

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.
- Questions 7 and 8: 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 200 Appendix III and expenditures from funds designated for research.

R&D <i>includes:</i>	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 development (the following sources in FY 2014? (See definition of R&D on the prev	
	 In rows a, b, c, d, and f: Include both direct and recovered indirect c (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, edu See full listing in Question 9. 	
		R&D expenditures
		(Dollars in thousands)
Source	e of funds	(for example, report \$25,342 as \$25)
a. U.S.	federal government	_{\$} 31
	agency of the United States government. ude federal funds passed through from another institution.	Ψ
b. Stat	e and local government	_{\$} 104
Stat at a Pub	state, county, municipality, or other local government entity in the United es, including state health agencies. Include state funds that support R&D gricultural and other experiment stations. <i>lic institutions</i> should report state appropriations restricted for R&D <i>i</i> ties here rather than in row e, Institutional funds.	\$ <u></u>
c. Bus	iness	_{\$} 245
	nestic or foreign for-profit organizations. Report funds from a company's profit foundation in row d.	\$
d. Nor	profit organizations	\$ 0
and	nestic or foreign nonprofit foundations and organizations, except universities colleges. Report funds from your institution's 501(c)3 foundation in row e1. ds from other universities and colleges should be reported in row f.	\$0
e. Ins	titutional funds	
1.	Institutionally financed research	
	All R&D funded by your institution from accounts that are only used for research.	$_{\mathrm{S}}$ 1255 (Confidential ¹)
2.	Cost sharing	s 108
	Include committed cost sharing other than unrecovered indirect costs.	$\frac{108}{(Confidential^1)}$
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.	\$62 (Confidential ¹)
	 First, multiply the <u>negotiated</u> rate by the corresponding base. Second, subtract recovered indirect costs. 	
4.	Total institutional funds ²	\$1425
f. All	other sources	
	her sources not reported above, such as funds from foreign governments, reign or U.S. universities, and gifts designated by the donors for research.	\$ <u>0</u>
g. Tot	al ²	\$ <u>1805</u>

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. Totals for rows e4 and g are automatically generated on the Web survey.

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Question 1.1. Did you include the following types of funding in your response	es to Question 1, row e1?
	Included
a. Competitively awarded internal grants for research	_
Expenditures for organized research projects, involving a proposal or statement of work with expected research outcomes.	<u>v</u>
b. Startup packages/bridge funding/seed funding	
Expenditures from funds provided to faculty members to begin or continue their research while seeking external sponsors.	
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.	
d. Tuition assistance for student research personnel	
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.	~

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 \$0			

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>81</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>299</u>		
	c. Total ¹	¢ 380		
	(Total should match Question 1, row g minus Question 1, row e4)	\$ <u> </u>		
¹ The column t	total 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 \$1805		

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 designed to answer specific questions about the effects of drugs, vaccines, medical devices, tests, treatments, and other therapies for patients. Clinical trials are used to determine safety and effectiveness. For reference, the National Institutes of Health (NIH) categorizes human clinical trials into the following four phases.			
	Please include:			
	 Phase I uses a small group of huma identify side effects. 	n patients (20–80) to ev	aluate safety and	
	 Phase II uses a larger group (100–3 safety. 	00) to test effectiveness	s and further evalua	te
	 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. 			de
	Please exclude:			
	 Phase IV is a post-market study that and optimal use. 	t collects more informat	ion on risks, benefit	S,
	If your institution did not conduct any cli	nical trials in FY 2014, c	check here: 🖌	
	R&D expenditures (Dollars in thousands)			
		(1)	(2)	(3)
		Federal	Nonfederal	Total ¹
	Human clinical trials Trials with human patients	s 0	\$ O	s 0
		·	·	
¹ The row tota	al is automatically generated on the Web survey	<i>Į</i> .		

Question 6.	What amounts of your FY 2014 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. Estimates are acceptable if 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.	\$ <u>16</u>	\$ <u>887</u>	\$ <u>903</u>		
	 Applied research Research conducted to gain the knowledge or understanding to meet a specific, recognized need. 	\$9	\$ <u>532</u>	\$ <u>541</u>		
	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.	\$ <u>6</u>	\$ <u>355</u>	\$ <u>361</u>		
	 d. Total¹ Column 1 total should match Question 1, row a. Column 3 total should match Question 1, row g. 	\$ <u>31</u>	\$ <u>1774</u>	\$ <u>1805</u>		
¹ Row and colu	mn 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 reported in Question 1 did your institution <u>receive as a subrecipient</u> ?				
	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 con contractor or vendor receives payment for Part 200 Subpart D Section 330.	m the original fund vriters of technical htractor or vendor r	ing source. Subrec reports discussing elationships. A	ipients
 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) (2) (3) Federal Nonfederal Total¹ 				Row
				Entity
	. higher education institutions			
	eges and universities and units owned, rated, and controlled by such institutions.	\$ <u>12</u>	\$ <u> 0</u>	\$ <u>12</u>
b. Bus	sinesses	0	0	0
For	profit organizations	\$9	\$0	\$9
	profit organizations	. 0	. 0	0
c. Nor	profit organizations	\$0	\$ <u>0</u>	\$ <u>0</u>
c. Nor	profit foundations and organizations	\$0	\$ <u>0</u>	\$0
c. Non Non d. Oth Stat	profit foundations and organizations	\$ <u>0</u> \$10	\$0 \$0	\$0 \$10

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 in columns (1) and (2) and the entity receiving the funds in rows a–d.				
column 1).				
Originating source of R&D expenditures (Dollars in thousands)				
	(1) Federal	(2) Nonfederal	(3) Total ¹	
receiving funds from your institution				
higher education institutions				
eges and universities and units owned, rated, and controlled by such institutions.	\$0	\$0	\$0	
inesses				
profit organizations	\$0	\$0	\$0	
profit organizations	\$0	\$0	\$ 0	
er				
e and local governments, foreign tutions, and others	\$0	\$0	\$0	
		s 0	¢ 0	
	 pass through to subrecipients? Please report the original source of funds in receiving the funds in rows a–d. Do not include contractor or vendor relation payment for goods and services provided. 330. Examples: Your institution passed through federal column 1). Your institution passed through funds from your institution (Row a, column 2). receiving funds from your institution higher education institutions eges and universities and units owned, rated, and controlled by such institutions. inesses profit organizations profit foundations and organizations er e and local governments, foreign 	pass through to subrecipients? Please report the original source of funds in columns (1) and receiving the funds in rows a–d. Do not include contractor or vendor relationships. A contract payment for goods and services provided. See 2 CFR Part 2 330. Examples: • Your institution passed through federal funds to another column 1). • Your institution passed through funds from a company to (Row a, column 2). Originating funds from your institution • higher education institutions eges and universities and units owned, rated, and controlled by such institutions. inesses profit organizations profit foundations and organizations er e and local governments, foreign	pass through to subrecipients? Please report the original source of funds in columns (1) and (2) and the entity receiving the funds in rows a–d. Do not include contractor or vendor relationships. A contractor or vendor receiv payment for goods and services provided. See 2 CFR Part 200 Subpart D Secti 330. 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 ex (Dollars in thousands (1) (2) Federal Nonfederal receiving funds from your institution higher education institutions eges and universities and units owned, rated, and controlled by such institutions. profit organizations profit organizations profit organizations profit domains and organizations e and local governments, foreign e and local governments, foreign	

agency report • Qu • Ple bel • If a exp	vere your y sources ed in Ques estion 9 to ease see "I onging to onging to on individua penditures r subrecipi	below stion 1 tal (pag Related each ag al proje when p	? (R&D 2.) ge 16, rc Informa gency sh ct involv possible	expen ow K, c ation" c nown b res mo and re	diture column on surr pelow. re tha eport t	es from n h) shou vey webs n one of he amou	nonf Ild m site f the : int fo	ederal atch C or a lis 36 field r each	I sou Questi t of th ds of I field	rces v on 1, i ne sub R&D, j involv	will be row a. bagenc please red.	cies e prora	ite		
				D exp		ures froi lars in the			sourc						
R&D Fields	(a)		(b)	(0	c)	(d) HHS		(e))	(†	f)	(g)	()	h)
(Examples listed below) A. Engineering	USDA	4	DoD	Ene	ergy	includes		NAS	6A	N	SF	Ot	her	То	tal ²
1. Aeronautical/ Astronautical	\$	0 \$_	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
2. Bioengineering/ Biomedical eng.	\$	0 \$_	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
3. Chemical	\$	0 \$_	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
4. Civil	\$	<u>0</u> <u>\$</u>	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
5. Electrical	\$	<u>0</u> <u>\$</u>	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
6. Mechanical	\$	<u>0</u> <u>\$</u>	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
7. Metallurgical/ Materials	\$	0 \$_	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
8. Other engineering	\$	<u>0</u> <u>\$</u>	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
9. Total ²	\$	0 \$_	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0
¹ Key: USDA, Departm Health and Human S															

National Science Foundation. "Other" includes all other federal agencies. ² Row and column totals are automatically generated on the Web survey.

Now and column totals are automatically	generaled on the web sulvey.	
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Ex	amples of Disciplines: I	Engineering Fields of R&D	
A: Engineering 1. Aeronautical/Astronautical Aerodynamics Aerospace engineering Space technology 2. Bioengineering/Biomedical engineering Biomaterials Medical engineering 3. Chemical Petroleum Petroleum Petroleum refining process Plastics	Architectural Architectural Architecture Environmental Environmental health Geotechnical Hydraulic Hydrologic Sanitary Structural Transportation	5. Electrical Communications Computer Electronics Power 6. Mechanical Engineering mechanics 7. Metallurgical/Materials Ceramic Materials science Metallurgy Mining and mineral Textile	8. Other engineering 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.

federal a		irces below?		s in the phys enditures fro				
		R8		ures from feallars in thousa		es ¹		
R&D Fields	(a)	(b)	(c)	(d) HHS,	(e)	(f)	(g)	(h)
(Examples listed below)	USDA	DoD	Energy	includes NIH	NASA	NSF	Other	Total ²
B. Physical Sciences								
1. Astronomy	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2. Chemistry	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
3. Physics	\$0	<u>\$0</u>	\$0	\$0	\$0	\$0	\$0	\$0
4. Other physical sciences	\$0	\$0	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>
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 2014 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.)

				R	&D ex		tures fi Ilars in			source	es ¹					
R&D Fields		(a)	(b)	(c)		d) IS,	(e	e)	(f)	(g)	(h)
(Examples listed below)	U	SDA	D	oD	En	ergy		es NIH	NA	SA	N	SF	Ot	her	То	tal ²
C. Environmental Science	es															
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**

 C. Environmental Sciences Atmospheric sciences Aeronomy Extraterrestrial atmospheres Meteorology Solar Weather modification C. Environmental Sciences (continued) Earth sciences Cartography Earth and planetary sciences Geochemistry Geology Geomagnetism Geophysics Hydrology Paleomagnetism Paleontology Surveying 	 C. Environmental Sciences (continued) 3. Oceanography Biological oceanography Chemical oceanography Geological oceanography Marine biology Marine oceanography Physical oceanography Physical oceanography Physical oceanography A Other environmental sciences Other environmental sciences that cannot be classified using the fields listed above 	D. Mathematical Sciences Algebra Analysis Applied mathematics Foundations and logic Geometry Numerical analysis Operations research Statistics Topology E. Computer Sciences Computer systems analysis Data processing Information sciences Information technology Management information systems
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Question 9F. What were your FY 2014 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 feo 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	\$	10	\$	0	\$	0	\$ 0	\$ 10
3. Medical sciences	\$	0	\$	0	\$	0	\$	9	\$	0	\$	0	\$ 0	\$ 9
4. Other life sciences	\$	0	\$	0	\$	0	\$	0	\$	0	\$	0	\$ 0	\$ 0
5. Total ²	\$	0	\$	0	\$	0	\$	19	\$	0	\$	0	\$ 0	\$ 19

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 Gerontoloav 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 2014 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)	(1	f)	(9	g)	(h)
R&D Fields (Examples listed below)	US	DA	D	oD	Ene	ergy	HS, les NIH	NA	SA	N	SF	Ot	her	То	tal 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	\$ 12	\$	0	\$	0	\$	0	\$	12

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		tures from fe llars in thousa		ces ¹		
R&D Fields	(a)	(b)	(c)	(d) HHS,	(e)	(f)	(g)	(h)
Examples listed below)	USDA	DoD	Energy	includes NIH	NASA	NSF	Other	Total ²
1. Education	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$C
2. Law	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$C
3. Humanities	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$(
4. Visual and performing arts	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$(
5. Business and management	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$(
 Communication, journalism, and library science 	\$0	\$0	\$0	<u>\$0</u>	\$0	\$0	\$0	\$(
7. Social work	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$(
8. Other non-S&E fields	\$0	\$0	<u>\$0</u>	\$0	\$0	\$0	\$0	\$(
9. Total ²	<u>\$0</u>	\$0	<u>\$0</u>	\$0	\$0	<u>\$0</u>	\$0	\$(
X. Total for All Fields of R&D ²	s 0	s 0	<u></u> \$0	_{\$} 31	<mark>\$</mark> 0	_{\$} 0	s 0	s 3′

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	
 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 	 3. Humanities (continued) Liberal arts and sciences Philosophy and religion Theological studies and religious vocations 4. Visual and performing arts (no specific examples) 5. 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. Of the amount reported for Other federal sources in Question 9 (row K, column g), which agencies funded this R&D and how much of the reported amount was from each agency? If your institution reported \$0 in Question 9, row K, column g, check here If you could be and go to Question 11. Use rows a−j to list up to 10 agencies that funded the largest R&D expenditures. Use row k to report any remaining amount. For subrecipient funding in this question, list the sponsor of the original award. Please see "Related Information" on the survey website for a list of federal agencies and their subagencies.
 and go to Question 11. Use rows a–j to list up to 10 agencies that funded the largest R&D expenditures. Use row k to report any remaining amount. For subrecipient funding in this question, list the sponsor of the original award. Please see "Related Information" on the survey website for a list of federal agencies
 Use row k to report any remaining amount. For subrecipient funding in this question, list the sponsor of the original award. Please see "Related Information" on the survey website for a list of federal agencies
Federal agencies (list up to 10)R&D expenditures (Dollars in thousands)
a\$
b\$
c\$
d\$
e \$
f\$
g\$
h\$
i\$
j\$
k. Other agencies included in Question 9, column g, but not listed above <u>\$</u>
I. Total (should match Question 9, row K, column g.) ¹
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, row a, was funded by the American Recovery and Reinvestment Act (ARRA)?				
		xpenditures in thousands		
Total R&D expenditures from ARRA funds	\$	0		

Question 12A–B. What were ye sciences fiel			ures in the enginal sources belo		iysical	
Question • If an indivi	1, rows b–f. dual project inv	volves more th	natch the corresp man one of the 36 ad report the amo	ields of R&D,	please	
	R		ures from nonfe ollars in thousand			
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	<u>\$0</u>	<u>\$0</u>	\$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	<u>\$0</u>	\$0	\$0	\$0	\$0
B. Physical Sciences						
1. Astronomy	\$0	\$0	\$0	\$0	\$0	\$0
2. Chemistry	\$0	\$0	\$0	\$0	\$ <u>0</u>	\$0
3. Physics	\$0	\$0	\$0	\$0	\$ <u>0</u>	\$0
4. Other physical sciences	\$0	\$0	\$0	\$0	\$ <u>0</u>	\$0
5. Total ¹	\$0	\$0	\$ <u>0</u>	\$0	\$0	\$0

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

	e your FY 2014 I nfederal source		tures in the R&I) fields listed b	elow funded	
	I		tures from nonfo Dollars in thousan			
	(a) State and	(b)	(c)	(d)	(e) Other	(f)
R&D Fields (See Question 9, pp. 13–15)	local government	Business	Nonprofit organizations	Institutional funds	nonfederal sources	Total ¹
C. Environmental Sciences	government	Dusiliess	organizations	Tunus	Sources	Total
1. Atmospheric sciences	\$0	\$0	\$0	\$0	\$0	\$ <u>0</u>
2. Earth sciences	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>
3. Oceanography	\$0	\$0	\$0	\$0	\$0	\$0
4. Other environmental sciences	\$0	\$0	\$0	\$0	\$0	\$0
5. Total ¹	\$0	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
D. Mathematical Sciences	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>
E. Computer Sciences	\$0	<u>\$</u> 0	\$0	<u>\$0</u>	\$0	\$0
F. Life Sciences						
1. Agricultural sciences	\$0	\$ <u>0</u>	\$0	\$0	\$0	\$0
2. Biological sciences	\$0	\$0	\$0	\$ <u>16</u>	\$0	<u></u> \$16
3. Medical sciences	<u></u> §61	<u></u> \$151	\$0	<u></u> 1386	\$0	<u></u> \$_1598
4. Other life sciences	\$0	<u>\$0</u>	\$0	<u>\$0</u>	\$0	\$0
5. Total ¹	<u></u> §61	<u></u> \$151	\$0	<u></u> \$_1402	\$0	<u></u> 1614
G. Psychology	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
H. Social Sciences						
1. Economics	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>
2. Political science	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>
3. Sociology	\$0	\$0	\$0	\$0	\$0	\$0
4. Other social sciences	\$0	\$0	\$0	\$0	\$0	\$0
5. Total ¹	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>
I. Other Sciences	<u></u> \$43	<u></u> §94	\$0	<u></u> \$23	\$0	<u></u> \$160

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 2014 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	<u>\$0</u>	\$0	\$0	<u>\$0</u>	\$0	\$ <u>0</u>	
2. Law	\$0	\$0	\$0	\$0	\$0	\$0	
3. Humanities	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>	
4. Visual and performing arts	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>	
5. Business and management	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>	
6. Communication, journalism, and library science	\$0	\$0	\$0	\$0	\$0	\$0	
7. Social work	\$0	<u>\$</u>	\$0	\$0	\$0	<u>\$0</u>	
8. Other non-S&E fields	\$0	\$0	\$0	\$0	\$0	\$0	
9. Total ¹	\$0	\$0	\$0	\$0	\$0	<u>\$0</u>	
K. Total for All Fields of R&D ¹	<u></u> \$104_	<u></u> \$245	\$0	<u></u> \$_1425	\$0	<u></u> 1774	
Totals in row K, columns a	a-e should matc	h correspond	ling sources in	Question 1, rov	ws b–f.		

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 v	were
Please report only direct costs (including cost sharing) in rows a- Recovered and unrecovered indirect costs should be reported in		
		R&D expenditures (Dollars in 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.		\$ <u>1065</u>
b. Software purchases All payments for software. Include both purchases of software		
packages and license fees for systems.		
1. Noncapitalized software		\$ <u>14</u>
 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.		\$ <u>2</u>
d. Pass-throughs to other universities or organizations (should match the total in Question 8, row e, column 3)		\$0
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.		\$ <u>614</u>
f. Indirect costs		
1. Recovered indirect costs Reimbursement of Facilities and Administrative (F&A) costs from external sponsors.	\$ <u>48</u> (Confidential ¹)	
2. Unrecovered indirect costs	s 62	
(should equal Question 1, row e3)	<pre></pre>	
3. Total indirect costs ²	· · · ·	_{\$} 110
g. Total ²		s 1805
(should match total from Question 1, row g)		Ψ
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 responses will not be disclosed in identifiable form to anyone other than agency employe ² Totals are automatically generated on the Web survey.	ded, and other appl	icable federal laws, your

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Question 14. At the end of FY 2014, what were your institution's dollar capitalization thresholds (in thousands) for software and equipment?					
Dollars in thousands					
(1) (2)					
	Software	Equipment			
Capitalization thresholds	<u>\$</u> 5.0	_{\$} 5.0			

Question 15A–C. For the R&D fields below, what portion of your FY 2014 R&D expenditures went for the purchase of capitalized R&D equipment?						
Question 15 total (row K, column c) s	hould match Questio	n 13, row c (Capitaliz	zed equipment).			
R&D equipment expenditures (Dollars 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	\$ <u>0</u>	\$0	\$0			
5. Electrical	\$0	\$0	\$0			
6. Mechanical	\$0	\$ <u>0</u>	\$0			
7. Metallurgical/Materials	\$0	\$0	\$0			
8. Other engineering	\$0	\$0	\$0			
9. Total ¹	s 0	s 0	s 0			
B. Physical Sciences						
1. Astronomy	\$0	\$0	\$ <u>0</u>			
2. Chemistry	\$0	\$0	\$0			
3. Physics	\$0	\$0	\$0			
4. Other physical sciences	\$0	\$0	\$0			
5. Total ¹	s 0	<u></u> \$0	s 0			
$\Phi_{$						
1. Atmospheric sciences	\$0	\$0	\$0			
2. Earth sciences	\$0	\$ <u>0</u>	\$0			
3. Oceanography	\$0	\$0	\$0			
4. Other environmental sciences	\$0	\$0	\$0			
5. Total ¹	\$0	\$0	\$0			
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 11–13.

Question 15 continues on next page.

Question 15D–I. For the R&D fields below, what portion of your FY 2014 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	\$0	\$0			
E. Computer Sciences	\$0	\$0	\$0			
F. Life Sciences						
1. Agricultural sciences	\$ <u>0</u>	\$0	\$0			
2. Biological sciences	\$0	\$0	\$0			
3. Medical sciences	\$0	\$ <u>2</u>	\$ <u>2</u>			
4. Other life sciences	\$0	\$0	\$0			
5. Total ¹	\$0	\$2	<u>\$2</u>			
G. Psychology	\$0	\$0	\$0			
H. Social Sciences						
1. Economics	\$0	\$0	\$0			
2. Political science	\$0	\$ <u>0</u>	\$0			
3. Sociology	\$0	\$0	\$0			
4. Other social sciences	\$ <u>0</u>	\$ <u>0</u>	\$0			
5. Total ¹	\$0	\$0	\$0			
I. Other Sciences	\$0	\$0	\$0			
^{ψ} ψ						

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 2014 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	\$0	\$0				
2. Law	\$0	\$0	\$0				
3. Humanities	\$0	\$0	\$0				
4. Visual and performing arts	\$0	\$0	\$0				
5. Business and management	\$0	\$0	\$0				
 Communication, journalism, and library science 	\$0	\$0	\$0				
7. Social work	\$ <u>0</u>	\$0	\$ <u>0</u>				
8. Other non-S&E fields	\$0	\$0	\$0				
9. Total ¹	\$ <u>0</u>	\$0	\$0				
K. Total for All Fields of R&D1 $\$ 0 $ $\$ 2$ $\$ 2$							
Total for row K, column c, should match Question 13, row c (Capitalized equipment).							
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 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 on one project and other personnel on another project, count that person as a PI. 						
 Include all personnel and student they received. 	s paid from R&D acc	counts regardless	of how much			
	(1)	(2)	(3)			
Principal All other investigators personnel Total ¹						
Number of people (headcount)	Number of people (headcount) Unavailable Unavailable					
¹ The row total is automatically generated on the Web survey.						

Question 17. Of the headcount reported in Question 16, column 3, how many are categorized as postdocs?				
NSF defines postdocs as meeting both o	of the following qualifications:			
 Holds a recent doctoral degree, generally awarded within the last 5 years PhD or equivalent such as an ScD or DEng or First professional degree in a medical or related field (MD, DDS, DO, DVM) or Foreign equivalent to a U.S. doctoral degree 				
 2. Has a limited-term appointment, generally no more than 5–7 years Primarily for training in research or scholarship <i>and</i> Working under the supervision of a senior scholar in a unit affiliated with <i>your</i> institution 				
Number of postdocs (headcount)	Unavailable			

Question 18.					
A. Contact information: Please complete the contact information for the person responsible for the survey and an alternate contact.					
	Primary contact	Alternate contact			
Name	Bob Dixon	Carmen Tetik			
Title	Director of Grants and Contracts	Grants and Contracts Accountant			
Institution name	Oklahoma State University	Oklahoma State University			
Department/office	Grants and Contracts Financial Administration	Grants and Contracts Financial Administration			
Mailing address (line 1)	401 Whitehurst	401 Whitehurst			
Mailing address (line 2)					
City, state, and ZIP code	Stillwater OK 74078	Stillwater OK 74078			
Phone number	405-744-6512	405-744-8241			
E-mail address	robert.dixon@okstate.edu	carmen.tetik@okstate.edu			

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

June

C. Additional comments: