Corporate Affiliates Partnership Program (CAPP)

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Background

• Until this year, the UW did not have comprehensive CAPP guidelines

• CAPP Guidelines are now required by several federal agencies and ERCs

• CAPPs represent a growth opportunity for new industry partnerships and research investments
Today’s Takeaways

• Basic CAPP Information

• Know when a CAPP is warranted

• How to start a CAPP

• Who can Help You

• IP, Forms, Approvals, etc.
Overview

• Corporate Affiliate Partnership Program
  – Affiliate Programs – tier one (gift or grant)
  – Research Consortia – tier two (grant – 20% IDC rate applies)
  – Customized Research – tier three (blended model - highly leveraged)

• PI & University Perspective

• Industry Perspective

• Examples:
  – CSE Affiliates Program – tier one
  – CPAC – tier two
  – Multi-tier – membership, customized research, & gifts
Affiliate Programs

• Designed to provide benefits to participating partners in exchange for annual membership fee (or contribution)

• Corporate Affiliate programs are:
  – Broad based – an entire industry or department focus
  – Designed to keep the industry partner up to date on many research topics – relationship building
  – They do not actively include the industry partner in decisions about ongoing center research
  – Partners do not participate in research directly
University Benefits of Affiliate Programs

University Incentives:

- **Institutional support**
  - Financial support for a center of expertise
  - Address unmet needs in scientific research that may not be supported by traditional funding agencies

- **Educational opportunities**
  - Student internships and career opportunities
  - Visiting lecturers from industry or to industry
  - Workshops
  - Seminars

- **Industrially relevant research programs**
  - Inform researchers of “important” problems
  - Enhanced ability of programs to achieve high impact
Industry Benefits of Affiliate Programs

Industry Incentives:

- **Relationship building**
  - Access to Faculty & Students – Future employees
- **Gets to be “in the know”**
  - Research information
- **Visiting Scholars Program**
  - Learn techniques or processes
- **Strategic Alliance Management**
  - Identify potential areas of collaboration
  - Help navigate UW system
  - Build a team (research and administrative) to help project succeed and move forward
    - Cross-office support: OSP – C4C – CFR (Advancement)
  - Problem resolution
    - Research agreement, technology transfer, IP issues
Affiliate program – (tier one)
Member Benefits

- **CSE Industrial Affiliates benefits:**
  - Attendance at the annual Affiliates Program meeting
  - Close contact with CSE faculty, students, and post-docs
  - Access to on-line resumes
  - Invitations to attend seminars and presentations
  - Contact with other industry representatives
  - Other informal engagement throughout the year

- The annual meeting is an opportunity for the department and affiliates to come together and discuss topics and issues of mutual interest. All the faculty attend, as well as most of our students, and we ask for at least one to three representatives from each member company to attend. The meeting spans two days and features a variety of benefits.
Affiliate Program
Expanded Member Benefits

• Model of a Hypothetical Corporate Affiliate Program
• Membership Levels (small vs. large company model)
  – SILVER
    • An annual fee of $30,000 entitles Members to all the benefits described above ($15,000 for companies with less than 25 employees).
  – GOLD
    • For an annual fee of $50,000, in addition to the benefits described above, members may sponsor individual graduate students performing research in a requested, relevant field of study.
  – PLATINUM (UC Davis Example)
    • For an annual fee of $100,000, Platinum Members enjoy joint membership with our new shared nanotechnology facilities, including the QB3 BioNano Center and the CITRIS Nanofabrication Center. Platinum membership dues may include both monetary and in-kind contributions.
Research Consortia
(Tier two)

• Research Consortia
  – Much narrower in focus
  – Allow industry partners to actively give input about the direction of research at the center and participate in the research itself
  – This is often accomplished by providing the partner a position on a governing or advisory board to the Consortia.
Research Consortia – (Tier two)

- Research Consortia Model - CPAC

- Subscription Dues:
  - Tiered - $10,000 or $40,000/year
    - Based on company size/desired benefits
    - 2 year commitment for those participating in sponsored research projects
Research Consortia – (Tier two)
Member Benefits

- **Input to Research Program (this is KEY)**
  - Specialized areas of research with affiliated faculty
  - Tailored to companies needs/interests
  - Multidisciplinary research projects

- **Semi-annual Research Review**
  - All members participate
  - Network with students, faculty and other industry partners

- **Members Only Website**
  - Presentation materials from semi-annual reviews
  - Research publications
  - Progress reports

- **Leverage**
  - Example: $250,000 in dues translates into $2.6Million in targeted research
  - Research conducted is less expensive (grad students vs. employee salary)
Research Consortia – (Tier two)  
Member Benefits

• **Relationships**
  – Establish relationships with faculty
  – Communicate with other member companies

• **Access to students**
  – Via participation in Center activities

• **Annual Progress Reports**

• **Annual Company Visit**
  – Faculty visit member companies and conduct seminars summarizing recent advances in the research or in the field based on companies interest.

• **Visiting Scholars Program**

• **Intellectual Property**
  – UW holds ownership
  – All member companies get equal IP rights including preferential treatment on licensing
  – Non-exclusive royalty free agreement in place
Starting a CAPP

• When is a CAPP is warranted?
  – Critical mass of interest is present
  – Industry needs to solve a problem but doesn’t want to own it
  – Gap + Need = Opportunity

• First Contacts:
  – Mari Ostendorf, Engineering Dean’s Office
  – Lorena McLaren, Engineering Corporate & Foundation Relations

• Next Steps:
  – Identify & discuss list of potential members
  – Determine member benefits
  – Determine membership levels and $$ amounts
Starting a CAPP

• Agreements & Approvals
  – Start with local approval (Department then College, etc)
  – Review & customize boilerplate agreement

• What about IP?

• Other Issues
  – Base support is essential (staffing, etc)
  – Startup funds
  – Budget (staff, travel, supplies, operating, research)

• Timetable
  – Three to six months
## Sample CAPP Budget

### Income:
- 5 members at $50,000: $250,000
- 5 members at $25,000: $125,000

**Total Income:** $375,000

### Expenses:
- Overhead at 20%: $75,000
- Staff at .25: $19,350
- Operations & supplies: $20,000
- Travel: $5,000
- Research Projects: $255,650

**Total Expenses:** $375,000
Thank you!