

What's New for FY 2012

Changes to survey definitions and instructions

In order to continue to provide greater clarity regarding what types of institutionally funded activities should be included, we have modified the instructions in several places on page 3. These revisions are not meant to be changes to the survey definitions; however we recognize that some institutions will need to revise their reporting as a result of these modified instructions. A new question was added (see below) in order to account for the changes made this year.

- The definition of R&D expenditures has been clarified to include all expenditures for R&D from your institution's current operating funds that can be separately accounted for. This includes projects that are separately budgeted and fall under OMB's A-21 definition of organized research, as well as expenditures of other funds designated for research.
- In the box labeled "R&D includes", three additional bullets were added: startup, bridge, or seed funding
 provided to researchers within your institution, other departmental funds designated for research, and tuition
 remission provided to students working on research.
- In the box labeled "R&D does not include", one bullet was revised to reduce ambiguity. It was changed from "departmental research that is not separately budgeted" to "estimates of the proportion of time budgeted for instruction that is spent on research."
- In the box labeled "Please include these components of your institution", the "university 501(c)3 foundation" bullet has been revised to include all university 501(c)3 foundations, not just those established to handle R&D awards.

Changes to questions

- **Question 1.** Row d, Nonprofit organizations. An instruction has been added to specify that funds from your institution's 501(c)3 foundation be reported in row e1 (institutionally financed research).
- **Question 1.** Row e3, Unrecovered indirect costs. The wording has been modified to emphasize that *only* your externally funded R&D should be used to calculate these costs.
- **Questions 7 and 8.** Row a has been clarified to mean U.S. higher education institutions. Foreign institutions should be reported in row d.

New question

• **Question 1.1.** This question asks if four different types of institutionally financed R&D expenditures were included in Question 1, row e1, both on the current FY 2012 survey and on the FY 2011 survey.

Survey Definitions and Instructions

Fiscal year (FY)

Please report data for your institution's 2012 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:	R&D does <i>not</i> include:
 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 (see definition in Question 5) Research training grants funding work on organized research projects 	 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 <i>include</i> these components of your institution:	Please do <i>not</i> 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 <i>not</i> 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 develo from the following sources in FY 2012? (See definition of R&E page.)	
 In rows a, b, c, d, and f: Include both direct and recovered in (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, humanit arts). See full listing in Question 9. 	
	R&D expenditures (Dollars in thousands)
Source of funds	(for example, report \$25,342 as \$25)
a. U.S. federal government	_{\$} 83
Any agency of the United States government. Include federal funds passed through from another institution.	<u>پ</u>
b. State and local government	_{\$} 98
Any state, county, municipality, or other local government entity in the United States, including state health agencies. Include state funds that support R&D at agricultural and other experiment stations. <i>Public institutions</i> should report state appropriations restricted for R&D activities here rather than in row e, Institutional funds.	\$
c. Business	_{\$} 588
Domestic or foreign for-profit organizations. Report funds from a company's nonprofit foundation in row d.	\$
d. Nonprofit organizations	\$ 9
Domestic or foreign nonprofit foundations and organizations. Report funds from your institution's 501(c)3 foundation in row e1.	\$ <u> </u>
e. Institutional funds	
1. Institutionally financed research	1005
All R&D funded by your institution from accounts that are only used for research.	\$ <u>1095</u> (Confidential ¹)
2. Cost sharing	
Include committed cost sharing other than unrecovered indirect costs. Report unrecovered indirect costs in row e3.	\$ <u>132</u> (Confidential ¹)
3. Unrecovered indirect costs	
 Calculate this amount as follows for your externally funded R&D only (preferably on a project-specific basis) using the appropriate cost rate—on-campus, off-campus, etc. First, multiply the <u>negotiated</u> rate by the corresponding base. Second, subtract recovered indirect costs. 	\$ <u>117</u> (Confidential ¹)
4. Total institutional funds ²	\$ <u>1344</u>
f. All other sources	
Other sources not reported above, such as funds from foreign governments.	\$ <u>0</u>
g. Total ²	\$ <u>2122</u>
¹ Information from confidential items is not published or released for individual institutions	· only aggregate totals will appear in

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 respor	nses to Question 1,	row e1?
	(1) Included in Question 1e1 this year (FY 2012)	(2) Included in Question 1e1 in previous year (FY 2011)
a. Competitively awarded internal grants for research	_	_
Expenditures for organized research projects, involving a proposal or statement of work with expected research outcomes.	v	v
b. Startup packages/bridge funding/seed funding		
Expenditures from funds provided to faculty members to begin or continue their research while seeking external sponsors.	v	
c. Other departmental funds designated for research		
Expenditures for research from other departmental or central accounts which do not match the descriptions provided in rows a or b.	v	
d. Tuition assistance for student research personnel		
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.	~	2

Question 2.	How much of the total R&D expenditures reported in Question 1, row g, came from foreign sources?	
	 Include foreign governments, businesses, universities, nonprofit organizations, and any other entity sending funds to the U.S. from a location outside the U.S. and its territories. 	
 Projects sponsored by a U.S. location of a foreign company are not considered foreign. 		
	 Include international governmental organizations located in the U.S., such as the United Nations, the World Bank, and the International Monetary Fund. 	
	R&D expenditures (Dollars in thousands)	
	Total R&D expenditures from foreign sources \$	

Question 3.	Of the total R&D expenditures that were externally funded (all sources other than the institutional funds reported in Question 1, row e4), how much was received under each of the following types of agreements?					
		R&D expenditures (Dollars in thousands)				
	a. Contracts (including direct or prime contracts and subcontracts)					
	Contracts are legal commitments in which a good or service is provided by your institution that benefits the sponsor. The sponsor specifies the deliverables and gains the rights to results.	\$ <u>717</u>				
	b. Grants, reimbursements, and all other agreements					
	Include all other agreements in which payments are received but no good or service other than periodic reporting is required in exchange.	\$ <u>61</u>				
	c. Total ¹	779				
	(Total should match Question 1, row g minus Question 1, row e4)	\$ <u>778</u>				
¹ The column t	otal is automatically generated on the Web survey.					

Question 4.	Of the total R&D expenditures reported in Question 1, row g, how much was expended for R&D projects in your medical school?
	Include projects that are assigned to the medical school or to research centers that are organizationally part of the medical school.
	If your institution does not have a medical school (that is, a school that awards the MD or DO degree), check here and go to Question 5.
	R&D expenditures (Dollars in thousands)
	Total R&D expenditures in the university's medical school \$2122

Question 5.		Of the total R&D expenditures reported in Question 1, row g, how much was expended for Phase I, Phase II, and Phase III clinical trials with human patients?			
	Clinical trials are research studies des effects of drugs, vaccines, medical devi patients. Clinical trials are used to deter	ices, tests, treat	tments, and other th		
	For reference, the National Institutes of into the following four phases.	Health (NIH) ca	ategorizes human cl	inical trials	
	Please include:				
	 Phase I uses a small group of human patients (20–80) to evaluate safety and identify side effects. 				
	 Phase II uses a larger group (100–300) to test effectiveness and further evaluate safety. 				
	 Phase III uses a large group (1,000–3,000) to confirm effectiveness, monitor side effects, compare to commonly used treatments, and collect safety information. 				
	Please exclude:				
	 Phase IV is a post-market study that collects more information on risks, benefits, and optimal use. 				
	If your institution did not conduct any cl	linical trials in F	Y 2012, check here:	~	
			expenditures rs in thousands)		
		(1)	(2)	(3)	
		Federal	Nonfeder	al Total ¹	
	Human clinical trials	s 0	\$	0 \$ 0	
	Trials with human patients	φ	Φ	φ	
¹ The row tota	I is automatically generated on the Web surve	ey.			

research, and development? If possible, these categories defining the character of wo individual project level by the principal investigator. Estin necessary.			
See the table below this question for examples.		enditures thousands)	
	(1) Federal	(2) Nonfederal	(3) Total ¹
a. Basic research Research undertaken primarily to acquire new knowledge without any particular application or use in mind.	\$_Unavailable	<u></u> ∮Unavailable	\$_Unavailable
 Applied research Research conducted to gain the knowledge or understanding to meet a specific, recognized need. 	§_Unavailable	\$_Unavailable	<u></u> ∫Unavailable
c. Development 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.	\$_Unavailable	<u>\$</u> Unavailable	<mark>∮</mark> Unavailable
 d. Total¹ Column 1 total should match Question 1, row a. Column 3 total should match Question 1, row g. 	<mark>§</mark> Unavailable	<mark>}_Unavailable</mark>	<u></u> ∫Unavailable

¹ 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 7.	How much of your R&D expenditures re institution receive as a subrecipient?	ported in Questic	on 1 did your			
	Please report the original source of funds in source in rows a-d.	n columns (1) and	(2) and the pass-th	nrough		
	The subrecipient for an award carries out pass-through entity rather than directly from tend to be the co-authors of publications, w findings, inventors, etc. Do not include ven payment for goods and services provided.	n the original fund vriters of technical dor relationships.	ing source. Subreci reports discussing A vendor receives	pients		
	 Examples: A university receives federal funds from another university as a subaward. (Row a, column 1). A university receives federal funds from a company as a subaward (Row b, column 1). 					
	Originating source of R&D expenditures (Dollars in thousands)					
		(1) Federal	(2) Nonfederal	(3) Total ¹		
Entity	passing funds to your institution					
a. U.S	higher education institutions					
	leges and universities and units owned, rated, and controlled by such institutions.	\$ <u>0</u>	\$ <u>0</u>	\$0		
b. Bus	sinesses	\$ 0	s 0	¢ 0		
For	-profit organizations	\$	\$ <u>0</u>	\$0		
	nprofit organizations	\$ <u>0</u>	\$0	\$0		
d. Oth	er					
	te and local governments, foreign itutions, and others	\$44	\$0	\$ <u>44</u>		
e. Tot	al ¹	\$44	\$ <u>0</u>	\$ <u>44</u>		
¹ Row and col	umn totals are automatically generated on the We	eb survey.				

estion 8.	How much of the R&D expenditures reported in Question 1 did your institution pass through to subrecipients?						
	Please report the original source of funds i receiving the funds in rows a-d.	n column	s (1) and	(2) and 1	he entity		
	Do not include vendor relationships. A ver services provided. See OMB Circular A-13			nent for g	oods and		
 Examples: Your institution passed through federal funds to another university (Row a, column 1). Your institution passed through funds from a company to another university (Row a, column 2). 							
Originating source of R&D expenditures (Dollars in thousands)							
Entity	receiving funds from your institution	(1 Fede	-	(2) Nonfederal		(3) Total ¹	
-	. higher education institutions						
Coll	eges and universities and units owned, rated, and controlled by such institutions.	\$	0	\$	0	\$	0
b. Bus	sinesses		0		0		0
For	profit organizations	\$	0	\$	0	\$	0
c. Nor	profit organizations	*	0	+	0	+	0
Nor	profit foundations and organizations	\$		\$		\$	
d. Oth	er						
	e and local governments, foreign itutions, and others	\$	0	\$	146	\$	146
e. Tot	al ¹	\$	0	\$	146	\$	146
	umn totals are automatically generated on the W						

agency reporte • Qu • Ple bel • If a exp	 agency sources below? (R&D expenditures from nonfederal sources will be reported in Question 12.) Question 9 total (page 16, row K, column h) should match Question 1, row a. Please see "Related Information" on survey website for a list of the subagencies belonging to each agency shown below. If an individual project involves more than one of the 36 fields of R&D, please prorate expenditures when possible and report the amount for each field involved. For subrecipient funding, report the agency that sponsored the original award. 													
(Dollars in thousands)														
(a)(b)(c)(d)(e)(f)(g)(h)R&D FieldsHHS,Examples listed below)USDADoDEnergy includes NIHNASANSFOtherTotal ²														
Examples listed below) USDA DoD Energy includes NIH NASA NSF Other Total ² A. Engineering														
1. Aeronautical/ Astronautical	<u>\$_0</u>	<u>\$0</u>	<u>\$0</u>	\$0	\$0	<u>\$0</u>	<u>\$0</u>	\$0						
2. Bioengineering/ Biomedical eng.	\$0	<u>\$0</u>	<u>\$0</u>	\$0	\$0	\$0	<u>\$0</u>	\$0						
3. Chemical	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0						
4. Civil	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0						
5. Electrical	\$0	\$0	\$0	\$0	\$0	\$0	\$ <u>0</u>	\$0						
6. Mechanical	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0						
7. Metallurgical/ Materials	\$0	\$0	\$0	\$0	\$0	\$0	\$0	<u></u> 90						
8. Other engineering	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0						
9. Total ²	\$0	<u>\$0</u>	<u>\$0</u>	\$0	<u>\$0</u>	\$0	<u>\$0</u>	<u>\$0</u>						
¹ Key: USDA, Departm Health and Human Se														

² Row and column totals are automatically generated on the Web survey.

Ex	amples of Disciplines: I	Engineering Fields of R&D	
A. Engineering	4. Civil	5. Electrical	8. Other engineering
 Aeronautical/Astronautical Aerodynamics Aerospace engineering Space technology Bioengineering/Biomedical engineering Biomaterials Medical engineering Chemical Petroleum Petroleum refining process Plastics Polymer Wood science 	Architectural Architecture Environmental Environmental health Geotechnical Hydraulic Hydrologic Sanitary Structural Transportation	Communications Computer Electronics Power 6. Mechanical Engineering mechanics 7. Metallurgical/Materials Ceramic Materials science Metallurgy Mining and mineral Textile Welding	Agricultural Engineering design Engineering physics Engineering science Marine Naval architecture Nuclear Ocean Systems Other engineering fields that cannot be classified using the fields listed above

Question 9 continues on next page.

fe	uestion 9B. What were your FY 2012 R&D expenditures in the physical sciences funded by the federal agency sources below? (R&D expenditures from nonfederal sources will be reported in Question 12.)															
	R&D expenditures from federal sources ¹ (Dollars in thousands)															
R&D Fields (Examples listed be B. Physical Scie		(a) USDA		b) oD	(c) Ener		(d HH includ		(e NA	e) SA	(† N\$	f) SF		g) her	-	h) tal ²
1. Astronomy		\$0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
2. Chemistry		\$0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
3. Physics		\$0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
4. Other physic sciences	cal	\$0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
5. Total ²		\$0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0

¹ Key: USDA, Department of Agriculture; DoD, Department of Defense; Energy, Department of Energy; HHS, Department of Health and Human Services; NASA, National Aeronautics and Space Administration; NIH, National Institutes of Health; NSF, National Science Foundation. "Other" includes all other federal agencies.
 ² Row and column totals are automatically generated on the Web survey.

B. Physical Sciences	2. Chemistry	3. Physics	4. Other physical sciences
1. Astronomy Astrophysics Gamma-ray astronomy Neutrino astronomy Optical astronomy Radio astronomy X-ray astronomy	(except biochemistry—report in Biological sciences) Analytical chemistry Inorganic chemistry Organic chemistry Organo-metallic chemistry Pharmaceutical chemistry Physical chemistry Polymer sciences	Acoustics Atomic physics Chemical physics Condensed matter physics Elementary particle physics Mathematical physics Molecular physics Nuclear structure Optics Plasma physics Theoretical physics	Other physical sciences that cannot be classified using the fields listed above

Question 9 continues on next page.

Question 9C-E. What were your FY 2012 R&D expenditures in the environmental, mathematical, and computer sciences funded by the federal agency sources below? (R&D expenditures from nonfederal sources will be reported in Question 12.)

		Rð	kD exp			rom fe thousa		source	es ¹					
R&D Fields (Examples listed below)	a) SDA	b) oD		c) ergy) HH	d) IS, es NIH	(e NA		-	f) SF		g) her	-	n) tal ²
C. Environmental Science		 		. 97	monau			•••			•••			
1. Atmospheric sciences	\$ 0	\$ 0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
2. Earth sciences	\$ 0	\$ 0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
3. Oceanography	\$ 0	\$ 0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
4. Other environmental sciences	\$ 0	\$ 0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
5. Total ²	\$ 0	\$ 0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
D. Mathematical Sciences	\$ 0	\$ 0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
E. Computer Sciences	\$ 0	\$ 0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0

¹ Key: USDA, Department of Agriculture; DoD, Department of Defense; Energy, Department of Energy; HHS, Department of Health and Human Services; NASA, National Aeronautics and Space Administration; NIH, National Institutes of Health; NSF, National Science Foundation. "Other" includes all other federal agencies. ² Row and column totals are automatically generated on the Web survey.

Examples of Disciplines: Environmental Sciences, Mathematical Sciences, and **Computer Sciences Fields of R&D**

1. Atmospheric sciences (continue Aeronomy 2. Earth set cartogra Extraterrestrial atmospheres Cartogra Meteorology Earth ar Solar Geoche Weather modification Geology Geophy Hydrolo Paleoma Paleoma	sciences3. Oceanographyaphy nd planetary sciences emistry by and gravity y gnetism rsics gy agnetism ologyBiological oceanograph Chemical oceanograph Geological oceanography Marine oceanography Physical oceanography Physical oceanography Al Geography logy 4. Other environmen sciences Other environmental s that cannot be class using the fields lister	Algebra Analysis Applied mathematics Foundations and logic Geometry Numerical analysis Operations research Statistics Topology E. Computer Sciences Sciences Statistics Data processing Information sciences
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Question 9F. What were your FY 2012 R&D expenditures in the life sciences funded by the federal agency sources below? (R&D expenditures from nonfederal sources will be reported in Question 12.)

				R8	&D exp			rom fee thousa		source	es ¹			
R&D Fields (Examples listed below) F. Life Sciences	(a US		-	b) oD	-	c) ergy	н	(d) HS, des NIH	(e NA			f) SF	g) her	h) otal ²
1. Agricultural sciences	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$ 0	\$ 0
2. Biological sciences	\$	0	\$	0	\$	0	\$	32	\$	0	\$	0	\$ 0	\$ 32
3. Medical sciences	\$	0	\$	0	\$	0	\$	5	\$	0	\$	0	\$ 0	\$ 5
4. Other life sciences	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$ 0	\$ 0
5. Total ²	\$	0	\$	0	\$	0	\$	37	\$	0	\$	0	\$ 0	\$ 37

¹ **Key:** USDA, Department of Agriculture; DoD, Department of Defense; Energy, Department of Energy; HHS, Department of Health and Human Services; NASA, National Aeronautics and Space Administration; NIH, National Institutes of Health; NSF, National Science Foundation. "Other" includes all other federal agencies.

 2 Row and column totals are automatically generated on the Web survey.

Examples of Disciplines: Life Sciences Fields of R&D 3. Medical sciences 2. Biological sciences 3. Medical sciences F. Life Sciences (continued) (continued) (continued) 1. Agricultural sciences Botany Dermatology Preventive medicine Agricultural chemistry Cellular biology Family medicine Psychiatric nursing Agricultural economics-report Ecology Gastroenterology Psychiatry in Social sciences. Economics Entomology Public health General surgery Agricultural engineering-report Epidemiology Geriatric medicine Radiation biology/ in Engineering Foods and nutrition studies Gynecology Radiobiology Agricultural production Hematology Genetics, plant and animal Thoracic surgery Agronomy Immunology Internal medicine Urology Animal science Medical microbiology Mental health Veterinary medicine—see note Aquaculture Microbiology Neonatal-perinatal medicine helow Conservation Molecular biology Neurological surgery Fish and wildlife 4. Other life sciences Nutritional sciences Neurology Forestry Parasitology Neurosciences Clinical/medical laboratory Horticulture Pathology, human and animal Nuclear medicine technologies International agriculture Pharmacology, human and Nuclear radiology Communication disorders Landscape architecture animal Obstetrics sciences and services Plant sciences Oncology Physical anthropology Gerontology Renewable natural resources Physiology, human and animal Ophthalmology Health and medical Soil sciences Toxicology Optometry administrative services Virology Oral surgery 2. Biological sciences Health professions and related Orthopedic surgery Zoology services, other Allergies and immunology Orthopedics Nursing Anatomy 3. Medical sciences Osteopathic medicine Occupational therapy Bacteriology Otorhinolaryngology Anesthesiology Physical therapy Biochemistry Pediatrics Cardiology Rehabilitation services Biogeography Pharmacology Colon and rectal surgery Therapeutic services Biology, general Pharmacy Dental surgery Other life sciences that cannot **Biometrics** Physical and rehabilitative Dentistry be classified using the fields **Biophysics** medicine listed above **Biostatistics** Plastic surgery Biotechnology Podiatry

Note: Please report veterinary R&D expenditures using agricultural sciences, biological sciences, and medical sciences, as appropriate.

Question 9 continues on next page.

Question 9G–I. What were your FY 2012 R&D expenditures in psychology, social sciences, and other sciences funded by the federal agency sources below? (R&D expenditures from nonfederal sources will be reported in Question 12.)

				Rð	&D exp		rom fee thousa		sourc	es ¹					
	(a	ı)	(b)	(0	c)	d)	(0	e)	(†	f)	(g)	(h)
R&D Fields (Examples listed below)	US	DA	D	oD	Ene	ergy	HS, les NIH	NA	SA	N	SF	Ot	her	Тс	otal ²
G. Psychology	\$	0	\$	0	\$	0	\$ 0	\$	0	\$	0	\$	0	\$	0
H. Social Sciences															
1. Economics	\$	0	\$	0	\$	0	\$ 0	\$	0	\$	0	\$	0	\$	0
2. Political science	\$	0	\$	0	\$	0	\$ 0	\$	0	\$	0	\$	0	\$	0
3. Sociology	\$	0	\$	0	\$	0	\$ 0	\$	0	\$	0	\$	0	\$	0
4. Other social sciences	\$	0	\$	0	\$	0	\$ 0	\$	0	\$	0	\$	0	\$	0
5. Total ²	\$	0	\$	0	\$	0	\$ 0	\$	0	\$	0	\$	0	\$	0
I. Other Sciences	\$	0	\$	0	\$	0	\$ 15	\$	0	\$	0	\$	31	\$	46

¹ Key: USDA, Department of Agriculture; DoD, Department of Defense; Energy, Department of Energy; HHS, Department of Health and Human Services; NASA, National Aeronautics and Space Administration; NIH, National Institutes of Health; NSF, National Science Foundation. "Other" includes all other federal agencies.

² Row and column totals are automatically generated on the Web survey.

Examples of Disciplines: Psychology, Social Sciences, and Other Sciences Fields of R&D

G. Psychology

Animal behavior Art therapy Clinical psychology Educational psychology Experimental psychology Human development and personality School psychology Social psychology

H. Social Sciences

1. Economics

Agricultural economics Applied economics Business development Econometrics Industrial economics International economics Labor economics Managerial economics Public finance and fiscal policy Quantitative economics Resource economics

H. Social Sciences (continued)

2. Political science

Comparative government Government International relations and affairs Legal systems Political theory Public administration Public policy analysis **Regional studies** 3. Sociology Anthropology, cultural and social Anthropology, physical-report in Life Sciences, Biological Sciences Comparative and historical sociology Complex organizations Cultural and social structure Demography Group interactions

Population studies Social problems and welfare

theory

H. Social Sciences (continued)

4. Other social sciences

Archaeology Area and ethnic studies City and community planning Community services Corrections Criminal justice Geography History of science Linguistics Urban affairs Urban and regional planning Urban studies

I. Other Sciences

Use this category for R&D that involves at least one S&E field (rows A–H) if it is impossible to report multidisciplinary or interdisciplinary R&D expenditures in specific fields.

R&D expenditures from federal sources ¹ (Dollars in thousands)																
	(8	a)	(b)	(c)		(d)	(e)	((f)	(g)	((h)
R&D Fields Examples listed below)	US	DA	D	oD	Ene	ergy		HS, des NIH	NA	ASA	N	SF	Ot	her	Тс	otal ²
I. Non-S&E Fields																
1. Education	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
2. Law	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
3. Humanities	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
4. Visual and performing arts	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
5. Business and management	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
6. Communication,																
journalism, and library science	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
7. Social work	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	C
8. Other non-S&E fields	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
9. Total ²	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
K. Total for All \$																

Health and Human Services; NASA, National Aeronautics and Space Administration; NIH, National Institutes of Health; NSF, National Science Foundation. "Other" includes all other federal agencies.

² Row and column totals are automatically generated on the Web survey.

	Examples of Disciplines	Non-S&E Fields of R&D	1
J. Non-S&E Fields 1. Education (no specific examples) 2. Law Legal studies 3. Humanities English language and literature Foreign languages and literature General studies and humanities History (except history of science—report in Other social sciences) Letters	 Humanities (continued) Liberal arts and sciences Philosophy and religion Theological studies and religious vocations Visual and performing arts (no specific examples) Business and management Business management and administrative services Marketing distribution Marketing operations 	 6. Communication, journalism, and library science Communication Communications technologies Library science 7. Social work (no specific examples) 	 8. Other non-S&E fields Military technologies Parks, recreation, leisure and fitness studies Other non-S&E fields that cannot be classified using the fields listed above Also, use this category for R&D that involves multiple non-S&E fields if it is impossible to report multidisciplinary or interdisciplinary R&D expenditures in specific fields.

Question 10	0. Of the amount reported for Other federal sources in Questic (row K, column g), which agencies funded this R&D and ho reported amount was from each agency?	
	If your institution reported \$0 in Question 9, row K, column g, cl and go to Question 11.	heck here
	 Use rows a–j to list up to 10 agencies that funded the larges Use row k to report any remaining amount. For subrecipient funding in this question, list the sponsor of Please see "Related Information" on the survey website for and their subagencies. 	the original award.
Federal	agencies (list up to 10)	R&D expenditures (Dollars in thousands)
a.	Department of Justice (DOJ)	\$ <u>31</u>
b.		\$
C.		\$
d.		\$
e.		\$
f.		\$
g.		\$
h.		\$
i.		\$
j.		\$
k.	Other agencies included in Question 9, column g, but not listed ab	oove \$
I.	Total (should match Question 9, row K, column g.) ¹	\$ <u>31</u>
¹ The column	total is automatically generated on the Web survey.	

Question 11.	How much of the federal R&D expenditures reported in Question 1, roof funded by the American Recovery and Reinvestment Act (ARRA)?	w a,	was		
			D expen ars in the		
	Total R&D expenditures from ARRA funds	9	\$	0	

Question 12A–B. What were yo sciences fiel			ures in the engi al sources belo		nysical					
Question If an indivi 	Question 1, rows b–f.									
	R&D expenditures from nonfederal sources (Dollars in thousands)									
R&D Fields (See Question 9, pp. 11–12)	(a) State and local government	(b) Business	(c) Nonprofit organizations	(d) Institutional funds	(e) Other nonfederal sources	(f) Total ¹				
A. Engineering										
1. Aeronautical/ Astronautical	\$0	\$0	\$0	\$0	\$0	\$0				
2. Bioengineering/ Biomedical eng.	\$0	\$0	\$0	\$0	\$0	\$0				
3. Chemical	\$0	\$0	\$0	\$0	\$0	\$0				
4. Civil	\$0	\$0	\$0	\$0	\$0	\$0				
5. Electrical	\$0	\$0	\$0	\$0	\$0	\$0				
6. Mechanical	\$0	\$0	\$0	\$0	\$0	\$0				
7. Metallurgical/Materials	\$0	\$0	\$0	\$0	\$0	\$0				
8. Other engineering	\$0	\$0	\$0	\$0	\$0	\$0				
9. Total ¹	\$0	\$0	\$0	\$ <u>0</u>	\$0	\$0				
B. Physical Sciences										
1. Astronomy	\$ <u>0</u>	\$0	\$0	\$0	\$0	\$ <u>0</u>				
2. Chemistry	\$ <u>0</u>	\$0	\$ <u>0</u>	\$ <u>0</u>	\$0	\$ <u>0</u>				
3. Physics	\$ <u>0</u>	\$0	<u>\$0</u>	\$ <u>0</u>	\$0	\$ <u>0</u>				
4. Other physical sciences	<u>\$25</u>	\$0	\$ <u>0</u>	\$ <u>3</u>	\$0	<u>\$28</u>				
5. Total ¹	<u>\$</u> 25	\$0	<u>\$0</u>	\$ <u>3</u>	\$0	<u></u> \$28				

¹ Row and column totals are automatically generated on the Web survey.

Examples of disciplines for engineering and physical sciences fields of R&D are listed on pages 11–12.

	your FY 2012 I federal source		tures in the R&I) fields listed b	elow funded	
	I		tures from nonfo Oollars in thousan			
	(a) State and	(b)	(c)	(d)	(e) Other	(f)
R&D Fields (See Question 9, pp. 13–15)	local	D '	Nonprofit	Institutional	nonfederal	T . (.)1
C. Environmental Sciences	government	Business	organizations	funds	sources	Total ¹
1. Atmospheric sciences	\$0	<u>\$</u> 0	\$0	<u>\$0</u>	<u>\$0</u>	\$0
2. Earth sciences	\$0	\$0	\$0	\$0	\$0	\$0
3. Oceanography	\$0	\$0	\$0	\$0	\$0	\$0
4. Other environmental sciences	\$0	<u>\$</u> 0	\$0	\$ <u>0</u>	\$0	<u>\$0</u>
5. Total ¹	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>
D. Mathematical Sciences	\$ <u>0</u>	\$0	<u>\$0</u>	\$ <u>0</u>	\$0	<u>\$0</u>
E. Computer Sciences	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>
F. Life Sciences						
1. Agricultural sciences	\$0	\$0	\$0	\$0	\$0	\$0
2. Biological sciences	\$0	\$ <u>0</u>	\$ <u>8</u>	\$ <u>2</u>	\$0	<u></u> \$10
3. Medical sciences	\$0	<u>\$</u> 0	\$ <u>1</u>	_{\$_} 1299	<u>\$0</u>	<u></u> \$_1300
4. Other life sciences	<u></u> 62	\$ <u>282</u>	\$0	\$0	\$0	<u>\$344</u>
5. Total ¹	<u></u> §62	<u></u> \$282	\$ <u>9</u>	<u></u> 1301	\$0	<u></u> \$1654
G. Psychology	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u></u> \$0
H. Social Sciences						
1. Economics	\$0	\$0	\$0	<u>\$0</u>	\$0	<u>\$0</u>
2. Political science	\$0	\$ <u>0</u>	\$0	\$0	\$0	\$0
3. Sociology	\$0	<u>\$</u> 0	\$0	\$0	\$0	<u>\$0</u>
4. Other social sciences	\$ <u>0</u>	<u>\$</u>	\$0	\$ <u>0</u>	\$0	<u></u> 0
5. Total ¹	\$0	<u>\$0</u>	\$0	<u>\$0</u>	\$0	<u>\$0</u>
I. Other Sciences	<u></u> \$11	<u>\$306</u>	<u>\$0</u>	\$ <u>40</u>	\$0	\$ <u>357</u>

¹ Row and column totals are automatically generated on the Web survey. Examples of disciplines for the above fields of R&D are listed on pages 13–15.

Question 12 continues on next page.

	Question 12J–K. What were your FY 2012 R&D expenditures in the non-science and engineering (non-S&E) fields funded by the nonfederal sources below?								
	R&D expenditures from nonfederal sources (Dollars in thousands)								
R&D Fields (See Question 9, p. 16)	(a) State and local government	(b) Business	(c) Nonprofit organizations	(d) Institutional funds	(e) Other nonfederal sources	(f) Total ¹			
J. Non-S&E Fields									
1. Education	\$0	<u>\$</u>	\$ <u>0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>			
2. Law	\$0	\$0	\$0	\$0	\$0	\$0			
3. Humanities	<u>\$0</u>	\$0	\$0	<u>\$0</u>	<u>\$0</u>	\$0			
4. Visual and performing arts	\$ <u>0</u>	\$0	\$0	\$0	\$0	\$0			
5. Business and management	\$ <u>0</u>	\$0	\$0	\$0	\$0	\$0			
6. Communication, journalism, and library science	\$0	\$ <u>0</u>	\$0	\$0	\$0	\$0			
7. Social work	\$0	\$0	\$0	\$0	<u>\$0</u>	\$0			
8. Other non-S&E fields	<u>\$0</u>	\$0	\$0	<u>\$0</u>	\$0	\$0			
9. Total ¹	\$0	\$0	\$0	\$0	\$0	\$0			
K. Total for All Fields of R&D ¹	\$ <u>98</u>	<u></u> \$588	\$ <u>9</u>	<u></u> 1344	\$0	<u></u> \$_2039			
Totals in row K, columns a	a-e should matc	h correspond	ding sources in	Question 1, roy	wsb–f.				

¹ Row and column totals are automatically generated on the Web survey.

Examples of disciplines for non-S&E fields of R&D are listed on page 16.

Question 13. Of the total amount of R&D expenditures reported in Question the amounts for the following types of costs?	1, row g, what w	ere	
Please report only direct costs (including cost sharing) in rows a- Recovered and unrecovered indirect costs should be reported in			
			enditures thousands)
a. Salaries, wages, and fringe benefits Include compensation for all R&D personnel whether full-time or part-time, temporary or permanent. Include salaries, wages, and fringe benefits paid from your institution's funds and from external support.		\$	1079
b. Software purchases All payments for software. Include both purchases of software packages and license fees for systems.			
1. Noncapitalized software		\$	0
 Capitalized software (If you are unable to distinguish capitalized software from capitalized equipment, report both in row c.) 		\$	0
c. Capitalized equipment Payments for movable equipment exceeding your institution's capitalization threshold. Include ancillary costs such as delivery and setup.		\$	0
d. Pass-throughs to other universities or organizations (should match the total in Question 8, row e, column 3)		\$	146
e. Other direct costs Other costs that do not fit into one of the above categories, including (but not limited to) travel, tuition waivers, services such as consulting, computer usage fees, and supplies.		\$	712
f. Indirect costs			
1. Recovered indirect costs Reimbursement of Facilities and Administrative (F&A) costs from external sponsors.	\$ <u>68</u> (Confidential ¹)		
2. Unrecovered indirect costs (should equal Question 1, row e3)	\$ <u>117</u> (Confidential ¹)		
3. Total indirect costs ²		\$	185
g. Total² (should match total from Question 1, row g)		\$	2122
¹ Information from confidential items is not published or released for individual institutions; publications. In accordance with the National Science Foundation Act of 1950, as amend			

² Totals are automatically generated on the Web survey.

Question 14. At the end of FY 2012, what were your institution's (in thousands) for software and equipment?	dollar capitalization	thresholds
Dollars in thousands		
	(1) Software	(2) Equipment
Capitalization thresholds	\$ <u>5.0</u>	\$ <u>5.0</u>

(Question 15A–C. For the R&D fields below, what portion of your FY 2012 R&D expenditures went for the purchase of capitalized R&D equipment?							
	Question 15 total (row K, column c) s		stion 13, row c (Capital	ized equipment).				
			ent expenditures in thousands)					
	R&D Fields (See Question 9, pp. 11–13)	(a) Federal	(b) Nonfederal	(c) Total ¹				
	A. Engineering							
	1. Aeronautical/Astronautical	\$0	\$0	\$0				
	2. Bioengineering/Biomedical engineering	\$0	\$0	\$0				
	3. Chemical	\$0	\$0	\$0				
	4. Civil	\$0	\$0	\$0				
	5. Electrical	\$ <u>0</u>	\$0	\$0				
	6. Mechanical	\$0	\$0	\$0				
	7. Metallurgical/Materials	\$0	\$0	\$0				
	8. Other engineering	\$ <u>0</u>	<u>\$0</u>	\$0				
	9. Total ¹	\$0	\$0	\$0				
E	B. Physical Sciences							
	1. Astronomy	\$0	\$0	\$0				
	2. Chemistry	\$0	\$0	\$0				
	3. Physics	\$0	\$ <u>0</u>	\$0				
	4. Other physical sciences	\$0	\$0	\$0				
	5. Total ¹	<u></u> 0	\$0	<u></u> \$0				
C	C. Environmental Sciences							
	1. Atmospheric sciences	\$0	\$0	\$0				
	2. Earth sciences	\$0	\$ <u>0</u>	\$0				
	3. Oceanography	\$0	\$0	\$0				
	4. Other environmental sciences	\$0	\$ <u>0</u>	\$0				
	5. Total ¹	\$0	\$0	\$0				
1	¹ Row and column totals are automatically generated on the W	eb survey.						

Row and column totals are automatically generated on the Web survey.

Examples of disciplines for the above fields of R&D are listed on pages 11–13.

Question 15 continues on next page.

Question 15D–I. For the R&D fields below, what portion of your FY 2012 R&D expenditures went for the purchase of capitalized R&D equipment?						
	R&D equipment expenditures (Dollars in thousands)					
R&D Fields (See Question 9, pp. 13–15)	(a) Federal	(b) Nonfederal	(c) Total ¹			
D. Mathematical Sciences	\$0	\$ <u>0</u>	\$ <u>0</u>			
E. Computer Sciences	\$0	\$0	\$0			
F. Life Sciences						
1. Agricultural sciences	\$0	\$ <u>0</u>	\$ <u>0</u>			
2. Biological sciences	\$0	\$ <u>0</u>	\$ <u>0</u>			
3. Medical sciences	\$ <u>0</u>	\$0	\$ <u>0</u>			
4. Other life sciences	\$0	\$0	\$0			
5. Total ¹	\$0	\$ <u>0</u>	\$ <u>0</u>			
G. Psychology	\$0	\$0	\$0			
H. Social Sciences						
1. Economics	\$0	\$ <u>0</u>	\$0			
2. Political science	\$ <u>0</u>	\$0	\$0			
3. Sociology	\$0	\$0	\$ <u>0</u>			
4. Other social sciences	\$ <u>0</u>	\$0	\$0			
5. Total ¹	\$0	\$0	\$0			
I. Other Sciences	\$ <u>0</u>	\$0	\$0			
¹ Row and column totals are automatically generated on th	e Web survey.					

Examples of disciplines for the above fields of R&D are listed on pages 13–15.

Question 15J–K. For the non-science and engineering (non-S&E) R&D fields below, what portion of your FY 2012 R&D expenditures went for the purchase of capitalized R&D equipment?								
	R&D equipment expenditures (Dollars in thousands)							
R&D Fields (See Question 9, p. 16)	(a) Federal	(b) Nonfederal	(c) Total ¹					
J. Non-S&E Fields								
1. Education	\$0	\$ <u>0</u>	\$0					
2. Law	\$0	\$ <u>0</u>	\$0					
3. Humanities	\$0	\$ <u>0</u>	\$0					
4. Visual and performing arts	\$0	\$ <u>0</u>	\$ <u>0</u>					
5. Business and management	\$0	\$ <u>0</u>	\$ <u>0</u>					
6. Communication, journalism, and library science	\$0	\$ <u>0</u>	\$0					
7. Social work	\$0	\$ <u>0</u>	\$0					
8. Other non-S&E fields	\$0	\$ <u>0</u>	\$0					
9. Total ¹	\$0	\$0	\$ <u>0</u>					
K. Total for All Fields of R&D ¹	\$0	\$0	\$ <u>0</u>					
Total for row K, column c, should match Questio	n 13, row c (Capit	alized equipment).						
¹ Row and column totals are automatically generated on th	ne Web survey.							

Examples of disciplines for non-S&E fields of R&D are listed on page 16.

	uestion 16. How many principal investigators and other personnel (headcount) were paid from the R&D salaries, wages, and fringe benefits you reported in Question 13, row a?						
	 A principal investigator (PI) is designated by your institution to direct the R&D project or program and be responsible for the scientific and technical direction of the project. Co-investigators (co-PIs) may be designated for this role and should also be included in column 1. 						
	•	Count each person only once.					
	•	If a person serves as a PI or co-PI o project, count that person as a PI.	n one project and	d other personne	el on another		
	•	Include all personnel and students p they received.	aid from R&D ac	counts regardles	ss of how much		
			(1)	(2)	(3)		
			Principal investigators	All other personnel	Total ¹		
	Nu	Imber of people (headcount)	Unavailable	Unavailable	Unavailable		
¹ The row total	is a	automatically generated on the Web surve	ey.				

Question 17. Of the headcount reported in Question 16, column 3, how many are categorized as postdocs?						
NSF defines postdocs as meeting both of the following qualifications:						
PhD or equivalent such as	in a medical or related field (MD, DDS, DO, DVM) or					
, , ,	generally no more than 5–7 years search or scholarship and vision of a senior scholar in a unit affiliated with					
Number of postdocs (headcount)	Unavailable					

Question 18.	Question 18.						
A. Contact information:	Please complete the contact information for th and an alternate contact.	ne person responsible for the survey					
	Primary contact	Alternate contact					
Name	Jeffrey Walters						
Title	Grants & Contracts Accountant						
Institution name	Oklahoma State University						
Building/department	Grants & Contracts Financial Administration						
Street address (line 1)	Whitehurst Hall, Room 401						
Street address (line 2)							
City, state, and ZIP code	Stillwater OK 74078						
Phone number	405-744-8841						
Fax number							
E-mail address	jeff.walters@okstate.edu						

B. Fiscal	year: In what month did your institution's 2012 fiscal year end?	
Britovar	your in what month ald your modulion of 2012 hour your ond.	

June

C. Survey completion time:	Considering	all offices	involved, approximately how long did it take to complete
	this survey?	20.00	hours

D. /	D. Additional comments:					