

## MEMORANDUM

**TO:** UT Chancellors  
**FROM:** Randy Boyd, President  
**RE:** Federal Earmark/Plus Up Prioritization Process  
**DATE:** 9/27/21

As the University develops its federal agenda for FY23, I am asking for your help in gathering future funding priorities for consideration. While the primary mechanism for allocating federal research support to the University is through competitive processes within federal agencies, we will annually undertake efforts to secure directed funding from Congress for compelling projects that fall outside the purview of peer-reviewed sources.

The following will be considered in selection of proposals to be submitted by the University for directed funding:

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 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.

All official University requests for directed funding require prior approval and authorization. The following process will be utilized in determining University priorities:

1. Campus Offices of Research solicit summaries of projects for which they would like to seek earmarked funding in the following federal fiscal year. Summaries must be submitted on the project request form (enclosed) to ensure that information **required by** legislative offices is supplied.
2. Campus Offices of Research prioritize their requests and submit completed project request forms to the UT System Vice Presidents of Research (Stacey Patterson) and Government Relations (Carey Whitworth) by **November 19, 2021**.
3. Review of the proposals will occur in December, considering member interests, funding trends, and specific earmarking rules. Decisions regarding the University's federal earmark priorities for the upcoming federal fiscal year will be made by January 15.

These deadlines have been set to provide sufficient time to solicit responses from principal investigators, 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).

cc: Vice Chancellors of Research  
Enclosure: UT Federal Directed Funding Proposal Form

## University of Tennessee Federal Directed Funding Proposal Form - Fiscal Year 2023

1. Name of Principal Investigator:

Title:

University Affiliation:

Address:

Phone Number:

Email:

2. Name of Primary Contact:

Title:

University Affiliation:

Address:

Phone Number:

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 Principal Investigator for this project in FY 2023 (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 and federal agency POC that would manage the project):

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 and describe their level of participation:
  
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. 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. Abstracts should be on letterhead and include the agency or department from which funding is sought, and the amount requested for FY23. Letters of support or other supplementary documentation may be appended.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_ Principal Investigator  
\_\_\_\_\_ Date: \_\_\_\_\_ Authorizing Dean

*Submit this proposal form to your Vice Chancellor of Research. Prioritized, completed forms are due from Campus Offices of Research to the UT System Vice President of Research (Stacey Patterson) and Vice President of Government Relations (Carey Whitworth) no later than **November 19.***