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?

Ronda Britt
National Center for Science and Engineering Statistics
National Science Foundation
rbritt@nsf.gov
(703) 292-7765

Response to this survey is estimated to require 8 hours. 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 includes:**
- 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

**R&D does not include:**
- 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 include** these components of your institution:
- 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

**Please do not include:**
- Federally Funded R&D Centers (FFRDCs). This information is collected separately. See the list of FFRDCs: [http://www.nsf.gov/statistics/ffrdc/](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 **not** 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.

### R&D expenditures (Dollars in thousands) (for example, report $25,342 as $25)

<table>
<thead>
<tr>
<th>Source of funds</th>
<th>Amount</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. U.S. federal government</td>
<td>$_______</td>
<td>Any agency of the United States government. Include federal funds passed through from another institution.</td>
</tr>
<tr>
<td>b. State and local government</td>
<td>$_______</td>
<td>Any state, county, municipality, or other local government entity in the United States, including state health agencies. Include state funds that support R&amp;D at agricultural and other experiment stations. Public institutions should report state appropriations restricted for R&amp;D activities here rather than in row e, Institutional funds.</td>
</tr>
<tr>
<td>c. Business</td>
<td>$_______</td>
<td>Domestic or foreign for-profit organizations. Report funds from a company’s nonprofit foundation in row d.</td>
</tr>
<tr>
<td>d. Nonprofit organizations</td>
<td>$_______</td>
<td>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.</td>
</tr>
<tr>
<td>e. Institutional funds</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Institutionally financed research</td>
<td>$_______</td>
<td>(Confidential)</td>
</tr>
<tr>
<td>2. Cost sharing</td>
<td>$_______</td>
<td>(Confidential)</td>
</tr>
<tr>
<td>3. Unrecovered indirect costs</td>
<td>$_______</td>
<td>(Confidential)</td>
</tr>
<tr>
<td>4. Total institutional funds</td>
<td>$TOTAL</td>
<td></td>
</tr>
<tr>
<td>f. All other sources</td>
<td>$_______</td>
<td>Other sources not reported above, such as funds from foreign governments, foreign or U.S. universities, and gifts designated by the donors for research.</td>
</tr>
<tr>
<td>g. Total</td>
<td>$TOTAL</td>
<td></td>
</tr>
</tbody>
</table>

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?

<table>
<thead>
<tr>
<th>Type of Funding</th>
<th>Included</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Competitively awarded internal grants for research</td>
<td></td>
</tr>
<tr>
<td>Expenditures for organized research projects, involving a proposal or statement of work with expected research outcomes.</td>
<td>❑</td>
</tr>
<tr>
<td>b. Startup packages/bridge funding/seed funding</td>
<td></td>
</tr>
<tr>
<td>Expenditures from funds provided to faculty members to begin or continue their research while seeking external sponsors.</td>
<td>❑</td>
</tr>
<tr>
<td>c. Other departmental funds designated for research</td>
<td></td>
</tr>
<tr>
<td>Expenditures for research from other departmental or central accounts which do not match the descriptions provided in rows a or b.</td>
<td>❑</td>
</tr>
<tr>
<td>d. Tuition assistance for student research personnel</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td>❑</td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>R&amp;D Fields</th>
<th>(1) Federal</th>
<th>(2) Nonfederal</th>
<th>(3) Total¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Computer Sciences</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>b. Engineering</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>c. Environmental Sciences</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>d. Life Sciences</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>e. Mathematical Sciences</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>f. Physical Sciences</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>g. Psychology</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>h. Social Sciences</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>i. Other Sciences</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>j. Non-S&amp;E fields</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
<tr>
<td>k. Total for All Fields of R&amp;D¹</td>
<td>$ TOTAL</td>
<td>$ TOTAL</td>
<td>$ TOTAL</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Originating source of R&amp;D expenditures (Dollars in thousands)</th>
<th>(a) Federal</th>
<th>(b) Nonfederal</th>
<th>(c) Total ¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funds received from other U.S. higher education institutions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Include colleges and universities and units owned, operated, and controlled by such institutions.</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
</tbody>
</table>

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).

<table>
<thead>
<tr>
<th>Originating source of R&amp;D expenditures (Dollars in thousands)</th>
<th>(a) Federal</th>
<th>(b) Nonfederal</th>
<th>(c) Total ¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funds passed through to other U.S. higher education institutions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Include colleges and universities and units owned, operated, and controlled by such institutions.</td>
<td>$_________</td>
<td>$_________</td>
<td>$ TOTAL</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th></th>
<th>Primary contact</th>
<th>Alternate contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Title</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Institution name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Building/department</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Street address (line 1)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Street address (line 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>City, state, and ZIP code</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phone number</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fax number</td>
<td></td>
<td></td>
</tr>
<tr>
<td>E-mail address</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

B. Fiscal year: In what month did your institution’s 2013 fiscal year end? 

C. Additional comments:
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  

Medical sciences  
- 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  
- Colorectal surgery  
- Dental surgery  
- Dentistry  

Medical sciences  
- Dermatology  
- Family medicine  
- Gastroenterology  
- General surgery  
- Geriatric medicine  
- Gynecology  
- Hematology  
- Internal medicine  
- Mental health  
- Neonatal-perinatal medicine  
- Neurologic 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  
- 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  
- Analytical chemistry  
- Inorganic chemistry  
- Organic chemistry  
- Organometallic 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  

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

<table>
<thead>
<tr>
<th>Economics</th>
<th>Political science</th>
<th>Sociology</th>
<th>Other social sciences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agricultural economics</td>
<td>Comparative government</td>
<td>Anthropology, cultural and social</td>
<td>Archaeology</td>
</tr>
<tr>
<td>Applied economics</td>
<td>Government</td>
<td>Anthropology, physical—report in Life Sciences</td>
<td>Area and ethnic studies</td>
</tr>
<tr>
<td>Business development</td>
<td>International relations and affairs</td>
<td>Comparative and historical sociology</td>
<td>City and community planning</td>
</tr>
<tr>
<td>Econometrics</td>
<td>Legal systems</td>
<td>Complex organizations</td>
<td>Community services</td>
</tr>
<tr>
<td>Industrial economics</td>
<td>Political theory</td>
<td>Cultural and social structure</td>
<td>Corrections</td>
</tr>
<tr>
<td>International economics</td>
<td>Public administration</td>
<td>Demography</td>
<td>Criminal justice</td>
</tr>
<tr>
<td>Labor economics</td>
<td>Public policy analysis</td>
<td>Group interactions</td>
<td>Geography</td>
</tr>
<tr>
<td>Managerial economics</td>
<td>Regional studies</td>
<td>Population studies</td>
<td>History of science</td>
</tr>
<tr>
<td>Public finance and fiscal policy</td>
<td></td>
<td>Social problems and welfare theory</td>
<td>Linguistics</td>
</tr>
<tr>
<td>Quantitative economics</td>
<td></td>
<td></td>
<td>Urban affairs</td>
</tr>
<tr>
<td>Resource economics</td>
<td></td>
<td></td>
<td>Urban and regional planning</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Urban studies</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Business and management</th>
<th>Humanities</th>
<th>Law</th>
<th>Other non-S&amp;E fields</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>English language and literature</td>
<td>Legal studies</td>
<td>Military technologies</td>
</tr>
<tr>
<td></td>
<td>Foreign languages and literature</td>
<td></td>
<td>Parks, recreation, leisure and fitness studies</td>
</tr>
<tr>
<td></td>
<td>General studies and humanities</td>
<td>Social work</td>
<td>Other non-S&amp;E fields that cannot be classified using the fields listed above</td>
</tr>
<tr>
<td></td>
<td>History (except history of science—report in Social sciences)</td>
<td>Visual and performing arts</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Letters</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Liberal arts and sciences</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Philosophy and religion</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Theological studies and religious vocations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communication, journalism, and</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>library science</td>
<td></td>
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<tr>
<td></td>
<td>Communication</td>
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<td></td>
<td>Library science</td>
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<tr>
<td>Education</td>
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</table>