



OFFICE OF THE PRESIDENT

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**CHANCELLORS**  
**VICE PRESIDENT GOMES**  
**ACADEMIC COUNCIL CHAIR BRUNK**

**University Guidelines on Seeking and Accepting Non-Competitive Funding**

Dear Colleagues:

Enclosed are the [University of California Guidelines on Non-Competitive Funding](#). These Guidelines were developed by the University Work Group on Non-Competitive Funding which, as described in my May 5, 2005 letter to you, was convened for the purpose of outlining a process by which to evaluate those rare circumstances that may justify an exception to the University's general position not to pursue or accept earmarked federal funds.

The new Guidelines reaffirm the University's longstanding commitment to merit-based peer review as the best mechanism for the allocation of federal funds. The Guidelines recognize that in unusual cases there may be circumstances that recommend an exception to the University's position on earmarked federal funds, and outline a process and criteria for evaluating whether to grant such an exception.

Under the new Guidelines, campuses have primary responsibility for evaluating whether a request for an exception meets the enumerated criteria, and the Chancellors are granted authority to approve campus requests that do not involve the action of a U.S. Senator. Because U.S. Senators represent the entire state, the University is expected to prioritize on a systemwide basis any requests that involve Senatorial action. Therefore, any campus requests that involve the action of a U.S. Senator require that the Chancellor obtain Office of the President sign off before submitting a proposal to legislative staff. The general review process is described in [Enclosure 2](#). [Enclosure 3](#) describes the anticipated internal Presidential review process for any funding requests that involve the action of a U.S. Senator.

Each campus should establish a local process for reviewing any request to seek non-competitive funding. The process should be consistent with the Guidelines but tailored to accommodate existing campus administrative structures. I encourage you to incorporate involvement by appropriate campus constituencies (which may include the campus Office of Government Relations, the Office of Research, and the Academic Senate). Please ensure that a review process is in place in time for the coming 2007 federal fiscal year funding cycle,

which begins early in the next calendar year. To assist campuses in developing a review process, the template marked as [Enclosure 4](#) can be used as a model to ensure that exception requests include the pertinent information needed for review of each proposal. Campuses may use this form as is or modify it as needed.

My hope and expectation is that relatively few requests to seek non-competitive federal funding will be submitted. The Guidelines do not signal a policy encouraging such requests, but rather establish a mechanism for ensuring appropriate coordination and review in cases where the project promotes the University mission and comports with the stated criteria.

The [University of California Guidelines on Non-Competitive Funding](#) are effective immediately. I invite your input throughout the first year of their implementation and will request that Acting Provost Hume, Senior Vice President Darling and the Work Group on Non-Competitive Funding, in consultation with the Academic Council, review the Guidelines after the first year to determine whether any adjustments or revisions are necessary.

I appreciate your assistance in ensuring effective implementation of the Guidelines.

Sincerely,



Robert C. Dynes

Enclosures (4)

cc: Members, President's Cabinet  
Members, University Work Group on Non-Competitive Funding:  
Chancellor Fox, UCSD  
Executive Vice Chancellor Hinshaw, UCD  
Executive Vice Chancellor Wartella, UCR  
Vice Chancellor for Research Burnside, UCB  
Vice Chancellor for Research Miller, UCSC  
Executive Director for Federal Relations Savage, UCLA

**UNIVERSITY OF CALIFORNIA  
GUIDELINES ON NON-COMPETITIVE FUNDING**

- I. The University of California supports merit-based scientific peer review as the best mechanism for the allocation of federal funds. Accordingly, the University generally does not seek non-competitive funds awarded through Congressional action (“earmarked funds”).
- II. In rare instances, the University may approve a request to pursue and accept Congressionally-directed funds. Such requests may be made only after the Chancellor has granted written approval. Campus officials shall forward approved requests to the Office of Federal Government Relations prior to submission to appropriate legislative staff.

Any request involving the action of a U.S. Senator requires final approval by the Office of the President.

Exceptions to the University’s general principle of declining to pursue non-competitive funding will be limited and may be approved only when it has been determined that a project is highly meritorious, promotes the mission of the University, and meets one or more of the following criteria:

1. The Principal Investigator or campus seeking funding has explored federal funding options and, after a good faith effort, has been unable to identify a competitive-based source through which funds could be obtained.
2. The federal agency from which support is being sought uses directed funding for particular programs as a primary mechanism for the allocation of funds. Alternative competitive funding is not available from the federal agency, and by seeking non-competitive funding the University will not undermine support for or availability of peer-reviewed funding.
3. The project for which funding is sought promotes the mission of the prospective federal funding agency.
4. The project for which funding is sought has a compelling state or national interest.

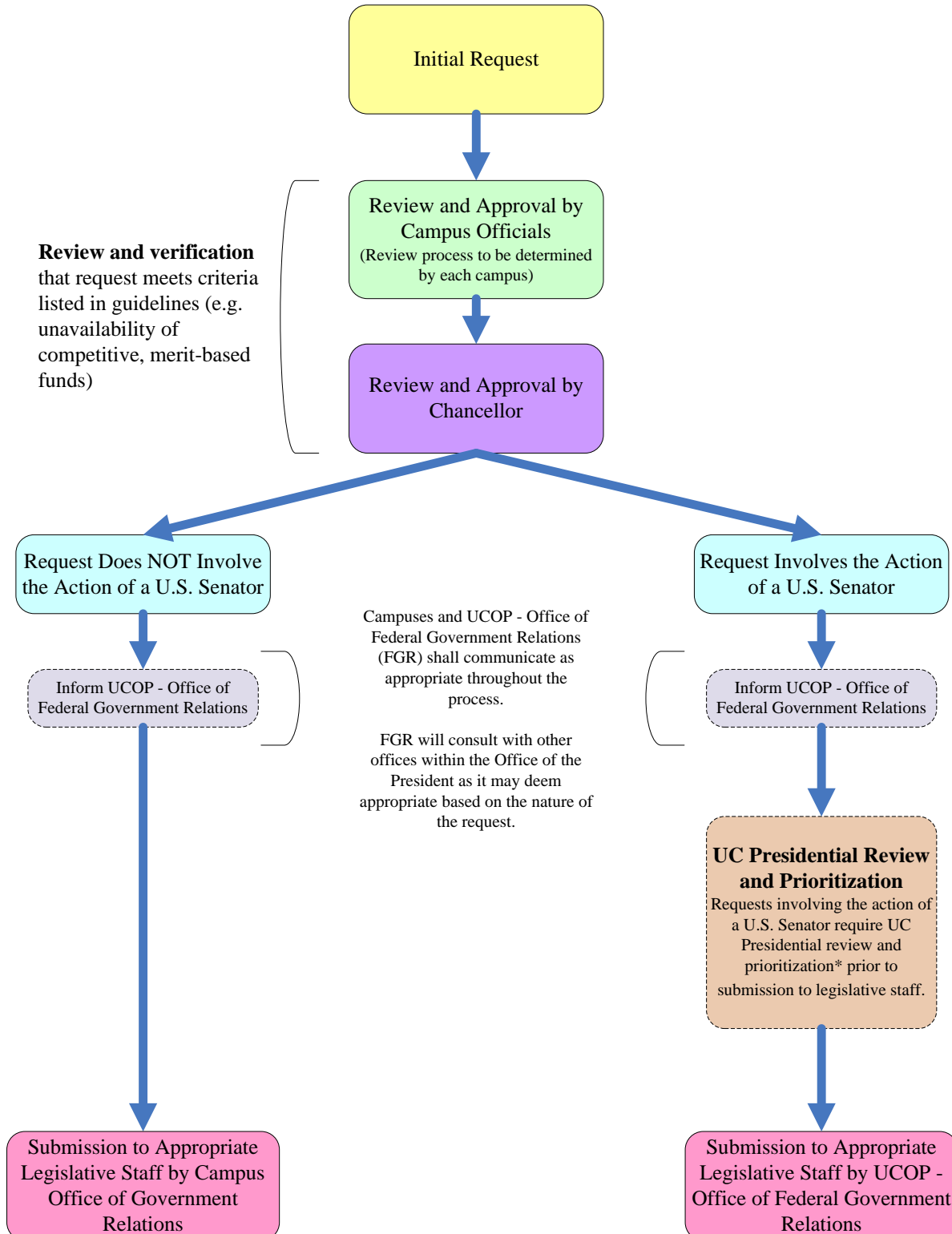
The University will continue to support and prioritize competitive funding as the best mechanism for the allocation of federal support and will not seek directed funding from agencies that primarily or solely support competitive, peer-reviewed research, or in cases when seeking directed funding may undermine support for or availability of peer-reviewed funding.

The University reserves the right to refuse non-competitive funding secured without the prior knowledge and approval of the Chancellor.

- III. In each instance in which non-competitive funding is sought, the applicant must submit a proposal for review to a designated campus official. Each campus will establish a deadline by which proposals normally are to be submitted. This deadline will usually be on or around December 1, to allow for review by the University and to accommodate the legislative appropriations cycle. Each proposal must be accompanied by a completed request form. Requests approved by the Chancellor will be forwarded by campus officials to the Office of Federal Government Relations prior to submission to senatorial staff. After initial consultation with senatorial staff to determine the political viability of requests, the Office of Federal Government Relations will forward those requests involving the action of a U.S. Senator to the Office of the President for additional review and prioritization before submission to senatorial staff.

## Process for Review and Approval of Requests to Seek Non-Competitive Funding

*UC Guidelines on Non-Competitive Funding* affirm the support of the University for merit-based scientific peer-review as the best mechanism for the allocation of federal funds. In rare instances, and following consideration of specified criteria, a request for exception to the University's general practice of declining to pursue non-competitive funding may be approved by the Chancellor. This flowchart outlines the process for review of a request for exception.



\*UC Presidential prioritization of requests should reflect careful consideration of (1) individual campus priorities as established by Chancellors; (2) the academic significance of the proposed request; (3) the financial impact of the proposed request; (4) the political viability of the proposed request; and (5) potential conflict with other University projects or issues deemed to be a systemwide priority by the UC President.

## Review and Prioritization Process for Non-Competitive Funding Requests that Involve the Action of a U.S. Senator

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The *Guidelines on Non-Competitive Funding* affirm the University's commitment to merit-based peer review as the best mechanism for the allocation of federal funds. Accordingly, the University generally does not seek non-competitive funds awarded through Congressional action. In rare instances and after consideration of criteria outlined in the *Guidelines*, an exception may be made.

The *Guidelines* require that the Chancellor approve all such exception requests. Requests which involve the action of a U.S. Senator require additional review and prioritization by the Office of the President. Each location may develop specific procedures for Chancellorial review and approval of requests. The steps within the review process are outlined below. Steps 2(b) through 10 address the process for Office of the President review of those requests involving the action of a U.S. Senator:

1. In all instances, a request for an exception to the University principle of declining to pursue non-competitive funding will require the review and approval of the respective Chancellor.
2. Following Chancellorial review and approval, the campus Government Relations office will forward to the Office of Federal Government Relations (FGR) a copy of all approved requests, and a prioritized list of those requests involving the action of a U.S. Senator.

Each request should be forwarded to FGR after the Chancellor has granted an exception. FGR will ask campuses to submit prioritized lists of those requests involving the action of a U.S. Senator after the release of the federal budget in early February. The lists may be submitted no later than a date announced by FGR and related to deadlines set by Senators' offices.

3. FGR will consult with Senators' offices regarding the political viability of requests involving senatorial action, working with campus government relations offices as appropriate.
4. FGR will prepare a systemwide spreadsheet for funding requests involving the action of a U.S. Senator, listed by campus and prioritized according to political viability. (This document is currently required by Senator Feinstein and prospectively required by Senator Boxer.)
5. FGR will forward the spreadsheet, along with a copy of each request accompanied by FGR written comments regarding political viability, to the Provost and Senior Vice President -- Academic Affairs, the Senior Vice President -- University Affairs, and the Senior Vice President -- Business and Finance. FGR will forward written comments regarding the political viability of campus projects to the respective Chancellor.
6. The Senior Vice Presidents will review requests in consultation with appropriate offices within the Office of the President, according to the substance of individual requests.
7. The Senior Vice Presidents will advise the President regarding finalization of systemwide prioritization of requests, following careful consideration of factors including:
  - i. individual campus priorities as established by chancellors;
  - ii. the academic significance of the proposed requests;
  - iii. the financial impact of the proposed requests;
  - iv. the political viability of the proposed requests; and
  - v. potential conflict of proposed requests with other University projects or issues deemed to be systemwide priorities by the President
8. The President will consult with Chancellors before setting final priorities.
9. The President will approve the final prioritization.
10. The Office of Federal Government Relations will communicate the final approved systemwide prioritization to Chancellors.
11. The Office of Federal Government Relations will communicate the President's approved prioritization to Senators for consideration and action.

This form is a template only and is not intended for distribution.  
Modify as necessary to reflect local administrative procedures.



**REQUEST TO SEEK NON-COMPETITIVE FUNDING**

Please review the *Guidelines on Non-Competitive Funding* before completing this form. The *Guidelines* affirm the support of the University for merit-based scientific peer-review as the best mechanism for the allocation of federal funds. In rare instances, and following consideration of specified criteria, a request for exception to the University's general practice of declining to pursue non-competitive funding may be approved by the Chancellor. This form should be used when requesting an exception.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Campus

\_\_\_\_\_  
Title

\_\_\_\_\_  
Department

\_\_\_\_\_  
Address Line 1

\_\_\_\_\_  
Address Line 2

\_\_\_\_\_  
Phone

\_\_\_\_\_  
Email address

\_\_\_\_\_  
Proposal Title

**SECTION A - PROJECT COSTS**

\_\_\_\_\_  
Federal agency or department from which funding is sought (including account number if known)

Are there any competitive programs that provide funding for the same purpose? YES / NO

If yes, have you applied for funding from them? YES / NO

If yes, please describe your efforts and results.

\$ \_\_\_\_\_  
Total Project Cost

\$ \_\_\_\_\_  
Total Amount of Congressional Request

Will requests be made for funding for this project from any federal source in subsequent fiscal years? Y/N

If yes, please provide an estimate of dollar amounts to be requested, by year:

Please provide a brief itemized budget, including details of any other sources of funding for the initiative:

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Modify as necessary to reflect local administrative procedures.**

**SECTION B – PROJECT DESCRIPTION**

Please provide a brief description of the project. (This description should be directed towards a reviewer who may not be familiar with your area of expertise. You are encouraged to attach a more detailed abstract if more space is needed.)

Describe how the project or initiative serves to advance the interests of the University:

Describe how the project or initiative serves to advance the national or state interest:

How does your research proposal support the overall mission of the agency from which you are requesting funding? (Please describe any contacts or relationships you have with the agency.)

**SECTION C - OTHER**

Is there a specific legislator whose support it is anticipated will be sought, and/or are there specific legislators with whom this project has been discussed? YES / NO

If yes, please provide details:

Are other academic, governmental, corporate or non-profit partners involved in the project (whether or not they are providing funding)?

Please attach any supplementary documentation describing the value/significance of this project.

\_\_\_\_\_  
Principal Investigator/Contact

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorizing Campus Official

\_\_\_\_\_  
Date

***Approved by:***

\_\_\_\_\_  
**Chancellor**

\_\_\_\_\_  
**Date**

**The completed form should be forwarded to [appropriate location Government Relations staff] no later than December 1 (or a date to be determined by the location).**

Each year, the Office of Federal Government Relations will notify campuses of the date by which Chancellor-approved requests should be forwarded to FGR. It is anticipated that submission will not be required until after the release of the federal budget in early February.