

Cardinal Sheet Overview

The **Cardinal Sheet** is the proposal routing form used by the Iowa State University Foundation to ensure compliances and secure departmental, college and university approvals to request gift/grant funding from a foundation, corporation, or other non-governmental source. The Cardinal Sheet also serves to ensure the proposed project's adherence/fit to guidelines for the specific program and the funder.

1. A Cardinal Sheet is required prior to submitting a proposal/making an ask to a foundation, corporation, or other nongovernmental source to request a gift or grant of \$5,000 or more.
 - Any preliminary proposal (letter of intent, preproposal, etc.) or application requiring a budget should be routed with a Cardinal Sheet.
 - Any preliminary proposal (letter of intent, preproposal, etc.) or application requiring a institutional signatures such as the president, provost or vice president for research should be routed with a Cardinal Sheet.
2. The Cardinal Sheet routing process may begin prior to completing the proposal. The PI must provide a draft and a complete Cardinal Sheet, including budget (if required by the funder) and signatures.
3. Applications to some funders require collaboration with the assigned relationship manager (development officer) at the Iowa State University Foundation.
 - Requests for funding of \$50,000 or more will be coordinated by the ISU Foundation.
 - Requests requiring institutional signatures (such as the president, provost or vice president for research) will be coordinated by the ISU Foundation.
4. Please allow five business days to review the Cardinal Sheet before the due date or the date when any signed paperwork is needed. PIs will be notified when the Cardinal Sheet has been approved.
5. The final proposal and/or application materials must be provided to the ISU Foundation at the time of submission (PDF format preferred) to ensure the history with the funder is up to date. Materials are maintained in the donor's electronic files.
6. Gifts and grants not requested through an application process and requested and/or received directly by a university unit require a Cardinal Sheet in order to process the gift and allow access to the funds.

Cardinal Sheet Instructions

Principal Investigator Information

The principal investigator is responsible for initiating the cardinal sheet, attaching all documentation (including proposal/abstract, funder guidelines, budget if required, and ancillary materials), and monitoring the routing process.

PI Name: first and last name

PI Email: ISU email address

PI Phone: ISU phone

Budget Contact: first and last name

The budget contact assists the principal investigator in administering the financial aspect of an award. Typically the budget contact is a departmental support person with access to the university's financial reporting system and who will have spending authority on the award account.

Budget Email: ISU email address

Budget Phone: ISU phone

Department/Program: Please enter department that will administer the award. Usually this is the home department of the PI, but there may be instances where a PI's home department is not the department the program resides in.

Center/Institute (if applicable): Applicable if submitting proposal through a research center

College/Admin Unit : Please enter your home college (or administrative unit if your program reports to the VPR or Provost)

Compliance

Indicate whether any compliance clearance is required for this project. If you select yes for any of these compliances, provide specific additional information on page 3. The appropriate campus partners will be contacted and notified of your submission and appropriate next steps will be taken.

Non-USA Countries: Countries other than the United State of America and its territories

Foreign Nationals: Those who are not citizens or permanent residents (green card holders) of the United States

ISURF IPs: Intellectual property, such as patented inventions, copyrights or software owned by ISURF that will be used in the proposed project

MTAs: Materials Transfer Agreements are used to transfer biological organisms, germ plasm, etc. between entities and the agreement spells out the rights and responsibilities of both parties

CAs: Confidentiality Agreements (non-disclosure agreements) assist in determining if information is or is not confidential and spells out the rights and responsibilities of both parties

Human or Animal Subjects, Biohazards, or Radiological: Please indicate whether there are compliances that must be met. If you select "Yes" to any of these, please enter the approval ID#/Log#. If it is not yet approved, enter "Pending"

ISU Foundation Use

Leave this section blank. It will be completed by ISU Foundation staff.

Funder Information

The information in this section pertains to the corporation or foundation to which the funding request will be made.

Funder Name: Please enter the full name of the corporation or foundation

Contact Name: The name of the person with whom you are working, if applicable – often a corporate liaison or program officer

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Funder Address: Provide the physical (delivery address) and the US Postal address regardless of the delivery method

URL: Provide the web address of the funder or the specific program to which you are applying

Proposal Title: Exact title of funding proposal as submitted to funding agency

Project Description: Provide a concise project description that will easily discern your project from others (text entered here will be used in setting up your gift account if your proposal is successful)

Funding Purpose: Select the appropriate category for the use of the funds from the drop-down

Submission Deadline: Enter the funder's deadline, not the date when you wish to submit

Method of Delivery: State whether submission is by mail, electronic or both

Anticipated Funding Decision Date: Enter the date we can expect the funder to decide whether the proposal will receive funding

Funder Guidelines: Attach the funder's guidelines or a justification if guidelines are not available (as is the case in unsolicited grants, for example)

Proposal/Abstract: Attach the proposal/abstract (drafts acceptable) or a justification if not available (as is the case in unsolicited grants, for example) that will demonstrate the project fits with the funder and program guidelines

Reporting Requirements: State the reporting expectation (i.e.: interim, annual, end of project), if known. If the reporting details are not known at the time of submission, please enter "unknown."

Publicity Requirements: State whether there is a request or expectation by the funder to receive recognition. For example, a press release, a named space, or a named scholarship/program

Other Requirements: Could include collaborative aspects of the project, such as company involvement in coursework or in-person presentations of progress

Budget Information

This section will assist in directing the accurate amount of funding to the appropriate account in a timely manner. If you select yes to any of the five questions, provide specific additional information on page 3. The appropriate campus partners will be contacted and notified of your submission and appropriate next steps will be taken.

Fund Account #: If this proposal is requesting funds for an established or ongoing project, please enter the account number. All other projects, select "New Requested." New accounts will be opened upon receipt of funds.

Grant Period: If defined by the funder, please enter the grant period. If there is no formal grant period, you may enter the number of years of funding being requested or "none."

Total Project Cost: The total cost of the project (may include administrative/overhead that will not be paid by the funder or support being acquired by other sources)

Amount of Request: Enter the amount you are requesting from the funder. Must match attached budget, if required.

Funder Approved Amount: If known, enter the amount that has been approved by the funder. If unknown, please leave blank.

Gift Fee Allowable: Does the funder allow administrative/overhead of at least 5%?

Cost Sharing or Matching Required: Does the funder require that a portion of the total project costs be provided by ISU or any another source? This could include salary or benefits. If cost share is not required, but is included, please provide specific additional information on page 3.

Restricted Use of Interest Income: Please state if the funder places restrictions on the use of interest income.

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Budget Attached: Attach budget or budget form in the format required by the funder. If there is no budget, make a budget justification. For example, this is a faculty award of \$250,000 or, the company is asked to contribute \$20,000 to the XYZ scholarship fund.

Approvals

The cardinal sheet must be routed in the order of approval as listed on the form. Electronic signatures are the most efficient way to route the fillable pdf via email. Please allow five business days for review and approval once the cardinal sheet and attachments have been received by the ISU Foundation. Please note that applications requiring institutional signatures (such as the president, provost or vice president for research) require additional processing time. The acquisition of these signatures is coordinated by the corporate and foundation relations unit. Please contact the ISU Foundation as early as possible to ensure your deadlines are met.

Principal Investigator and Co-PIs: Each Iowa State investigator is required to sign the form. By signing, PI's are approving that all necessary documentation has been attached and each certifies the statements outlined on page 2. Necessary documentation includes:

- abstract or draft proposal or justification,
- budget (if required by the funder) or justification, and
- funder guidelines or justification.

Chair/Department Designate: This must correspond with the Department/Program entered on page 1. If not signed by the chair, the chair may designate an authorized representative to approve on his/her behalf. By signing, the department is approving that the project:

- is consistent with the objectives and capabilities of the unit,
- is compatible with the investigators' other university duties, and
- is consistent with university policy.

College/Unit Fiscal Officer: This must correspond with the College/Administrative Unit entered on page 1. By signing, the fiscal officer is approving that the college is able to financial administer the award in accordance with the funder's guidelines.

Dean/College Designate: This must correspond with the College/Administrative Unit entered on page 1. If not signed by the dean, the dean may designate an authorized representative to approve on his/her behalf. By signing, the college is approving that the project:

- is consistent with the objectives and capabilities of the unit,
- is compatible with the investigators' other university duties, and
- is consistent with university policy.

College/Unit Director of Development: Each of the seven academic colleges has a development office. These offices work closely with college administration to assist in raising private funds to support the college and university's priorities. If the administrative unit entered on page 1 does not have dedicated development personnel, you may omit this signature and route the cardinal sheet and attachments directly to cfr@foundation.iastate.edu. Prior to signing, the director of development must:

- insert the funder and PI identification numbers on the cardinal sheet
- ensure the proposal is consistent with donor strategy if the funder is a college-managed prospect
- ensure the pipeline is accurate if the funder is a college-managed prospect
- submit an account information form if a new account will be needed to manage the funds (account will be opened upon receipt of funds)

Cardinal Sheet Instructions

Corporate and Foundation Relations: The corporate and foundation relations unit (CFR) at the Iowa State University Foundation is responsible for accurately documenting all gifts given to Iowa State University from corporations and foundations. The ISU Foundation maintains the most up-to-date information on the relationship between Iowa State University and its donors. Please email the cardinal sheet and attachments to cfr@foundation.iastate.edu.

ISUF Accounting: The director of gift administration in the ISU Foundation accounting department is the final approval required on the cardinal sheet.

Additional Approvals

This section will be required for funding proposals with significant university or foundation impact. Any of the above signatories may request these additional approvals by noting the request on page 3. Programs or units that are jointly administered will need the three college signatures on page 3.

Notification

Once the cardinal sheet is reviewed and approved by all impacted parties, notification will be sent to the PI. Instructions/clarification for submission will be outlined in the email.

Receipt of Funds

If the cardinal sheet is being routed to document unsolicited funds which have already been received, please promptly send the check to the ISU Foundation using the address at the top of the cardinal sheet form. Please route a copy of the check with the cardinal sheet. Funds will not be made available for PI use until a fully-approved cardinal sheet is on file at the ISU Foundation.