



NATIONAL SCIENCE FOUNDATION  
ARLINGTON, VA 22230

**SURVEY OF RESEARCH AND DEVELOPMENT EXPENDITURES AT FFRDCS  
FY 2009**

**Please submit your survey data by February 5, 2010.**

The Web address for submitting your data:

<http://www.nsfrcsurvey.org/ffrdc>

Or, mail this form to:

ICF Macro  
7315 Wisconsin Avenue, Suite 400W  
Bethesda, MD 20814-3202

Or, e-mail your response to:

[support@nsfrdsurvey.org](mailto:support@nsfrdsurvey.org)

The Web password and user ID were e-mailed to each institution. If you have any questions about this or any other issue, please call: Survey Support at ICF Macro, 1-866-349-8626. For general survey questions, you may also contact Ronda Britt of NSF at [rbritt@nsf.gov](mailto:rbritt@nsf.gov) or (703) 292-7765.

Your cooperation in returning the survey questionnaire promptly is very important. This information is solicited under the authority of the National Science Foundation Act of 1950, as amended. Your response is entirely voluntary; your failure to provide some or all of the information will in no way adversely affect your institution.

Report data for your institution's 2009 fiscal year. All financial data requested on this form should be reported in thousands of dollars; for example, an expenditure of \$25,342 should be rounded to the nearest thousand dollars and reported as \$25.

Where exact data are not available, estimates are acceptable. Your estimates will be better than ours.

It is estimated that response to this survey will require 4 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).

**Scope:**

This survey contains two question which requests data on *current fund expenditures* by source of funds for separately budgeted research and development (R&D). Definitions used are compatible with OMB Circular A-21, revised May 10, 2004.

**Definitions:**

**Research and Development (R&D).** R&D for purposes of this survey is the same as "organized research" as defined in Section B.1.b. of OMB Circular A-21 (revised). It includes all R&D activities that are separately budgeted and accounted for.

**Research** is systematic study directed toward fuller knowledge or understanding of the subject studied. Research is classified as either basic or applied, according to the objectives of the investigator.

**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.

**Current fund expenditures.** These are expenditures of funds available for current operations. Such expenditures include all unrestricted gifts and restricted current funds to the extent that such funds were expended for current operating purposes.

Please circle the month in which your institution's fiscal year begins:

Jan Feb Mar Apr May Jun Jul Aug Sept Oct Nov Dec

Primary Contact—Person who is responsible for your institution's survey answers:

Name (Mr., Mrs., Ms., Dr. (circle one)):	
Title:	E-mail:
Telephone number:	Fax:
Address:	Date submitted:

Alternate Contact—Person to contact if the Primary Contact is unavailable. This person should know that you are the Primary Contact for the survey. Examples include your supervisor, the data preparer, or another coworker:

Name (Mr., Mrs., Ms., Dr. (circle one)):	
Title:	E-mail:
Telephone number:	Fax:

## Instructions for Items 1 and 2

Separately budgeted research and development (R&D) includes all funds expended for activities specifically organized to produce research outcomes and commissioned by an agency either external to the institution or separately budgeted by an organizational unit within the institution. *Include* research equipment purchased under research project awards from "current fund" accounts. Also *include* research funds for which an outside organization is a subrecipient. *Exclude* training grants, public service grants, demonstration projects, clinical trials, and research expenditures that are not separately budgeted. For item 1, allocate funding to the original sources whenever possible, as specified below. If this information is unknown, report the proximate funding source.

- a. Federal Government.** Report awards for R&D (including direct and reimbursed indirect costs) by all agencies of the Federal Government.
- b. State and local governments.** Include funds for R&D (including direct and reimbursed indirect costs) from State, county, municipal, or other local governments and their agencies.
- c. Industry.** Include all awards for R&D (including direct and reimbursed indirect costs) from profit-making organizations, whether engaged in production, distribution, research, service, or other activities. Do not include awards from nonprofit foundations financed by industry; these should be included under "All other sources."
- d. Institution funds.** Report funds, *including* related indirect costs, that your institution spent for R&D activities from the following unrestricted sources: general-purpose awards from industry, foundations, or other outside sources, and other institutional funds. In addition, estimate your institution's unreimbursed indirect costs associated with externally funded R&D projects, including mandatory and voluntary cost sharing. To estimate unreimbursed indirect costs, preferably on a project-by-project basis, use your appropriate ***negotiated research indirect cost rate(s)*** multiplied by the corresponding base(s) minus actual indirect cost recovery.
- e. All other sources.** Include awards for R&D (including direct and reimbursed indirect costs) from nonprofit foundations and voluntary health agencies as well as from all other sources not elsewhere classified. Also include gifts from individuals that are restricted by the donor to research. Funds from foundations that are affiliated with, or granted solely to your institution, should be included under "Institution funds." Funds for R&D received from a health agency that is a unit of a State or local government should be included under "State and local governments."

For item 2, allocate all the funds reported for Federal Government and Total in item 1 by character of work, as specified below.

- a. Basic Research.** Report expenditures from research directed toward an increase of knowledge; it is research where the primary aim of the investigator is a fuller knowledge or understanding of the subject under study rather than a specific application thereof.
- b. Applied Research.** Report expenditures from research conducted to gain the knowledge or understanding to meet a specific, recognized need.
- c. Development.** Report expenditures for 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.

### Item 1. How much of your current fund expenditures for separately budgeted research and development in the sciences and engineering (including indirect costs) came from the following sources in FY 2009?

Source of Funds	Total (Dollars in thousands)
a. Federal Government	
b. State and local governments	
c. Industry	
d. Institution funds (sum of lines (1) and (2))	
(1) Institutionally financed organized research	
(2) Unreimbursed indirect costs and related sponsored research	
e. All other sources	
f. TOTAL (sum of a through e)	

### Item 2. How much of the FY 2009 Federal and total R&D expenditures you reported in item 1 were for (a) basic research, (b) applied research, and (c) development?

Character of Work	(1) Total	(2) Federal
	(Dollars in thousands)	
a. Basic research		
b. Applied research		
c. Development		
d. Total expenditures (sum of a through c)		

#### CONFIDENTIALITY

Information received from individual institutions in Item 1 lines d(1) and d(2), or Item 2, will NOT be published or released; only aggregate totals will appear in tabulations. 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.