



FORM APPROVED
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NATIONAL SCIENCE FOUNDATION
ARLINGTON, VA 22230
HIGHER EDUCATION RESEARCH AND DEVELOPMENT SURVEY
FY 2013 Short Form

Please submit your survey data by January 31, 2014.

This survey collects data on research and development (R&D) activities at higher education institutions. Please report R&D activities and expenditures for your institution's **2013** fiscal year.

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

Questions?

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Response to this survey is estimated to require 8 hours. Please report your actual completion time at the end of the questionnaire. If you wish to comment on the time required to complete this survey, please contact Suzanne H. Plimpton of NSF at (703) 292-7556, or e-mail splimpto@nsf.gov.

The Web address for submitting your data:

<http://www.herdsurvey.org/shortform/>

Or mail this form to:

ICF International
530 Gaither Road, Suite 500
Rockville, MD 20850

Thank you for your participation.

What's New for FY 2013

Changes to questions

- **Question 1.** Row d, Nonprofit organizations. An instruction has been added to specify that funds from other universities and colleges should be reported in row f, All other sources.
- **Question 1.** Row f, All other sources. In addition to funds from foreign governments, instructions have been revised to specify that funds from foreign and U.S. universities and colleges should be reported in this row. If funds were received from another university as a subaward, those funds should continue to be reported under the original source. Also, the instructions now specify that gifts designated by the donors for research should be included in this row.

Survey Definitions and Instructions

Fiscal year (FY)

Please report data for your institution's 2013 fiscal year.

Research and development (R&D) is creative work conducted systematically to increase the stock of knowledge (research) and to use this stock of knowledge to devise new applications (development). R&D covers three activities defined below—basic research, applied research, and development.

- **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 directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.

R&D expenditures

Include all R&D expenditures from your institution's current operating funds that are separately accounted for. For purposes of this survey, R&D includes expenditures for organized research as defined by 2 CFR 220 (OMB Circular A-21) and expenditures from funds designated for research.

R&D <i>includes</i> :	R&D does <i>not</i> include:
• Sponsored research (federal and nonfederal) • University research (institutional funds that are separately budgeted for individual R&D projects) • Startup, bridge, or seed funding provided to researchers within your institution • Other departmental funds designated for research • Recovered and unrecovered indirect costs (see definitions in Question 1) • Equipment purchased from R&D project accounts • R&D funds passed through to a subrecipient organization, educational or other • Clinical trials, Phases I, II, or III • Research training grants funding work on organized research projects • Tuition remission provided to students working on research	• Public service grants or outreach programs • Curriculum development (unless included as part of an overall research project) • R&D conducted by university faculty or staff at outside institutions that is not accounted for in your financial records • Estimates of the proportion of time budgeted for instruction that is spent on research • Capital projects (i.e., construction or renovation of research facilities) • Non-research training grants • Unrecovered indirect costs that exceed your institution's federally negotiated Facilities and Administrative (F&A) rate

Please <i>include</i> these components of your institution:	Please do <i>not</i> include:
• All units of your institution included in or with your financial statements, such as: • Agricultural experiment stations • Branch campuses • Medical schools • Hospitals or clinics • Research centers and facilities • A university 501(c)3 foundation	• Federally Funded R&D Centers (FFRDCs). This information is collected separately. See the list of FFRDCs: http://www.nsf.gov/statistics/ffrdc/. • Other organizations or institutions, such as teaching hospitals or research institutes, with which your institution has an affiliation or relationship, but which are <i>not</i> components of your institution. • Other campuses headed by their own president, chancellor, or equivalent within your university system. Each campus is asked to respond separately.

Question 1. How much of your total expenditures for research and development (R&D) came from the following sources in FY 2013? (See definition of R&D on the previous page.)

- In rows a, b, c, d, and f: Include both **direct** and **recovered indirect costs** (reimbursement of F&A costs from external sponsors).
- Report the **original source** of funds, when possible.
- Include **all** fields of R&D (e.g., sciences, engineering, humanities, education, law, arts). See full listing on pages 9–11.

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 institution.	\$
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. <i>Public institutions</i> should report state appropriations restricted for R&D activities here rather than in row e, Institutional funds.	\$
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, except universities and colleges. Report funds from your institution's 501(c)3 foundation in row e1. Funds from other universities and colleges should be reported in row f.	\$
e. Institutional funds 1. Institutionally financed research All R&D funded by your institution from accounts that are only used for research.	\$ (Confidential ¹)
2. Cost sharing Include committed cost sharing other than unrecovered indirect costs. Report unrecovered indirect costs in row e3.	\$ (Confidential ¹)
3. Unrecovered indirect costs Calculate this amount as follows for your externally funded R&D only (preferably on a project-specific basis) using the appropriate cost rate—on-campus, off-campus, etc. • First, multiply the <u>negotiated</u> rate by the corresponding base. • Second, subtract recovered indirect costs.	\$ (Confidential ¹)
4. Total institutional funds ²	\$ TOTAL
f. All other sources Other sources not reported above, such as funds from foreign governments, foreign or U.S. universities, and gifts designated by the donors for research.	\$
g. Total²	\$ TOTAL

¹ Information from confidential items is not published or released for individual institutions; only aggregate totals will appear in publications. In accordance with the National Science Foundation Act of 1950, as amended, and other applicable federal laws, your responses will not be disclosed in identifiable form to anyone other than agency employees or authorized persons.

² Totals for rows e4 and g are automatically generated on the Web survey.

Question 1.1. Did you include the following types of funding in your responses to Question 1, row e1?

Included

a. Competitively awarded internal grants for research

Expenditures for organized research projects, involving a proposal or statement of work with expected research outcomes.

☐

b. Startup packages/bridge funding/seed funding

Expenditures from funds provided to faculty members to begin or continue their research while seeking external sponsors.

☐

c. Other departmental funds designated for research

Expenditures for research from other departmental or central accounts which do not match the descriptions provided in rows a or b.

☐

d. Tuition assistance for student research personnel

University tuition assistance, waivers, or remission provided to students working on organized research. Please check "included in Question 1e1" even if these funds are reported as part of the expenditures included under rows a, b, or c.

☐

Question 2. What were your FY 2013 R&D expenditures in the fields below? Please report federally funded expenditures in column (1) and all other expenditures in column (2).

- Examples of the disciplines included under each field are provided on pages 9–11.

R&D Fields	R&D expenditures (Dollars in thousands)		
	(1) Federal	(2) Nonfederal	(3) Total ¹
a. Computer Sciences	\$	\$	\$ TOTAL
b. Engineering	\$	\$	\$ TOTAL
c. Environmental Sciences	\$	\$	\$ TOTAL
d. Life Sciences	\$	\$	\$ TOTAL
e. Mathematical Sciences	\$	\$	\$ TOTAL
f. Physical Sciences	\$	\$	\$ TOTAL
g. Psychology	\$	\$	\$ TOTAL
h. Social Sciences	\$	\$	\$ TOTAL
i. Other Sciences	\$	\$	\$ TOTAL
j. Non-S&E fields	\$	\$	\$ TOTAL
k. Total for All Fields of R&D ¹	\$ TOTAL	\$ TOTAL	\$ TOTAL

Total in row k, column (1) should match total reported in Question 1, row a.

Total in row k, column (2) should match total reported in Question 1, rows b–f.

¹ Row and column totals are automatically generated on the Web survey.

Question 3. How much of your R&D expenditures reported in Question 1 did your institution receive as a subrecipient from another U.S. university or college?

Please report the original source of funds in columns (a) and (b).

The **subrecipient** for an award carries out the work but receives the funds from a pass-through entity rather than directly from the original funding source. Subrecipients tend to be the co-authors of publications, writers of technical reports discussing findings, inventors, etc. Do **not** include vendor relationships. A vendor receives payment for goods and services provided. See OMB Circular A-133, Section 210.

	Originating source of R&D expenditures (Dollars in thousands)		
	(a)	(b)	(c)
	Federal	Nonfederal	Total ¹
Funds received from other U.S. higher education institutions			
Include colleges and universities and units owned, operated, and controlled by such institutions.	\$	\$	\$ TOTAL

¹ The row total is automatically generated on the Web survey.

Question 4. How much of the R&D expenditures reported in Question 1 did your institution pass through to subrecipients at other U.S. universities or colleges?

Please report the original source of funds in columns (a) and (b).

	Originating source of R&D expenditures (Dollars in thousands)		
	(a)	(b)	(c)
	Federal	Nonfederal	Total ¹
Funds passed through to other U.S. higher education institutions			
Include colleges and universities and units owned, operated, and controlled by such institutions.	\$	\$	\$ TOTAL

¹ The row total is automatically generated on the Web survey.

Question 5.

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

	Primary contact	Alternate contact
Name		
Title		
Institution name		
Building/department		
Street address (line 1)		
Street address (line 2)		
City, state, and ZIP code		
Phone number		
Fax number		
E-mail address		

B. Fiscal year: In what month did your institution's 2013 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:

EXAMPLES OF DISCIPLINES UNDER EACH R&D FIELD

1. Computer Sciences

Computer systems analysis
Data processing

Information sciences
Information technology

Management information
systems

2. Engineering

Aeronautical/

Astronautical

Aerodynamics
Aerospace engineering
Space technology

Bioengineering/

Biomedical engineering

Biomaterials
Medical engineering

Chemical

Petroleum
Petroleum refining process
Plastics
Polymer
Wood science

Civil

Architectural
Architecture
Environmental
Environmental health
Geotechnical
Hydraulic
Hydrologic
Sanitary
Structural
Transportation

Electrical

Communications
Computer
Electronics
Power

Mechanical

Engineering mechanics

Metallurgical/Materials

Ceramic
Materials science
Metallurgy
Mining and mineral
Textile
Welding

Other engineering

Agricultural
Engineering design
Engineering physics
Engineering science
Marine
Naval architecture
Nuclear
Ocean
Systems

3. Environmental Sciences

Atmospheric sciences

Aeronomy
Extraterrestrial atmospheres
Meteorology
Solar
Weather modification

Earth sciences

Cartography
Earth and planetary sciences
Geochemistry
Geodesy and gravity
Geology
Geomagnetism
Geophysics
Hydrology
Paleomagnetism
Paleontology
Physical geography
Seismology
Surveying

Oceanography

Biological oceanography
Chemical oceanography
Geological oceanography
Marine biology
Marine oceanography
Physical oceanography

Examples of disciplines continue on next page.

4. Life Sciences

Agricultural sciences

Agricultural chemistry
Agricultural economics—
report in Social sciences,
Economics
Agricultural engineering—
report in Engineering
Agricultural production
Agronomy
Animal science
Aquaculture
Conservation
Fish and wildlife
Forestry
Horticulture
International agriculture
Landscape architecture
Plant sciences
Renewable natural resources
Soil sciences

Biological sciences

Allergies and immunology
Anatomy
Bacteriology
Biochemistry
Biogeography
Biology, general
Biometrics
Biophysics
Biostatistics
Biotechnology

Biological sciences (continued)

Botany
Cellular biology
Ecology
Entomology
Epidemiology
Foods and nutrition studies
Genetics, plant and animal
Immunology
Medical microbiology
Microbiology
Molecular biology
Nutritional sciences
Parasitology
Pathology, human and animal
Pharmacology, human and
animal
Physical anthropology
Physiology, human and
animal
Toxicology
Virology
Zoology

Medical sciences

Anesthesiology
Cardiology
Colon and rectal surgery
Dental surgery
Dentistry

Medical sciences (continued)

Dermatology
Family medicine
Gastroenterology
General surgery
Geriatric medicine
Gynecology
Hematology
Internal medicine
Mental health
Neonatal-perinatal medicine
Neurological surgery
Neurology
Neurosciences
Nuclear medicine
Nuclear radiology
Obstetrics
Oncology
Ophthalmology
Optometry
Oral surgery
Orthopedic surgery
Orthopedics
Osteopathic medicine
Otorhinolaryngology
Pediatrics
Pharmacology
Pharmacy
Physical and rehabilitative
medicine
Plastic surgery
Podiatry

Medical sciences (continued)

Preventive medicine
Psychiatric nursing
Psychiatry
Public health
Radiation biology/
Radiobiology
Thoracic surgery
Urology
Veterinary medicine

Other life sciences

Clinical/medical laboratory
technologies
Communication disorders
sciences and services
Gerontology
Health and medical
administrative services
Health professions and
related services, other
Nursing
Occupational therapy
Physical therapy
Rehabilitation services
Therapeutic services

5. Mathematical Sciences

Algebra
Analysis
Applied mathematics

Foundations and logic
Geometry
Numerical analysis

Operations research
Statistics
Topology

6. Physical Sciences

Astronomy

Astrophysics
Gamma-ray astronomy
Neutrino astronomy
Optical astronomy
Radio astronomy
X-ray astronomy

Chemistry

(except biochemistry—report
in Biological sciences)
Analytical chemistry
Inorganic chemistry
Organic chemistry
Organo-metallic chemistry
Pharmaceutical chemistry
Physical chemistry
Polymer sciences

Physics

Acoustics
Atomic physics
Chemical physics
Condensed matter physics
Elementary particle physics
Mathematical physics
Molecular physics
Nuclear structure
Optics
Plasma physics
Theoretical physics

7. Psychology

Animal behavior
Art therapy
Clinical psychology

Educational psychology
Experimental psychology

Human development and
personality

School psychology
Social psychology

Examples of disciplines continue on next page.
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8. Social Sciences

Economics

Agricultural economics
Applied economics
Business development
Econometrics
Industrial economics
International economics
Labor economics
Managerial economics
Public finance and fiscal policy
Quantitative economics
Resource economics

Political science

Comparative government
Government
International relations and affairs
Legal systems
Political theory
Public administration
Public policy analysis
Regional studies

Sociology

Anthropology, cultural and social
Anthropology, physical—report in Life Sciences
Comparative and historical sociology
Complex organizations
Cultural and social structure
Demography
Group interactions
Population studies
Social problems and welfare theory

Other social sciences

Archaeology
Area and ethnic studies
City and community planning
Community services
Corrections
Criminal justice
Geography
History of science
Linguistics
Urban affairs
Urban and regional planning
Urban studies

9. Other Sciences

Use this category for R&D that involves at least one S&E field (fields 1–8) if it is impossible to report multidisciplinary or interdisciplinary R&D expenditures in specific fields.

10. Non-S&E Fields

Business and management

Business management and administrative services
Marketing distribution
Marketing operations

Communication, journalism, and library science

Communication
Communications technologies
Library science

Education

Humanities

English language and literature
Foreign languages and literature
General studies and humanities
History (except history of science—report in Social sciences)
Letters
Liberal arts and sciences
Philosophy and religion
Theological studies and religious vocations

Law

Legal studies

Social work

Visual and performing arts

Other non-S&E fields

Military technologies
Parks, recreation, leisure and fitness studies
Other non-S&E fields that cannot be classified using the fields listed above