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September 21, 2009

Memorandum to: Deans, Directors & Chancellors

From: Philip Furmanski 

Re: Federal Directed Earmark Funding

We invite you to submit proposals for Federal Directed (“Earmark”) Funding of appropriate projects for fiscal year 2011. Attached are copies of the Proposal Form and the University’s Policy on Federal Directed Funding. Please follow the instructions carefully and note that the University will not be able to support any request for Directed Federal Funding that has not been submitted and approved through this process.

With the continuing difficult Federal budgetary environment and the ongoing debate in Washington on the number and appropriateness of earmarks as a funding mechanism, the outlook for earmarked funding remains poor. As a result, only the highest priority, most compelling projects, with clearly identifiable objectives and sources of support, can be taken forward to our congressional delegation.

If you have any programmatic questions regarding your projects, please call or email me. Questions regarding the earmarking process or our federal relations activities should be addressed to Francine Newsome Pfeiffer (email francine@rci.rutgers.edu or phone (202) 220-1336).

Thank you.

c: Francine Newsome Pfeiffer

RUTGERS POLICY

Section: 10.1.13

Section Title: Academic Matters

Policy Name: Federal Directed Funding (“Earmarking”)

Formerly Book: n/a

Approval Authority: Executive Vice President for Academic Affairs

Responsible Executive: Executive Vice President for Academic Affairs

Responsible Office: Office of Federal Relations and the Office of Academic Affairs

Originally Issued: September 14, 2005 (posted online March 21, 2006)

Revisions: n/a

Errors or changes? fedrel@rutgers.edu

1. Policy Statement

Rutgers, The State University of New Jersey supports scientific peer-review as the primary and preferred mechanism for allocating federal research support. However, in a small number of exceptional cases, the university will undertake efforts to secure directed funding (“earmarks”) from Congress, particularly for compelling projects that fall outside the purview of peer-reviewed sources.

2. Reason for Policy

The policy has been established to provide an approval mechanism for those interested in seeking such funding and, importantly, a clear understanding of the university’s earmarking procedure for our elected leaders in Congress.

3. Who Should Read Policy

- ♣ Provosts and vice presidents
- ♣ Deans, directors, chairs, and department heads
- ♣ University administrators
- ♣ All faculty

4. Related Documents

[Federal Directed Funding Proposal Form](#)
University Policy on Lobbying (currently in development)

5. Contacts

Office of Federal Relations: 202/220-1336 or <http://federalrelations.rutgers.edu>

Office of Academic Affairs 732/932-7821

6. Policy

10.1.13, FEDERAL DIRECTED FUNDING (“EARMARKING”) POLICY

I. Proposals for Directed Funding (“Earmarks”)

A. Overview

This policy describes the criteria and process for selection of proposals for the university’s federal directed funding initiatives, which are based on university priorities, the interests of our legislators, and university experience with federal directed funding.

B. Conditions for Consideration

The following conditions will be taken into account in selection of proposals to be submitted by the university for directed funding and to help assure their success:

1. The university will not seek directed (earmark) funding from the National Science Foundation (NSF), the National Institute for Health (NIH), or other federal programs that support only competitive, peer-reviewed projects.
2. Principal investigators submitting requests for directed funding support must be able to demonstrate that all possible competitive options of support – both public and private – have been explored.
3. Projects should have a compelling state or national interest, and advance the strategic interests of the university, college, department or center.
4. Projects should have support or interest of the federal agency from whose budget the funding would be sought and should fit within the mission of the target program at that agency.

C. Approval Process

Requests for directed funding under university auspices require prior approval and authorization by the university. The following process is the approval mechanism for those interested in seeking such funding.

1. Provosts, deans, and directors will receive a memorandum from the executive vice president for academic affairs each year requesting summaries of any projects in their unit for which their faculty would like to seek earmarked funding in the following federal fiscal year. Summaries must be submitted on project request forms to ensure that each request is reviewed using a consistent format, and that information required by our legislators for their evaluation has been provided.
2. Unit heads will be asked for their comments on and prioritization of projects submitted from their units.
3. Completed [project request forms](#) must be received by the executive vice president for academic affairs by November 15th. Review of the proposals and decisions regarding the university’s federal earmark priorities for the upcoming federal fiscal year will be made by January 15, and applicants notified of the decisions shortly thereafter.

These deadlines have been set to provide sufficient time for deans and directors to solicit responses from principal investigators in their unit, and to provide opportunity for soliciting additional information or consultation on the proposals, as necessary. They also take into account the increasingly irregular time frame in which Congress makes decisions on current

year appropriations (often much later than the start of the new federal fiscal year on October 1), and the congressional deadline for earmark requests for the following year (generally March 1).

4. Final decisions concerning the university's federal earmark priorities will be made by the president and executive vice president for academic affairs, in consultation with the director of the Office of Federal Relations.

II. Role of the Rutgers Office of Federal Relations

It should be noted that the federal earmarking process is quite uncertain. As more academic institutions seek earmarks in often shrinking budgets for supportive agencies, funding becomes increasingly competitive. The Rutgers Office of Federal Relations represents the university to our delegation and federal agencies and organizations, helps shepherd our proposals through the funding process, and continues to advocate aggressively in Washington for increases in merit-based federal programs to more generally support research, research facilities, and instrumentation.



Federal Directed Funding Proposal Form - Fiscal Year 2011

Completed forms are due to the Executive Vice President for Academic Affairs by November 15th. Late submissions will not be considered.

1. Name of Principal Investigator:
Title:
University Affiliation:
Address:
Phone Number:
Fax:
Email:
2. Name of Primary Contact:
Title:
University Affiliation:
Address:
Phone Number:
Fax:
Email:
3. Project title:
4. Brief description of request, including how the money will be spent (3-4 sentences):
5. Amount of federal directed funding requested by Principle Investigator for this project in FY 11 (If you are submitting more than one proposal, list all below):
6. Agency or department of the federal government from which directed funding is sought for this project (if available, identify the specific program, account number, or program office within the agency):
7. What is the project's overall total cost? (if unsure, your best estimate):
8. Will requests for funding for this project from any source be made in subsequent fiscal years? Please estimate the "out-year" requests, and sources.
9. Please list and briefly describe all competitive and non-competitive previous, current, pending and planned or anticipated sources of funding for this project (federal, state, local, corporate, foundation, and internal):
10. Beyond funding, please note any academic, governmental, corporate or nonprofit partners involved in this project:

11. Has any directed federal support (e.g. earmark) for this project been requested and or received in the past? If so, please describe any such support received in the past 5 years, including the amount requested, and final amount received:
12. Briefly describe any work completed to date on this project (please limit to one page):
13. Provide a short justification of the project that explains the purpose of the project, why it is a valuable use of taxpayer funds, and details who will benefit from the project.
14. How many (if any) jobs will be created/maintained with this project?
15. How will the requested funding be used? List the amount for each applicable category below and include a brief description of costs for each category.
 - Construction
 - Design/Study
 - Personnel/Salaries
 - Equipment
 - General Operations
 - Other
16. Please attach a one-page abstract of your project. Be sure to include the regional, state, or national interests addressed. Also note how the project meets the mission of the agency and program from which support is being sought. Completed abstracts should be on letterhead, and include the agency or department from which funding is sought, and the amount requested for FY11. Letters of support or other supplementary documentation may be appended.

Signed: _____ Date: _____
Principal Investigator

_____ Date: _____
Authorizing Dean