



Submitting Proposals to For-Profit Sponsors

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Submitting Proposals to For-Profits

OVERVIEW

- How do we define ‘for-profit’ agency at OU?
- What for-profits has OU submitted to?
- What types of actions are normally processed?
- How do PI find out about solicitations/bids?
- How do PI get involved with a for-profit agency?
- What kinds of format guidance can be expected?
- How does the proposal/bid process start?
- What are some common proposal components/tips?
- How are proposals submitted to for-profit agencies?
- How are deadlines handled?
- Award Administration information.
- Reminder – Internal Items of Consideration.
- What are some common problems/issues?
- Take-a-Way.

Submitting Proposals to For-Profits

- *How do we define 'for-profit organization' at OU?*
 - *An entity whose primary goal is to earn income beyond expenses. They can be private or public entities. They may be a company, sole proprietorship, or partnership. They make their income from sales of products and/or services. Profit is shared with owners, employees, and shareholders/investors.*

How the entity is organized will determine if it has a board or not and there can be many ways they are structured which may affect who approves activities and signs paperwork.



Submitting Proposals to For-Profits

- *What are some for-profits that OU has submitted to? (1 of 3)*
 - *Boeing Defense and Space Group (Boeing)*
 - *Devon*
 - *Amethyst Research Inc.*
 - *OklahomaQuantum*
 - *Greenpath Systems LLC*
 - *Valiant Artificial Lift Solutions*
 - *Schlumberger*
 - *L3Harris Technologies, Inc.*
 - *Synoptic Inc.*
 - *Indian Exploration, LLC*
 - *Jacobs Technology*

Submitting Proposals to For-Profits

- *What are some for-profits that OU has submitted to?
(2 of 3)*
 - *Carnegie Corporation*
 - *Laureate Institute for Brain Research*
 - *Raven 3-D Printing*
 - *Atmospheric Environmental Research, Inc.*
 - *Petrolern, LLC*
 - *Leefa Biotech LLC*
 - *SRI International*
 - *Vespr Solar LLC*
 - *Triton Systems, Inc.*
 - *Filtravate, Inc.*
 - *Epirus Systems*

Submitting Proposals to For-Profits

- *What are some for-profits that OU has submitted to?
(3 of 3)*
 - *IntelliEPI-IR*
 - *Otologic Pharmaceuticals*
 - *Jawlogic*
 - *CDM Smith*
 - *Helmerich and Payne Inc.*
 - *ICF Incorporated*
 - *Johnson & Johnson*
 - *Chevron, U.S.A.*
 - *RAYTHEON*
 - *Oto-Biomechanics LLC*
 - *Honeywell Federal Manufacturing & Technologies*

Submitting Proposals to For-Profits

- *What types of actions are commonly processed?*
 - *Subcontracts*
 - *Contracts – payment on receipt, by milestones, fixed price*
 - *Issues with fixed price*
 - *For Profit Specific*
- *These can be direct from the for-profit or **flow-through** from a federal or other sponsor (prime sponsor)*

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- *How do PI find out about solicitations/bids (limited)?*
 - *Meta search engines like Google, Dogpile, Bing, etc. (company name searches and key word searches)*
 - *Company websites (also look for companion Foundation websites)*
 - *Working with VPRP – Director, Corporate Partnerships and Regional Economic Development (Joyce Burch, jburch@ou.edu)*
 - *Look at award information from federal agencies (especially Small Business Innovation Research [SBIR] and Small Business Technology Transfer [STTR]).*

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- *How do PI get involved with a for-profit?*
 - *They may reach out to PI based on publications or awards received.*
 - *The PI may reach out to the for-profit base on similar interests or information on past funding or awards.*
 - *Access website and look for grants/bid information or possible contacts for information*
 - *See if there are newsletters or list serves you can join.*
 - *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?*
 - *Some for-profit announcements will provide format guidance, but many won't*
 - *If what they are doing is tied to a federal agency proposal, there may be format guidance you can use from that source*
 - *If no guidance is given, recommend 11 or 12 pt. font, one inch margin, single space*
 - *PDF if possible (do not password protect)*

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- *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 for-profit may sponsor research or other activities such as services or community activities like STEM education.*
 - *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.*

Submitting Proposals to For-Profits

- *What are some common proposal components/tips?*
 - *For-profits tend to prefer short preliminary contact like white papers for first step in funding process UNLESS submission is for another sponsor.*
 - *Flow-through from another sponsor will usually drive content and timing.*
 - *They may want a Non-Disclosure Agreement or some other type of teaming or other agreement to protect proprietary information before much proposal development/discussion is done*
 - *DON'T SIGN ANYTHING*
 - *Involve ORS so we can help coordinate with Legal, OTC, Export Control, as needed*
 - *Many for-profits have limited experience doing proposals in general, or working with Universities, which can have impacts on what they ask for.*

Submitting Proposals to For-Profits

- *What are some common proposal components/tips?*
 - *Cover Letter or Transmittal Letter (usually only if flow-through)*
 - *Watch specific content requirements*
 - *Normally signed by ORS*
 - *Abstract/Summary/Statement of Work/Objectives/Deliverables*
 - *Common requirement*
 - *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)*
 - *There may be no content guidance*

Submitting Proposals to For-Profits

- *What are some common proposal components/tips?
cont.*
 - *References/Bibliography*
 - *May not be requested*
 - *Usually not expected to be long (half page to 3 pages)*
 - *Budget/Budget Justification/Cost Proposal*
 - *Must meet federal cost principles (**even if for-profit doesn't specify**)*
 - *Spans spectrum – may be limited info or extremely detailed*
 - *If not flow through usually very short and may just be a figure.*
 - *If no format or form is required, the OU spreadsheet and detailed budget justification is normally used*
 - *Even if the for-profit doesn't ask for a detailed budget OU policy is that one must be done for internal processes*

Submitting Proposals to For-Profits

- *What are some common proposal components/tips? cont.*
 - *Budget/Budget Justification/Cost Proposal (cont.)*
 - *Equipment*
 - *Threshold is by federal definition (5k per item)*
 - *Deliverables do not allow fabricated parts as equipment (full idc)*
 - *Travel – usually not allowed unless project specific (rare that they will allow conference attendance for networking/dissemination)*
 - *Consultants – daily rate; conformance to expectation of field*
 - *Tuition Remission – OU will not accept restriction on tuition remission unless a flow-through restriction is involved (or you have special permission from Graduate College and/or VPRP)*

Submitting Proposals to For-Profits

- *What are some common proposal components/tips? 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 For-Profits

- *What are some common proposal components/tips? cont.*
 - BUDGET --- INDIRECT COSTS (IDC)/FACILITY & ADMINISTRATIVE COSTS (F&A)
 - IDC/F&A are true costs to the University
 - OU has a federally negotiated rate agreement that must be used for IDC unless special procedures are followed
 - OU can not allow cost share or reduced (especially non-negotiation approved) idc rates for for-profit entities. It is against State law as it could be deemed to afford special benefit to one commercial entity over another by a State agency.
 - 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). We will also honor cost share as **required** by the flow-through sponsor.

Submitting Proposals to For-Profits

- *What are some common proposal components/tips? cont.*
- *Personnel documents*
 - *Nothing or very limited may be requested if flow-through is not involved*
 - *Resume/CV/Bio sketch*
 - *If no flow-through involved there may be no guidance (recommend use NSF or **similar agency** formatting such as DoEd)*
 - *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 (rarely requested)*
 - *May not be requested or may have no format given*
 - *If no format is given recommend use NSF format*
 - *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 For-Profits

- *What are some common proposal components/tips? cont.*
 - *Equipment and Facilities*
 - *May not be requested; if requested usually minimal information is wanted.*
 - *If requested address what is on hand to do the work unless told otherwise; Don't forget nearby assets or including subcontract info*
 - *For-Profit may be interested in renting OU space.*
 - *Data Management Plan*
 - *Very rare that for-profit won't want data management information.*
 - *Very common that for-profits will want signed agreements related to data and proprietary information/developments.*
 - *Letters of Support*
 - *Rarely requested unless needed for a flow through sponsor*

Submitting Proposals to For-Profits

- *What are some common proposal components/tips? cont.*
 - *Special Forms and Certifications*
 - *Usually limited/not needed unless flow through is involved.*
 - *Some occasionally requested:*
 - *Proof of non-profit status*
 - *Proof of insurance*
 - *State vendor number*
 - *Tax forms*
 - *SF 424 forms (usually only if flow through is involved)*
 - *Bid or other certification forms*
 - *Special budget forms (usually only if flow through is involved)*
 - *Time and Materials Budgets (not normally used; issues)*
 - *Hourly or Loaded Labor rates (try not to use; issues)*

ORS will assist on either providing or obtaining most forms and certifications. Sometimes limited support is available on special budget forms depending on what is being requested such as go/no go, milestone, or task budgets.

Submitting Proposals to For-Profits

- *What are some common proposal components/tips? cont.*
 - Many times, proposals with for-profit entities only want a subcontract package from OU.
 - Statement of Work
 - Budget
 - Budget Justification
 - Signed letter from ORS (if they ask for a letter from President, Provost, or VPRP –or anyone outside of ORS, please do not contact these offices – contact ORS)
 - Do not let the University be included in a preliminary submission, or full submission, without going through ORS.
 - We often find that incorrect information is used especially if a budget/budget figures are provided.
 - It **misrepresents** that the University is aware, and approves, of the involvement in the proposal and possibly the contents of the submission.

Submitting Proposals to For-Profits

- *What are some common proposal components/tips?*
cont.
 - Over the last few years, we have seen a major increase in **Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR)** proposals at OU.
 - Government established to encourage joint venture operations between non-profit research institutes and for-profit organizations.
 - Each of the two programs have specific requirements on ratio of effort or budget; SBIR must be led by company; many federal agencies offer funding for SBIR and STTR programs.
 - Guidance has been added to the VPRP ORS website especially related to these types of proposals and conflict of interest. [SBIR STTR Projects \(ou.edu\)](http://ou.edu)

Submitting Proposals to For-Profits

- *What are some common proposal components/tips? cont.*
- Companies and Compliance
 - What is a desk audit?
 - Auditor pulls paper files/electronic records and reviews.
 - Desk audits can lead to in person audits.
 - What are common flags?
 - Company address is a house address.
 - PI or other proposal/award members who have relationship (fiscal or relational) with the company (filing info, search engines)
 - Use of another entities phone, email, or address information with the company registration information or with proposal/award documents that should be coming from the company.
 - Some info on Conflict of Interest.
 - May be fiscal or relational conflict; relational can be personal or organizational
 - Does not have to exist – perception is the standard for declaration
 - Declare when in doubt; no problem to declare and either get decision or write a mitigation plan; the issue is not declaring and having it found out
 - Companies need their own COI policy and procedures; it is likely that if a PI at OU is filing that someone at the company should also declare.

Submitting Proposals to For Profits

- *How are proposals submitted to for-profit agencies?*
 - *Email*
 - *Mail (recommend trackable)*
 - *Hand Delivery*

Submitting Proposals to For-Profits

- *How are deadlines handled?*
 - *If the for-profit is the source of funds, there is usually some leeway on deadlines but be sure to check.*
 - *Response to bid are usually firm.*
 - *If flow-through the deadline may not be the prime sponsor's deadline.*
 - *Watch for unusual times.*
 - *Most for-profits don't have a set policy for weekend/holiday exceptions or other delays like weather.*
 - *Big item on deadlines with for-profits is to communicate.*

Submitting Proposals to For-Profits

- *After submission actions?*
 - *Sponsor may request changes in what was submitted or additional information.*
 - *Unless sponsors requests, likelihood of PI initiated updates, corrections, or revisions being made is slim.*
 - *If your proposal is in response to a bid, nothing after the submission date is normally allowed.*
 - *If the submission is flow-through there may be short notice taskings from the prime.*

Submitting Proposals to For-Profits

- *Award administration information*
 - *Typically, Office of Technology and Commercialization (OTC) will be involved, many times both at proposal submission and at award.*
 - *Legal at both the University and the for-profit usually involved.*
 - *If possible, we try to start negotiation with the OU agreement templates as there are certain restrictions we shouldn't accept.*
 - *If a company proposes items that the University doesn't normally accept or that are considered unfavorable or at risk, the department may need to sign paperwork to allow the project to go forward (Document of Unfavorable Terms [DUT]).*
 - *We advise PI not to work or provide deliverables before the negotiation is done. This could result in your giving away work for free. If your department has done an advance account, then those funds may not be reimbursed if the sponsor doesn't complete negotiations.*

Submitting Proposals to For-Profits

- 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?
 - Very common for PI but can also be ORS or both. Some for-profits prefer from ORS as more 'official'; not uncommon for both (PI unofficial, ORS official)
 - If PI submits make sure the sponsor knows who to contact for award actions/negotiations (Sponsored Programs Coordinator in ORS).

Submitting Proposals to For-Profits

- *What are some common problems/issues?*
 - *For-profit trying to negotiate with unofficial persons at OU.*
 - *ORS not being involved in process until agreement stage*
 - *Usually delays award as step 1 is not done in a timely manner so step 2 can't fully start.*
 - *Common to have errors in submission materials or agreement actions that have started prematurely*
 - *Not allowing adequate time to accomplish all the paperwork (especially on bids and some flow through types of complicated submissions like DOD, DOE, ONR)*
 - *May be hard to find information at the for-profit or to connect with the right person or to get a timely response to questions*
 - *Award acceptance may take longer than expected; usually Legal at both OU and for-profit is involved*

Submitting Proposals to For-Profits

- **Take-a-Way**

- OU does a lot of work with for-profit sponsors so while they may be new to us that doesn't mean we can't resolve issues in doing business with them.
- ORS also screens all sponsors which can help protect you especially in dealing with for-profit organizations.
- How the for-profit is organized may determine that a board vote or decision is needed on funding or other decisions which can delay approvals and answers.
- If you need help, contact ris@ou.edu for any questions; or submit an info sheet so a Proposal Development Specialist can be assigned.

Submitting Proposals to For-Profits

QUESTIONS?