



Education
Advisory
Board

Advancement Forum

Faculty **Grant Writing** Incentive and Support Programs

Designed to Increase Corporate and Foundation Grant
Funding



Research Brief

eab.com

Advancement Forum

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1) Executive Overview

Key Observations

Pre-award financial incentives encourage faculty grant proposal submissions and allow faculty members to prioritize research efforts that could lead to successful grant funding. Financial bonuses large enough to support course buy-out encourage faculty members to develop research project ideas or pursue existing research to strengthen future proposals. Stipulate that faculty members will only receive pre-awards for proposals submitted to private funding entities (e.g., corporations and foundations) to increase proposals for private funding. Research contacts report that grant proposals based on existing research, or that contain preliminary findings or data, are more likely to receive funding.

Allocate internal funds to support faculty conference attendance, networking with private funding sources, and student research support to strengthen future grant proposals. Faculty members often feel unsupported by offices of research and research services, which they view as bureaucratic offices that exist only to secure funding for the institution. To encourage faculty members to pursue funding from private sources, with which they are often less familiar, research directors at **Institution F** and **Institution B** budget between \$350,000 and \$400,000 annually. Of that budget, Institution F allocates approximately half to indirect support services and incentives for faculty members, which include awards to attend international conferences and stipends to pay undergraduate and graduate students to assist with faculty research efforts.

Consolidate grant writing support services to increase faculty member awareness of available incentive and support programs. Lack of faculty member familiarity with private funding opportunities and lack of knowledge about where on campus to secure grant writing support hinders grant incentive program implementation and maintenance. Locate pre-award support services, grant writing and editing support, and post-award services in one office to avoid faculty confusion and streamline advertising efforts. Invite academic deans to co-sponsor grant writing workshops and internal funding competitions to advertise available programs and services to colleges and faculty members.

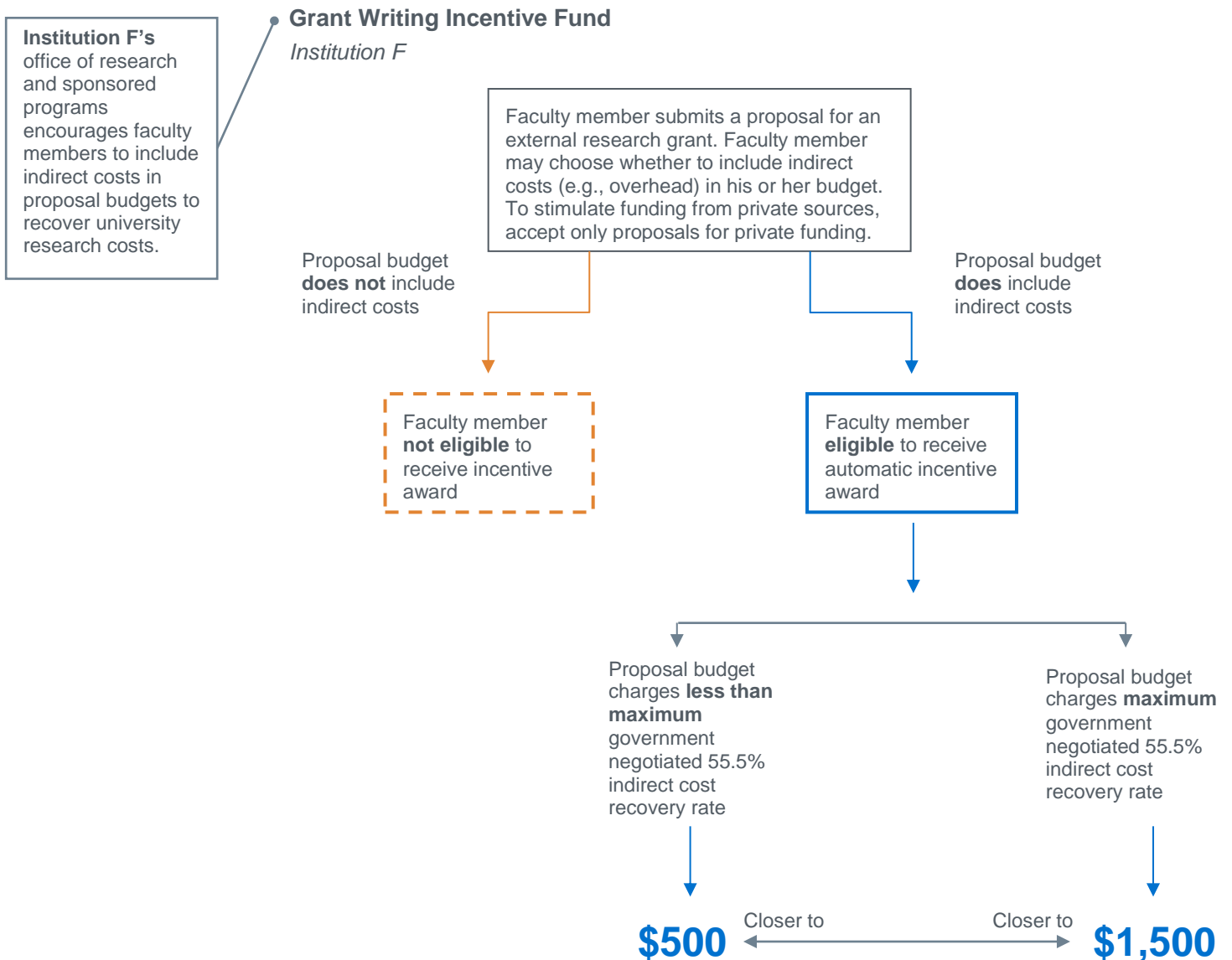
All profiled institutions report increased proposal submissions, grant revenue, and revenue from private sources following grant writing and incentive support program implementation. Employ staff in offices of research, academic units, or the advancement department or foundation dedicated to helping faculty identify sources of external research funding. When faculty members identify external funding opportunities, support staff offer editorial support throughout the grant writing process to maximize proposal quality. Profiled institutions that have recently implemented incentive and support programs, or plan to in the near future, predict that more and higher quality grant proposal submissions by faculty members will lead to increased grant revenue.

2) Incentive Program Structures

Financial Incentives

Offer Pre-Award Financial Incentives to Support Future Proposals for Larger Research Grants

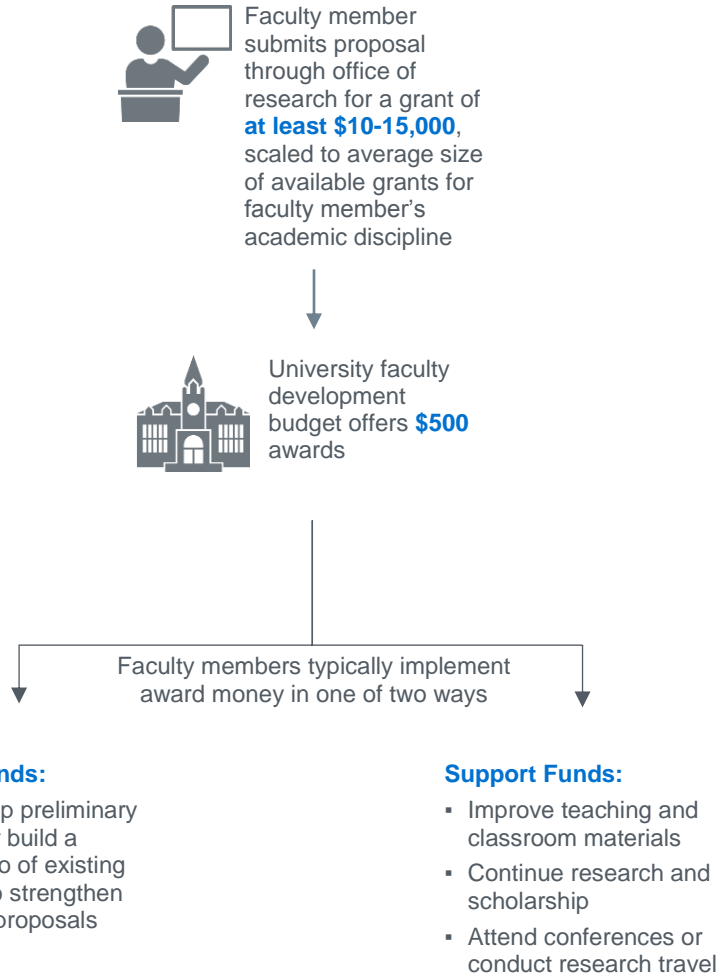
Directors of research services, sponsored programs, and research administrators at contact institutions offer financial incentives to build faculty capacity to pursue large external grants from corporations and foundations. Faculty members may use awards to develop preliminary data for proposals, compile a portfolio of existing research, or hire private grant writing and editorial support. Monetary incentives also encourage faculty members to submit more proposals. The application process for these incentive programs may specify eligibility contingent on proposal submissions to private sources of funding.



Institution B's Office of Research Services (ORS) offers a similar program: principal investigators (PIs) are eligible to receive \$500 for every new grant proposal submitted through the ORS that requests \$100,000 or more over the life of the grant. The ORS allocates all awards at once as supplemental salary to PIs at the end of the fiscal year.

Faculty Development Grant Incentive Program

Institution D

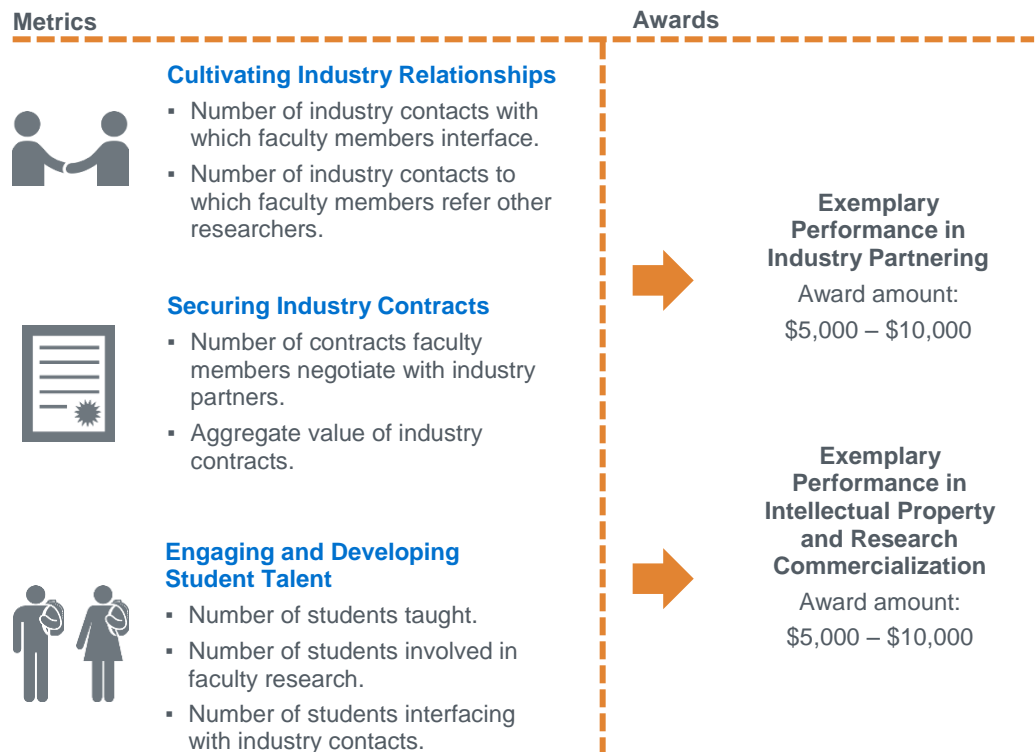


Pre-Award Financial Incentives Encourage University Industry Collaboration

Research contacts at **Institution C**, in consultation with the Faculty Senate Awards Committee, offer financial rewards to faculty members who demonstrate excellence in cultivating research partnerships with industry and other private funders. Directors of research present these awards at the institution's annual faculty awards event alongside other major faculty awards (e.g., excellence in teaching, excellence in service). Presenting faculty members with monetary awards and public recognition for seeking partnerships with, or funding from, private sources provides an incentive for faculty to engage in such behavior.

Faculty Awards at *Institution C*

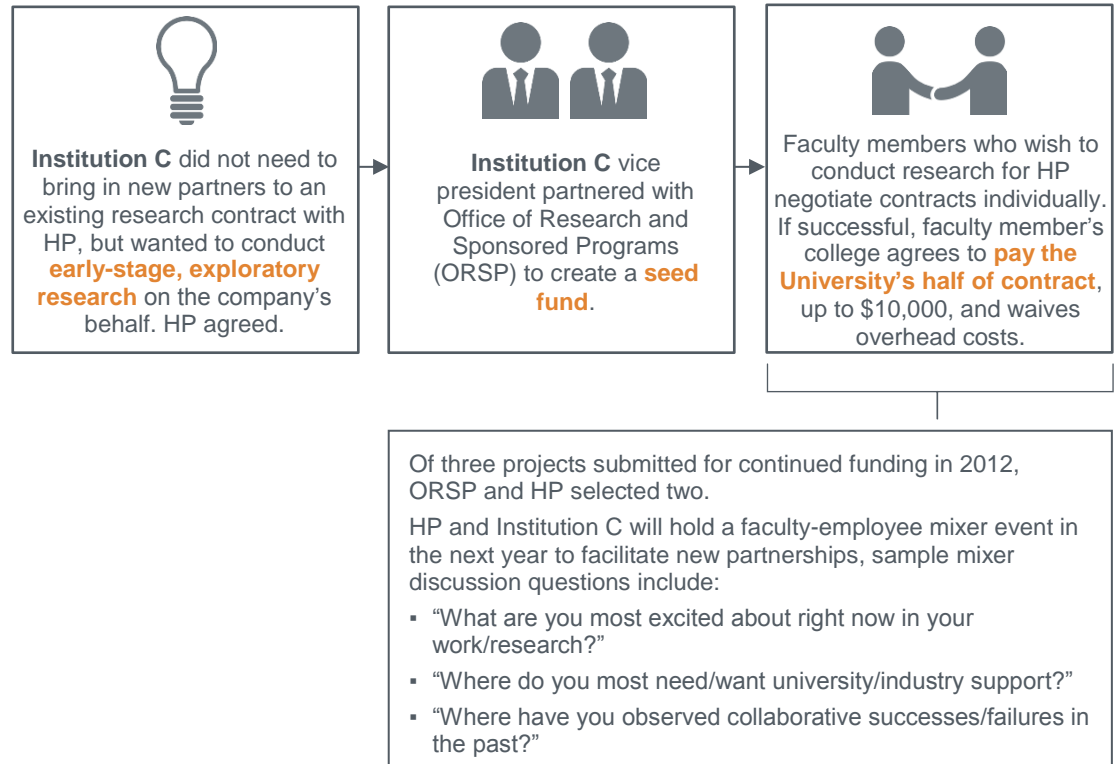
Funded by the Office of Research



Institution C's Office of Research further encourages faculty-industry partnerships with a seed fund. This fund is available both to faculty members attempting to invite new industry partners into an existing research contract, and those negotiating the terms of a nascent contract with a new industry partner. In such situations, the Office of Research pays up to \$10,000 of the contract and waives any indirect costs otherwise applicable to the industry partner. Research directors modelled the seed fund on an existing program in partnership with Hewlett Packard (HP).

Hewlett Packard Seed Fund

Institution C



Indirect and Non-Financial Incentives

Allocate Funds for Student Research Support and Conference Attendance to Facilitate Proposal Submissions

Promoting faculty research efforts and exposure through conference attendance, course release, and student research support improves future proposal writing outcomes. Make faculty member eligibility for support awards contingent on proposals submitted to private funding sources to ensure indirect incentives support university goals of increasing grant revenue from private sources.

Require faculty members to complete post-award evaluations to describe progress made towards securing private grant funding, enabled through student support and conference attendance.

Sample questions:

- “For which private grant proposals have you enlisted student support?”
- “What corporate or foundation contacts have you met through conference attendance?”

Research Support Funds

Office of Research and Sponsored Programs (ORSP) at Institution F

Program Name	Program Description	Program Outcome
Undergraduate Student Research Assistant Program	<ul style="list-style-type: none"> ▪ ORSP pairs undergraduate student with faculty members based on overlapping academic and research interests ▪ ORSP pays 60-65 students \$1,500 per academic year, to support faculty research efforts 	<ul style="list-style-type: none"> ▪ Faculty members receive student support to pursue scholarship ▪ Increased research and scholarly activity strengthens future grant proposals
Graduate Student Research Assistant Program	<ul style="list-style-type: none"> ▪ ORSP pairs graduate student with faculty members based on overlapping academic and research interests ▪ ORSP pays 60 students \$4,000 per academic year, to support faculty research efforts 	<ul style="list-style-type: none"> ▪ Increased research and scholarly activity strengthens future grant proposals ▪ Graduate student cultivates personal research ideas and passions ▪ Faculty member mentors graduate student
Faculty Conference and Presentation Fund	<ul style="list-style-type: none"> ▪ ORSP awards 20 faculty members \$2,000 per year to attend or present research at an international conference ▪ First come, first served award schedule ▪ Academic units provide similar amounts to fund similar opportunities for faculty members domestically 	<ul style="list-style-type: none"> ▪ Faculty member research receives greater exposure ▪ Faculty members may learn from, and collaborate with, other researchers ▪ Faculty members have greater opportunities to meet potential funders
Student Conference and Presentation Fund	<ul style="list-style-type: none"> ▪ ORSP awards 20 students per year \$500 to attend or present research at an academic conference ▪ First come, first served award schedule ▪ ORSP encourages student-faculty co-presentations 	<ul style="list-style-type: none"> ▪ Students gain conference and presentation experience ▪ Collaborating faculty members receive greater exposure to potential corporate and foundation donors through presentations

Allow Course Buy-Out to Facilitate Faculty Grant Writing

Research contacts at most profiled institutions encourage robust course buy-out policies for faculty members who secure external funding. Post-award course buy-outs allow faculty members who secure external funding to stop teaching one or more courses while paying a portion of their own salary with award money. The college or department hires a temporary instructor to teach the released courses with the money it no longer has to disburse as faculty compensation.

With increased discretionary reserves, research directors at **Institution D** would provide pre-award course release options to faculty members seeking external funding. Simplifying pre-award and post-award course buy-out procedures for faculty members who secure external funding from private sources could further incentivize grant proposals to private funding sources.

Modify Metrics for Faculty Tenure, Promotion, and Salary Adjustments to Encourage Industry Partnership

Research contacts at **Institution C** recommend that faculty members, deans, or administrators with previous experience as faculty members lead efforts to modify faculty promotion and tenure criteria, rather than other administrators. Faculty senate committees are unlikely to support initiatives presented only by administrators.

Model for Faculty Member Performance Metrics






Frequent Meetings between Faculty Members and Grant Writing Support Staff Facilitate Proposal Submissions

Research contacts and development directors at contact institutions report major barriers to faculty pursuing external funding from private sources include:

- Lack of understanding of industry policies regarding intellectual property
- Lack of awareness of available funding opportunities
- Greater familiarity and comfort with public sources of funding (e.g., state and federal government)
- Lack of time

Dedicated support services, housed in the office of research, academic units, or the advancement department or foundation help faculty members to overcome these challenges.

Three Locations for Faculty Member Grant Writing Support

	Advantages	Disadvantages
 Office of Research	<ul style="list-style-type: none"> ▪ Strong understanding of available research grants ▪ Broad understanding of research and IP commercialization 	<ul style="list-style-type: none"> ▪ May not interface frequently with individual faculty members ▪ Lacks relationship with corporations and foundations
 Academic Units	<ul style="list-style-type: none"> ▪ Intimate understanding of faculty research interests ▪ Understand faculty teaching schedule and other time constraints 	<ul style="list-style-type: none"> ▪ Lack relationship with corporations, foundations, and other funding entities
 Advancement Department or Foundation	<ul style="list-style-type: none"> ▪ Strong relationship with private sources of funding (e.g., corporations, foundations) ▪ Understand how to commercialize faculty research and IP 	<ul style="list-style-type: none"> ▪ Lack awareness of faculty research interests

Provide One-on-One and Group-Based Faculty Services to Maximize Support

Research and research services directors at all profiled institutions recommend that grant writing support staff, wherever they are located, develop close relationships with faculty members to provide the most effective support. Support staff should meet regularly with faculty members to discuss current research interests and projects, build individual profiles of faculty research, and target searches for external funding sources based on these profiles. Support services divided into individual and group programs maximize faculty exposure.

One-On-One and Group Grant Writing Support Services

One-On-One Support



- Interface directly with faculty members to develop detailed profiles of faculty research projects and interests
- Sit with faculty members to brainstorm research ideas and develop list of potentially fundable research projects
- Perform individualized searches for funding opportunities
- Teach faculty members how to perform targeted funding searches through databases such as Pivot or the Grants Research Center
- Provide writing and editorial support for faculty during proposal writing phase

Group Support



- Give presentations during new faculty orientation detailing available support services
- Present general strategies at grant writing workshops (e.g., writing accessible descriptions of research projects)
- Offer workshops targeted to niche faculty research needs (e.g., complying with IRB regulations)
- Host spotlight events once per month to highlight individual faculty research
- Host panel discussions on securing external funding from private sources
- Post funding opportunities and networking events on grant resource website

Model Transition from Office of Research-based Grant Writing Support to College-based Grant Writing Support

Institution G



Develop a Toolkit of Standardized Proposal Language to Assist Faculty

Foundation relations contacts at **Institution G** are compiling a repository of language common to most proposals for external funding from private sources to help faculty members more easily request research funding. Common areas of overlap between proposals include:

- University mission
- Existing university research support
- Methods of disseminating research results and findings

3) Incentive Program Implementation

Industry Partnerships

Include University-Industry Partnerships in University Strategic Plan to Encourage Faculty Grant Proposals to Private Organizations

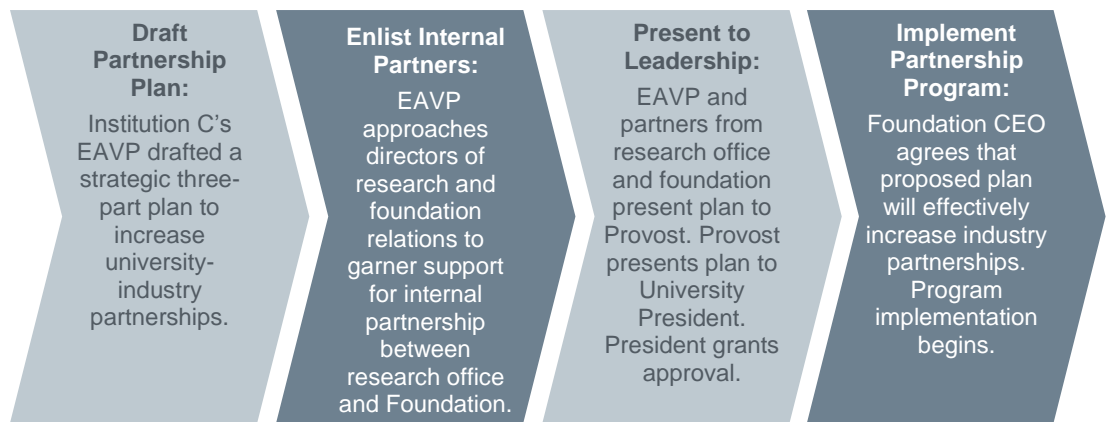
Senior leadership support for faculty-industry partnerships raises faculty member awareness of funding research with private dollars, and encourages faculty members to pursue private, rather than public, funding for research projects. **Institution C's** President declared university-industry partnerships a top-three priority for the university in his strategic plan. He enlisted the Executive Associate Vice President (EAVP) for Research to develop and spearhead a strategy for improving university-industry relations.

"Substantially increase revenues from private fundraising, partnerships, research grants, and technology transfers while strengthening our ability to more effectively invest and allocate resources to achieve success."

-Institution C Strategic Plan

University-Industry Partnership Model

Institution C Program



Accelerator



- Co-directed by College of Business faculty member and Institution C's Chief Startup Officer
- Faculty and students apply to accelerator with a business or product idea; 40 applied last year, the Accelerator accepted 20
- MBA students and entrepreneurs in residence offer business planning advice
- Accelerator attempts to move companies to market: eight companies have left the Accelerator, 12 are still in residence

Impact



- Director oversees IP commercialization in consultation with IP licensing and contracts managers
- Relocated industry contract management and pre-award proposal services from Office of Sponsored Programs to Office of Commercialization and Corporate Development to streamline university-industry negotiations
- Allows Foundation to oversee and record faculty-industry interactions

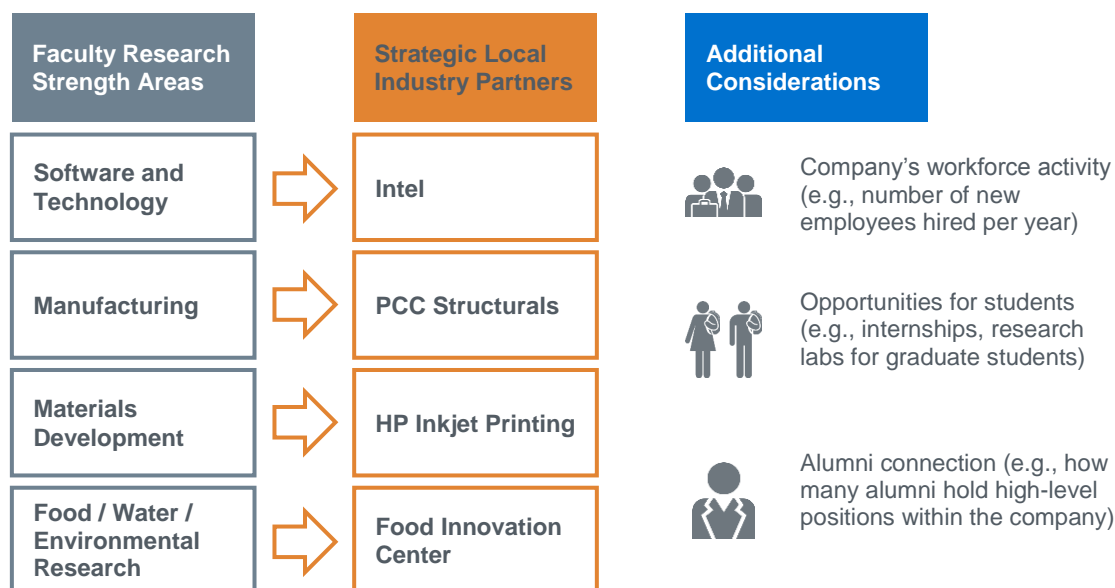
Partnerships



- Co-directed by director of corporate relations (Foundation) and Director of Industry Partnering (Office of Research)
- Facilitates direct collaboration between Foundation and office of research
- Matches faculty research strength areas to prominent local industries and companies to identify strategic industry partners to which faculty members should focus funding proposals and partnership outreach efforts

Identifying Strategic Industry Partners

Institution C



Funding

Profiled Institutions Fund Incentive Programs through Office of Research, Provost's Office





No profiled institutions reported challenges to funding grant writing incentive and support programs, as offices of research and senior university leadership supported these programs as means to increase grant proposals and eventual grant revenue. Offices of research and research services typically allocate up to half of their annual budget to grant writing incentive and support programs and retain half for administration and staff costs. Research directors at **Institution F** and **Institution B** both allocate approximately \$350,000-400,000 annually for incentive programs and support services.

Develop Transparent Cost Recovery Models to Implement Incentive Funding and Ensure Sustainability

Ensure that an equitable proportion of the facilities and administrative cost recoveries grant writers secure from external funders returns to the individuals, units, and departments that have invested in grant proposal, submission, and research project success. Development directors in **Institution A's** Office of Sponsored Research prefer to develop "fully loaded" budgets when negotiating industry contracts. These budgets include indirect costs in a bottom line sum but do not itemize costs to avoid upsetting private partners, who contacts at every institution report are reluctant to pay indirect costs.

Research directors at all profiled institutions report that reinvesting a proportion of these recoveries into any incentive programs will maintain program sustainability. Effective and equitable reinvestment of overhead requires transparent cost recovery disbursement models to be effective.

Indirect Cost Recovery Disbursement Models at Two Profiled Institutions

	 Principal Investigator	 Academic Department	 Academic Unit	 Central Administration
Institution E	5%	15%	5%	75%
Institution F	10%	5%	5%	80%

Institution C's Office of Research, Foundation, and Office of Commercialization and Corporate Development (OCCD) employ different indirect cost recovery models depending on the type of funds the university has received from external sources.

- Industry contracts:
 - 10% to the OCCD
 - 90% allocated according to standard university allocation model
- Research gifts:
 - Foundation charges a 5% management fee
 - 95% to faculty member
- Research testing:
 - 92% allocated to unit conducting the tests – often directly managed by department(s)
 - 8% to central administration
- Royalties and equity cash payments:
 - One-third of recovery to inventor(s)
 - One-third to participating departments
 - One third to central administration

Increase Faculty Awareness of Incentive Programs and Support Services with Emails, Physical Outreach, and Dean Sponsorship

Research contacts at all profiled institutions report grant writing support and outreach from offices of research staff effectively advertise available services and incentive programs to faculty members. Offices of research also send regular emails, e-newsletters, and physical mail to faculty members that highlight upcoming events, workshops, and notable funding opportunities.

Institution C's Office of Research held an open house event in 2013, sponsored by the President, to advertise its new Advantage industry-partnering program to faculty members. Fifty faculty members attended and event organizers reported high interest in the program by attendants. The **OSU** Advantage team also includes two staff from University marketing to spearhead awareness campaigns. **Institution F's** Office of Research invites academic deans to co-sponsor events, workshops, and internal funding competitions to increase faculty awareness of these programs. **Institution F's** Office of Research does not require any monetary contribution from deans, but many will subsidize event refreshments.

4) Incentive Program Outcomes

Grant Writing Outcomes

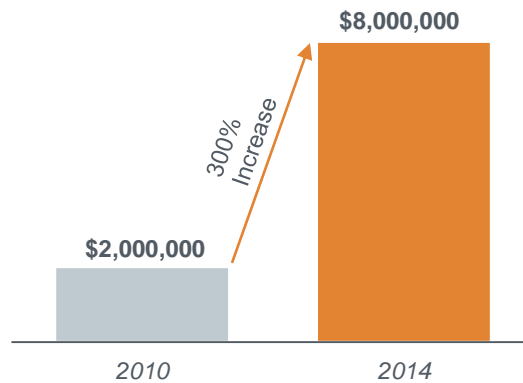
Profiled Institutions Report Greater Proposal Submissions and Funding After Incentive Program Implementation

Contacts report improvements to grant writing and proposal outcomes after implementing grant writing incentive programs and support services, offered through offices of research, research services, and sponsored programs. Institutions that have recently implemented incentive or support programs or plan to in the near future (i.e., **Institution D**, **Institution E**) have not had time to observe changes to the amount of grant funding that faculty members receive. However, contacts across all profiled institutions report an increase to in the number of proposal submissions. Directors of research and research services anecdotally report that average proposal quality is also improving, and predict a subsequent increase in the amount of funding due to more and higher quality proposal submissions.

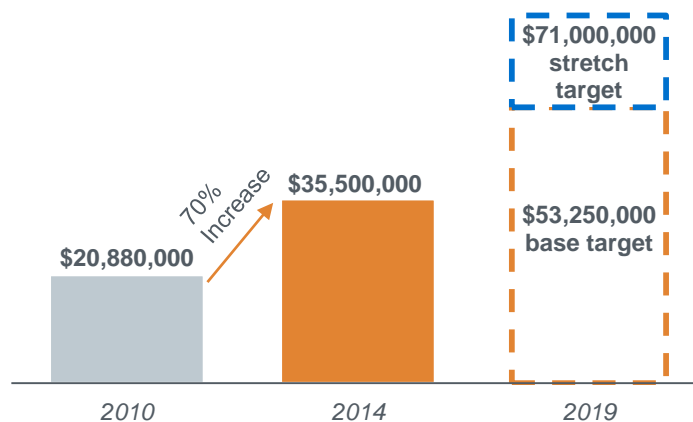
Directors of development at **Institution A** receive \$7,000,000 annually from private sources, an increase over time.

Grant Revenue across Institutions

Institution F



Institution C



Improve Metrics Collection to Monitor Incentive Program Efficacy

Offices of research and research services at profiled institutions collect standard metrics related to proposal submissions and success:

- Number of proposals submitted
- Aggregate value of all submitted proposals
- Number of proposals funded
- Aggregate value of all grant award amounts

While these metrics provide a baseline with which to measure incentive and support program outcomes, research contacts at many institutions desire to collect more information to tailor incentive and support programs to faculty research interests and to more holistically measure program success. Holistic metrics include:

- Faculty engagement with private funding sources (e.g., corporations, foundations) other than formal grant proposals
 - Number of fellowships awarded to faculty members by industry
 - Number of papers that faculty members co-publish with industry partners
 - Amount of intellectual property transferred to industry or otherwise commercialized
- Awards and other recognition that faculty members receive (e.g., Fulbright awards, community service awards)

Academic affairs leadership at **Institution B** are piloting a program to record faculty member activity during the semester (e.g., research activity, professional development). This initiative will most likely be a digital repository to which faculty members contribute accounts of activity every week or month. Research services contacts are considering employing the program to better track faculty engagement with external funding sources, and other grant-seeking activity.

5) Research Methodology

Project Challenge

Leadership at a member institution approached the Forum with the following questions:

- What monetary and non-monetary incentives do contacts offer faculty members to pursue grant funding?
- How do contacts fund faculty grant writing incentive programs?
- How much do faculty grant writing incentive programs cost at other institutions annually?
- How do contacts ensure that faculty grant writing incentive programs remain sustainable over time?
- How do contacts increase faculty awareness of available grant writing incentives and support services?
- How do contacts measure faculty grant writing incentive program efficacy?
- Has the amount of external funding contacts institutions receive increased or decreased since implementing faculty grant writing incentive programs?

Project Sources

The Forum consulted the following sources for this report:

- EAB's internal and online research libraries (eab.com)
- National Center for Education Statistics (NCES) (<http://nces.ed.gov/>)

Research Parameters

The Forum interviewed directors of research and sponsored programs, research services, and development directors at research institutions in the United States.

A Guide to Institutions Profiled in this Brief

Institution	Location	Approximate Institutional Enrollment (Undergraduate/Total)	Classification
Institution A	Midwest	19,900 / 24,400	Research University
Institution B	Midwest	9,700 / 15,700	Research University
Institution C	Pacific West	21,800 / 26,400	Research University
Institution D	Mid-Atlantic	1,900 / 1,900	Baccalaureate
Institution E	South	26,500 / 32,500	Research University
Institution F	Midwest	7,000 / 8,300	Master's University
Institution G	Pacific West	23,100 / 27,700	Research University