

**Attachment 1:
Sample Higher Education R&D Survey Web Screen shots**



Survey Definitions and Instructions

Research and development (R&D)

includes "organized research" as defined by **2 CFR 220 (OMB Circular A-21)**. Please include all R&D activities of an institution that are **separately budgeted and accounted for** (see definition below). R&D includes both "sponsored research" activities (sponsored by Federal and non-Federal agencies and organizations) and "university research" (separately budgeted under an internal application of institutional funds).

Research

is the systematic study directed toward fuller knowledge or understanding of the subject studied. Research is classified as either basic or applied, according to the objectives of the investigator.

Basic research - is research directed toward an increase of knowledge; it is research where the primary aim of the investigator is a fuller knowledge or understanding of the subject under study rather than a specific application thereof.

Applied research - is research conducted to gain the knowledge or understanding to meet a specific, recognized need.

Development

is the **systematic** use of the knowledge or understanding gained from research, directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

Separately budgeted R&D

includes all funds expended for activities specifically organized to produce research outcomes and commissioned by an agency either external to the institution or separately budgeted by an organizational unit within the institution. Such expenditures include, among others, all those funded from unrestricted gifts and restricted current funds to the extent that such funds were expended for current operating purposes. Exclude capital projects.

Change in reporting: All fields of R&D now included in all survey items

Please note that this revised questionnaire includes all fields of R&D in all survey items. Responses to all survey items should include R&D within science and engineering fields as in the past, and also should include R&D within all other fields such as humanities, education, law, and the arts. See question 9 for a complete listing of all fields of R&D.

[Continue](#)



Survey Definitions and Instructions

Please <i>include</i>	Please do <i>not</i> include
<ul style="list-style-type: none"> • Direct and indirect costs • Research equipment purchased from R&D project accounts • Research funds passed through to a subrecipient organization, educational or other • Clinical trial research expenditures (for Phases I, II, and III) • Research training grants (such as NIH K awards and T32 grants) 	<ul style="list-style-type: none"> • Non-research training grants • Public service grants • Demonstration projects • Departmental research expenditures that are not separately budgeted • Research conducted by university faculty or staff at outside institutions that is not accounted for in your financial records • Phase IV clinical trial expenditures (studies done after the drug or treatment has been marketed - see question 4 for full definition)

Please include these <i>components of your institution</i>	Please do <i>not</i> include
<ul style="list-style-type: none"> • All branches of your institution included in or with your financial statements or notes to your financial statements, such as <ul style="list-style-type: none"> ◦ Agricultural experiment stations ◦ Medical schools ◦ Hospitals or clinics integrated operationally with the clinical programs of your medical school ◦ Research centers and facilities ◦ A university 501(c)3 research foundation 	<ul style="list-style-type: none"> • Federally funded R&D centers (FFRDCs). This information is collected separately. • Other organizations or institutions, such as teaching hospitals or research institutes, with which your institution has an affiliation or relationship, but which are <u>not</u> components of your institution.

[Continue to Survey](#)



Question Guide

- ▶ Question 1
- ▶ Question 2
- ▶ Question 3
- ▶ Question 4
- ▶ Question 5
- ▶ Question 6
- ▶ Question 7
- ▶ Question 8
- ▶ Question 9
- ▶ Question 10
- ▶ Question 11
- ▶ Question 12
- ▶ Question 13
- ▶ Question 14
- ▶ Question 15
- ▶ Question 16
- ▶ Question 17
- ▶ Question 18
- ▶ Question 19
- ▶ Question 20
- ▶ Question 21
- ▶ Question 22

NOTE: All financial data should be reported in thousands of dollars; for example, an expenditure of \$25,342 should be rounded to the nearest thousand and reported as \$25.

Question 1.

How much of your total current fund expenditures for separately budgeted research and development (R&D) came from the following sources in FY 2009? (See definition of R&D on previous pages.)

- Include both **direct** and **recovered indirect costs** in rows a, b, c, d, and f.
- Report the **original source** of funds, when possible. For example, if you received **federal** funds from another university, report that amount under "U.S. federal government."
- Include all fields of R&D: sciences, engineering, humanities, education, law, arts, etc. See full listing in Question 9.

SOURCE OF FUNDS	R&D Expenditures (Dollars in thousands)
a. U.S. federal government	
Any agency of the United States government	\$ <input style="width: 100px;" type="text"/>
b. State and local government	
Any state, county, municipality, or other local government entity in the United States, including state health agencies. Include state funds that support R&D at agricultural and other experiment stations.	\$ <input style="width: 100px;" type="text"/>
c. Industry	
Domestic or foreign for-profit organizations. (Report funds from a company's nonprofit foundation in row d.)	\$ <input style="width: 100px;" type="text"/>
d. Nonprofit organizations	
Nonprofit foundations and organizations.	\$ <input style="width: 100px;" type="text"/>
e. Institutional funds	
1. Institutionally financed organized research.	\$ <input style="width: 100px;" type="text"/> (Confidential ¹)
Include direct expenditures separately-budgeted for organized research. Include expenditures funded from unrestricted sources such as:	
<ul style="list-style-type: none"> ▪ General-purpose state and local government appropriations ▪ General-purpose awards from industry, foundations, etc. ▪ Tuition and fees ▪ Endowment income and gifts ▪ Other institutional funds, such as recovered indirect costs 	
2. Cost sharing.	\$ <input style="width: 100px;" type="text"/> (Confidential ¹)
Include mandatory and voluntary cost sharing other than unrecovered indirect costs. Report unrecovered indirect costs in row e3.	
3. Unrecovered indirect costs.	\$ <input style="width: 100px;" type="text"/> (Confidential ¹)
You may calculate this amount as follows for your externally funded R&D (preferably on a project-specific basis) using the appropriate cost rate—on-campus, off-campus, etc.	
<ul style="list-style-type: none"> ▪ First, multiply the <u>negotiated</u> rate by the corresponding base. ▪ Second, subtract recovered indirect costs. 	
4. Total institutional funds.	\$ <input style="width: 100px;" type="text"/>
f. All other sources	
Other sources not reported above, such as funds from foreign governments.	\$ <input style="width: 100px;" type="text"/>
g. Total²	\$ <input style="width: 100px;" type="text"/>

¹ Information from confidential items is NOT published or released for individual institutions; only aggregate totals will appear in publications.
² Row and column totals are automatically generated on the web survey.

Save & Continue

Recalculate & Save



Question Guide

- ▶ Question 1
- ▶ Question 2
- ▶ Question 3
- ▶ Question 4
- ▶ Question 5
- ▶ Question 6
- ▶ Question 7
- ▶ Question 8
- ▶ Question 9
- ▶ Question 10
- ▶ Question 11
- ▶ Question 12
- ▶ Question 13
- ▶ Question 14
- ▶ Question 15
- ▶ Question 16
- ▶ Question 17
- ▶ Question 18
- ▶ Question 19
- ▶ Question 20
- ▶ Question 21
- ▶ Question 22

Question 9A.

What were your FY 2009 R&D expenditures for the federal agencies below in each field of R&D?
(Expenditures funded by nonfederal sources will be reported in Question 12.)

- The total for the last row (row K, page 13) should match total federal sources reported in Question 1, row a.
- Examples of the disciplines included in each field are listed below.
- If an individual project involves more than one of the 36 fields of R&D, please prorate expenditures when possible and report the amount for each field involved. (Note: Question 11 asks for expenditures for interdisciplinary and multidisciplinary R&D regardless of whether you prorate the expenditures.)

R&D Fields	Federal departments and agencies ¹							Total ²
	(a)	(b)	(c)	(d) HHS, includes NIH	(e) NASA	(f) NSF	(g) Other	
A. Engineering (Dollars in thousands)								
1. Aeronautical/ Astronautical	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
2. Bioengineering/ Biomedical eng.	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
3. Chemical	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
4. Civil	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
5. Electrical	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
6. Mechanical	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
7. Metallurgical/ Materials	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
8. Other engineering	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
9. Total ²	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL

¹ KEY: USDA, Department of Agriculture; DoD, Department of Defense; DOE, Department of Energy; HHS, Department of Health and Human Services; NASA, National Aeronautics and Space Administration; NSF, National Science Foundation. "Other" includes all other federal agencies.

² Row and column totals are automatically generated on the web survey.

Save & Continue

Recalculate & Save

Examples of Disciplines: Engineering Fields of R&D

<p>1. Aeronautical/ astronautical Aerospace engineering Space technology</p>	<p>4. Civil Architectural Architectural Architecture Environmental Environmental Health Geotechnical Hydraulic Hydrologic Sanitary Structural Transportation Electronics Power</p>	<p>6. Mechanical Mechanics</p> <p>7. Metallurgical/Materials Ceramic Geological Geophysical Materials science Metallurgy Mining and mineral Textile Welding</p>	<p>8. Other engineering (cont.) Engineering physics Engineering science Industrial Industrial management Manufacturing Marine Naval architecture Nuclear Ocean Systems Other engineering fields not listed separately above</p>
<p>2. Bioengineering/ biomedical engineering Biomaterials Biomechanics Medical instrumentation Neuroengineering</p>	<p>5. Electrical Communication Computer</p>	<p>8. Other engineering Agricultural Engineering design Engineering management</p>	<p>9. Total Engineering Engineering physics Sum of entries in each column for rows A1 to A8</p>
<p>3. Chemical Petroleum Petroleum refining process Plastics Polymer Wood science</p>			



Question Guide

- ▶ Question 1
- ▶ Question 2
- ▶ Question 3
- ▶ Question 4
- ▶ Question 5
- ▶ Question 6
- ▶ Question 7
- ▶ Question 8
- ▶ Question 9
- ▶ Question 10
- ▶ Question 11
- ▶ Question 12
- ▶ Question 13
- ▶ Question 14
- ▶ Question 15
- ▶ Question 16
- ▶ Question 17
- ▶ Question 18
- ▶ Question 19
- ▶ Question 20
- ▶ Question 21
- ▶ Question 22

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R&D Fields	Federal departments and agencies ¹							Total ²
	(a)	(b)	(c)	(d)	(e)	(f)	(g)	
	USDA	DoD	DOE	HHS, includes NIH	NASA	NSF	Other	
A. Engineering (Dollars in thousands)								
1. Aeronautical/ Astronautical ?	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
2. Bioengineering/ Biomedical eng. ?	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
3. Chemical ?	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
4. Civil ?	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
5. Electrical ?	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
6. Mechanical ?	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
7. Metallurgical/ Materials ?	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
8. Other engineering ?	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ TOTAL
9. Total ² ?	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL	\$ TOTAL

¹ KEY: USDA, Department of Agriculture; DoD, Department of Defense; DOE, Department of Energy; HHS, Department of Health and Human Services; NASA, National Aeronautics and Space Administration; NSF, National Science Foundation. "Other" includes all other federal agencies.

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