



NATIONAL SCIENCE FOUNDATION
ARLINGTON, VA 22230

SURVEY OF RESEARCH AND DEVELOPMENT EXPENDITURES
FY 2002

Organizations are requested to complete and return this form to:

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

If you prefer, your response to the survey may be sent by e-mail to:
expweb@qrc.com

This form should be returned by March 31, 2003.

REMEMBER: Now you may submit your data and find all necessary definitions and instructions at <http://www.qrc.com/expweb>. Please note that your Web user ID and password were e-mailed to you with the survey information.

Your cooperation in returning the survey questionnaire promptly is very important.

This information is solicited under the authority of the National Science Foundation Act of 1950, as amended. Your response is entirely voluntary and your failure to provide some or all of the information will in no way adversely affect your institution.

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

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

Please correct if name or address has changed.

If you have any questions please contact Marge Machen of NSF at (703) 292-7786, or call ORC Macro at 1-866-349-8626.

Financial data are requested for your institution's 2002 fiscal year.
Please circle the month in which your institution's fiscal year begins

1	2	3	4	5	6	7	8	9	10	11	12
JAN											DEC

It is estimated that response to this survey will require 4 hours. If you wish to comment on this burden, please contact Suzanne H. Plimpton of NSF at (703) 292-7556, or email splimpto@nsf.gov.

How many person hours were required to complete this form? _____
Date submitted _____

Scope:

This survey contains one question which requests data on *current fund expenditures* by source of funds for separately budgeted research and development (R&D) in science and engineering. Definitions used are compatible with OMB Circular A-21, revised April 26, 1996.

Definitions:

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

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

Development is systematic use of the knowledge or understanding gained from research, directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

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

PERSON WHO SUBMITTED THIS FORM (PLEASE TYPE OR PRINT)

NAME:	TELEPHONE NUMBER:
TITLE:	EMAIL:
	FAX:

PERSON WHO PREPARED THIS FORM (IF DIFFERENT FROM ABOVE)

NAME:	TELEPHONE NUMBER:
TITLE:	EMAIL:
	FAX:

Instructions

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

Total

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

How much of your current fund expenditures for separately budgeted research and development in the sciences and engineering (including indirect costs) came from the following sources in FY 2002?

Source of Funds	Line No.	(1) Total (Dollars in Thousands)	(2) What Percentage of Federal & Total Funds Are Basic Research	BASIC RESEARCH Please provide the percentages of Federal and total expenditures that are basic research (not applied research) as defined in column (2). CONFIDENTIALITY Information received from individual institutions in lines 1161 and 1162, or estimates for basic research expenditures, will NOT be published or released; only aggregate totals will appear in tabulations.
a. Federal Government	1110	\$	_____ %	
b. State and local governments	1125		Basic research is directed toward an increase of knowledge; it is research where the primary aim of the investigator is a fuller knowledge or understanding of the subject under study rather than a specific application thereof.	
c. Industry	1150			
d. Institution funds (sum of lines 1161 and 1162)	1160			
(1) Institutionally financed organized research	1161			
(2) Unreimbursed indirect costs and related sponsored research	1162			
e. All other sources	1175			
f. TOTAL (sum of a through e)	1100	\$	_____ %	