

Submitting a Claim in WISEgrants

Introduction

This document will review the process for submitting a claim through WISEgrants; the flexibility offered through the 10% rule; and common error messages experienced by users. Instructions for amending a claim can be viewed [here](#).

Submission

[Submission](#)
[Personnel](#)
[Purchased Services](#)
[Non-Capital Objects](#)
[Capital Objects](#)
[Insurance](#)
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[Indirect](#)
[View All Sections](#)

Messages:

- If using the Wisconsin Uniform Financial Accounting Requirements (WUFAR), a subrecipient's ledger should appropriately reflect the approved budget (and local WUFAR crosswalk, if applicable) in WISEgrants. If you are unable to find the WUFAR combination for your budget item, please do not find the closest match but [report the missing combinations](#). All requests will be dealt with in a timely manner.

Budget Submission

The IDEA - Preschool (Preschool) budget has no pending changes.

This is the budget landing page. This section would list any validations that need to be corrected. If the message is limited to the one at the left, then a claim can be submitted without issue.

Budget Validations and the Ability to Submit Claims

This is a quick demonstration of how to submit a claim through WISEgrants. These instructions apply to all grants within WISEgrants.

First and foremost, you must have an approved budget in order to submit a claim.

Subbudget	Last Status	Status Date	Revisions
Title I-A	Approved	10/12/2016	No revisions made
Title II-A	Submitted	9/12/2016	No revisions made
Title III-A	Approved	10/7/2016	No revisions made
CEIS	Unlocked		No revisions made
Flow-through	Submitted	10/5/2016	No revisions made
Preschool	Approved	8/17/2016	No revisions made
Title I Schoolwide	Unlocked		No revisions made

WISEgrants allows you to submit claims against the most recently approved budget, **providing you do not have any pending budget validations**. These validations, indicating issues with the application that need attention, will need to be resolved before you will be able to submit your claim. Pending validations will allow you to save work on a claim but will prevent submission (unless the amount being claimed is \$0). Validation messages will appear on the Enter Claims screen as well as on the Budget Submission screen.

Pending budget validations as seen on a budget landing page:

Submission

[Submission](#) [Personnel](#) [Purchased Services](#) [Non-Capital Objects](#) [Capital Objects](#) [Other Objects](#) [Indirect](#) [View All Sections](#)

Messages:

In order to submit the Title I-A (Reservations, Instructional, Title II Transfer) budget, complete the tasks identified here:

- The amount budgeted of \$1,198,735.00 for Instructional exceeds the amount available of \$1,188,908.00 for Instructional.
- The ESSA Foster Care Assurances form has not been digitally signed by your District Authorizer. Contact your District Authorizer and have them digitally sign the ESSA Foster Care Assurances form on the [Authorizations screen](#)
- There are more funds budgeted for Private School than what is available. Revise the Instructional Budget.

If validations like the ones above are present, the message panel on the Claim Submission screen will state that no claims can be submitted until the budget validations are corrected. This often means that the LEA must amend the budget and have it approved by DPI before a claim can be submitted.

Preparing and Submitting a Claim to DPI

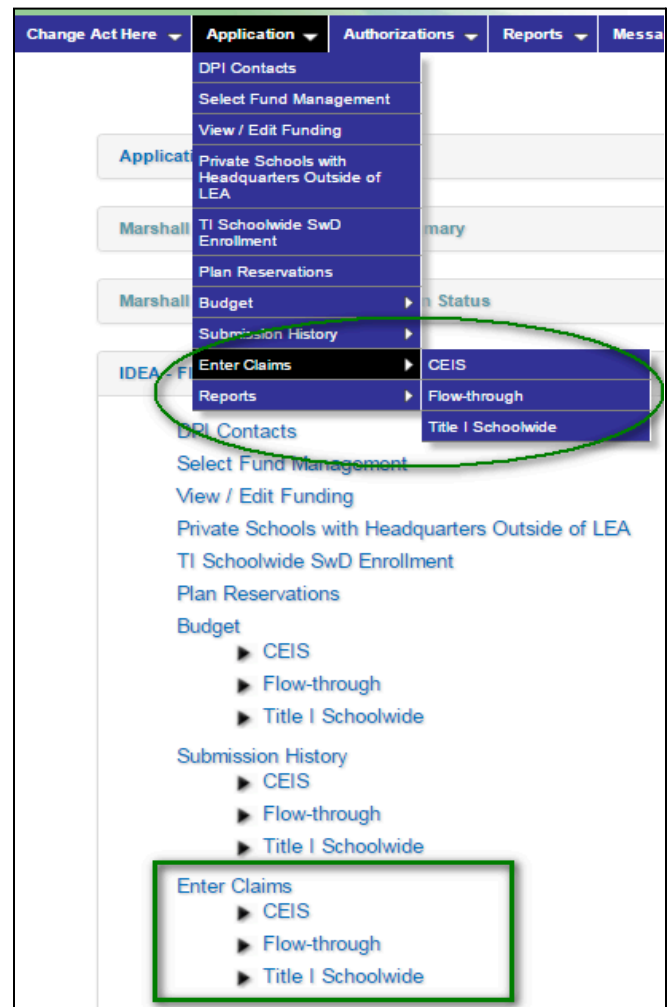
To begin a new claim, proceed to the Enter Claims menu section of the grant application and select the appropriate sub-budget (if applicable).

The grant application menu can be accessed via either the grant landing page or the blue menu bar.

Once you select the appropriate sub-budget, the Maintain Claims screen will appear. You will either begin a new claim work on an unsubmitted claim.

The Maintain Claims screen is comprised of several elements:

- A Messages section
- B Upload section
- C Claim sections
- D Claims History section
- E Claims sidebar



or

Maintain Claims - Preschool

Budget Overview

Preschool Amount: \$8,729.00

Amount Budgeted: \$8,729.00

Amount Unbudgeted: \$0.00

Period of Availability: 06/30/2017

Claimed to Date: \$0.00

Total Unclaimed: \$8,729.00

Budget Status

Current Status: Unlocked

Amendment #: 2

Last Submitted: 08/17/2017

Last Approved: 08/17/2017

Claim Status

Current Status: Unlocked

Number of Claims: 0

Last Submitted:

Last Approved:

Messages

Upload Preschool - Claim

Preschool - Claim

Report Period Ending Date: 01/01/0001

☒ Partial Claim ☐ Final Claim

Filter: <input type="text"/> Clear Filter Sort by Function Sort by Object								
Account	Object Name	Function Name	Approved Budget Amount	Total Amount Claimed to Date	Obligations	Amount Requested this Claim	Amount Remaining	Cumulative Claimed to Date
27-100-152000-347	Salaries	Early Childhood	\$4,429.00	\$0.00	\$0.00	\$0.00	\$4,429.00	\$0.00
27-200-152000-347	Employee Benefits	Early Childhood	\$1,000.00	\$0.00	\$0.00	\$0.00	\$1,000.00	\$0.00
27-310-229000-347	Personal Services	Other Instructional Staff Services	\$1,000.00	\$0.00	\$0.00	\$0.00	\$1,000.00	\$0.00
27-411-152000-347	General Supplies	Early Childhood	\$1,500.00	\$0.00	\$0.00	\$0.00	\$1,500.00	\$0.00
27-411-156600-347	General Supplies	Speech/Language	\$300.00	\$0.00	\$0.00	\$0.00	\$300.00	\$0.00
27-415-152000-347	Food	Early Childhood	\$500.00	\$0.00	\$0.00	\$0.00	\$500.00	\$0.00
		Subtotal	\$8,729.00	\$0.00	\$0.00	\$0.00	\$8,729.00	\$0.00
		Indirect	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
		Running Total	\$8,729.00	\$0.00	\$0.00	\$0.00	\$8,729.00	\$0.00

Restricted Indirect Rate: 5.11 %

Effective Indirect Rate: 0.00 %

Amount available to claim for indirect: \$0.00

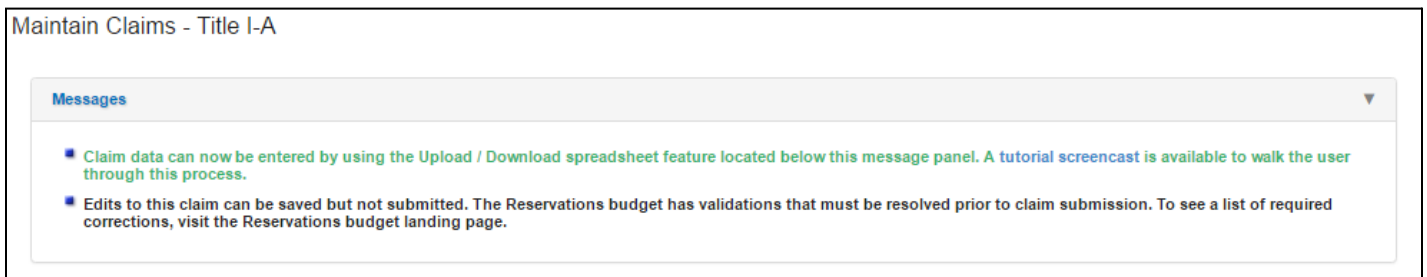
Amount of indirect claimed to date: \$0.00

Save Submit View PI-1086

Claims History

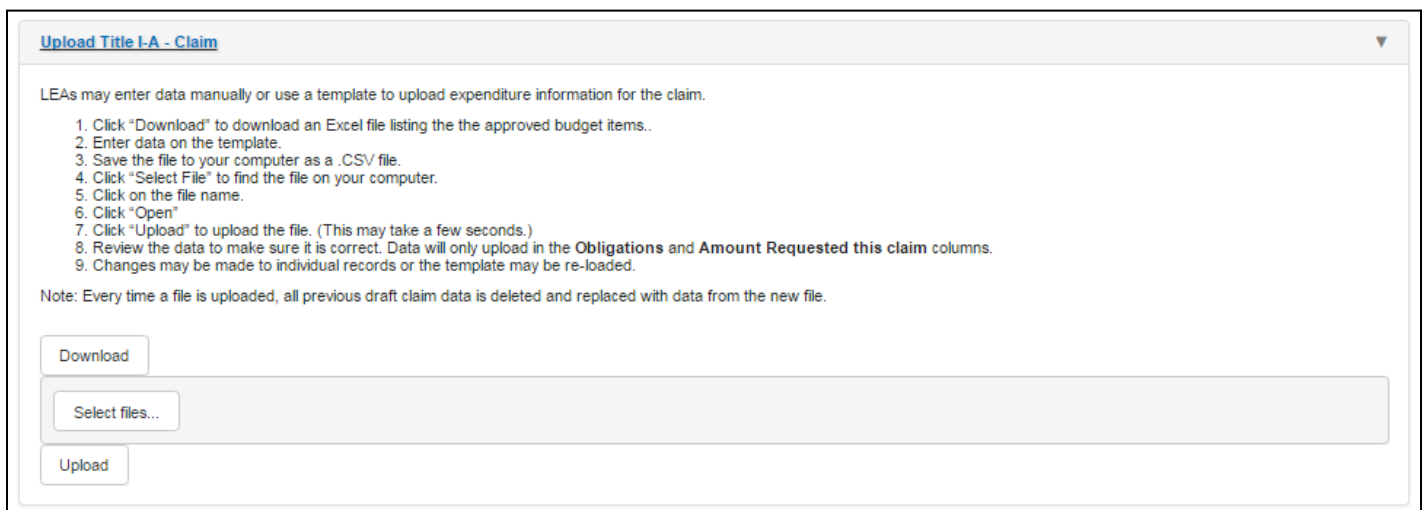
A. Messages

The Messages section will display informational updates, as well as messages if there are pending budget validations. Below is an example showing a Messages panel that has information about the Upload/Download functionality, as well as a message indicating that there is a pending budget validation preventing claims submission.



B. Upload Claim

This section allows the user to download a .CSV file template of the claim containing the information present in the claim section. Claim information can be entered onto this template which can be uploaded to populate the claim screen. There are detailed instructions included in this section, as well as a screencast containing additional guidance on the upload template linked in the Messages section above.



C. Claims

This section is where the actual claim information is entered. The screenshot on the next page shows different pieces of the claims screen.

A - Report Period Ending Date: This must be set for each claim. The report period ending date cannot be a future date.

B - Account, Object Name, Function Name, and Approved Budget Amount: - The claim consists of all budget items from the last approved budget and these columns reflect the account string, object name, and function name, and amounts for those budget items.

C - Total Amount Claimed to Date: Lists total amount claimed against budget items from *previous claims*.

D - Obligations (editable field): This field is for LEA use and is not used by DPI. However, there are validations in place that prevents you from entering a final claim with amounts in the Obligations column. This field can also be used when demonstrating that funds were obligated prior to the end of a grant's Tydings period.

E - Amount Requested this Claim (editable field): This is where the amount being requested for *this claim* is entered. The amount can be a positive or negative (against amounts claimed on a prior claim).

F - Amount Remaining and Cumulative Claimed to Date: These fields indicate amounts remaining and cumulative claimed to date amounts. These amounts update to include information from previous AND *current* claims. Current claim information updates upon selecting Save or Submit. These fields are updated by amounts indicated in the “Amount Requested this Claim” field, but not “Obligations.”

G - The claim includes options to filter the claim for specific values as well as options to sort the claim by either function or object.

H - At the bottom of this section are buttons to Save, Submit, or View PI-1086. The Save button saves all data entered but does not submit the claim. The Submit button saves and submits (barring any validations) the claim for Authorization by an LEA authorizer. The View PI-1086 button is available before and after submittal and displays the claim in a PDF format of the PI-1086 form.

Report Period Ending Date: 01/01/0001 A

☒ Partial Claim ☐ Final Claim

B C Filter G Clear Filter Sort by Function Sort by Object

Account	Object Name	Function Name	Approved Budget Amount	Total Amount Claimed to Date	Obligations D	Amount Requested this Claim E	Amount Remaining F	Cumulative Claimed to Date
27-100-152000-347	Salaries	Early Childhood	\$75,420.00	\$0.00	\$12,500.00	\$0.00	\$62,920.00	\$0.00
27-100-156600-347	Salaries	Speech/Language	\$37,546.00	\$0.00	\$0.00	\$24,365.55	\$13,180.45	\$24,365.55
27-200-152000-347	Employee Benefits	Early Childhood	\$15,087.00	\$0.00	\$0.00	\$11,570.25	\$3,516.75	\$11,570.25
27-200-156600-347	Employee Benefits	Speech/Language	\$17,060.00	\$0.00	\$7,856.33	\$0.00	\$9,203.67	\$0.00
27-342-152000-347	Employee Travel	Early Childhood	\$1,500.00	\$0.00	\$0.00	\$1,600.00	(\$100.00)	\$1,600.00
		Subtotal	\$146,613.00	\$0.00	\$20,356.33	\$37,535.80	\$88,720.87	\$37,535.80
		Indirect	\$2,243.18	\$0.00	\$0.00	\$0.00	\$2,243.18	\$0.00
		Running Total	\$148,856.18	\$0.00	\$20,356.33	\$37,535.80	\$90,964.05	\$37,535.80

Restricted Indirect Rate: 1.53 %
Effective Indirect Rate: 1.53 %
Amount available to claim for indirect: \$574.30
Amount of indirect claimed to date: \$0.00

H Save Submit View PI-1086

D. Claims History

The Claims History section contains a list of all claims submitted for the grant, along with information displayed on the screen. The PDF versions of the PI-1086 form for all submitted claims for the grant are available through the [View](#) link.

Claims History											
Sta...	Cl...	Submitted to	Submit...	Subrecipient	Authori...	DPI	DPI	Report Period	Amount	Amount	View
Type	Authorizer	Date	By	Authorization	By	Approval	Review	Ending Date	Requested This	Claimed to	Cl...
				Date		Date			Claim	Date	
Approved	Partial	01/05/2017	Glenn Aumann	01/06/2017	Glenn Aumann	01/17/2017	Glenn Aumann	12/31/2016	\$31,564.08	\$124,192.73	View
Approved	Partial	12/09/2016	Glenn Aumann	12/09/2016	Glenn Aumann	12/16/2016	Glenn Aumann	11/30/2016	\$78,522.30	\$45,670.43	View
Approved	Partial	09/30/2016	Anju Chhetri	11/17/2016	Anju Chhetri	11/28/2016	Anju Chhetri	09/30/2016	\$45,670.43	\$0.00	View
Returned	Partial	09/30/2016	Rachel Zellmer	09/30/2016	Rachel Zellmer	09/30/2016	Rachel Zellmer	09/30/2016	\$45,670.43	\$0.00	View

E. Claims Sidebar

Similar to the sidebar available on the budget screens, there is a collapsible sidebar available on the right-hand side of the Enter Claims screen. This sidebar contains information on the available

Budget Overview

Preschool Amount: \$20,309.00
Amount Budgeted: \$9,590.17
Amount Unbudgeted: \$10,718.83
Period of Availability: 07/01/2016 - 06/30/2017
Claimed to Date: \$2,678.91
Total Unclaimed: \$17,630.09

funding amounts, historical data about budgeted and claimed amounts, current budget status and information, as well as current claim status information.

To “uncollapse” the side bar, look for the small blue triangle square with the word “SIDEBAR”

After Submission

Once the claim has been submitted, it must be authorized by an LEA user with Authorizations rights. This is the same access required to sign off on other forms, such as the assurances and debarment forms for both ESEA and IDEA.

Users with authorization rights will have the Authorizations menu available in the blue menu bar. Under this menu is a submenu titled Claims. This screen contains sections listing Claims To Be Authorized and Authorized Claims. The Claims To Be Authorized section will list all claims pending LEA authorization in order to be submitted to DPI for review.

The screenshot shows a web application interface. At the top is a blue navigation bar with several menu items: 'Admin Menu', 'Change Act Here', 'Application', 'Authorizations', 'Reports', 'Message Board (3)', and 'Omni Message Board'. The 'Authorizations' menu is open, displaying a dropdown with three options: 'Assurances', 'Claims', and 'Transfer Funds'. The 'Claims' option is highlighted. Below the navigation bar, the main content area is titled 'Claims To Be Authorized'. It features a table with the following columns: 'Act', 'Grant', 'Sub-Budget', 'Report Period Ending', and an 'Authorize Claim' button. The first row of data shows 'IDEA' for Act, 'IDEA - Preschool' for Grant, 'Preschool' for Sub-Budget, and '01/16/2017' for Report Period Ending. The 'Authorize Claim' button is circled in green. Below this table is another section titled 'Authorized Claims', which has a 'Claim Status' filter and a table with columns: 'Act', 'Grant', 'Sub-Budget', 'Report Period Ending', 'Authorized By', 'Authorized Date', and 'Claim Status'.


The Authorize Claim button next to each claim will open an additional window displaying the PI-1086 of the claim being submitted. At the bottom of the window are buttons to either Authorize the claim for submission to DPI or Return the claim, which will require the claim to be resubmitted. Once the claim is authorized it is submitted to the DPI grant accountant for review.

Authorized
Claim Authorization

Page: 1 of 1

100%

Wisconsin Department of Public Instruction
PROGRAM FISCAL REPORT
PI-1086 (Rev. 07-15)



District / Agency No. 052289	District / Agency Legal Name Green Bay Area Public School District	CFDA No. or State Statute 84.173A	Report for Period Ending 1/16/2017
Grant Number A347-00000-052289	Program IDEA-Preschool	Project Beginning Date 07/01/2016	Project Ending Date 06/30/2017
Name of Person Preparing this Report Matthew Baier		Phone Area/No. 9082661863	Email Address matthew.baier@dpi.wi.gov

CERTIFICATION

BY SIGNING THIS REPORT, I CERTIFY to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (U.S. Code, Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812.)

Name of District / Agency Administrator or Designee	Title of District / Agency Administrator or Designee Print or type	Signature of District / Agency Administrator or Designee	Date Signed Mo./Day/Yr.
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SUMMARY

Account Code Fund-Obj.-Func.-Proj.	Account Name	Approved Budget 08/15/2016	Obligations	Total Disbursements to Date	Unencumbered Balance
27-100-152000-347	Salaries - Early Childhood	75,420.00	12,500.00	0.00	62,920.00
27-100-156600-347	Salaries - Speech/Language	31,560.00	0.00	24,365.53	7,194.45
27-200-152000-347	Employee Benefits - Early Childhood	15,087.00	0.00	11,570.25	3,516.75
27-200-156600-347	Employee Benefits - Speech/Language	15,469.00	7,856.53	0.00	7,612.47
27-342-152000-347	Employee Travel - Early Childhood	1,500.00	0.00	1,600.00	-100.00
	Indirect Costs (Effective Rate: 1.51 %)	2,104.00	0.00	0.00	2,104.00
	(Exact effective rate used for calculation: 0.0151327713685664144538105239)				
TOTALS \$		141,140.00	\$ 20,356.53	\$ 37,535.80	\$ 83,247.67

Cash Summary

Matching Funds If Applicable

Report Type Check all that apply

Amount Requested This

Authorize Return

Once the claim has been authorized, the claim status changes to "Submitted to DPI." At that point, no additional claims can be submitted until the claim has been approved or returned by DPI.

Claiming Flexibility – 10% Rule (2 CFR § 200.308(f))

Under rules set forth by the Federal Uniform Grant Guidance, sub-recipients are allowed to claim an overage of line items as long as the accumulated line item overage does not exceed 10% of the approved budget (and is within the approved total budget amount). The 10% rule is not applied per line item. The software is designed to allow this flexibility and to stop the user from submitting a claim when the total overage exceeds the allowed 10%. Below are two examples of claims, one that is permissible and one that generates an error message.

Account	Object Name	Function Name	Approved Budget Amount	Total Amount Claimed to Date	Obligations	Amount Requested this Claim	Amount Remaining	Cumulative Claimed to Date
27-100-159200-347	Salaries	Special Education Short-Term Substitute Teachers	\$740.03	\$0.00	\$0.00	\$600.00	\$140.03	\$600.00
27-200-159200-347	Employee Benefits	Special Education Short-Term Substitute Teachers	\$56.63	\$0.00	\$0.00	\$215.00	(\$158.37)	\$215.00
27-342-152000-347	Employee Travel	Early Childhood	\$195.00	\$0.00	\$0.00	\$195.00	\$0.00	\$195.00
27-342-156600-347	Employee Travel	Speech/Language	\$215.00	\$0.00	\$0.00	\$215.00	\$0.00	\$215.00
27-411-152000-347	General Supplies	Early Childhood	\$1,509.19	\$177.58	\$0.00	\$222.42	\$1,109.19	\$400.00
27-430-152000-347	Instruction... Media	Early Childhood	\$70.00	\$0.00	\$0.00	\$95.00	(\$25.00)	\$95.00
		Subtotal	\$2,785.85	\$177.58	\$0.00	\$1,542.42	\$1,065.85	\$1,720.00
		Indirect	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
		Running Total	\$2,785.85	\$177.58	\$0.00	\$1,542.42	\$1,065.85	\$1,720.00

In the above example, the LEA has an approved budget of \$2,785.85. According to the 10% rule, the LEA can claim in excess of the approved line items by \$278. (10%). The LEA is claiming more than the last approved budget for benefits (\$158.37) and instructional media (\$25.00). The aggregate overage is \$183, which is less than \$278. The LEA will be able to submit the claim. Once this claim is approved, the LEA will need to revise the budget so that it is aligned with the claim, with amounts budgeted to at least the amounts claimed by account. The budget revision will need to be approved in order to submit any additional claims. If it was the final claim of the year the LEA is not required to update the budget.

In the next example, the LEA has an approved budget of \$9,590.17 but enters in aggregate overage of \$1,062.31.

Filter: <input type="text"/> Clear Filter Sort by Function Sort by Object								
Account	Object Name	Function Name	Approved Budget Amount	Total Amount Claimed to Date	Obligations	Amount Requested this Claim	Amount Remaining	Cumulative Claimed to Date
27-100-221300-347	Salaries	Instructional Staff Training	\$516.60	\$0.00	\$0.00	\$800.00	(\$283.40)	\$800.00
27-200-221300-347	Employee Benefits	Instructional Staff Training	\$73.57	\$0.00	\$0.00	\$0.00	\$73.57	\$0.00
27-310-221300-347	Personal Services	Instructional Staff Training	\$3,000.00	\$0.00	\$0.00	\$3,100.00	(\$100.00)	\$3,100.00
27-342-221300-347	Employee Travel	Instructional Staff Training	\$3,000.00	\$0.00	\$0.00	\$0.00	\$3,000.00	\$0.00
27-411-152000-347	General Supplies	Early Childhood	\$3,000.00	\$2,678.91	\$0.00	\$1,000.00	(\$678.91)	\$3,678.91
		Subtotal	\$9,590.17	\$2,678.91	\$0.00	\$4,900.00	\$2,011.26	\$7,578.91
		Indirect	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
		Running Total	\$9,590.17	\$2,678.91	\$0.00	\$4,900.00	\$2,011.26	\$7,578.91

The LEA is able to save these changes, but when the user attempts to submit the claim, the following message appears: The aggregate requested in excess of approved budget figures must be within 10% of the subrecipient's approved budget amount. Reduce requested line item amounts or submit a budget amendment reflecting the increase requested.

If these are the true amounts the LEA wants to submit for claiming, a budget amendment will need to be submitted for DPI approval. Once the budget amendment is approved, the claim amounts will update to reflect the most recent approved budget.