



OFFICE OF THE PRESIDENT

Robert C. Dynes
President

1111 Franklin Street
Oakland, CA 94607-5200
Phone: (510) 987-9074
Fax: (510) 987-9086
<http://www.ucop.edu>

December 12, 2005

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