Foundation Fundraising Briefing for UMHS Investigators

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Senior Director, Foundation Relations
Office of University Development
Agenda

- Fundraising and foundations
  - Private giving and the foundation fit
  - Foundation giving at U-M
  - Foundation giving to higher education and to medicine
- Why do foundations give grants?
- How to find information about foundations and grants
- Areas of opportunity & challenges of scale
  - The biggest funders
  - Disease-specific funders
  - Regional (local) foundations
- How Foundation proposals may look different
  - Aspects of foundation relationships
- Resources to call upon
  - Office of University Development
  - University Libraries
  - Medical Development and Medical Research
Types of recipients of contributions, 2007
Total = $306.39 billion ($ in billions)

- Religion: $102.32 (33.4%)
- Education: $43.32 (14.1%)
- Human services: $29.64 (9.7%)
- Health: $23.15 (7.6%)
- Unallocated giving: $23.67 (7.7%)
- Foundations: $27.73 (9.1%)
- Environment and animals: $6.96 (2.3%)
- International affairs: $13.22 (4.3%)
- Arts, culture, and humanities: $13.67 (4.5%)
- Public-society benefit: $22.65 (7.4%)

Total contributions: $306.39 billion
2007 charitable giving
Total = $306.39 billion ($ in billions)

- Individuals: $229.03 (74.8%)
- Foundations: $38.52 (12.6%)
- Bequests: $23.15 (7.6%)
- Corporations: $15.69 (5.1%)
Foundation gifts and grants are an important source of support and represent 16% of the private funds UM receives annually.

**FY 2007 Giving to Michigan By Source of Funds**

- $173.7 Million Living Individuals (58%)
- $39.7 Million Realized Bequests (13%)
- $21.5 Million Corporations (7%)
- $36.8 Million Foundations (16%)
- $16.6 Million Associations/Others (6%)

Source: University of Michigan
Michigan is a perceived leader and performs well within its portfolio of foundation donors

- Michigan performs well with the state’s largest foundations who have made significant capital gifts in addition to their annual support for programs and research initiatives.
  - The $25M grant from the Mott Foundation was its largest ever
  - The $5M gift for building from Kellogg was one of only five at that scale, and the only one for building support, of its $134M total giving, globally, in 2004

- Michigan has strong results with foundations focused on the U S,
  - Robert Wood Johnson is a significant donor to SPH and Medicine, at $4M to $10M per year in giving

- and with foundations investing in American higher education.
  - Ford Foundation provides an average $1M each year
  - Andrew Mellon Foundation provides $2M on average
  - Alfred P. Sloan Foundation provides over $1M up to $2M per year
Foundation giving grew 4.5% from FY07 to FY08, to $52.0M. Medical Center (52%), Public Health (8%), and Engineering (7%) were the primary recipients of FY08 foundation pledge payments and gifts.
Foundation giving to higher education, Top 20

FY07 Foundation Total Giving
Top 20 Public & Private Research Institutions

In Millions

<table>
<thead>
<tr>
<th>Institution</th>
<th>Giving</th>
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<tbody>
<tr>
<td>Stanford</td>
<td>261</td>
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<tr>
<td>Duke</td>
<td>134</td>
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<tr>
<td>UCLA</td>
<td>117</td>
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<tr>
<td>Columbia</td>
<td>97</td>
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<tr>
<td>U Chicago</td>
<td>95</td>
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<tr>
<td>Cal Tech</td>
<td>94</td>
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<tr>
<td>MIT</td>
<td>94</td>
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<tr>
<td>Johns Hopkins</td>
<td>93</td>
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<tr>
<td>U Virginia</td>
<td>86</td>
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<tr>
<td>U Minnesota</td>
<td>77</td>
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<tr>
<td>UNC</td>
<td>73</td>
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<tr>
<td>NYU</td>
<td>72</td>
</tr>
<tr>
<td>Yale</td>
<td>59</td>
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<tr>
<td>Purdue</td>
<td>57</td>
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<tr>
<td>NC State</td>
<td>55</td>
</tr>
<tr>
<td>Vanderbilt</td>
<td>50</td>
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<tr>
<td>U Miami</td>
<td>50</td>
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<tr>
<td>U Michigan</td>
<td>49</td>
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<tr>
<td>U Pennsylvania</td>
<td>48</td>
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<tr>
<td>U Pittsburgh</td>
<td>45</td>
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</tbody>
</table>
Several peer public research I institutions are getting more foundation gift support for research purposes.

Source: 2008 CAE Voluntary Support of Education (VSE) survey
The data indicate also that foundation support for health sciences are an area of opportunity.
What does this opportunity mean for UM and for Med investigators?

- There is money out there
  - UCLA, UT, UNC outperform us

- This is a skill set we need to nurture
  - NIH is growing more competitive
  - NIH and NSF are growing more like private funders

- There are resources to support this effort
  - Office of University Development
  - Med Research and department supports
  - UM Library resources
Step 1:
Where is baseline information?

- Foundation Center Online (FCOnline)
  - [http://www.umich.edu/](http://www.umich.edu/)
  - [http://www.umich.edu/libraries.php#collections](http://www.umich.edu/libraries.php#collections)
  - [http://searchtools.lib.umich.edu/V?func=find-db-1](http://searchtools.lib.umich.edu/V?func=find-db-1)

- UM has five campus-wide licenses
  - Authenticate through your system then go to the Library site to get to FC Online

- Foundation data is public information
Search One: Definitions and Terms

- Search for RWJ grants
  - Grantmaker profile (reads superficially)
  - Grants listing
    - Subject – Health Care (2217 hits)
    - Years – 2005 to 2008 (1252 – lots of NGOs)
    - Recipient Institution Type – Higher ed, University (369 – manageable for good review) (too much public health)
    - Keyword: medicine (191 good hits)
- Another path
  - Subject – Medical Research (63 hits but not as interesting or comparable as the other)
Search Two: By Subject

- **Cancer**
  - Grants search
    - Subject: Cancer or other cancer links
    - Recipient type: Higher education, university
    - Years: 2002-2008
  - Result: 628 grant descriptions
    - Note MAJOR funders (volume of grants)
      - eg, Avon or Burroughs Wellcome
    - Note LOCAL funders (do a sub-search)
      - Foundations in Michigan and/or
      - Recipients in Michigan
Step 2: UM history with key foundations

- **http://www.umich.edu/**
  - Web search for Prism within DRDA
    - [http://cgi.research.umich.edu/prism/pow.lasso](http://cgi.research.umich.edu/prism/pow.lasso)
  - Direct sponsor name: e.g., Robert Wood Johnson
    - 374 records
  - PI only, unless you want to see duplicate records for co-PIs
    - 164 records
  - Date boundaries or not
    - e.g., > 1/1/2003
    - 55 records
Step 3: Foundation Websites

- **Doris Duke Charitable Foundation**
  - Global health, children’s health, Africa

- **Bill and Melinda Gates Foundation**
  - Global health (global poverty), incl. vaccines

- **The Rockefeller Foundation**
  - Global health, underserved populations

- **W.K. Kellogg Foundation**
  - Renewed focus on Michigan
  - Underserved populations key
  - Engaging neighborhoods or communities
Alternative Search:
Review known RFPs through Med

- Visit MQuest
  - https://www.umms.med.umich.edu/mquest/

- Search by prospect or subject
  - e.g., Breast Cancer
    - Returns with open call for Avon
  - e.g., Avon or Robert Wood Johnson
Alternative Search:
Review opportunities through DRDA

- Visit Prism
  - [http://www.research.umich.edu/funding/data bases.html](http://www.research.umich.edu/funding/data bases.html)
    - SPIN
    - Community of Science
    - Foundation Center on line
    - MQuest
Watch for Limited Submission Announcements

From: Julie Feldkamp <feldkamp@umich.edu>
Date: August 14, 2008 5:31:21 PM GMT-04:00
To: NIH-net NIH-net <nih-net@umich.edu>, DRDA-Net DRDA-Net <drda-net@umich.edu>
Subject: Limited Submission Funding Opp: BWF Investigators in the Pathogenesis of Infectious Disease

Burroughs Wellcome Fund Investigators in the Pathogenesis of Infectious Disease
Internal Deadline: September 8, 2008 (NOTE THE ADVANCE NOTICE)

The Investigators in the Pathogenesis of Infectious Disease award program provides $500,000 over a period of five years ($100,000 per year). The goal of the program is to provide opportunities for accomplished investigators still early in their careers to study the pathogenesis of infectious disease at its most fundamental level – the points where human and microbial systems connect. The program supports research that sheds light on the fundamentals that affect the outcomes of this encounter: how colonization, infection, commensalism and other relationships play out at levels ranging from molecular interactions to systemic ones.
Limited submission announcements on NIH-net and DRDA-net

From: Julie Feldkamp [mailto:feldkamp@umich.edu]
Sent: Thursday, August 21, 2008 3:14 PM
To: NIH-net NIH-net; DRDA-Net DRDA-Net
Subject: Limited Submission Funding Opp: Hartwell Foundation Individual Biomedical Research Award

The Hartwell Foundation Individual Biomedical Research Award
Internal Deadline: September 22, 2008
Foundation Deadline: November 17, 2008

The Hartwell Foundation Individual Biomedical Research Award provides support for three years at $100,000 direct cost per year. The goal of the program is to support early-stage, innovative, and cutting-edge biomedical research that has not yet qualified for significant funding from outside sources and that should benefit children.
UM’s Strategic Foundation Prospects

Managed Foundations
Jack Kent Cooke Foundation
Herbert H. and Grace A. Dow Foundation
The Bill and Melinda Gates Foundation
The William Randolph Hearst & Hearst Fnds.
Herrick Foundation
The W.M. Keck Foundation
John S. and James L. Knight Foundation
The Kresge Foundation
Henry Luce Foundation
McGregor Fund
Charles Stewart Mott Foundation
New Economy Initiative (CFSEM)
The Skillman Foundation
Harry A. and Margaret D. Towsley Foundation

Coordinated Foundations
Community Foundation for SE Michigan
Doris Duke Charitable Foundation
The Ford Foundation

Note: DRDA has extensive interactions with many of these foundations. CFR and DRDA work closely on these and will help you find the right processes. Many funding proposals work through DRDA and CFR.

William T. Grant Foundation
The William and Flora Hewlett Foundation
Robert Wood Johnson Foundation
W.K. Kellogg Foundation
Lumina Foundation
John D. and Catherine T. MacArthur Foundation
Andrew W. Mellon Foundation
Gordon and Betty Moore Foundation
David and Lucile Packard Foundation
The Pew Charitable Trusts
The Rockefeller Foundation
Alfred P. Sloan Foundation
The Spencer Foundation
## Top 10 foundation funders at Med

<table>
<thead>
<tr>
<th>Foundation Name</th>
<th>Lifetime giving</th>
</tr>
</thead>
<tbody>
<tr>
<td>Robert Wood Johnson Foundation</td>
<td>$19,800,531</td>
</tr>
<tr>
<td>Burroughs Wellcome Fund</td>
<td>$4,354,509</td>
</tr>
<tr>
<td>The Breast Cancer Research Fdn</td>
<td>$5,572,315</td>
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<tr>
<td>Bill &amp; Melinda Gates Foundation</td>
<td>$3,477,722</td>
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<tr>
<td>Doris Duke Charitable Foundation</td>
<td>$3,170,630</td>
</tr>
<tr>
<td>Komen for the Cure</td>
<td>$2,730,916</td>
</tr>
<tr>
<td>James &amp; Ethel Flinn Family Foundation</td>
<td>$2,701,956</td>
</tr>
<tr>
<td>John A. Hartford Foundation</td>
<td>$2,624,876</td>
</tr>
<tr>
<td>W. M. Keck Foundation</td>
<td>$2,085,000</td>
</tr>
<tr>
<td>The Dana Foundation</td>
<td>$1,439,200</td>
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<tr>
<td>Foundation</td>
<td>Total Annual Giving</td>
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<td>---------------------------------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>BCBS of Michigan</td>
<td>$2,218,038</td>
</tr>
<tr>
<td>Gerber Foundation</td>
<td>4,277,576</td>
</tr>
<tr>
<td>McGregor Fund</td>
<td>8,773,181</td>
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<tr>
<td>Elsa Pardee Foundation</td>
<td>5,100,135</td>
</tr>
<tr>
<td>The Ravitz Foundation</td>
<td>798,000</td>
</tr>
<tr>
<td>Ralph Wilson Med Research Fdn</td>
<td>1,190,890</td>
</tr>
</tbody>
</table>
Additional Foundations with Medical Research Funding Opportunities

The Starr Foundation
Avon Foundation
Donald W. Reynolds Foundation
James S. McDonnell Foundation
The Sidney Kimmel Foundation
Dr. Miriam and Sheldon G. Adelson
Alpha-1 Foundation
American Federation for Aging Research, Inc.
American Medical Association Foundation
Arnold and Mabel Beckman Foundation
The Ellison Medical Foundation
Flight Attendant Medical Research Institute, Inc.
Hitchcock Foundation
Howard Hughes Medical Institute
V. Kann Rasmussen Foundation
Mary Kay Ash Charitable Foundation
Helen Bader Foundation, Inc.
Medical Research Foundation
Disease-specific foundations – areas of opportunity

<table>
<thead>
<tr>
<th>Grantmaker Name</th>
<th>Total Giving per Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alzheimer's Association</td>
<td>25,633,700</td>
</tr>
<tr>
<td>American Diabetes Association</td>
<td>60,655,499</td>
</tr>
<tr>
<td>American Diabetes Association Research Foundation, Inc.</td>
<td>67,302,799</td>
</tr>
<tr>
<td>Baldwin Breast Cancer Research Fund, Inc., Carol M.</td>
<td>250,000</td>
</tr>
<tr>
<td>Breast Cancer Research Foundation, Inc., The</td>
<td>32,080,919</td>
</tr>
<tr>
<td>Crohn's &amp; Colitis Foundation of America, Inc.</td>
<td>11,675,682</td>
</tr>
<tr>
<td>Cystic Fibrosis Foundation</td>
<td>73,309,839</td>
</tr>
<tr>
<td>Cystic Fibrosis Foundation Therapeutics, Inc.</td>
<td>22,779,229</td>
</tr>
<tr>
<td>Fox Foundation for Parkinson’s Research, Michael J.</td>
<td>24,138,214</td>
</tr>
<tr>
<td>High Q Foundation, Inc., The</td>
<td>4,859,508</td>
</tr>
<tr>
<td>Juvenile Diabetes Research Foundation International</td>
<td>137,826,000</td>
</tr>
<tr>
<td>Komen for the Cure, Susan G.</td>
<td>76,714,928</td>
</tr>
<tr>
<td>Komen for the Cure Affiliates, Susan G.</td>
<td>71,932,764</td>
</tr>
<tr>
<td>Lupus Research Institute, Inc.</td>
<td>3,839,631</td>
</tr>
<tr>
<td>March of Dimes Foundation</td>
<td>49,330,180</td>
</tr>
<tr>
<td>Muscular Dystrophy Association, Inc.</td>
<td>50,412,170</td>
</tr>
<tr>
<td>Reeve Foundation, Christopher</td>
<td>9,252,696</td>
</tr>
<tr>
<td>Research to Prevent Blindness, Inc.</td>
<td>1,680,196</td>
</tr>
<tr>
<td>Research to Prevent Blindness Endowment Fund, Inc.</td>
<td>9,071,042</td>
</tr>
<tr>
<td>Ronald McDonald House Charities</td>
<td>17,627,451</td>
</tr>
</tbody>
</table>
How are foundations most different?

- Some are not peer-reviewed
  - Regional foundations
  - Family foundations

- Greater focus on long-term outcomes/impacts
  - Does this SOLVE the problem? How does it contribute?
  - Why should they care?

- Often a great focus on underserved populations
  - Large foundations that are not health focused
    - e.g., Ford, Rockefeller, Kellogg, even Gates
  - For some, this can mean diseases that strike disproportionately
    - e.g., Diabetes type II, AIDS, malaria
Why do foundations give grants?

- They must. Their tax exempt status requires that foundations spend or gift 5% of their asset base or pay stiff taxes and penalties.

- Usually, the founder sets aside some wealth (for tax reasons or other), sets out a vision and priorities for “legacy.” These define a foundation’s programs.

- How the staff members tell this story speaks volumes about the values – learn about ‘why’ by listening closely and reading between the lines.

- Often in foundations there are donors or descendants on the board or in other leadership positions, continuing to influence choices. The dynamics between board and staff can be challenging.
Features of Foundation Relationships

- **Professional negotiation**
  - program staff manage or work within areas of expertise and they often know the field in which you and your faculty work.

- **Within that professional network**
  - there are interconnected webs of people and projects. Reputation and networks can be everything.
  - they will know Michigan’s strengths and weaknesses

- **Be ready for challenging dialogue, hard questions**
  - engage in ongoing conversation about issues, concerns and divergent strategies to solve problems.
Professional foundations often like to provide ‘seed capital’ for ‘risky’ or innovative work: they go where agencies can not, or do not

- Professional foundations have an agenda
  - Including strategies and desired outcomes
  - Kellogg’s focus on community engagement to solve problems
  - RWJ’s focus on eliminating health disparities, improving access to care

- Professional foundation grants are typically smaller than federal grants, but can have fewer restrictions

- Professional networks and U-M commitments play significant roles
  - Successful proposals and collaborations in the past
  - Peer review processes and professional conferences
  - Trust in the leadership of the University and its colleges and units
  - Demonstrated commitment to solving social problems ‘on the ground’
  - “Cost sharing” like indirects and investigator salary or equipment
NIH Abstract:
*Role of the Artemis nuclease in DNA repair and disease*

Viral pathogenesis is intimately linked with dynamic and complex host-pathogen interactions. The mechanisms underlying these essential interactions, in particular those shared by viruses with similar genomic structures, represent attractive potential targets for antiviral drugs. Viruses that contain a positive-sense single-stranded RNA genome, such as hepatitis C virus, West Nile virus, and the SARS coronavirus, represent a diverse group of pathogens responsible for significant human diseases for which few effective therapies exist. ... The long-term objectives of this project are to elucidate the host-pathogen interactions that facilitate positive-strand RNA virus replication complex assembly and function. A detailed understanding of these interactions will provide insight into the mechanisms of viral pathogenesis, and potentially identify novel targets for broadly effective antiviral drugs. The specific focus of this proposal is to define the early events in viral RNA replication complex assembly...
Virus/Host Interactions in Replication Complex Assembly

Hepatitis C, West Nile, and SARS viruses are members of a diverse group of pathogens that cause significant human diseases for which very few therapies exist. Despite the diversity of syndromes caused by these viruses, the similarities in genomic structures suggest that there is potential for broadly effective antiviral drugs if the host-pathogen interactions are more fully understood. The focus of the proposed project is to study the early events associated with host-pathogen interactions, in order to discover possibilities for new antiviral drugs that will be poised to treat a broad array of life-threatening diseases.
Foundation proposals get at the deepest purpose of the work

*Role of the Artemis nuclease in DNA repair and disease*

Using a combination of biochemical, cellular, and genetic approaches, we will explore how defects in Artemis enzyme function lead to immunodeficiency and lymphoma. Given a better understanding of the mutations leading to these diseases, we may discover improved methods for early diagnosis and appropriate treatment.

*Identification of New Genes for Branchio-Oto-Renal Syndrome*

Branchio-oto-renal syndrome (BOR) is a disorder characterized by hearing loss, structural ear anomalies, branchial arch defects and renal anomalies. Patients with branchio-oto syndrome (BO) do not experience renal anomalies, but due to the similarities between the two conditions BOR and BO are likely caused by similar genetic mutations. Identifying the mutations that cause BOR and BO will allow specialists to diagnose BOR and BO early on in a patient’s life, and may eventually lead to therapies for the conditions as we elucidate how the mutations exert their pathogenic effect.
Budgets can be different

- Many foundations do not pay indirect; some do not pay faculty salaries
  - Graduate students or post-docs
  - Outreach costs to patients or families
- Budgets can include some items not allowed in federal proposals
  - Administrative or secretarial
  - Office and lab supplies, computer equipment
  - Space (pro rated)
- Work with dept research administrators
- Still require a PAF
Resources for you to call upon

- Your department research admin
- Your department major gift officer
  - Med Research and OUD will create outreach about foundations for them, with expanded budgeting practice

- Office of Research, Medical School
  - Jyoti Athanikar  jnathani@umich.edu
  - Kathryn Ridner  kridner@umich.edu

- Cancer Center investigators
  - DeJuan Woods  dej@umich.edu

- Office of University Development
  - Corporate & Foundation Relations
    - Maureen Martin  martinms@umich.edu
    - Danielle Palincsar  dpalincs@umich.edu