



FORM APPROVED  
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**NATIONAL SCIENCE FOUNDATION**  
ARLINGTON, VA 22230  
**FFRDC RESEARCH AND DEVELOPMENT SURVEY**  
**FY 2010**

**Please submit your survey data by February 25, 2011.**

This survey collects data on research and development (R&D) expenditures at Federally Funded R&D Centers (FFRDCs). Please report R&D activities and expenditures for your organization's **2010** fiscal year.

The survey was previously known as the Survey of Research and Development Expenditures at FFRDCs. The instructions and definitions have been updated and two new questions have been added.

Your participation in this survey provides important information on the national level of R&D activity. NSF is authorized to collect this information under the National Science Foundation Act of 1950, as amended. Your organization's response is entirely voluntary.

**QUESTIONS?**

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(703) 292-7765

Response to this survey is estimated to require 6 hours. If you wish to comment on this burden, please contact Suzanne H. Plimpton of NSF at (703) 292-7556, or e-mail [splimpto@nsf.gov](mailto:splimpto@nsf.gov).

The web address for submitting your data: TBD

Or mail this form to: TBD

**Thank you for your participation.**

## What's New

### Changes to definition of R&D

Clinical trials and research training grants are now explicitly included in the definition of R&D.

### Changes to Question 1

A separate category has been created for nonprofit organizations.

The "Institution funds" category has been renamed "Internal funds."

The "Industry" category has been renamed "Business."

### New questions

Question 2. R&D funded by the American Recovery and Reinvestment Act (ARRA)

Question 4. Cost elements of R&D

# Survey Definitions and Instructions

## Fiscal year (FY)

Please report data for your organization's 2010 fiscal year.

## Research and development (R&D) expenditures

Please include all current operating expenditures for activities specifically organized to produce R&D outcomes. This includes basic research, applied research, and development funded by external sponsors or separately budgeted and accounted for by your organization using internal funds.

**Research** is systematic study directed toward fuller knowledge or understanding of the subject studied.

**Basic research** is undertaken primarily to acquire new knowledge without any particular application or use in mind.

**Applied research** is 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 and practical experience directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.

R&D <i>includes</i> :	R&D does <i>not</i> include:
<ul style="list-style-type: none"><li>• Sponsored research (including federal and nonfederal sponsors)</li><li>• Internal funds separately budgeted for individual R&amp;D projects</li><li>• Recovered and unrecovered indirect costs (see definitions in Question 1)</li><li>• Equipment purchased from R&amp;D project accounts</li><li>• R&amp;D funds passed through to a subrecipient organization</li><li>• Clinical trials</li><li>• Research training grants (such as NIH K awards and T32 grants)</li></ul>	<ul style="list-style-type: none"><li>• Outreach programs</li><li>• R&amp;D conducted by staff at outside institutions that is not accounted for in your financial records</li><li>• Capital projects (i.e. construction or renovation of research facilities)</li></ul>

**Question 1. How much of your total expenditures for separately budgeted research and development (R&D) came from the following sources in FY 2010? (See definition of R&D on the previous page.)**

- Report the **original source** of funds, when possible. For example, if you received **federal** funds from another organization, report that amount under "U.S. federal government."

- In rows a, b, c, d, and f: Include both **direct** and **recovered indirect costs**

**Recovered indirect costs** are reimbursements for Facilities and Administrative (F&A) costs that your organization receives from external sponsors.

**SOURCE OF FUNDS**

**R&D expenditures**

(Dollars in thousands)

(for example, report \$25,342 as \$25)

**a. U.S. federal government**

Any agency of the United States government.

\$ \_\_\_\_\_

Include federal funds passed through from another organization.

**b. State and local government**

Any state, county, municipality, or other local government entity in the United States, including state health agencies.

\$ \_\_\_\_\_

**c. Business**

Domestic or foreign for-profit organizations. (Report funds from a company's nonprofit foundation in row d.)

\$ \_\_\_\_\_

**d. Nonprofit organizations**

Domestic or foreign nonprofit foundations and organizations.

\$ \_\_\_\_\_

**e. Internal funds**

Discretionary funds used for R&D within your organization, including unrecovered indirect costs.

\$ \_\_\_\_\_

You may calculate unrecovered indirect costs as follows for your externally funded R&D (preferably on a project-specific basis) using the appropriate cost rate—on-campus, off-campus, etc.

- First, multiply the negotiated rate by the corresponding base.
- Second, subtract recovered indirect costs.

**f. All other sources**

Other sources not reported above, such as funds from foreign governments.

\$ \_\_\_\_\_

**g. Total <sup>1</sup>**

\$ TOTAL

\_\_\_\_\_

<sup>1</sup> Column totals are automatically generated on the web survey.

**Question 2. How much of the federal R&D expenditures reported in Question 1, row a, was funded by the American Recovery and Reinvestment Act (ARRA)?**

**R&D expenditures**  
(Dollars in thousands)

Total R&D expenditures  
from ARRA funds

\$ \_\_\_\_\_

**Question 3. What amounts of your FY 2010 R&D expenditures were for basic research, applied research, and development?**

If possible, these categories defining the character of work should be coded at the individual project level by the principal investigator or project director. Estimates are acceptable if necessary.

See the box below this question for examples.

<b>R&amp;D expenditures</b> (Dollars in thousands)			
	<b>(1)</b> <b>Federal</b>	<b>(2)</b> <b>Nonfederal</b>	<b>(3)</b> <b>Total</b> <sup>1</sup>
<b>a. Basic research</b>  Research undertaken primarily to acquire new knowledge without any particular application or use in mind.	\$ _____	\$ _____	\$ <u><a href="#">TOTAL</a></u>
<b>b. Applied research</b>  Research conducted to gain the knowledge or understanding to meet a specific, recognized need.	\$ _____	\$ _____	\$ <u><a href="#">TOTAL</a></u>
<b>c. Development</b>  The systematic use of the knowledge or understanding gained from research and practical experience directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.	\$ _____	\$ _____	\$ <u><a href="#">TOTAL</a></u>
<b>d. Total</b> <sup>1</sup>  Column 1 total should match Question 1, row a. Column 3 total should match Question 1, row g.	\$ <u><a href="#">TOTAL</a></u>	\$ <u><a href="#">TOTAL</a></u>	\$ <u><a href="#">TOTAL</a></u>

<sup>1</sup> Row and column totals are automatically generated on the web survey.

<b>Examples</b>		
<b>Basic research</b>	<b>Applied research</b>	<b>Development</b>
A researcher is studying the properties of human blood to determine what affects coagulation.	A researcher is conducting research on how a new chicken pox vaccine affects blood coagulation.	A researcher is conducting clinical trials to test a newly developed chicken pox vaccine for young children.
A researcher is studying the properties of molecules under various heat and cold conditions.	A researcher is investigating the properties of particular substances under various heat and cold conditions with the objective of finding longer lasting components for highway pavement.	A researcher is working with state transportation officials to conduct tests of a newly developed highway pavement under various types of heat and cold conditions.
A researcher is studying the heart chambers of various fish species.	A researcher is examining various levels of a toxic substance to determine the maximum safe level for fish in a stream.	A researcher has a contract with the U.S. government to design a new stream monitoring system that will incorporate the latest research findings on toxicity levels for fish.

**Question 4. Of the total R&D expenditures reported in Question 1, what were the amounts for the following types of costs?**

Please report only **direct costs** (including cost sharing) in rows a to e.

Recovered and unrecovered **indirect costs** should be reported in rows f and g.

**DIRECT COSTS FROM ALL SOURCES**

**R&D expenditures**  
(Dollars in thousands)

**a. Salaries, wages, and fringe benefits**

Include compensation for all R&D personnel whether full-time or part-time, temporary or permanent. Include salaries, wages, and fringe benefits paid from internal funds and from external support.

\$ \_\_\_\_\_

**b. Software purchases**

All payments for software. Include both purchases of software packages and license fees for systems.

**1. Noncapitalized software**

\$ \_\_\_\_\_

**2. Capitalized software** (If you are unable to distinguish capitalized software from capitalized equipment, report both in row c.)

\$ \_\_\_\_\_

**c. Capitalized equipment other than software reported in row b**

Payments for movable equipment exceeding your organization's capitalization threshold. Include ancillary costs such as delivery and set-up.

\$ \_\_\_\_\_

**d. Pass-throughs to universities or other organizations**

Include funding passed through to a subcontractor or other subrecipient. Do not include vendor payments.

\$ \_\_\_\_\_

**e. Other direct costs**

Other costs that do not fit into one of the above categories, including (but not limited to) travel, services such as consulting, computer usage fees, and supplies.

\$ \_\_\_\_\_

**INDIRECT COSTS**

**f. Indirect costs**

\$ \_\_\_\_\_

Include all recovered and unrecovered indirect costs associated with R&D projects.

**g. Total**

(should match total from Question 1, row g)<sup>1</sup>

\$ [TOTAL](#)

<sup>1</sup> The column total is automatically generated on the web survey.

**Question 5.**

**A.** Please complete the contact information for the person responsible for the survey and an alternate contact.

	<b>Primary contact</b>	<b>Alternate contact</b>
Name		
Title		
Street address, Line 1		
Street address, Line 2		
City, state, and zip code		
Phone number		
Fax number		
Email address		

**B.** In what month did your organization's 2010 fiscal year end?

**C. Survey completion time:** Considering all offices involved,  
approximately how long did it take to complete this survey?

 hours

**D. Additional comments:**