

The ISU Proposal Data Form (“GoldSheet”)

The ISU Proposal Data Form (GoldSheet) is an internal document that contains important information about proposals being submitted for external funding. This information is entered into the proposal database maintained in the Office of Sponsored Programs Administration. Specifically, the GoldSheet is used by PI’s/Co-PI’s, departments, colleges, centers/institutes, and the university administration to:

- Ensure that credit is given to all PI’s and Co-PI’s for submission of proposals and subsequent awards – only PI’s/Co-PI’s listed on the GoldSheet are entered into the database,
- Track submissions and awards by sponsor and purpose – this allows the VPR office to track specific sponsors and to assemble teams in specific academic areas,
- Identify potential research compliance issues as well as potential for conflict of interest – the federal government has recently increased their oversight of research compliance; at ISU the GoldSheet is the form that serves as the first reporting tool for compliance,
- Monitor matching funds and cost sharing by all units across campus – this ensures that matching funds and cost share is available to PI’s from the indicated sources once an award is received,
- Monitor space needs – to ensure that appropriate space is available when an award is made,
- Monitor projects that involve subcontracts,
- Document international projects,
- Document projects that include educational components,
- Document the IDC rate – this is crucial for overhead incentives for PI’s/Co-PI’s and units on campus,
- Determine rates for IDC distribution to campus units.

Guidelines for Processing GoldSheets

1. Principal investigators (PI's) are responsible for the information on the GoldSheet, and obtaining administrative signatures but not for the '% of IDC returned to the Distribution Unit'. We strongly encourage grant coordinators in departments / colleges / centers / institutes to work with PI's on completing the GoldSheets and providing the required supplemental information.
2. Supplemental documentation is required for the following items:
 - IDC Rate:** For rules on IDC rates see the 'Indirect Cost Policy at ISU' on the VPR website at <http://grants-svr.admin.iastate.edu/VPR/indirectcost.html>. If the IDC rate is less than the HHS approved rate of 46% (26% for off-campus projects) or the rate of 23.45% on standard USDA projects, the actual rate needs to be documented. This can be done, e.g., by attaching copies of the relevant part of the RFP or the agreements between ISU and the sponsor. Federal flow-through funds carry IDC's according to the policy of the federal sponsor.
 - Cost Sharing:** Cost sharing should be shown only if required by the sponsor. Currently, exceptions concern federal graduate program initiatives (such as IGERT or VIGRE), and projects that are of particular importance to the University - for these projects, cost sharing is allowed for up to 50% of the requested direct costs, and the funds need to be provided by departments and/or colleges. If cost sharing is required, supporting documentation is needed, and a separate list of the amounts and sources for the funds must be attached to the GoldSheet, including signatures from the contributing offices. Requests to the VPR office for contributions to cost sharing needs to be submitted on the 'Request for Funding' form that can be found at http://grants-svr.admin.iastate.edu/VPR/guidelines/request_for_funding.doc.
 - Matching Equipment Funds:** Matching equipment funds should be requested only if required by the sponsor. If matching funds are required, supporting documentation for this requirement is needed. The VPR Office offers Central Matching Equipment Grants. The application as well as guidelines can be found at <http://grants-svr.admin.iastate.edu/vpr/guidelines/equipmatch.html>. A separate list of the amounts and sources for the funds must be attached to the GoldSheet, including signatures from the contributing offices.
 - Subcontracts:** If subcontracts to other institutions or companies are part of a larger project, a list of recipients must be attached to the GoldSheet. Also, for each recipient OSPA must have documentation of institutional approval from the subcontracting organization.
 - Space:** If the proposed project requires additional or remodeled space, arrangements have to be made prior to submission of the proposal. This arrangement must be documented on a separate sheet and attached to the GoldSheet.
 - Compliance:** The GoldSheet contains questions concerning each of the four compliance areas. If any of these apply to the proposed project, the PI needs to submit either information about approval of the associated protocol or indicate 'pending'. It is recommended that Committee approval be sought as soon as possible following submission of the proposal, but at the latest, immediately after receiving notification of the award. An account number cannot be established until all compliance requirements are fulfilled.

3. The PI and all Co-PI's should be listed in the 'Signatures' section of the GoldSheet, together with the % for the investigator incentives. All investigators need to answer the 'Conflict of Interest' question and sign.
4. Department chairs or the directors of research units (or their designees) are required to sign the GoldSheet. By signing the Goldsheet, department chairs and directors of research units indicate that the proposal follows established academic standards and consequently has scientific merits. Departmental committees or, in exceptional cases, external experts may assist in this process. Specifically, department chairs and directors of research units ensure that the compliance questions are answered appropriately and that, to the best of their knowledge, the 'Conflict of Interest' question is answered appropriately. With his/her signature the department chair also agrees to departmental commitments provided in the attached supplemental information concerning matching funds, cost sharing, and space issues.
5. Administering units (colleges, institutes, and central units) are required to review the proposed budget for adequacy, including salaries, compensation for GA's and hourly help, and IDC rates. The signature from the administering unit indicates agreement with the applied IDC rate and with its commitments listed in the attached supplemental information concerning matching funds, cost sharing, and space issues. In exceptional cases when a department chair (and his/her designee) is not available, the signature from the administering unit also certifies academic standards and departmental commitments as listed in 4. Colleges and centers/institutes also agree with their signature to the IDC distribution percentage listed in this section of the GoldSheet. Proposals that are not accompanied by a GoldSheet with signature from the administering unit (for the PI's unit) will not be processed by OSPA.
6. The Office of the Vice Provost for Research and Advanced Studies assures proper approvals, checks eligibility of all investigators, initiates Conflict-of-Interest procedures, if appropriate, and clarifies coding.
7. The Office of Sponsored Programs Administration (OSPA) reviews budgets for computational correctness. OSPA verifies that IDC rates are appropriate and that all required supplemental documentation is attached. Budgetary issues should be addressed by the PI's (and/or the appropriate grant coordinator) as early as possible. This includes IDC rates, cost sharing and equipment matches, and appropriateness of the budget with respect to allowable expenses, ISU salary and benefits rates, and possibly other issues. Normally, the budget should be submitted to OSPA two weeks before the proposal submission deadline.
8. The Office of Sponsored Programs Administration reviews the responses to the compliance questions on the GoldSheet. If one or more of the compliance boxes is checked pending, OSPA provides the PI with the contact information regarding the appropriate compliance committee(s). If an approval date is provided, the date is entered into the OSPA database.
9. The Office of Sponsored Programs Administration will sign the appropriate cover page or application page once the proposal has been completely reviewed and approved. Along with the proposal, a copy of the fully signed GoldSheet will be returned to the PI.

IDC Distribution to Campus Units

The section of the GoldSheet entitled 'Iowa State University Authorizing Personnel Signatures' also determines the IDC distribution to campus units. Participating units are the offices of the President, the vice presidents, the Provost, the vice provosts, the colleges, and the PSI. IPRT and IRISS do not participate in IDC return. The institutes/centers that report to the Provost or one of the vice provosts negotiate specific agreements with the colleges about the split of IDC percentages. Such agreements are currently in place for CTRE, IPRT, IRISS, and the PSI. As other new initiatives are approved by the Board of Regents, the split of IDC percentages have to be negotiated with the colleges, and possibly between the centers/institutes.

In general, IDC return percentages should be based on PI activity, use of facilities, and administrative support for a project. IDC return percentages may, but do not have to follow, the distribution of PI incentives. All eligible units have to agree to the distribution rates before the GoldSheet can be processed further. For further information, see the IDC Distribution Policy on the VPR website at <http://grants-svr.admin.iastate.edu/VPR/IDCPolicy02.pdf> and the Guidelines for the Use of Scholarship Enhancement Accounts.

CTRE: If CTRE staff is actively involved in obtaining a project and CTRE staff constitutes the majority of staff on the project or the faculty involved in the project have their primary research base at CTRE, CTRE is credited with 100% of the IDC. If CTRE staff is actively involved in obtaining a project and the faculty involved do not have their primary research base at CTRE, CTRE is credited with 50% of the IDC. In all other cases, IDC's are credited to the units of the PI's and Co-PI's. If investigators from more than one unit are involved in a project, the return of indirect to each unit will be negotiated.

IPRT: IPRT does not receive any IDC distribution under this model. The participating units listed above receive full credit for all proposals administered by IPRT.

IRISS: For FY 04, projects that involve IRISS are either fully or in part administered by IRISS. For proposals that are in part administered by IRISS two budgets, one for the IRISS part and one for the non-IRISS part, need to be submitted with the GoldSheet. Together, these two budgets have to add up to the requested amounts on the GoldSheet. The appropriate units receive full credit for the non-IRISS part, and 50% credit for the IRISS part of the IDC's. The IDC return percentages on the GoldSheet should be filled in by the participating units according to their usual procedures, and they need to add up to 100%, the factor of 0.5 is applied by OSPA to the appropriate part of the budget. IRISS does not receive any IDC distribution under this model because its IDC's are determined by the IRISS business model. If IRISS is discontinued, this policy will also be terminated after FY 04.

PSI: The PSI will receive an amount of indirect cost distribution based on the return they received as a consequence of applying the guidelines in place for FY 03. This amount will be distributed from the total funds provided to the VPR Office for campus distribution. The amount distributed to the VPR Office and to the other campus units will be calculated from the remainder.