



FORM APPROVED  
OMB No. 3145-0100  
Expiration Date: 10/31/13

**NATIONAL SCIENCE FOUNDATION**  
ARLINGTON, VA 22230  
**FFRDC RESEARCH AND DEVELOPMENT SURVEY**  
**FY 2011**

**Please submit your survey data by February 24, 2012.**

This survey collects data on research and development (R&D) expenditures at Federally Funded R&D Centers (FFRDCs). Please report R&D activities and expenditures for your organization's **2011** 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 organization's response is entirely voluntary.

**Questions?**

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

**INFORMATION COPY  
DO NOT USE TO REPORT**

Response to this survey is estimated to require 6 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.ffrdcsurvey.org>

Or mail this form to:

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

**Thank you for your participation.**

# Survey Definitions and Instructions

## Fiscal year (FY)

Please report data for your organization's 2011 fiscal year.

## Research and development (R&D) expenditures

Please include all current operating expenditures for activities specifically organized to produce R&D outcomes. This includes basic research, applied research, and development funded by external sponsors or separately budgeted and accounted for by your organization using internal funds.

**Research** is systematic study directed toward fuller knowledge or understanding of the subject studied.

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

R&D <i>includes</i> :	R&D does <i>not</i> include:
<ul style="list-style-type: none"><li>• Sponsored research (including federal and nonfederal sponsors)</li><li>• Indirect costs associated with R&amp;D projects</li><li>• R&amp;D equipment and software</li><li>• R&amp;D subcontract expenditures</li><li>• Clinical trials</li><li>• Research training grants</li></ul>	<ul style="list-style-type: none"><li>• Outreach or training programs</li><li>• R&amp;D conducted by staff at outside institutions that is not accounted for in your financial records</li><li>• Capital projects (i.e., construction or renovation of research facilities)</li></ul>

**Question 1. How much of your total expenditures for separately budgeted research and development (R&D) came from the following sources in FY 2011? (See definition of R&D on the previous page.)**

Report the **original source** of funds, when possible. For example, if you received **federal** funds from another organization, report that amount under "U.S. federal government."

<b>Source of funds</b>	<b>R&amp;D expenditures (Dollars in thousands) (for example, report \$25,342 as \$25)</b>
<p><b>a. U.S. federal government</b> Any agency of the United States government. Include federal funds passed through from another organization.</p>	\$ <input style="width: 100px;" type="text"/>
<p><b>b. State and local government</b> Any state, county, municipality, or other local government entity in the United States, including state health agencies.</p>	\$ <input style="width: 100px;" type="text"/>
<p><b>c. Business</b> Domestic or foreign for-profit organizations. (Report funds from a company's nonprofit foundation in row d.)</p>	\$ <input style="width: 100px;" type="text"/>
<p><b>d. Nonprofit organizations</b> Domestic or foreign nonprofit foundations and organizations.</p>	\$ <input style="width: 100px;" type="text"/>
<p><b>e. All other sources</b> Other sources not reported above, such as funds from foreign governments.</p>	\$ <input style="width: 100px;" type="text"/>
<p><b>f. Total<sup>1</sup></b></p>	\$ <u>TOTAL</u>

<sup>1</sup> Column totals are automatically generated on the Web survey.

**Question 2. How much of the federal R&D expenditures reported in Question 1, row a, was funded by the American Recovery and Reinvestment Act (ARRA)?**

	<b>R&amp;D expenditures (Dollars in thousands)</b>
<b>Total R&amp;D expenditures from ARRA funds</b>	\$ <input style="width: 100px;" type="text"/>

**Question 3. What amounts of your FY 2011 R&D expenditures were for basic research, applied research, and development?**

If possible, these categories defining the character of work should be coded at the individual project level by the principal investigator or project director. Estimates are acceptable if necessary.

See the table below this question for examples.

	R&D expenditures (Dollars in thousands)		
	(1) Federal	(2) Nonfederal	(3) Total <sup>1</sup>
<b>a. Basic research</b>			
Research undertaken primarily to acquire new knowledge without any particular application or use in mind.	\$ _____	\$ _____	\$ <u>TOTAL</u>
<b>b. Applied research</b>			
Research conducted to gain the knowledge or understanding to meet a specific, recognized need.	\$ _____	\$ _____	\$ <u>TOTAL</u>
<b>c. Development</b>			
The systematic use of the knowledge or understanding gained from research and practical experience directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.	\$ _____	\$ _____	\$ <u>TOTAL</u>
<b>d. Total<sup>1</sup></b>			
Column 1 total should match Question 1, row a. Column 3 total should match Question 1, row f.	\$ <u>TOTAL</u>	\$ <u>TOTAL</u>	\$ <u>TOTAL</u>

<sup>1</sup> Row and column totals are automatically generated on the Web survey.

Examples		
Basic research	Applied research	Development
A researcher is studying the properties of human blood to determine what affects coagulation.	A researcher is conducting research on how a new chicken pox vaccine affects blood coagulation.	A researcher is conducting clinical trials to test a newly developed chicken pox vaccine for young children.
A researcher is studying the properties of molecules under various heat and cold conditions.	A researcher is investigating the properties of particular substances under various heat and cold conditions with the objective of finding longer-lasting components for highway pavement.	A researcher is working with state transportation officials to conduct tests of a newly developed highway pavement under various types of heat and cold conditions.
A researcher is studying the heart chambers of various fish species.	A researcher is examining various levels of a toxic substance to determine the maximum safe level for fish in a stream.	A researcher has a contract with the U.S. government to design a new stream monitoring system that will incorporate the latest research findings on toxicity levels for fish.

**Question 4. Of the total R&D expenditures reported in Question 1, what were the amounts for the following types of costs?**

Please report only **direct costs** in rows a–e. **Indirect costs** should be reported in row f.

<b>Direct costs from all sources</b>	<b>R&amp;D expenditures (Dollars in thousands)</b>
<b>a. Salaries, wages, and fringe benefits</b> Include compensation for all R&D personnel whether full-time or part-time, temporary or permanent. Include salaries, wages, and fringe benefits paid from internal funds and from external support.	\$ _____
<b>b. Software purchases</b> All payments for software. Include both purchases of software packages and license fees for systems.	\$ _____
<b>c. Equipment</b> Payments for movable equipment. Include ancillary costs such as delivery and setup.	\$ _____
<b>d. Subcontracts</b> Payments to subcontractors or subrecipients for services on R&D projects.	\$ _____
<b>e. Other direct costs</b> Other costs that do not fit into one of the above categories, including (but not limited to) travel, computer usage fees, and supplies.	\$ _____
<b>Indirect costs</b>	
<b>f. Indirect costs</b> Include all indirect costs (overhead) associated with R&D projects.	\$ _____
<b>g. Total<sup>1</sup></b> (should match total from Question 1, row f)	\$ <u>TOTAL</u>

<sup>1</sup> Column totals are automatically generated on the Web survey.

**Question 5. What was the total operating budget of your FFRDC in FY 2011, excluding capital construction costs?**

(Dollars in thousands)

<b>Total operating budget</b>	\$ _____
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**Question 6.**

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

	<b>Primary contact</b>	<b>Alternate contact</b>
Name	<input type="text"/>	<input type="text"/>
Title	<input type="text"/>	<input type="text"/>
Organization name	<input type="text"/>	<input type="text"/>
Street address (line 1)	<input type="text"/>	<input type="text"/>
Street address (line 2)	<input type="text"/>	<input type="text"/>
City, state, and ZIP code	<input type="text"/>	<input type="text"/>
Phone number	<input type="text"/>	<input type="text"/>
Fax number	<input type="text"/>	<input type="text"/>
E-mail address	<input type="text"/>	<input type="text"/>

**B. Fiscal year:** In what month did your organization's 2011 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:**