NSF Survey of Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions

FY 2019

DOD version

Instructions and Definitions

Due Date

Please submit by **May 1, 2020**.

To Get Help

Contact us by e-mail at NSFFedSupport@smdi.com or at 703-312-5379.

General Instructions

- Please answer the survey using the same data for research and development (R&D) that your agency submitted to the Office of Management and Budget (OMB) for FY 2019 (1 October 2018 through 30 September 2019) as per OMB Circular A-11, Section 84.

  https://www.whitehouse.gov/wp-content/uploads/2018/06/s84.pdf

- Report for all obligations in terms of the immediate recipient, whether or not the funds obligated were later subcontracted. Obligations represent the amounts for orders placed, contracts awarded, services received, and similar transactions during a given period, regardless of when the funds were appropriated and when future payment of money is required.

  - Do not include funds your agency transferred to other agencies; the receiving agency will report for these funds.
  - Include funds your agency received from another federal agency.

- Please complete a separate sheet for each institution and consortium receiving funding in the specified fiscal year.

- Enter the FICE code and institution name for each institution or consortium receiving the funding. Find the FICE code by searching the survey codebook at

  https://www.nsf-surveys.net/FedSupport/help/download_codebook.aspx

  If you cannot find a FICE code for a given academic institution or consortium, please write in as much identifying information (EIN, DUNS ID, address, city, state, zip code, telephone, website, etc.) as you have for the institution at the bottom of the page. This will help us to identify the institution for addition to the survey codebook.

Data for Academic Institutions and Consortia

- Include in the data for each academic institution all of its departments, bureaus, offices, and other components (medical schools, agricultural experiment stations, research institutes, computer centers, etc.).

- Please provide the amount of funding given to the academic institution or consortium in each of the applicable categories of support: R&D; fellowships, traineeships, and training grants; R&D plant; facilities and equipment for instruction in S&E; general support for S&E; and other S&E activities. See definitions below.

Data for Nonprofit Institutions and Consortia

- Please provide the amount of funding given to the institution or consortium in each of the five applicable categories of RDT&E support for nonprofit institutions and consortia—research (Budget Activity 1–2), advanced technology development (Budget Activity 3), major systems development (Budget Activity 4–6), and operational systems development (Budget Activity 7), and R&D plant. See definitions below.

- Do not include other types of science and engineering (S&E) support when reporting obligations to nonprofit institutions and nonprofit consortia.

Definitions of Categories of Support

Research is systematic study directed toward fuller scientific knowledge or understanding of the subject studied. Research is classified as either basic or applied according to the objectives of the sponsoring agency. Basic research represents DOD Budget Activity 1 and applied research represents DOD Budget Activity 2.

Advanced technology development is one category the Department of Defense uses for development. The category advanced technology development is used for the activities in DOD's Budget Activity 3, Advanced Technology Development (ATD). For more information, see Budget Activity 3 of the DOD Financial Management Regulation (FMR), Volume 2B, Chapter 5, at:

http://comptroller.defense.gov/portals/45/documents/fmr/current/02b/02b_05.pdf.

Major systems development is another category the Department of Defense uses for development. The category major systems development is used for activities in DOD's Budget Activities 4 through 6. For more information, see Budget Activities 4 through 6 (Advanced Component Development and Prototypes [ACD&P], System Development and Demonstration [SDD], and RDT&E Management Support) of the DOD Financial Management Regulation (FMR), Volume 2B, Chapter 5 at:

http://comptroller.defense.gov/portals/45/documents/fmr/current/02b/02b_05.pdf.

Operational Systems Development is another category the Department of Defense uses for development. The category operational systems development is used for activities in DOD's Budget Activity 7, Operational Systems Development (OSD). For more information, see Budget Activity 7 of the DOD Financial Management Regulation (FMR), Volume 2B, Chapter 5 at:

https://comptroller.defense.gov/portals/45/documents/fmr/current/02b/02b_05.pdf

Research and development (R&D) activities are defined as creative and systematic work undertaken in order to increase the stock of knowledge—including knowledge of people, culture, and society—and to devise new applications using available knowledge.

For reporting R&D activities, include the following:

- Administrative expenses for R&D, such as the operating costs of research facilities and equipment and other overhead costs.

Exclude:

- Investments in physical assets such as major equipment and facilities that support R&D programs. These investments should generally be reported under R&D plant.
- Routine product testing, quality control, collection of general-purpose statistics, routine monitoring, and evaluation of an operational program (when that program is not R&D). Spending of this type should generally be reported as non-investment activities.

For reporting to the Federal S&E Support Survey, R&D is defined to include Research, Advanced technology development and Major systems development. R&D does not include Operational Systems Development; however, you are asked to report these totals separately. These totals will be used to produce both R&D and RDT&E aggregates.

Fellowships, traineeships, and training grants include all fellowship, traineeship, and training grant programs that are directed primarily toward the development and maintenance of scientific and technical manpower.

Excluded are projects that support research and educational institutes, seminars, and conferences, such as teacher training activities provided through teacher institutes, short courses, research participation, and in-service seminars; activities aimed at the development of educational techniques and materials for use in S&E training; and programs that provide special opportunities for increasing the scientific knowledge and experience of precollege and undergraduate students. These activities are either to be reported under other S&E activities or not reported if they are not S&E related.

R&D plant is defined as materials for use in R&D activities including

- R&D facilities;
- intellectual property (e.g., software or applications);
- major fixed equipment, such as reactors, wind tunnels, and particle accelerators; and
- major moveable equipment, such as mass spectrometers, research vessels, DNA sequencers, and other major moveable instruments.

Amounts include acquisition of, construction of, major repairs to, or alterations in structures, works, equipment, facilities, or land for use in R&D activities at federal or nonfederal installations, and housing at remote locations.

Excluded from the R&D plant category are

- costs of expendable or movable equipment (e.g., simple spectrometers, standard microscopes), personal computers, and office furniture and equipment; and
- costs of predesign studies (e.g., those undertaken before commitment to a specific facility).

These excluded costs are reported under "total conduct of research and development."

If the R&D facilities are a larger facility devoted to other purposes as well, the funds should be distributed among the categories of support involved as appropriate. In general, another category that could be involved is facilities and equipment for instruction in S&E.

Facilities and equipment for instruction in S&E includes all programs whose principal purpose is to provide support for construction, acquisition, renovation, modification, repair, or rental of facilities, land, works, or equipment for use in instruction in science and engineering. If the instructional facilities are part of a larger facility devoted to other purposes as well, the funds should be distributed among the support involved as appropriate. In general, the other category most likely to be involved is R&D plant.

General support for science and engineering includes activities that provide support for nonspecific or generalized purposes related to scientific research and education. Such projects are generally oriented toward academic departments, institutes, or institutions as a whole. "General support" implies a spectrum of varying types of support. At one extreme is support provided without any specification of purpose other than that funds be used for scientific activities. Another kind of general support is to be found in projects that provide funds for an activity within a specified field of science and engineering but without specification of explicit purpose. The distinguishing feature of general support for science and engineering projects is that they permit a significant measure of freedom as to purpose (research, faculty support, education, institutional support, etc.).

It is intended that among the projects to be reported under this category are projects awarded through the following agency programs:

- NIH Minority Biomedical Research Support for Undergraduate Colleges
- NIH Minority Biomedical Support Grants

Other programs consistent with the above guidelines may also be reported under this category.

Other science and engineering activities includes all academic S&E activities that cannot meaningfully be assigned to one of the above categories. Among the types of activities to be included in this category are support for scientific conferences and symposia, teacher institutes, and activities aimed at increasing the scientific knowledge of precollege and undergraduate students.

Contact Information

Please supply the name and contact information for the person submitting the data and his or her supervisor. Entering an alternate point of contact (POC) is optional.

Agency Code:
Agency Name:

NOTE: If you enter alternate POC information, first name, last name, telephone, and e-mail are required.

* Required

Primary Point of Contact

First name:* Middle initial:
Last name:*
Title:
Telephone:* Ext.:
Fax:
E-mail address:*
Street address 1:
Street address 2:
City: State:
Zip:

Alternate Point of Contact (Optional)

First name: Middle initial:
Last name:
Title:
Telephone: Ext.:
Fax:
E-mail address:

Supervisor Information

First name:* Middle initial:
Last name:*
Title:
Telephone:* Ext.:
E-mail address:*

Academic Institution and Consortium Data

Agency Code:
Agency Name:

NOTE: Please report actual dollars for all amounts.

Please report your agency's science and engineering (S&E) obligations to this institution.

Institution:
FICE:
Location:
Institution type:

Category of Support	FY 2019
Research (Budget Activities 1–2)	
Advanced Technology Development (Budget Activity 3)	
Major Systems Development (Budget Activities 4–6)	
Operational Systems Development (Budget Activity 7)	
Fellowships, Traineeships, and Training Grants	
R&D Plant	
Facilities and Equipment for Instruction in S&E	
General Support for S&E	
Other S&E Activities	
Total	

Academic institutions—Institutions that engage primarily in providing resident and/or accredited instruction for a not less than a 2-year program above the secondary school level that is acceptable for full credit toward a bachelor's degree or that provide not less than a 1-year program of training above the secondary school level that prepares students for gainful employment in a recognized occupation. Included are colleges of liberal arts; schools of arts and sciences; professional schools, as in engineering and medicine, including affiliated hospitals and associated research institutes; and agricultural experiment stations.

Academic consortia—Consortia are organizations formed by the membership of a number of institutions from one or more types of performers (i.e., academic or nonprofit) in order to promote and support efforts to enhance knowledge in one or more science or engineering disciplines. NSF has identified several consortia and classified them as either academic or nonprofit types based on the predominance of their membership at the time of identification.

Nonprofit Institution and Consortium Data

Agency Code:
Agency Name:

NOTE: Please report actual dollars for all amounts.

Please report only your agency's Research, Development, Test, and Evaluation (RDT&E) obligations and R&D Plant obligations to this institution.

Institution:
FICE:
Location:
Institution type:

Category of Support	FY 2019
Research (Budget Activities 1–2)	
Advanced Technology Development (Budget Activity 3)	
Major Systems Development (Budget Activities 4–6)	
Operational Systems Development (Budget Activity 7)	
R&D Plant	
Total	

Nonprofit institutions—Nonprofit institutions are private organizations, other than educational institutions, whose net earnings in no part inure to the benefit of a private stockholder or individual and other private organizations organized for the exclusive purpose of turning over their entire net earnings to such nonprofit organizations.

Nonprofit consortia—Consortia are organizations formed by the membership of a number of institutions from one or more types of performers (i.e., academic or nonprofit) in order to promote and support efforts to enhance knowledge in one or more science or engineering disciplines. NSF has identified several consortia and classified them as either academic or nonprofit types based on the predominance of their membership at the time of identification.