Please submit your survey data by January 30, 2015.

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 2014 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.shortform.herdsurvey.org

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 2014

The Office of Management and Budget’s (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200) will be implemented on December 26, 2014. The new guidance supersedes requirements from several OMB circulars, including A-21 and A-133. Survey instructions have been revised to be consistent with the new guidance, as follows:

- **Survey Definitions and Instructions**: The definition of R&D expenditures now refers to 2 CFR Part 200 Appendix III rather than OMB Circular A-21 when defining organized research. Organized research has the same definition in both documents.

- **Question 3**: Instructions have been revised to specify that expenditures from contractor or vendor relationships should not be reported as subrecipient or pass through funds. Instructions now refer to CFR Part 200 Subpart D Section 330 rather than OMB Circular A-133. The term contractor was added under the revised OMB guidance, for purposes of consistency and clarity, to replace areas in the previous guidance that referred to vendors. For the purposes of this survey, contractor and vendor have the same meaning.
# Survey Definitions and Instructions

**Fiscal year (FY)**
Please report data for your institution’s 2014 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 Part 200 Appendix III and expenditures from funds designated for research.

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

**Please include** these components of your institution:                     **Please do not 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 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 2014? (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.

<table>
<thead>
<tr>
<th>Source of funds</th>
<th>R&amp;D expenditures (Dollars in thousands)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. U.S. federal government</td>
<td>$__________</td>
</tr>
<tr>
<td>Any agency of the United States government. Include federal funds passed through from another institution.</td>
<td></td>
</tr>
<tr>
<td>b. State and local government</td>
<td>$__________</td>
</tr>
<tr>
<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>
<td></td>
</tr>
<tr>
<td>c. Business</td>
<td>$__________</td>
</tr>
<tr>
<td>Domestic or foreign for-profit organizations. Report funds from a company’s nonprofit foundation in row d.</td>
<td></td>
</tr>
<tr>
<td>d. Nonprofit organizations</td>
<td>$__________</td>
</tr>
<tr>
<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>
<td></td>
</tr>
<tr>
<td>e. Institutional funds</td>
<td></td>
</tr>
<tr>
<td>1. Institutionally financed research</td>
<td>$__________ (Confidential(^1))</td>
</tr>
<tr>
<td>2. Cost sharing</td>
<td>$__________ (Confidential(^1))</td>
</tr>
<tr>
<td>3. Unrecovered indirect costs</td>
<td>$__________ (Confidential(^1))</td>
</tr>
<tr>
<td>4. Total institutional funds(^2)</td>
<td>$TOTAL</td>
</tr>
<tr>
<td>f. All other sources</td>
<td>$__________</td>
</tr>
<tr>
<td>Other sources not reported above, such as funds from foreign governments, foreign or U.S. universities, and gifts designated by the donors for research.</td>
<td></td>
</tr>
<tr>
<td>g. Total(^2)</td>
<td>$TOTAL</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</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” even if these funds are reported as part of the expenditures included under Question 1 rows a, b, or c.</td>
<td></td>
</tr>
</tbody>
</table>
Question 2. What were your FY 2014 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 contractor or vendor relationships. A contractor or vendor receives payment for goods and services provided. See 2 CFR Part 200 Subpart D Section 330.

<table>
<thead>
<tr>
<th>Originating source of R&amp;D expenditures (Dollars in thousands)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Federal</td>
</tr>
<tr>
<td>Funds received from other U.S. higher education institutions</td>
</tr>
<tr>
<td>Include colleges and universities and units owned, operated, and controlled by such institutions.</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>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Federal</td>
</tr>
<tr>
<td>Funds passed through to other U.S. higher education institutions</td>
</tr>
<tr>
<td>Include colleges and universities and units owned, operated, and controlled by such institutions.</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><strong>Name</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Title</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Institution name</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Department/office</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Mailing address (line 1)</strong></td>
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<td></td>
</tr>
<tr>
<td><strong>Mailing address (line 2)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>City, state, and ZIP code</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Phone number</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>E-mail address</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**B. Fiscal year:** In what month did your institution’s 2014 fiscal year end?

**C. Additional comments:**

<table>
<thead>
<tr>
<th>Comment 1</th>
<th>Comment 2</th>
<th>Comment 3</th>
<th>Comment 4</th>
<th>Comment 5</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
</tr>
</tbody>
</table>
## 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
Landscaping 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
Otolaryngology
Orthopedic surgery
Orthopedics
Osteopathic medicine
Otorhinolaryngology
Pediatrics
Pharmacology
Pharmacy
Physical and rehabilitative medicine
Plastic surgery
Podiatry

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
Organic-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.
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</td>
<td>Area and ethnic studies</td>
</tr>
<tr>
<td>Business development</td>
<td>International relations and affairs</td>
<td>Life Sciences</td>
<td>City and community planning</td>
</tr>
<tr>
<td>Econometrics</td>
<td>Legal systems</td>
<td>Comparative and historical</td>
<td>Community services</td>
</tr>
<tr>
<td>Industrial economics</td>
<td>Political theory</td>
<td>sociology</td>
<td>Corrections</td>
</tr>
<tr>
<td>International economics</td>
<td>Public administration</td>
<td>Complex organizations</td>
<td>Criminal justice</td>
</tr>
<tr>
<td>Labor economics</td>
<td>Public policy analysis</td>
<td>Cultural and social structure</td>
<td>Geography</td>
</tr>
<tr>
<td>Managerial economics</td>
<td>Regional studies</td>
<td>Demography</td>
<td>History of science</td>
</tr>
<tr>
<td>Public finance and fiscal policy</td>
<td></td>
<td>Group interactions</td>
<td>Linguistics</td>
</tr>
<tr>
<td>Quantitative economics</td>
<td></td>
<td>Population studies</td>
<td>Urban affairs</td>
</tr>
<tr>
<td>Resource economics</td>
<td></td>
<td>Social problems and welfare theory</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>Business management and</td>
<td>English language and literature</td>
<td>Legal studies</td>
<td>Military technologies</td>
</tr>
<tr>
<td>administrative services</td>
<td>Foreign languages and literature</td>
<td></td>
<td>Parks, recreation, leisure and</td>
</tr>
<tr>
<td>Marketing distribution</td>
<td>General studies and humanities</td>
<td></td>
<td>fitness studies</td>
</tr>
<tr>
<td>Marketing operations</td>
<td>History (except history of science—report in Social sciences)</td>
<td></td>
<td>Other non-S&amp;E fields that cannot be classified using the fields listed above</td>
</tr>
<tr>
<td>Communication, journalism, and</td>
<td>Letters</td>
<td>Social work</td>
<td></td>
</tr>
<tr>
<td>library science</td>
<td>Liberal arts and sciences</td>
<td>Visual and performing arts</td>
<td></td>
</tr>
<tr>
<td>Communication technologies</td>
<td>Philosophy and religion</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Library science</td>
<td>Theological studies and religious vocations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>