



Submitting Proposals to Foundations and Non-Profits

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Submitting Proposals to Foundations and Non-Profits

Overview

- What are Foundations and Non-Profit Sponsors?
- How do Non-Profit Sponsors differ from Federal and For-Profit Sponsors?
- What are some non-profit sponsors that normally fund OU?
- What types of actions are normally processed?
- How do PIs find out about solicitations/bids?; Gift or Grant?
- How do PIs get involved with a Foundation or Non-Profit?
- What kinds of format guidance can be expected?
- How does the proposal/bid process start?
- What are some common proposal components?
- How are proposals submitted?
- How are deadlines handled?
- Reminder – Internal Items of Consideration
- What are some common problems/issues?
- Take-a-Way

Submitting Proposals to Foundations and Non-Profits

- *What are Foundations and Non-Profit Sponsors?*
 - Foundation and non-profit sponsors are both established to support public good; however, they differ in how they are funded, in how they accomplish and support their work as well as how they govern themselves. Both are usually tax-exempt. A foundation may be a private foundation or a non-profit.
 - A private foundation is usually established by an individual, a family, or a corporation and they usually fund the foundation operations. They decide who is on the board (if there is one), how funds are invested and how they are dispersed. They decide who is funded or how the funding decisions are made and may conduct their own activities along with making grants.
 - A public charity or non-profit usually accepts donations or fund-raises to support their operations. They may not make grants but may perform their own charitable activities. They must be run by a board and the board members cannot be related. Usually, the board makes final decisions on operations and grant decisions, or they establish the policy on how things are handled. (They may use 'foundation' in their title.)

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- *How do Non-Profit Sponsors differ from Federal and For-Profit Sponsors?*
 - Rarely support fundamental research unless that is their specific purpose.
 - Usually not interested in commercialization.
 - Proposed activities are likely to qualify for Other Sponsored Activity Code.
 - May required unusual documents such as list of board of directors.
 - May not issue requests for proposals.
 - YOU may need permission to contact or proceed with a proposal



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- *What non-profits/foundations fund OU?*
 - American Chemical Society, Petroleum Research Fund
 - Water Research Foundation
 - American Cancer Society
 - Space Telescope Science Institute
 - Norman Arts and Humanities Council
 - CREOKS Health Services
 - National Council for Community and Educational Partnerships
 - Tulsa County Community Action Project
 - Society for Research in Child Development
 - National Council for Community and Education Partnerships

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- *What non-profits/foundations fund OU?*
 - Alfred P Sloan Foundation
 - Andrew Mellon Foundation
 - John Templeton Foundation
 - Oklahoma Medical Research Foundation
 - Simons Foundation
 - Susan G. Komen Breast Cancer Foundation
 - W. M. Keck Foundation
 - Wenner-Gren Foundation
 - William T. Grant Foundation
 - The Anne & Henry Zarrow Foundation

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- *What non-profits/foundations fund OU?*
 - Heartline Oklahoma
 - Oak Ridge Associated Universities
 - Oklahoma Center for Adult Stem Cell Research
 - The Nature Conservancy
 - Rivkin Center for Ovarian Cancer Research
 - American Heart Association
 - National Geographic Society
 - American Council of Learned Societies
 - Pathways to Health
 - Smithsonian Institute
 - Santa Fe Public Schools
 - The Newberry Library

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- *What types of actions are commonly processed?*
 - Grants
 - Subcontracts
 - While not common, you could have a **flow-through** arrangement where you are working with the non-profit on a proposal being submitted to a prime funding source.

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- *How do PI find out about solicitations?*
 - Announcements listed on organization websites
 - Commercial entities may have non-profits associated
 - Sign up for newsletters and listserves
 - General online searches
 - Use key words
 - Announcements from VPRP/ORS; ORS website
 - Candid.org (used to be Foundation Central and Guide Star)
 - Foundation Directory online (OU Developmental contacts)
 - Resources on the web still exist for FC & GS.
 - Grant Forward (Center for Faculty Excellence)
 - Donorbox.org has some free info including funding; Foundation Group
 - Contact with organization on shared interests (may need OU Foundation coordination)

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- *Gift vs Grant?*
 - May be important to know if the funds are expected to be a gift or a grant as that will determine flow (ORS or OU Foundation) and impact many other things.
 - Gift – no deliverables or ‘strings’
 - Grant – expectation of something for the funds (an item or action given back in exchange for the funds)
 - Whether or not indirect costs (facility & administrative costs) are allowed is **NOT** a consideration on whether something should flow through ORS or not.

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- *How do PI get involved with a Foundation/Non-profit?*
 - Access website and look for contacts/information
 - Respond to a solicitation or bid
 - Sign up for newsletters, list serves
 - See if there are public meetings
 - Look for info on prior awardees and ‘link up’

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- *What kinds of format guidance can be expected?*
 - Most of the time you will have no guidance (recommend 11 or 12 pt. font, one inch margin, single space)
 - If you are a subcontract, and they are submitting to a federal agency, there may be format guidance you can use from that source
 - PDF if possible (do not password protect)
 - Look for guidance, if present it is usually expected to be strictly followed.

Submitting Proposals to Foundations and Non-Profits

- *How does the proposal/bid process start?*
 - Proposal process may start with contact between PI and agency initiated by the PI or by the organization
 - The organization may sponsor research or other activities such as services; all externally funded activities involve ORS except gifts (which go through OU Foundation)
 - At the time ANYTHING written is submitted (even LOI or any type of preliminary proposal) the University's Info Sheet is submitted.
 - Bid process starts when the PI finds a bid notice they want to submit to - at that point they initiate the Info Sheet (not common with Foundations/Non-profits)

Submitting Proposals to Foundations and Non-Profits

- *What are some common proposal components? (Note flow-through funding may have guidance content flowing down too)*
 - Cover Letter or Transmittal Letter
 - Watch specific content requirements
 - Normally signed by ORS
 - Abstract/Summary/Statement of Work/Objectives/Deliverables
 - Common requirement is Publicly Releasable
 - May be a form
 - May include requirements for key words, specific statements, etc.
 - Narrative/Description/Technical Proposal
 - Watch page limit (most aren't long)
 - Be sure you answer all requirements or state that they are not applicable (don't leave a section out)

Submitting Proposals to Foundations and Non-Profits

- *What are some common proposal components? cont.*
 - References/Bibliography
 - May not be requested
 - Don't be excessive
 - Budget/Budget Justification/Cost Proposal
 - Likely (even if not expressed) that federal cost principles are expected to be used.
 - Spans spectrum – may be limited info or extremely detailed – usually limited
 - If no format or form is required, the OU spreadsheet and detailed budget justification is normally used or the budget is depicted in a table format
 - Equipment threshold differences and possession
 - Travel – usually detailed info required; may be restricted; how open they are for travel varies by organization
 - Cost share – normally not required
 - Consultants – daily rate; conformance to expectation of field
 - Tuition – some don't allow tuition unless the funds are flow-through

Submitting Proposals to Foundations and Non-Profits

- *What are some common proposal components? cont.*
 - BUDGET ----- SUBCONTRACTS
 - Do not include a subcontract in your proposal without official permission of the organization (even in a preliminary submission; ORS will obtain an email as minimum).
 - For a full submission, OU requires a statement of work, budget, budget justification, and an official letter of commitment from someone with authority to commit the organization (this is called a subcontract package).
 - Depending on the sponsor, parts or all of the subcontract package may be required in the submission along with other documents.
 - Take into account additional time that may be needed for a subcontract to complete their internal processes before they can provide official information to OU/for the submission.

Submitting Proposals to Foundations and Non-Profits

- *What are some common proposal components? cont.*
 - BUDGET --- INDIRECT COSTS (IDC)/FACILITY & ADMINISTRATIVE COSTS (F&A)
 - IDC/F&A are true costs to the University.
 - Trying to direct cost entire budget will not capture all the F&A.
 - OU has a federally negotiated rate agreement that must be used for IDC unless special procedures are followed (Provost process for Outreach/VPRP cost share form after request for reduced idc is denied for all others) No one is supposed to negotiate idc except those legally appointed by the Provost or VPRP.
 - Many Foundations and Non-profits either restrict idc or allow only the Federal de minimis of 10%. Many don't understand what idc is.
 - OU honors restriction on flow-through funds (example DoED has 8% idc allowed on funds going through OK Dept of ED to OU then we accept the 8% restriction)

Submitting Proposals to Foundations and Non-Profits

- *What are some common proposal components? cont.*
 - Personnel documents
 - Resume/CV/Bio sketch
 - If no flow-through involved there may be no guidance (recommend use NSF or **similar agency** formatting such as DoEd)
 - Recommend only 2-3 pgs. unless the normal expectation in the profession is longer
 - None may be requested (they may have an area where a short description of the PI and team qualifications are given)
 - Current and Pending/Other Support Form
 - May not be requested or may have no format given
 - If no format is given use similar organization or NSF
 - Conflict of Interest
 - May not be requested
 - If present, declare somewhere in the submitted materials even if not requested
 - Collaborator and Other Affiliations information
 - Likely not requested unless flow-through is involved that requires it

Submitting Proposals to Foundations and Non-Profits

- *What are some common proposal components? cont.*
 - Equipment and Facilities
 - May not be requested
 - If requested address what is on hand to do the work unless told otherwise
 - Don't forget nearby assets or including subcontract info
 - Be comprehensive but concise
 - Data Management Plan
 - May not be requested but good idea to include at least a statement as this is a high interest.
 - Letters of Support
 - May not be requested
 - If they are requested usually have specific persons, organizations, or statements/info to include
 - Support vs Endorsement (and endorsement may be okay)

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- *What are some common proposal components? cont.*
 - Special Forms and Certifications
 - A variety may be requested depending on the organization such as:
 - Proof of non-profit status
 - Issue on 501c3
 - Proof of insurance
 - Tax forms
 - SF 424 forms
 - Bid or other certification forms

ORS will assist on either providing or obtaining most forms and certifications.

Submitting Proposals to Foundations and Non-Profits

- *How are proposals submitted to Foundations and Non-profits organizations?*
 - Sponsor website/portal
 - Multi-organization portal such as ProposalCENTRAL
 - Email
 - Mail (recommend trackable)
 - Hand Delivery
- If the proposal needs to go through a portal/submission system, then make sure registrations for access are done – accounts may be needed for the PI and/or for the organization.

Submitting Proposals to Foundations and Non-Profits

- *How are deadlines handled?*
 - Response to bid dates are usually firm.
 - Grant/subcontract due dates can vary by agency and contact – take at face value.
 - Deadlines may be **tied to Board meetings**.
 - Watch for unusual times.
 - Most agencies don't have a set policy for weekend/holiday exceptions or other delays.
 - Never hurts to ask.

Submitting Proposals to Foundations and Non-Profits

- *After submission actions?*
 - Sponsor may request changes in what was submitted or additional information.
 - Unless sponsors requests something the likelihood of updates, corrections, or revisions being made is slim.
 - If you have an update or correction soon after submission, they may work with you.
 - If your proposal is in response to a bid nothing after the submission date is normally allowed (perception of preference).

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- Reminder - Internal Items of Consideration
 - What is the information sheet?
 - Collection point for basic proposal info that is sent to ORS to give notice a proposal is being considered for submission (bunch of questions, just answer the best you can)
 - Starts the internal process and allows ORS to plan support for proposal
 - What is routing?
 - Process that gives you official permission to submit a proposal
 - Only requires draft SOW/Summary/Abstract, budget on OU form, draft budget justification (and subcontract package if applicable)
 - Who submits the proposal?
 - Sometimes ORS – Sometimes the PI; not uncommon for both (PI unofficial, ORS official)
 - If PI submits make sure the agency knows who to contact for award actions/negotiations

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- What are some common problems/issues?
 - Organizations trying to negotiate with unofficial persons at OU
 - ORS not being involved in process until agreement stage
 - Sometimes there are vague instructions from the sponsors; not following instructions
 - Not allowing adequate time to accomplish all the paperwork (especially on bids)
 - May be hard to find information at the organization or to connect with the right person or to get a timely response to questions

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- **Take-Away**

- OU does a lot of work with Foundations and Non-profits– don't be afraid to try for funding or worried that we can't resolve issues with them.
- ORS and the OU Foundation have a good working relationship; you can start with either of us and we'll refer you to the other side if needed.
- If information in solicitations or announcements doesn't restrict IDC or tuition recovery, then the default is that it is included in the proposal; restriction is normally only accepted if published or on the organization's website. ORS can help research this and may have historical decisions in effect for some Foundations/Non-profits.
- If you need help, contact ris@ou.edu for any questions; or submit an info sheet so a Proposal Development Specialist can be assigned.



QUESTIONS?