoring budgets, and preparing long-term financial forecasts. It also oversees the primary business processes including payroll, accounts payable, accounts receivable, and expense reimbursement. In addition, we are available to assist with navigating UW policies related to procurement, travel, research participant payments, cash advances, and events. The Business Office can also assist with interdepartmental account setup for Shop@UW, DoIT, fleet services, transportation services and physical plant.

Location: 2134 Nancy Nicholas Hall

Natalie Feggstad, Associate Dean: feggstad@wisc.edu

- SoHE Budget and Financial Reporting
- Competitive or Sole Source Purchasing
- Pre-award grant administration including budget preparation, Cayuse entry, and WISPER records
- Approval for Out-of-State Travel on GPR Funds
- Approval for Alcohol/Meal Overages
- Employee Parking

Tammy O'Brien, Accountant: tammy.obrien@wisc.edu

- Departmental budgets: reports distributed quarterly
- Gift accounting: includes payments from Foundation accounts
- Scholarship accounting
- WISDM assistance
- Business Office website
- DoIT Account Setup (D number)
- Fleet Account Setup (T number)
- Physical Plant Account Setup (B number)
- Salary or non-salary cost transfers

Ethel Herbrand, Payroll & Benefits Specialist: efherbra@wisc.edu

- Payroll: hire forms, employee changes, appointment letters
- Position Vacancy Listings (PVL forms)
- I-9 Verification
- Employee Benefits
- Salary Cost Transfers

Gloria McCord, Senior Financial Specialist: gjmccord@wisc.edu

- E-reimbursement: includes reimbursement for non-employees
- Payments to Individuals
- Direct Payments to Vendors
- Research Participant Payments
- DoIT Account Setup (D number)
- MDS (Shop@UW) Setup
- Postage meter codes
- Check deposits
- Purchasing card: application, purchases, procedures
- Cash advances
- Gift card accounting
- Non-salary cost transfers

Michael Kukula, Financial Specialist: kukula@wisc.edu

- Purchasing assistance (purchasing card)
- Requisition preparation and processing
- Purchasing policies
- Travel policies
- Assistance with Concur
- E-reimbursement
- Events policies
- Payments to Individuals
- Direct Payments to Vendors

COORDINATORS OF ACADEMIC PROGRAM SERVICES (CAPS)

SoHE provides administrative support for departmental matters (i.e. graduate program coordination matters, tenure processes, departmental hires, departmental purchases, course listings and arrangements, etc.) through the “CAPS” (Coordinators of Academic Program Services) team, led by Sue Bruns, Dean’s Chief of Staff. Please see your Departmental Chair or Sue regarding questions pertaining to academic departmental administration. Find us at: caps@sohe.wisc.edu

Sue Bruns, Dean's Chief of Staff: bruns@wisc.edu

- Facilitating faculty affairs and expectations per FP&P and SoHE Governance
- Administer Academic Program Committee
- Point of contact for Dean's Office requests from SoHE and Campus
- Facilitate SoHE-wide academic program operations

Deb Olson, Dean's Administrative Assistant: deb.olson@wisc.edu

- Dean's Office calendar, travel, meetings
- Point of contact for internal and external people
- Member of Dean's Advancement Team

Mary Mead, Academic Program Specialist: memead@wisc.edu

- Facilitate the smooth functioning of academic departments – triage general requests
- Expertise in academic program hiring processes and expectations
- Expertise in academic program purchasing
- CAPS student-hourly supervision

Allison Murray, Undergraduate Program Coordinator: armurray@wisc.edu

- Academic planning, data coordination, program reviews, curricular revisions, enrollment management
- Timetable coordination and planning
- Administer SoHE Undergraduate Program Committee
- Academic Advisor to small cohort of SoHE students

Eric MacKay, Graduate Program Coordinator: emackay2@wisc.edu

- Graduate admissions
- GPC staff/member - future planning
- Student climate (retention, diversity, graduate student organization) and safe place
- Graduate academic processing
- Project Assistant appointments

CENTERS, OUTREACH, RESEARCH AND ENGAGEMENT (CORE) SUPPORT TEAM

The SoHE Centers, Outreach, Research, and Engagement (CORE) Support Team is led by Associate Dean of Finance and Administration Natalie Feggestad, Director of Centers Research and Public Affairs Mary Beth Collins, and Andrea Plassman, Research Administrator. As referenced in other sections of this handbook, each of these individuals work within their respective units; however, the CORE Support Team represents a conscious collaboration to support SoHE faculty, staff, and graduate students on matters pertaining to Centers, Outreach, Research, and Engagement.

The CORE Support Team strives to meet SoHE needs with regard to sponsored program activity, including research, purchasing, outreach and community-facing activities, events associated with sponsored programs and Centers, etc.

The CORE Support Team also hosts monthly “Open House” gatherings for SoHE faculty and staff prior to each month’s all-SoHE faculty and staff meeting. Open House discussion or guest speaker topics are chosen and featured to address questions related to processes or issues that arise with sponsored program activity (i.e. UW Research and Sponsored Programs roles and functions, Institutional Review Board Processes, etc).

Andrea Plassman, Research Administrator: aplassman@wisc.edu

- Pre-award assistance
 - Budget development
 - Proposal review
 - WISPER records
 - CAYUSE/Fastlane Submissions
- Post-award assistance
 - Financial reports
 - Sub-award agreements
 - Grant-related contract agreements
 - No-cost extensions

CENTERS OF EXCELLENCE

The SoHE Centers of Excellence serve as creative, nimble convening and operational hubs for community-engaged, outreach-focused, and multidisciplinary sponsored programs and collaborative work aligned with the School of Human Ecology strategic plan, in exploration of the many integrated disciplines and key themes related to Human Ecology, and in furtherance of the Wisconsin Idea.

The Centers area of SoHE is located on the 4th Floor, opposite the “100 Women Wall of Honor.” Director of Centers Research and Public Affairs Mary Beth Collins, along with student hourly help, and working closely with both Associate Dean of Research Connie Flanagan and Assistant Dean of Finance and Administration Natalie Feggstad, provides support to all SoHE Centers on strategic, research-related, and operational matters.

Kohl's Center for Retailing Excellence

The Kohl’s Center for Retailing Excellence strives to nurture a synergistic relationship between the retail industry, their partners, and the world-class faculty, staff, and students at the University of Wisconsin-Madison. This relationship is to be built on the highest ethical standards and dedicated to improving the lives of consumers, productivity of the industry, and elevating the status of retail by fueling innovation and competition in the market place.

Center for Child and Family Well-Being

The Center for Child and Family Well-Being seeks to respond to critical issues faced by family members and those who serve them. It is a vehicle through which the University is able to create and share knowledge as well as capitalize on expertise found outside the University to promote healthy human development and family life. This multidisciplinary Center works with researchers and policymakers in state and federal government, foundations and community-based nonprofit organizations to help achieve its goals.

Center for Financial Security

The Center for Financial Security (CFS) supports applied research on household finance and financial capability. CFS research examines the role that specific programs, policies, and products can play in helping individuals navigate the increasingly complex financial marketplace. CFS faculty and staff have extensive experience in program development, evaluation, and applied research in partnership with organizations ranging from community-based nonprofits to large public agencies.

Center for Community and Nonprofit Studies

The Center for Community and Nonprofit Studies (the CommNS) builds capacity and knowledge in community and nonprofit studies through the integration of action and applied research, education, outreach and engagement. It provides an inspiring place for UW faculty and Center affiliates to conduct groundbreaking applied research examining key issues in communities, create outstanding informational exchanges that promote best practices, and encourage innovative thinking that develops new strategies through participatory research and community engagement.

Center for Design and Material Culture

The Center for Textiles and Design is home to The Helen Louise Allen Textile Collection, the Ruth Davis Design Gallery, the Ruth Ketterer Harris Library, and the Lynn Mecklenburg Reading Room, which collectively form a laboratory for investigation and discovery. Using designed objects as primary sources for research and exhibitions, this Center invites faculty, students and the community-at-large to explore art, design, and the built environment within the context of society and community, culture and commerce, and the natural environment.

GALLERY AND COLLECTIONS, PRESCHOOL, AND LABS

The School of Human Ecology is home to several unique resources that enhance Human Ecology Departmental and Centers of Excellence research, scholarship, and teaching, including a fine arts/design gallery and collections, research facilities focusing on children and families, and consumer and social science research facilities.

Ruth Davis Design Gallery, Helen Louise Allen Textile Collection, and Ruth Ketterer Harris Library

The Ruth Davis Design Gallery holds exhibitions that relate to the processes and results of design. Regular exhibits showcase this work and are open to the general public. Design research, education and outreach are promoted under the leadership of the Design Center which

brings together the Design Gallery with [Helen Louise Allen Textile Collection](#), and [Ruth Ketterer Harris Library](#), as well as undergraduate and graduate programs in Design Studies. With the completion of Nancy Nicholas Hall in June 2012, came improvements resulting in the enlarged, climate-controlled Design Gallery and Helen Louise Allen Textile Collection, which enhances the visibility of creative works from both students and professional artists.

Preschool Lab

The School of Human Ecology's, Preschool Laboratory (PSL) is a child development and early learning program for community children and a teaching and research laboratory for University students, faculty and staff. The PSL offers year round programs for children ages 6 weeks-5 years.

Amy Wagner, Preschool Executive Director
Email: amy.wagner@wisc.edu

Jill Riley, Preschool Director
Email: jill.riley@wisc.edu

Using the Lab:

- Research: <https://sohe.wisc.edu/research-development/preschool-home/using-lab/research>
- Student Internships/Practicums: <https://sohe.wisc.edu/research-development/preschool-home/using-lab/college-students/internship-opportunities>
- Student Employment: <https://sohe.wisc.edu/research-development/preschool-home/using-lab/college-students/employment>
- Student Volunteering: <https://sohe.wisc.edu/research-development/preschool-home/using-lab/college-students/volunteering>
- Student Observation: <https://sohe.wisc.edu/research-development/preschool-home/using-lab/college-students/observing>

Brite Lab

Established in 2012, the Behavioral Research Insights Through Experiments (BRITE) Lab is a state-of-the-art facility for laboratory data collection for business, consumer science, and other social sciences. The lab is located in room 2117 in the University of Wisconsin-Madison School of Human Ecology in Nancy Nicholas Hall.

The BRITE lab is used by faculty and graduate students in a variety of research areas. For more information on people, publications and working papers, lab affiliates, and researcher guidelines for BRITE Lab use, use the following link: [Brite Lab](#)

Frances and Elliot Lehman Family Research Center

The Frances and Elliot Lehman Family Research Center promotes research combining behavioral observations with indices of individual and family well-being and development across the lifespan including physical, cognitive, emotional, relational, cultural, and economic well-being.

The Lehman Family Research Center has two research rooms, one for families and one designed for infants and children. Each research room has a one-way mirror and an adjoining observation room (including computers and desks).

The two research rooms in the Lehman Family Research Center each contain two cameras and ceiling microphones. The recording system has two modes, normal (single standard definition video signal of 720 x 480 resolution, camera controlled through a 7" touchscreen panel, 1 camera recording) and quadview (720 x 480 signal divided into quadrants, 2 cameras recording simultaneously). Faculty hoping to use the Lehman Family Research Center should request arrangements at: familycenter@mail.sohewisc.edu

Communications, Think Tank Team and Branding

SoHE's Communications and Advancement Department strategically develops and disseminates messaging that connects the school to students, alumni and media. We determine big goals and use tactics that move SoHE forward in key objectives supported by the OneSoHE21 Vision Pillars.

Day-to-day we work to promote SoHE's vibrant academic majors, build strong relationships with students and alumni in a "one to many" capacity, define human ecology, increase our social media and website audience, and coordinate with the student-supported Think Tank Team, or T3, on a variety of traditional and new-media projects.

If you have questions regarding how the Communications and Advancement team can help you with communications or publicity related to your work, contact Linda Zwicker, Assistant Dean of Advancement, lazwicker@wisc.edu, or Cathy Jackson, Associate Director of Strategic Communications, cathy.jackson@wisc.edu.

Think Tank Team (T3)

SoHE's Think Tank Team, or T3, is composed of student employees who support targeted school communications. They gain valuable experience by completing real-world projects that promote and advance SoHE, including social media and website updates, story writing, analytics, design, promotional plans, software training, electronic communications, and webmaster duties.

Need help? T3 can be reached directly at T3@sohe.wisc.edu for the following. (Please allow at least 24 hours for a response):

- WordPress training
- Website bio uploads
- Welcome screen requests
- Social media posts

When creating print or electronic materials representing SoHE, or any Department, Center, or initiative thereof, please be sure to follow SoHE's Branding and Visual Identity specifications (including specific information about color palette, use of logo, etc), which can be found in the guidelines available through this link: <https://sohe.wisc.edu/brand-visual-identity-guidelines>.

WEBSITE

The SoHE website is accessible to all users to update and maintain content. If you have a role with a SoHE department, lab, or Center and need to update website content, please follow the guidance that can be found in the following user guide: [Website User Guide](#)

DOIT PRINT CENTER

For small copy/print jobs, please use your assigned departmental printer or the DoIT print center on the 2nd floor. Due to the cost, it is recommended that you limit the number of color copies from the print center. A color copy costs \$0.50 per page, and these charges can add up quickly.

For larger jobs, you will need to send in an order through DoIT Print Center, which can be found online at: <https://www.doit.wisc.edu/services/printing-publishing/>. Please note that DoIT requires 24 hours to complete larger print jobs.

Copy Codes

Each department, center and faculty/staff member should have a copy code number which can be used to make black and white or color copies in the DoIT printing center on the 2nd floor. If you do not have a copy code, stop by the DoIT printing center and fill out a form to obtain one. Graduate students do not need to obtain copy codes. They can use their advisor's code for appropriate use. If you will be making copies for an externally-funded project, obtain a separate copy code for the project so that the costs are charged to the appropriate project.

FUND TYPES AND ACCOUNT CODES (FUNDING STRINGS)

All funding sources at UW are identified with a series of numeric codes. Fund codes are used to identify gift funds, federal projects, state and non-profit project, Graduate School funds, etc.

Funding String

Fund – School – Department – Program (Activity) – Project
XXX – 27 – XXXX – X – PRJXXXX

Note: The combination of school and department represents the UDDS code.

Types of Funds

101—GPR Funds: Departmental/SoHE funds
133 – State, non-profit, and private foundation projects
135 – Graduate school funding (start-up funds, fall competition, travel awards, etc.)
136 – Revenue producing activities (Preschool Lab, Center conferences, fixed price contracts)
144 – Federally-funded projects
233 – Gift funds

School - SoHE is 27, combine with departmental codes for the UDDS

Departments

2100 – Consumer Science
3100 – Design Studies
5100 – Civil Society & Community Studies
6100 – Human Development & Family Studies
9920 – Center for Child & Family Wellbeing
9930 – Center for Retailing Excellence
9940 – Center for Community and Nonprofit Studies
9960 – Center for Financial Security

Program/Activity Numbers

The following are the codes used for most expenditures:

2 – Instruction
4 – Research
5 – Outreach
6 – Administration

Project - Specific to project (these numbers all start with PRJ or A_ _, and are assigned upon set up of project by Research and Sponsored Programs or Accounting Services).

OFFICE AND RESEARCH BUILDING SPACE ASSIGNMENT & USAGE

Inquiries for research and sponsored programs space usage should be sent to [Mary Beth Collins](#). Space request for TA support or instructional duties should be routed to the appropriate Department Chair who will work with SoHE Administration to assign space.

Space in Nancy Nicholas Hall is a shared resource. SoHE will strive to provide necessary research and project space for SoHE faculty at all times with faculty projects with dedicated funding being given top priority.

To see the full SoHE Space Assignment and Usage Policy and Procedure with additional details, please click [here](#).

PURCHASING

Tax exempt Status: Individuals conducting official UW–Madison business may be exempt from payment of tax depending on their location and the circumstances of the purchase. Any personal use of university's tax exempt status is prohibited and is grounds for discipline. Please use the [tax exempt certificate](#) when making business-related purchases. The University may deny reimbursement to individuals for sales tax expenses.

Category	Purchasing Information	Payment Method/Procedure
Office/Classroom Supplies	<ul style="list-style-type: none"> • Shop@UW • UW Bookstore • Other vendors 	<ul style="list-style-type: none"> • MDS Number for Shop@UW & Bookstore • Purchasing card for other vendors • E-reimbursement for other vendors
Computer, laptops, printers, technology	BITS@sohe.wisc.edu	Provide funding string to BITS
Furniture	BITS@sohe.wisc.edu	Provide funding string to BITS
Copying	<p>Printing over \$49.99 must be ordered through the UW Madison Digital Printing & Publishing Services (DP&PS) through an established contract or a competitive bid. Faculty and staff are NOT authorized to directly purchase printing over \$49.99 from outside vendors. (See: http://www.bussvc.wisc.edu/purch/ppp5.html)</p>	<ul style="list-style-type: none"> • Obtain a copy code by completing the Print Center's User Code Request Form • The Print Center will verify the funding string with the SoHE Business Office. • DoIT will notify you of the assigned copy code.
Printing	<p>Printing over \$49.99 must be ordered through the UW Madison Digital Printing & Publishing Services (DP&PS) through an established contract or a competitive bid. Faculty and staff are NOT authorized to directly purchase printing over \$49.99 from outside vendors. (See: http://www.bussvc.wisc.edu/purch/ppp5.html)</p>	Provide a funding string to the DoIT Print Center

Category	Purchasing Information	Payment Method/Procedure
Postage	SoHE has a postage meter in the receiving/ mailroom.	Contact Gloria McCord (gjmccord@wisc.edu) in the SoHE Business Office for a postage meter code. Provide Gloria with the funding string.
Memberships	Individual memberships are not allowable on GPR funding unless a justification is provided as to how the membership benefits the school and students.	<ul style="list-style-type: none"> • Purchasing card • E-reimbursement
Subscriptions	Individual subscriptions are not allowable on GPR funding unless a justification is provided as to how the membership benefits the school and students.	<ul style="list-style-type: none"> • Purchasing card • E-reimbursement
Services provided by an individual (non-employee) < \$5,000 (including honorariums)	<ul style="list-style-type: none"> • Competitive procurement is <u>not</u> required. • Recommend searching UW and State Contracts: http://www.bussvc.wisc.edu/purch/contract/alphcon1.html • Recommend contacting 2-3 vendors for quotes if no UW or State contract is available. 	Payment to Individual, send Gloria McCord gjmccord@wisc.edu : <ul style="list-style-type: none"> • Completed <u>W-9</u> for individual • Dates of service • Description of services provided • Amount to pay • Address (if different than W-9) • Funding string
Goods or services < \$5,000	<ul style="list-style-type: none"> • Competitive procurement is <u>not</u> required. • Shop@UW http://mds.bussvc.wisc.edu/order/shopper_lookup.asp • UW and State Contracts: http://www.bussvc.wisc.edu/purch/contract/alphcon1.html • Contact three (3) vendors for quotes if no UW or State contract is available. 	Pay with purchasing card if possible. Direct Payment, send Gloria McCord gjmccord@wisc.edu : <ul style="list-style-type: none"> • Completed W-9 for business • Invoice that includes dates of service, Description of services provided, amount and address • Funding string

Category	Purchasing Information	Payment Method/Procedure
<p>Goods or services, \$5,000-\$49,999</p> <p>Includes following:</p> <ul style="list-style-type: none"> • If all items purchased exceed \$5,000 but no one item is \$5,000 or more. • Separate purchases from the same vendor over any 12-month period total \$5,000 or more. 	<ul style="list-style-type: none"> • Competitive procurement <u>is required</u>. • Shop@UW: http://mds.bussvc.wisc.edu/order/shopper_lookup.asp • UW and State Contracts: http://www.bussvc.wisc.edu/purch/contract/alphcon1.html • If no contract is available, a simplified bid process must be completed to select a vendor. Contact Michael Kukula in the SoHE Business Office for assistance. • If there is only one qualified vendor available, follow the sole source procurement procedures noted below. 	<ul style="list-style-type: none"> • Once a vendor is selected, a requisition must be created. Login to the Requisition and Number Generator through My UW at http://my.wisc.edu using your NetID and password. Enter the UW/State contract number on the requisition or attach all supporting procurement documentation to the requisition. If you need assistance, contact Michael Kukula in the SoHE Business Office.
<p>Goods or services, \$50,000 or more</p> <p>Includes following:</p> <ul style="list-style-type: none"> • If all items purchased exceed \$50,000 but no one item is \$50,000 or more. • Separate purchases from the same vendor over any 12-month period total \$50,000 or more. 	<ul style="list-style-type: none"> • Competitive procurement <u>is required</u>. • Shop@UW: http://mds.bussvc.wisc.edu/order/shopper_lookup.asp • UW and State Contracts: http://www.bussvc.wisc.edu/purch/contract/alphcon1.html • If no contract is available, a formal request for bids or request for proposals must be completed to select a vendor. Contact Natalie Feggestad in the SoHE Business Office for assistance. • If there is only one qualified vendor available, follow the sole source procurement procedures noted below. 	<ul style="list-style-type: none"> • Once a vendor is selected, a requisition must be created. Login to the Requisition and Number Generator through My UW at http://my.wisc.edu using your NetID and password. Enter the UW/State contract number on the requisition or attach all supporting procurement documentation to the requisition. If you need assistance, contact Michael Kukula in the SoHE Business Office. • Attach supporting procurement documentation to the requisition. Submit requisition and supporting documentation to Michael Kukula in the SoHE Business Office for processing.

Category	Purchasing Information	Payment Method/Procedure
<p>Sole Source Procurement between \$5,000 to \$24,999: Goods or non-academic services.</p>	<p>The <u>Non-Competitive Purchase Request Form</u> will need the following information:</p> <ul style="list-style-type: none"> • A written price quotation from the vendor • A statement justifying how the procurement is in the best interests of the state and that the price is reasonable either on a fair market value or on a cost basis • A statement documenting attempts at locating additional vendors (including vendor names, first/last name of contact, phone number and address) <p>If you need assistance with the above form, contact Natalie Feggstad in the SoHE Business Office.</p>	<ul style="list-style-type: none"> • Obtain a completed and signed <u>W-9 form</u> from the provider. • Create a requisition by logging into the Requisition and Number Generator through My UW at <u>http://my.wisc.edu</u> using your NetID and password. Indicate that the requisition is being requested as non-competitive procurement. • Attach the Non-Competitive Purchase Request Form and supporting documentation to the requisition and submit to Michael Kukula in the SoHE Business Office for processing.
<p>Sole Source Procurement between \$5,000 to \$24,999 for Academic Services, defined as providers directly serving the University's mission of academic instruction or research. This does <u>not</u> include sub-awards for grants.</p>	<p>The <u>Purchase of Services Justification Form</u> AND <u>Contract Details Form</u> will need the following information:</p> <ul style="list-style-type: none"> • A description of services to be provided including dates of service. • Name and address of provider. • Amount of contract, payment terms. • A statement regarding how it was determined that no other qualified vendors are available and what makes this provider unique. <p>If you need assistance with the above forms, contact Natalie Feggstad in the SoHE Business Office.</p>	<ul style="list-style-type: none"> • Obtain a completed and signed <u>W-9</u> form from the provider. • Create a requisition by logging into the Requisition and Number Generator through My UW at <u>http://my.wisc.edu</u> using your NetID and password. Indicate that the requisition is being requested as non-competitive procurement. • Attach the Purchase of Services Justification Form, Contract Details Form, W-9 and other supporting documentation to the requisition and submit to Michael Kukula in the SoHE Business Office for processing.
<p>Sole Source Procurement over \$25,000.</p>	<p>Sole source procurements over \$25,000 require approval from the State of Wisconsin Governor's Office.</p>	<p>Contact Natalie Feggstad in the SoHE Business Office for assistance.</p>

The following topics are covered in other areas of the CORE Handbook:

- Travel purchasing
- Events purchasing
- Gift cards for research participants
- Participant stipend payments
- Campus Parking
- Rental of a Fleet Vehicle
- DoIT Media or Computing Service

TRAVEL

Please note that the below table is intended to address the most common travel costs and policies. A more complete guide to UW Travel policies may be found at:

<http://www.bussvc.wisc.edu/acct/policy/ppindex.html>

Receipts: If receipts are required, they must provide detailed information regarding what was purchased. The credit card payment slip is not sufficient documentation. In addition, the receipt must document payment, i.e. reservation confirmations are not sufficient unless it also documents the payment made. See below for receipt requirements:

Receipt ALWAYS Required	Receipt Required When Claimed Expenses Exceed \$25	Receipts Not Required for Expenses Included in the Meals & Incidental Expenses (M&IE) Per Diem Allowance
<ul style="list-style-type: none"> • Airfare • Books and miscellaneous supplies/purchases • Currency processing/foreign transaction fees • Fleet vehicle rentals • Gasoline for rental vehicles • Hosted meals/events • Internet connectivity for business use while in travel status • Lodging • Registration fees • Train fare • Travel visa fees and inoculations • Vehicle rentals 	<ul style="list-style-type: none"> • Baggage and seat fees • Bus fare • Limos • Parking • Shuttles • Subway fare • Taxis • Tolls 	<ul style="list-style-type: none"> • Bottled water • Fees and tips given to restaurant staff, porters, baggage handlers, hotel housekeeping or other service staff, valets, train or ship service staff, etc. • Laundry, dry cleaning and pressing of clothing • Mailing and other expenses associated with filing expense reports • Personal meals • Phone calls (business and personal) • Transportation between places of lodging or business to obtain meals

Tax exempt Status: Individuals conducting official UW–Madison business may be exempt from payment of tax depending on their location and the circumstances of the purchase. Any personal use of university's tax exempt status is prohibited and is grounds for discipline. Please use the [tax exempt certificate](#) when making business-related travel arrangements. The University may deny reimbursement to individuals for sales tax expenses.

If you have a question on an item not listed in the following travel matrix, please refer to <http://www.bussvc.wisc.edu/acct/policy/ppindex.html> or contact Michael Kukula in the SoHE Business Office.

Please refer to the E-reimbursement section of the CORE Handbook for information on how to request reimbursement for travel expenses.

TRAVEL MATRIX

Category	Reimbursement Rates	Documentation	Reservations/ Purchases
Meals & Incidentals	<p>Rates vary by location and dates of travel. Location determined by the city of lodging. Please use the travel calculator for preparing budgets and travel estimates: https://uw.foxworldtravel.com/rate-calculator/</p> <p>Reimbursement on day of departure and day of return is 75% of daily rate.</p> <p>If a meal is offered as part of a hotel reservation or conference registration, the reimbursement rate will be reduced depending on which meal is included.</p>	No receipts required	N/A
Mileage for Use of Personal Vehicle	<p>Round-trip less than 300 miles: \$0.535/mile (IRS rate)</p> <p>Round-trip 300 miles or more: If a fleet vehicle was available, \$0.352/mile</p>	Mapquest (or similar) documenting mileage. If leave from home, mileage is lesser of mileage from home or UW business location.	N/A
Fleet Rental	<p>Small Sedan: \$16.00/day, includes 40 miles, \$0.27/mile over 40 miles</p> <p>Full List of Fleet Rates: https://transportation.wisc.edu/fleet/rates.aspx</p>	Document miles travelled for Transportation Services	<ol style="list-style-type: none"> 1. Must sign up through the Enterprise Fleet Management System: https://fleetportal.wi.gov/my.policy 2. Contact Tammy O’Brien in the Business office to obtain a Fleet Billing number. 3. Reserve a fleet vehicle at: https://fleetportal.wi.gov/my.policy

Category	Reimbursement Rates	Documentation	Reservations/ Purchases
Lodging	<p>Rates vary by location and dates of travel. Location determined by the city of lodging. Please use the travel calculator for preparing budgets and travel estimates: https://uw.foxworldtravel.com/rate-calculator/</p>	<p>Detailed, paid receipts required.</p>	<ul style="list-style-type: none"> • Employees <u>must</u> use Concur (aka Fox World Travel) https://uw.foxworldtravel.com/ to book hotels; however, <i>rates on Concur may exceed allowable rates and employees will only be reimbursed up to the allowable rates.</i> • Employees may use a UW purchasing card, Corporate Card or personal funds for lodging. • If you need assistance, please contact Michael Kukula in the SoHE Business Office.
Airfare	<p>Actual cost of airfare.</p> <p>* If a traveler opts to extend their stay for personal reasons, or fly out of or into a city other than Madison, the traveler will be reimbursed the lower of actual costs, or what the cost would have been if travel was only for business dates or out of or into Madison.</p>	<p>Detailed, paid receipt</p>	<p>Employees <u>must</u> use Concur (aka Fox World Travel) https://uw.foxworldtravel.com/ to book air travel. If you do not have a UW Purchasing Card or Corporate Card, please contact Michael Kukula in the SoHE Business Office so that he can enter payment information.</p>
Baggage Fees	<p>Actual cost of baggage fees.</p>	<p>Paid receipts for fees exceeding \$25, or if paid with UW purchasing card. Business justification required if claiming baggage fees for more than one bag.</p>	<p>N/A</p>

Category	Reimbursement Rates	Documentation	Reservations/ Purchases
Vehicle rental	<p>Actual cost for vehicle rental.</p> <p>*UW has two vehicle rental contracts travelers are required to use whenever possible.</p>	<p>Employees <u>must</u> attempt to use Concur (https://uw.foxworldtravel.com/) to book a vehicle rental.</p> <p>If the UW does not have a contract available in the city of travel, or the contractor does not have a vehicle available, a non-contract vendor may be used.</p> <p>Detailed, paid receipts are required.</p>	<ol style="list-style-type: none"> 1. Must complete the Faculty and Staff Vehicle Use Agreement: https://fleetportal.wi.gov/my.policy . 2. Employees <u>must</u> attempt to use Concur (https://uw.foxworldtravel.com/) to book a vehicle rental. If you do not have a UW Purchasing Card or Corporate Card, please contact Michael Kukula in the SoHE Business Office so that he can enter payment information. 3. If it is necessary to use a non-contract vendor, please note that use of Orbitz is not allowed. It is recommended that employees use a UW Purchasing Card or Corporate card for vehicle rental expenses.
Taxi/Airline Shuttles	Actual cost for necessary and reasonable travel with documented business purpose.	Paid receipts for one-way trips in excess of \$25 (including tip), or if paid with UW purchasing card. Must document trip origin, destination and business purpose.	N/A
Internet Connection Fees	Actual cost if business purpose is documented.	Paid receipt required.	N/A
Phone calls	<p>Personal phone calls while traveling in the U.S. are <u>not</u> reimbursable.</p> <p>Personal phone calls while traveling internationally are reimbursable up to \$10/day.</p>	Paid receipt required.	N/A

EVENTS AND MEETINGS AT SOHE

Events Best Practices

There are many considerations when planning an event including those surrounding scheduling, room reservations, and promotion. To assist with these items as you prepare for your event, please refer to the [Best Practices for SoHE Centers of Excellence Event Schedule and Promotion](#).

Room Reservations

Most spaces available for meeting or event use in Nancy Nicholas Hall can be reserved by SoHE employees through the online Room Reservation system, found at: <https://sohe.wisc.edu/getting-things-done-at-sohe/room-reservations>. In order to use this system, SoHE employees may need to request access from BITS staff by emailing bits@sohe.wisc.edu. Plenary Hall and Room 2235 (the Michael Axelrod Collaborative Learning Hall) must be reserved by emailing Sue Bruns at bruns2@wisc.edu and will require key access (keys can be obtained from BITS staff).

Room Set-Up and Take Down

Please note that when any room is reserved or used for any purpose in Nancy Nicholas Hall, the individual who reserved the room is required to return to its standard configuration. Charts for exact configuration and set up of tables and chairs can be found in the larger conference and event spaces; other conference rooms should be returned to the original set-up.

Catering

Most SoHE events are catered by Union Catering: <https://www.union.wisc.edu/eventservices-catering.htm>. Union Catering is a trusted campus partner familiar with meal cost limitations associated with campus policy, as well as the usual set-up and take-down arrangements that work well in SoHE spaces. Menus can be arranged with Union Catering in advance of an event, and a per-person cost estimated. A final head count for events can usually be provided a week or so before the actual event. P-cards can be used for purchase of Union Catering orders. All purchasing rules apply as referenced in more detail herein. (Please note that Union Catering will dispose of any leftover food that cannot be retained by SoHE staff in separate containers. It's always worth planning for leftover storage in advance event to avoid wasting food.)

Audio/Visual/Tech

For any SoHE event requiring a specific technology set up, it's advisable to confer with BITS in advance of the event. Many rooms are equipped with the ability to project presentations and/or conduct Skype or conference calls, but each room is different and ancillary equipment such as cords or a specific laptop may need to be requested.

Registration, RSVP, and Event Sign-In Processes

For any event for which refreshment purchases are made it is important to attempt to appropriately estimate the number of attendees in advance. SoHE staff and units have

previously used various methods for obtaining RSVPs, including Qualtrics surveys, Evites, simple e-mail responses, etc. Even if all respondents do not actually attend the event, the anticipated number of attendees based on responses can help to justify the amount of refreshments purchased. At the actual meeting or event, have a sign-in sheet or some way to track actual attendees that indicates whether they are UW employees (complete with their campus affiliations) or non-UW-employee visitors.

Event Planning Information

The following table will provide useful information in planning events that include food and/or alcohol:

<u>Catering Type</u>	<u>Description</u>	<u>Allowable Expenses</u>	<u>Cost Limits</u>	<u>Documentation Needed</u>	<u>Allowable Amount Exceeded?</u>
Hosted Meals	A hosted meal is considered any meal conducted during meal-time hours.	<ul style="list-style-type: none"> Reasonable food and beverage costs Service charges Gratuity (15%) <p>*Alcohol <i>NOT</i> included.</p>	<ul style="list-style-type: none"> \$12/person*-breakfast \$18/person*-lunch \$30/person*-dinner <p>*gratuity and tax are included in the calculation of per person cost (should try to have taxes removed)</p>	<ul style="list-style-type: none"> Agenda UW-Madison business purpose (how does food add to business purpose) Itemized receipt List of Participants Event Meal Form 	<p>If you exceeded the allowable amount for your hosted meal, you must <u>also</u> provide:</p> <ul style="list-style-type: none"> Justification of the overage Dean approval – email request to Associate Dean Feggstad
Receptions	A reception is considered any gathering of individuals that may not have a specific agenda or time frame. The purpose must be related to promoting the mission of the hosting department.	<ul style="list-style-type: none"> Reasonable food and beverage costs Reception room costs Service charges Gratuity (15%) <p>*Alcohol <i>NOT</i> included.</p>	<ul style="list-style-type: none"> \$10 per person*, Request must be made prior to the event to the Dean’s Office to exceed \$10/person. <p>* gratuity and tax are included in the calculation of per person cost (should try to have taxes removed)</p>	<ul style="list-style-type: none"> Event announcement/flyer Director, Department Chair or Dean approval UW-Madison business purpose (how does food add to business purpose) Original invoices/ itemized receipts List of those invited to the reception (not required if open to the public) Events Reception form Events Meals/ Receptions For the General Public form 	<p>If you exceeded the allowable amount for your hosted meal, you must <u>also</u> provide:</p> <ul style="list-style-type: none"> Justification of the overage Dean approval – email request to Associate Dean Feggstad
Refreshments	Refreshments include any food or drinks consumed during meeting breaks, events, seminars, receptions, etc.	<ul style="list-style-type: none"> Small food items Non-alcoholic beverages (coffee, tea, soft drinks) 	<ul style="list-style-type: none"> No more than \$10 per person* per break <p>*gratuity and tax are included in the calculation of per person cost (should try to have taxes removed)</p>	<ul style="list-style-type: none"> Meeting agenda Original invoices/ receipts List of Participants Event Refreshment Form 	<p>If you exceeded the allowable amount for your hosted meal, you must <u>also</u> provide:</p> <ul style="list-style-type: none"> Justification of the overage Dean approval – email request to Associate Dean Feggstad

ALCOHOL

Policy: Campus and SoHE

The UW-Madison policy on Alcohol Beverage Regulations can be found at:

<https://alcoholpermit.wisc.edu/services/AlcoholPolicyFinal.pdf>

This document following is intended to highlight a few key policy and procedural issues related to providing alcohol at events or purchasing at meals.

Procedures for Purchasing Alcohol

Alcohol is **not** an allowable UW Madison expense. Alcohol must be paid directly by UW Foundation; therefore:

- Obtain approval from the Dean's Office **prior** to the event at which alcohol will be purchased. Contact Assistant Dean, Natalie Feggestad, to request approval.
- Do **not** pay for alcohol with a UW purchasing card. A UW corporate card may be used or personal funds, which will then be paid through e-reimbursement.
- If possible, reimbursements and payments are simplified if alcohol is billed separately from the food purchase.

Category	
Hosted Meal	These are typically conducted for faculty and staff recruitments, for visiting scholars, or for development purposes. UW-Foundation has a limit of \$40/bottle for wine. Do not pay for the alcohol with a UW Purchasing Card.
On-campus Event (Requires online training and permits for servers)	<ul style="list-style-type: none">• Recommended to contract with the Wisconsin Union.• If not, alcohol servers must obtain an Alcohol Beverage Service permit and take required training. Information on permits can be found at: https://alcoholpermit.wisc.edu/services/AlcoholPolicyFinal.pdf
Off-campus Event	It is recommended that you request that the vendor provide a separate invoice for the alcohol expenses. It is not necessary but it will simplify the payment process. Do not pay for the alcohol with a UW Purchasing Card.

E-REIMBURSEMENT

E-reimbursement processes can be used for both UW employees and non-UW employees when appropriate work-related expenses are incurred by individuals in the course of carrying out UW business. E-reimbursement is most commonly used for travel-related expenses; however, it can be used for reimbursement of other business-related expenses as well. Prior to incurring expenses, employees and non-employees should obtain funding approval, verify whether expenses are allowable and identify any relevant limits on expenses.

The SoHE Business Office website has helpful checklists to use when submitting various types of e-reimbursement claims: <https://sohe.wisc.edu/sohe-business-page/e-reimbursement/>

Faculty and Staff

To complete the e-reimbursement process, UW employees may use the online system found through this link: <http://www.bussvc.wisc.edu/acct/e-Re/>. UW employees log in with their NetID and are led through the process to complete and online report to submit for their expenses. Original receipts must be submitted to the Business Office upon submission of the e-reimbursement claim.

Payments to the individual UW employee are deposited directly to the bank account on file for payroll direct deposit.

Non-Employees

For non-UW employees who seek e-reimbursement for appropriate expenses, a UW employee must create and approve a non-employee profile. To create a profile for a non-UW-employee, please see Gloria McCord in the Business Office. Once a profile is created for a non-UW-employee, the UW employee designee may then the online e-reimbursement request. Original receipts must also be provided to the Business Office.

RECRUITMENT AND HIRING

Hiring

*It is recommended that you submit all hiring forms to the Business Office **a minimum of two weeks prior to the employee start date** to allow sufficient time for entry into the payroll system, issuance of an appointment letter, completion of the background check, and completion of the I-9 verification process. Please note that ALL hires must complete their I-9 documentation within 3 days of the employee start date or we will be in violation of federal regulations.*

Faculty and academic staff hires must adhere to campus hiring policies and procedures. In the event that you are working on a grant, initiative, or other process that requires a faculty or academic staff hire, please contact your Department or Centers of Excellence support (Mary Beth Collins). Assistant Dean Bruce Hellmich will provide support to ensure this is handled appropriately. Be prepared that a position vacancy listing may need to be posted for particular posting periods before any hire can be made.

Graduate Student Project Assistant/Research Assistant Hires

When conducting graduate student hires, we encourage you to seek support from Andrea Plassman at aplassman@wisc.edu for Project Assistant/project-based/extramurally-funded hires. Ultimately, a graduate student hire form, found at: <https://sohe.wisc.edu/sohe-business-page/payroll/>, will need to be completed and sent to Ethel Herbrand, who will then complete an appointment letter that is provided to the graduate student hire and applicable supervisor.

Student Hourly Hires

Student hourly hires are conducted through completion of the Student Hourly Hire form, found at: / <https://sohe.wisc.edu/sohe-business-page/payroll/> . Information needed will be the full name, date of birth, and mailing address of proposed graduate student hire; as well as funding source and nature and duration of hire will be needed. Completed student hourly hire forms are then sent to Ethel Herbrand at efherbra@wisc.edu , who will set the student hourly and supervisor up with access to the time-reporting system through the MyUW portal. For project-funded or Centers-based student hourly hires, Mary Beth Collins can provide assistance and help with any questions.

Zero-Dollar Appointments

For any scenario in which a zero-dollar appointment is needed (Steering Committee seat, affiliation with SoHE that is not a paid position, etc), please complete sections A and B of the SoHE Academic Staff Hiring Form found at: <https://sohe.wisc.edu/sohe-business-page/payroll/> and submit to Ethel Herbrand in the Business Office at: efherbra@wisc.edu. An appointment letter will be issued to the applicable individual.

Visiting Scholars

SoHE Centers and Departments may receive requests regarding visiting scholar opportunities and foreign visitors or speakers. If you're bringing a visiting scholar from out of country, please check with Natalie Feggestad or Mary Beth Collins regarding requirements for your particular situation.

Onboarding New Employees

Payroll and benefit questions should be directed to Ethel Herbrand at efherbra@wisc.edu. Additionally, the Centers of Excellence have devised onboarding that may provide a useful tool for new staff or faculty onboarding process within SoHE. Please contact Andrea Plassman, Research Administrator, at aplassman@wisc.edu for a copy of the current onboarding checklist.

INDIRECT COST REIMBURSEMENT POLICY & 136 AGREEMENT **INDIRECT COSTS**

Each year SoHE distributes a portion of indirect cost reimbursement funds to individual Principal Investigators and Centers. The allocations are based on individual PI and Center expenditures on sponsored projects for the past year. The policy aims to incentivize SoHE researchers, faculty, and affiliates to conduct sponsored research and scholarship at SoHE, and provide resources for PI's to explore funding opportunities. In addition, the policy bolsters SoHE Center resources needed to provide meaningful support to faculty and center affiliates. For the policy regarding current allocations, click [here](#).

PARKING

If you are interested in an individual parking pass, email Associate Dean Natalie Feggestad at feggestad@wisc.edu to be entered into the parking application system. Cost varies by lot and can be paid for through a payroll deduction.

If your unit or center wishes to secure a parking pass for shared use, please contact Mary Beth Collins or Natalie Feggestad regarding the process.

If you are planning an event for which guest parking is needed, parking passes can be ordered from transportation services (please visit <http://transportation.wisc.edu/parking/visitor.aspx> for details about how to apply for passes). Please note:

- Temporary parking options ranging from hourly to monthly are available for purchase on a space available basis for anyone who would like to park on campus.
- Passes can be picked up at a [drive-through location](#) at 21 North Park Street. At this location, guests or event hosts can also obtain up-to-date parking availability.
- An online form will need to be completed through the transportation website or can be requested by calling the Special Events Office at (608) 262-8683. Inquiries about visitor parking can also be sent to visitor-parking@fpm.wisc.edu.
- Parking passes may take up to two weeks for processing, so be sure to plan ahead!
- Maps showing various lots on campus are also available on the transportation services website.

RESEARCH

Funding Opportunities

When searching for funding opportunities, there are many resources to check out including:

- 1) Listservs of organizations that you are a member of,
- 2) RSP's [Finding Funding](#) web page,
- 3) The [Grants Information Collection](#) at the Memorial Library – Grants Librarian [Ellen Jacks](#) is an excellent resource for providing assistance in your search,
- 4) There are also a variety of internal UW research and scholarship award opportunities, which are summarized in the SoHE Centers' [Annual Internal Grant Calendar](#).

Research: Pre-Award Planning and Processes

All proposals must be reviewed and approved by both SoHE Administration and the Office of Research and Sponsored Programs (RSP) prior to being submitted to the sponsor. For all pre-award processes, we encourage you to seek support from one of the SoHE Centers of Excellence. Please contact [Mary Beth Collins](#), Director of Centers Research and Public Affairs or [Andrea Plassman](#), Research Administrator.

The CORE Support Team can provide assistance with:

- Budget and budget narrative drafting and review
- Facilities and capabilities statement
- Coordination of letters of support
- Proofreading, formatting and grant requirements checks
- Support on IRB or other regulatory aspects of your proposal
- Coordination with RSP
- Submission processes
- Other custom support as requested by PIs

For any and all pre-award processes (including contracts and a variety of grants) a WISPER record must be established (see: <https://www.rsp.wisc.edu/wisper/>). WISPER is the electronic routing system through which all proposals are reviewed and approved by SoHE and RSP. Center staff and/or CORE support team members can assist with establishing WISPER records as a part of pre-award submission preparation.

Each potential funding source may have its own system or requirements for submissions for funding. All RFAs or grant proposal guidelines should be carefully reviewed to confirm submission requirements. Please note that any federal grant submissions and many other types of proposals will need approval from RSP, and as such, WISPER records should be established early and contact made with RSP to alert them to the process and ensure that smooth coordination occurs with ample time.

Please note that contracts for service must also be reviewed and approved by both SoHE Administration and RSP. Individual PIs are not authorized signers to enter into agreements on behalf of UW-Madison. Agreements require the signature of an authorized representative from RSP.

Research-Related Reporting and Post-Award Resources and Processes

When notification is received that funding will be awarded on a grant proposal, formal notification will need to be provided to the Office of Research and Sponsored Programs (RSP). The sponsor often notifies RSP directly, but not in all cases, therefore, once the Principal Investigator (PI) is notified of an award, he/she should inform their Center contact who assisted with the application, as well as the SoHE Business Office.

The Center Contact will arrange a time to meet with the PI to go over post-award process procedures and ensure that the PI will receive the support needed for carrying out the responsibilities of the project. At the post-award award meeting, the following items will be addressed as necessary to ensure that the project will receive the support from administration that it needs to complete it successfully:

- Hiring
- Subaward agreements
- Purchasing
- Participant Incentive Payments
- Participant Parking Needs – For studies that require study participants to come to SoHE, the process for validating parking passes will be included.

Additional post-award considerations and processes include the following:

- Effort Reporting – Each Principal Investigator (PI) is required to conduct effort reporting on a periodic basis. This process ensures that the percentage time committed by a PI on sponsored programs is actually applied appropriately. RSP will send automatic prompt emails to all PIs, asking them to verify their effort through an online system. If you have questions about Effort Reporting, or an unusual scenario arises that requires additional support, please contact Mary Beth Collins.
- Outside Activities Reports – Each PI is also required to submit an Outside Activities Reporting each year. Again, an automatic prompt email will invite the PI to enter an online system and provide information about any activities outside of UW employment that may need to be monitored as potential conflicts of interest. The online form guides the PI through this process. In the event that there is an outside activity reported that requires follow-up such as establishing an action plan for protecting research endeavors from potential conflicts, Mary Beth Collins will provide support in completing these steps.
- Identifying Research Space – SoHE offers research space whenever possible to its researchers and affiliates but must also consider and balance a variety of needs of faculty throughout the School and its Centers. If you believe you have a research project that is likely to require space in addition to any space that has been assigned to you already, please contact Mary Beth Collins regarding your needs, and a suitable space will be identified for your use whenever possible.
- Storing Data and the SSCC – To ensure safe and secure storage of data, SoHE Centers and Researchers are encouraged to take advantage of the services offered by Social Science Computing Cooperative: <https://www.ssc.wisc.edu/sscc/> SoHE maintains a membership with this on-campus provider to allow SoHE researchers support in data collection and storage, as well as for secure data storage offerings. Please see Mary Beth Collins with questions. Additionally, if you intend to conduct data collection or storage in a different way, or have questions about data destruction, please confer with Mary Beth and/or John Hilgers of BITS staff to confirm that your data storage or destruction needs are addressed in a compliant way.
- IRB Protocols – All SoHE researchers and research staff are required to take “CITI” Training to ensure that research protocols and human subjects protection are well understood: <https://kb.wisc.edu/gradsch/page.php?id=32559> Additionally, SoHE’s research involving human subjects is supported by the staff at UW IRB: <https://irb.wisc.edu/> For any questions about information needed at the pre-award stage related to how to characterize the human subject protocol process or for assistance with human subjects protocols in the post-award phase, please contact Mary Beth Collins.

Research Participants Payments

Please note that the below table is intended to provide a basic overview of research participant payment methods and policies. A more complete guide to the Payments to Research Participants policies related to Custodian Funds/Cash Advance, Gift Cards & PIR research payments may be found at the following links under the [Policy and Procedure Index](#):

Policy 103: Payments to Research Participants: http://www.bussvc.wisc.edu/acct/policy/human_subjects/humanpol.html.

Policy 105: Gift Cards: <http://www.bussvc.wisc.edu/acct/purchcd/allowable.html>

Policy 301: Custodian Funds: <http://www.bussvc.wisc.edu/acct/policy/ca/capol.html>

Important Note: The below procedure outlines payments to Research Participants only. For other program purposes, please see the **Payments via Custodian Funds & Gift Cards Matrix**.

Methods of Payment: Depending on the amount of the payment, the Custodian (Principal Investigator/Researcher) can make payments to research participants via **cash** (Custodian Funds/Cash Advance), **gift cards** (purchased via Custodian Funds or P-Card), or **check** (Payment to Individual Report).

Method of Payment	Policy Notes	Forms & Documentation Needed	Processing Times
Custodian Funds/Cash Advance	<ul style="list-style-type: none"> • Researcher pays participants directly by cash or gift card (anything other than a check), using Custodian Funds • Cash Advance is for 3 months or less. If payments are required for a longer period, another Cash Advance may be set up for another 3 month period. • \$249 or less - de minimis payment <u>per participant</u> • Funds can be used to purchase gift cards in lieu of cash (\$249 or less) 	<ul style="list-style-type: none"> • Documentation of IRB approval or exemption, which includes: IRB approval #, research study title, time period, and description. • Funding to charge • Amount of Cash Advance <p>Provide the following signed forms to SoHE Business Office:</p> <ul style="list-style-type: none"> • Custodian Fund Request Form • Custodian Fund Agreement Form • Custodian Fund Budget Form <p>(continued)</p>	<ul style="list-style-type: none"> • A check will be sent direct to the address indicated on the Custodian Fund Request form, no sooner than 10 business days before the beginning date of the Custodian Fund Request. • Keep in mind it takes 7-15 business days before issuing a check, after leaving SoHE Business Office.

Method of Payment	Policy Notes	Forms & Documentation Needed	Processing Times
Custodian Funds/Cash Advance (cont.)	<p>(continued)</p> <ul style="list-style-type: none"> • If 133 or 144 funds are used to purchase gift cards, <u>e-mail approval from RSP is required</u> and must be attached to the Custodian Fund Request Form. • Encouraged, but not required, to obtain a Taxpayer ID Number (TIN) from each participant, to the extent that collection of this information is consistent with the confidentiality protections provided to the participant by the IRB. • If aware that the research participant will be getting multiple payments of under \$250 that will cause them to exceed the IRS limit of \$600, then the researcher must obtain a TIN and a W-9 from the participant. • U.S. Persons <u>Only</u> (Citizens, Permanent Residents-Both Employees and Non-Employees). UW employees are treated the same as non-UW employees. • If Non-Resident Alien (NRAs), then <u>must be processed via Payment to Individual Report (PIR), regardless of the amount</u> (i.e., international students who are not U.S. citizens) • The Custodian/PI is personally responsible for determining the amount of the Cash Advance and complying with Taxation and Identification Requirements. 	<p>Return the below log (completed by Custodian & participants) to SoHE Business Office after all payments have been made:</p> <ul style="list-style-type: none"> • Research Participant Log (or an equivalent log or slip containing the same information) 	

Method of Payment	Policy Notes	Forms & Documentation Needed	Processing Times
Gift Cards	<ul style="list-style-type: none"> • Can be purchased via P-Card or in lieu of cash with Cash Advance/Custodian Funds • Gift Card increments may only be \$25 or less when purchased via P-Card (<i>for gift cards of \$26 - \$249, follow Cash Advance/Custodian Funds process</i>) • Cannot be awarded to UW employees • Cannot be awarded to Non-Resident Aliens (NRA's), regardless of the dollar amount (i.e., international students who are not U.S. citizens) • Only for 3 months or less. If payments are required for a longer period, forms should be completed again and another purchase may then be made for another 3 month period. • If 133 or 144 funds are used to purchase gift cards, <u>e-mail approval from RSP is required</u> and must be attached to the Custodian Fund Request Form. • Any gift cards purchased that are not used become the property of the Custodian/PI, who must then reimburse the UW for the cost of the unused gift cards. 	<ul style="list-style-type: none"> • Number of gift cards to be ordered, and in what dollar increment • Documentation of IRB approval or exemption, which includes: IRB approval #, research study title, time period, and description. • Funding to charge <p>Provide the following signed forms to the SoHE Business Office for approval prior to purchase:</p> <ul style="list-style-type: none"> • Custodian Fund Request Form • Custodian Fund Agreement Form • Custodian Fund Budget Form • Gift Card Approval Form <p>Return the below log (completed by Custodian & participants) to SoHE Business Office after all payments have been made:</p> <ul style="list-style-type: none"> • Gift Card Recipient Log <ul style="list-style-type: none"> • Forms are attached to P-Card Log of the Purchaser (if purchased via P-Card) 	Varies, depending on vendor

Method of Payment	Policy Notes	Forms & Documentation Needed	Processing Times
Payment to Individual Report (PIR)	<ul style="list-style-type: none"> • All payments of \$250 or more must be processed via a PIR • Only for 3 months or less • A check is issued directly to the research participant • A W-9 form (including Taxpayer ID Number - TIN), is <u>required</u> for all U.S. Persons when using this payment method • All payments to Non-Resident Aliens (NRA's) <u>must be processed through a Payment to Individual Report (PIR) regardless of the dollar amount</u> • For Non-Resident Aliens (NRA's), see the Non-Payroll Payments Flowchart for the required tax documentation under Policy 601: Tax Compliance 	<p>Provide the following to SoHE Business Office:</p> <ul style="list-style-type: none"> • Name (Last, First, Initial) – no nicknames • W-9 form (<u>Required</u> - completed by the participant) • Funding to charge • Address where the check should be mailed (if different than address listed on the participant's W-9) • Is the individual an employee of the University? • Date(s) of service • Purpose of payment – Description of services rendered • Amount to pay • IRB approval #, research study title, time period, and description. 	<p>14-19 business days before issuing a check, after leaving SoHE Business Office</p>

If you have a question on an item not listed above, please refer to <http://www.bussvc.wisc.edu/acct/policy/ppindex.html> or contact the SoHE Business Office.