

## Appendix B – Survey Data Sheet

### **DEMOGRAPHICS AND OTHER DATA (Questions #6 – 14 per Appendix A)**

Of the 145 institutions that answered whether they were public or private, 30% (43/145) indicated they were private, and 70% indicated they were public (102/145). In addition, 32 respondents also indicated they were land grant, and 50 indicated they had medical schools and/or hospitals. 89% of respondents indicated their cognizant agency (CA) was HHS (129/145) with 11% (16/145) designating ONR as their CA.

63% of respondents (79/127) have 4 years in their rate agreement, by far the majority. 64% (80/126) of respondents have tiered rates (e.g., 51, 51.5, 52), and the majority of respondents (76%) did not have a current rate extension. Of those that did have a rate extension, 49% (15/31) had a 4 year extension. When asked what type of rate institutions used for clinical trials, 35% (47/134) indicated they did not have clinical trials, while 38% (50/134) responded that they used either a separate or “other” rate. Other responses included using the Off-Campus Rate (9%), On Campus Rate (9%) and the OSA rate (11%) – See Question #9.

When asked about how benefits are charged to federal awards, 52% (67/130) of respondents said they charge actual costs, while 46 % (59/130) said they charged a fringe benefit rate. There were 4 institutions that charge a combination of fringe and actual costs. 72% (89/125) of respondents include future capital projections in the approved rate. Full detail on all questions from this section (including color graphics) is found below.

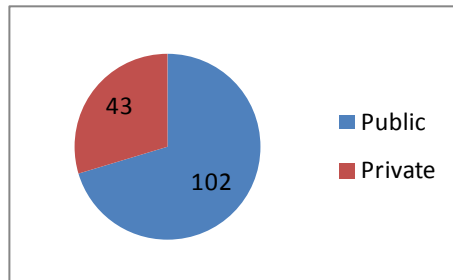
**TOTAL SURVEYS SUBMITTED: 145.**

**Note: Since institutions were not required to respond to all questions (only questions 2-5 were required), the total number of responses to each question will vary. We noted the number of responses for each question under “Total Responses.”**

### **Question 6.**

#### **Public vs. Private vs. Other Overall**

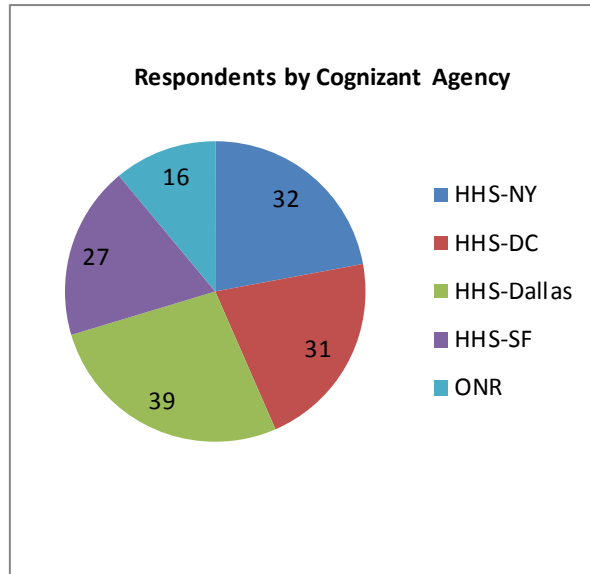
Public	102
Private	43
<b>Total Responses</b>	<b>145</b>



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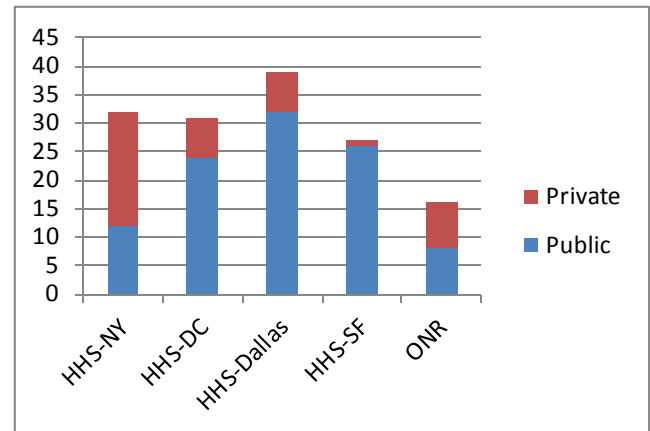
### Question 7. Cognizant Agency?

HHS-NY (Northeastern)	32
HHS-DC (Mid-Atlantic)	31
HHS-Dallas (Central)	39
HHS-SF (Western)	27
Office of Naval Research	16
<b>Total Responses</b>	<b>145</b>



### Public/Private Institutional Breakdown by Cognizant Agency

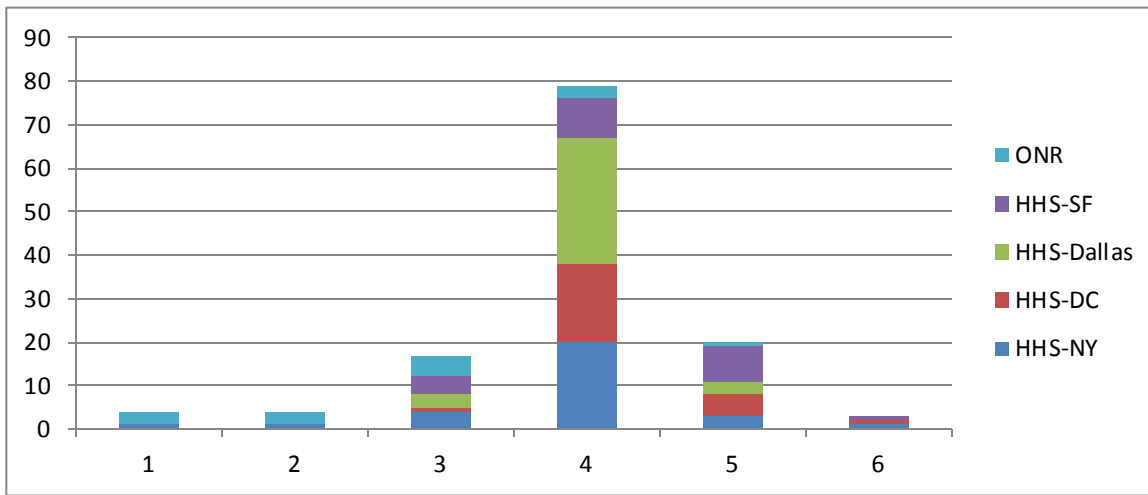
	HHS-NY	HHS-DC	HHS-Dallas	HHS-SF	ONR
Public	12	24	32	26	8
Private	20	7	7	1	8
<b>Total</b>	<b>32</b>	<b>31</b>	<b>39</b>	<b>27</b>	<b>16</b>
<b>Total Responses</b>	<b>145</b>				



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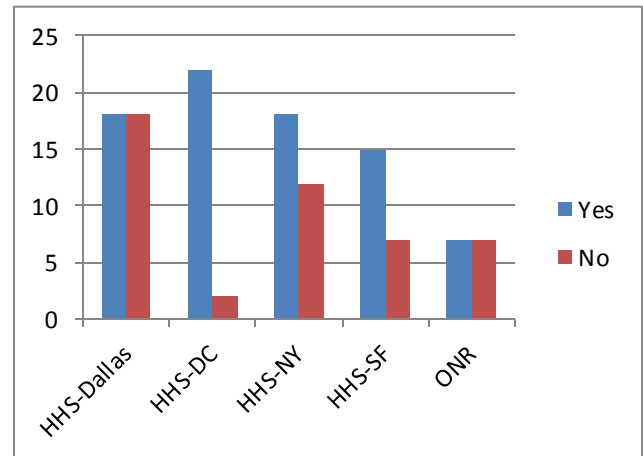
### Question 7. # Of Years in Rate Agreement by Agency

# of years	HHS-NY	HHS-DC	HHS-Dallas	HHS-SF	ONR
1	1				3
2	1				3
3	4	1	3	4	5
4	20	18	29	9	3
5	3	5	3	8	1
6	1	1		1	
Totals	30	25	35	22	15
<b>Total Responses:</b>	<b>127</b>				



### Question 7. Were Rates Tiered? (By Agency)

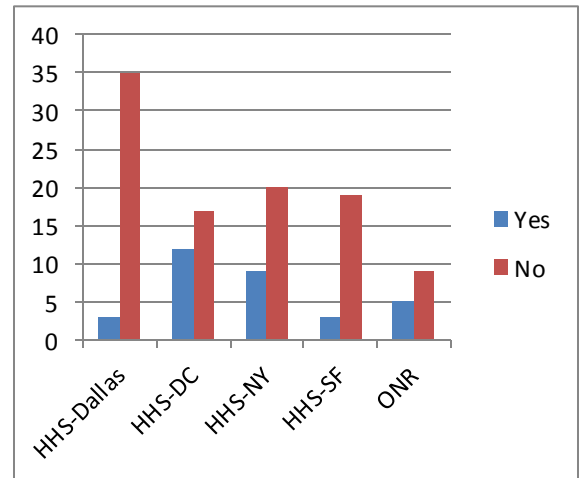
	Yes	No
HHS-Dallas	18	18
HHS-DC	22	2
HHS-NY	18	12
HHS-SF	15	7
ONR	7	7
Total	80	46
<b>Total Responses:</b>	<b>126</b>	



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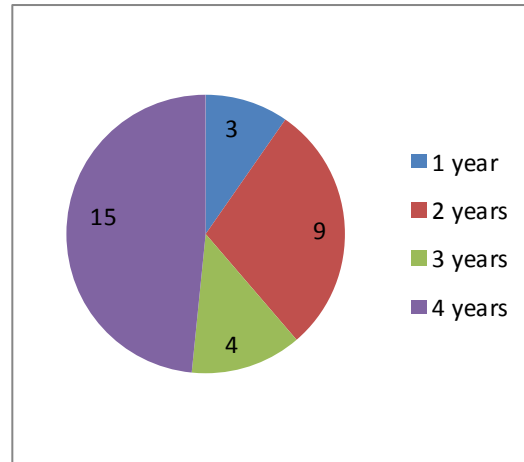
### Question 7. Do you have a current rate extension? (By Agency)

	Yes	No
HHS-Dallas	3	35
HHS-DC	12	17
HHS-NY	9	20
HHS-SF	3	19
ONR	5	9
Total Yes/No	32	100
<b>Total Responses:</b>	<b>132</b>	



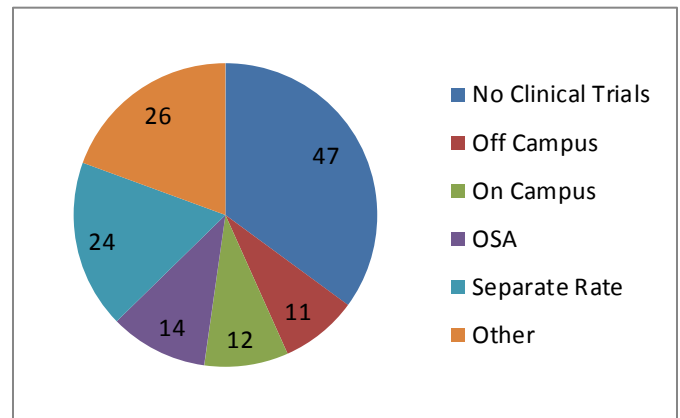
### Question 7. Of those that said “yes” – how long is your rate extension?

1 year	3
2 years	9
3 years	4
4 years	15
<b>Total Responses:</b>	<b>31</b>



### Question 9. What rate do you use for clinical trials?

Type of Rate	#
No Clinical Trials	47
Off Campus	11
On Campus	12
OSA	14
Separate Rate	24
Other	26
<b>Total Responses:</b>	<b>134</b>



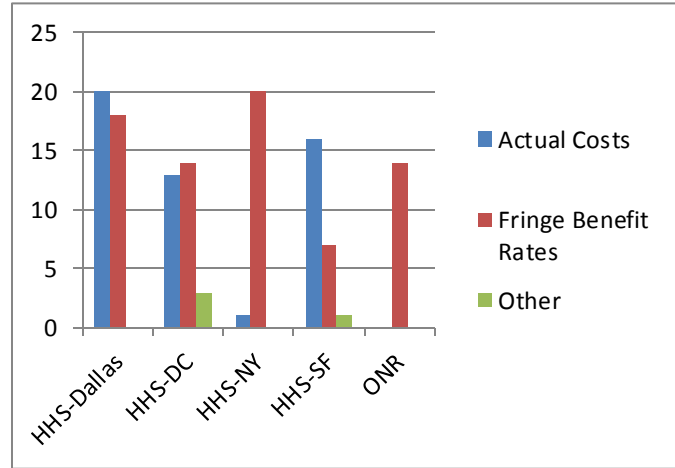
- “Other Rate” – most of these respondents had separate rates for federal clinical trials vs. industry, where rates were typically between 25-28% for Industry, Federal typically used OSA rates.

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- “Separate Rate” – 18 respondents gave additional data here –Wide array of responses here. Some used a percentage of TDC, some MTDC. Some chose separate rate when they broke out federal vs. nonfederal clinical trials. Rates were between 10-30%.

### **Question 11. Do you charge benefits to federal awards using negotiated benefit rates or based on actual costs?**

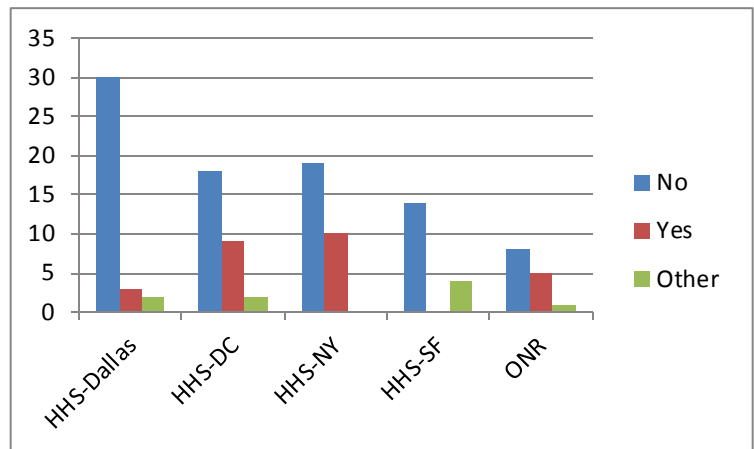
	Actual Costs	Fringe Benefit Rates	Other
HHS-Dallas	20	18	0
HHS-DC	13	14	3
HHS-NY	1	20	0
HHS-SF	19	7	1
ONR	0	14	0
Total:	53	81	4
<b>Total Responses:</b>	<b>130</b>		



- “Other”: Combination of actual vs. fringe – as one respondent indicated: “Fringe benefits specifically tied to each employee are charged individually as direct cost, they are FICA, Life Insurance, Health Insurance and TIAA/CREF. The following fringe benefits have a negotiated rate: Disability, Workers Compensation, Employee Education, Supplemental Retirement Income, Post-Retirement Benefits, Wellness, Unemployment, Terminal Vacation and Terminal Sick Leave”

### **Question 14. Are future capital projections included in the approved rate? (By agency)**

	No	Yes	Other
HHS-Dallas	30	3	2
HHS-DC	18	9	2
HHS-NY	19	10	0
HHS-SF	14	0	4
ONR	8	5	1
Totals	89	27	9
<b>Total Responses:</b>	<b>125</b>		



- “Other” includes Rate not yet approved (majority), unknown and extractable/undetermined

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### **NEGOTIATION EXPERIENCE (Questions #17 – 25 Per Appendix A)**

In the 2016-2017 Survey, we asked additional questions regarding an institution’s negotiation experiences. Institutional individual responses will remain confidential, but are broken out here by cognizant agency for frame of reference.

When asked about the 4 year rate extension, 85% (102/120) indicated they are not utilizing the extension. 62% (74/121) do componentize buildings; do a library study, or another special study. Of those who have base years of FY14 or later, a large majority (70%) do have to calculate and support the UCA. 85% (98/116) allocate equipment on a room by room basis.

We asked whether or not negotiators did a walk-through of any research space, and whether there was an adjustment made to any of that space. The combination of answers to these two questions was interesting. For example, the situation where there was no walk through, but there was an adjustment to the research space accounted for 16% of the responses (17/107).

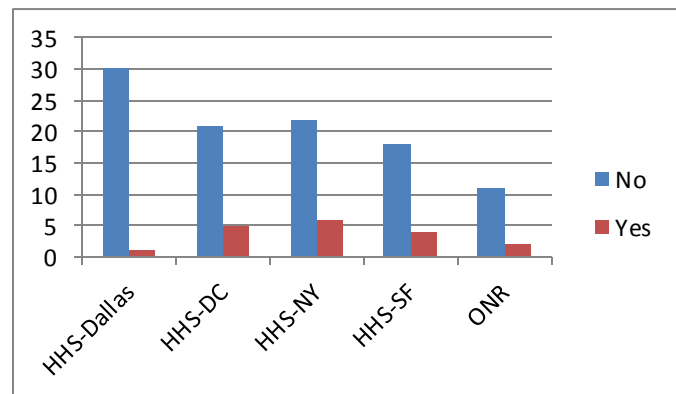
Institutions were also evenly split (45, No – 47, Yes) on whether projections were addressed in the negotiations. 33% (38/115) reported submitting DS-2 (or revised DS-2s), while 67% said they did not.

95% (107/113) of institutions reported feeling the negotiations were conducted in a fair and reasonable manner. Of the no’s, the following explanations were reported: 1) there was little negotiation, 2) it was well known there were going to be certain ‘mark down’s’ in mind before negotiations began, 3) no rationale was given for adjustments, 4) they would not accept documentation provided as justification of proposed rates.

The data and graphs below depict responses by cognizant agency and are numbered where appropriate to correlate with the specific question on the survey. For each data set, there is a corresponding colored graph or chart for visual aide.

### **Question 17. Did you utilize the 4 year rate extension? Yes/no by agency)**

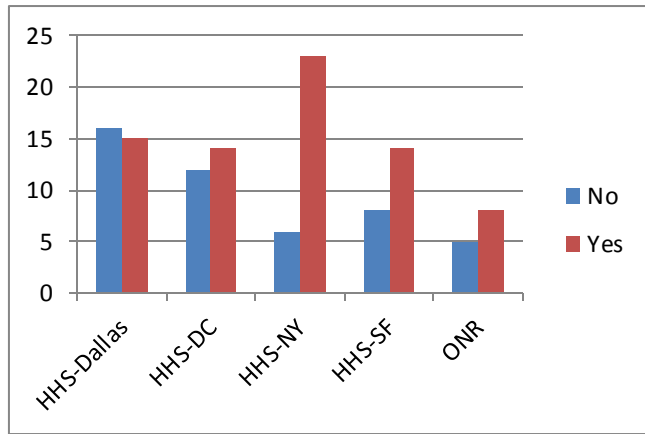
	No	Yes
HHS-Dallas	30	1
HHS-DC	21	5
HHS-NY	22	6
HHS-SF	18	4
ONR	11	2
Totals	102	18
<b>Total Responses:</b>	<b>120</b>	



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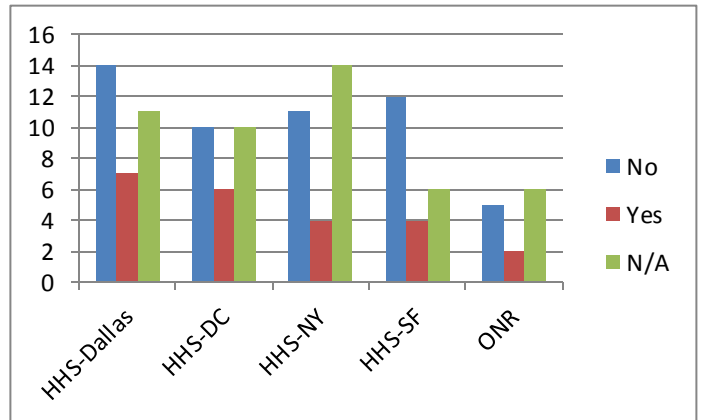
### Question 18. Did you componentize buildings; do a library study, or any other special study?

	No	Yes
HHS-Dallas	16	15
HHS-DC	12	14
HHS-NY	6	23
HHS-SF	8	14
ONR	5	8
Totals	47	74
<b>Total Responses:</b>	<b>121</b>	



### Question 19. Do you have to calculate and support the UCA? (By Agency)

	No	Yes	N/A
HHS-Dallas	14	7	11
HHS-DC	10	6	10
HHS-NY	11	4	14
HHS-SF	12	4	6
ONR	5	2	6
Totals	52	23	47
<b>Total Responses:</b>	<b>122</b>		

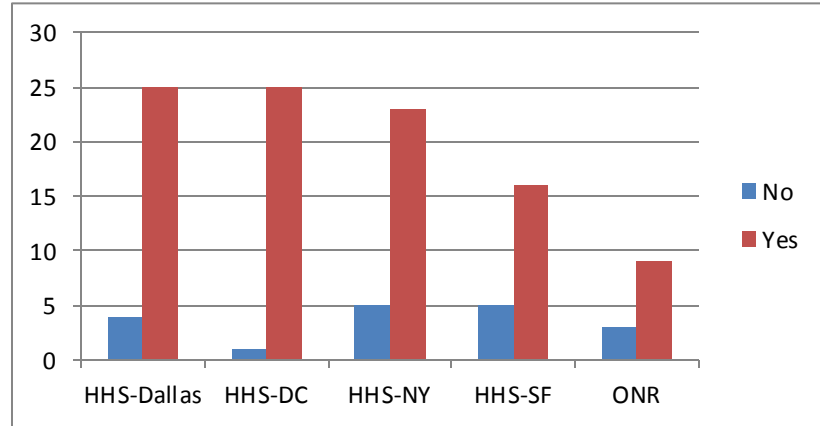


- *N/A (If base Year is Prior to FY 14 and did not have the UCA)*

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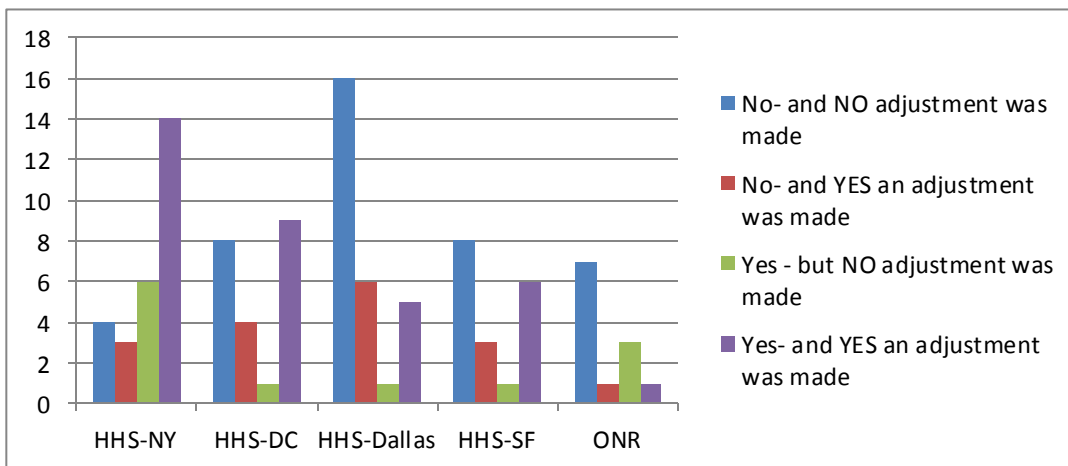
### Question 20. Did you allocate equipment on a room by room basis?

	No	Yes
HHS-Dallas	4	25
HHS-DC	1	25
HHS-NY	5	23
HHS-SF	5	16
ONR	3	9
Totals	18	98
<b>Total Responses:</b>	<b>116</b>	



### Question 21. Did the negotiators walk through any of your research space? Was there an adjustment made to any research space?

	HHS-NY	HHS-DC	HHS-Dallas	HHS-SF	ONR	Totals
No- and NO adjustment was made	4	8	16	8	7	43
No- and YES an adjustment was made	3	4	6	3	1	17
Yes – but NO adjustment was made	6	1	1	1	3	12
Yes- and YES an adjustment was made	14	9	5	6	1	35
Totals	27	22	28	18	12	
<b>Total Responses:</b>	<b>107</b>					

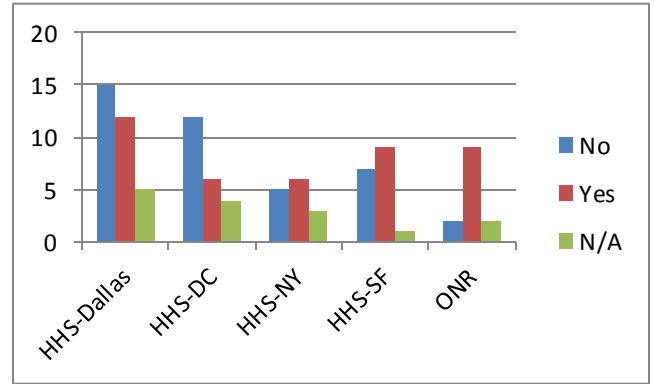




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### Question 22. Did the Federal Negotiator provide any analysis/reason for adjusting your rates below your proposed rate?

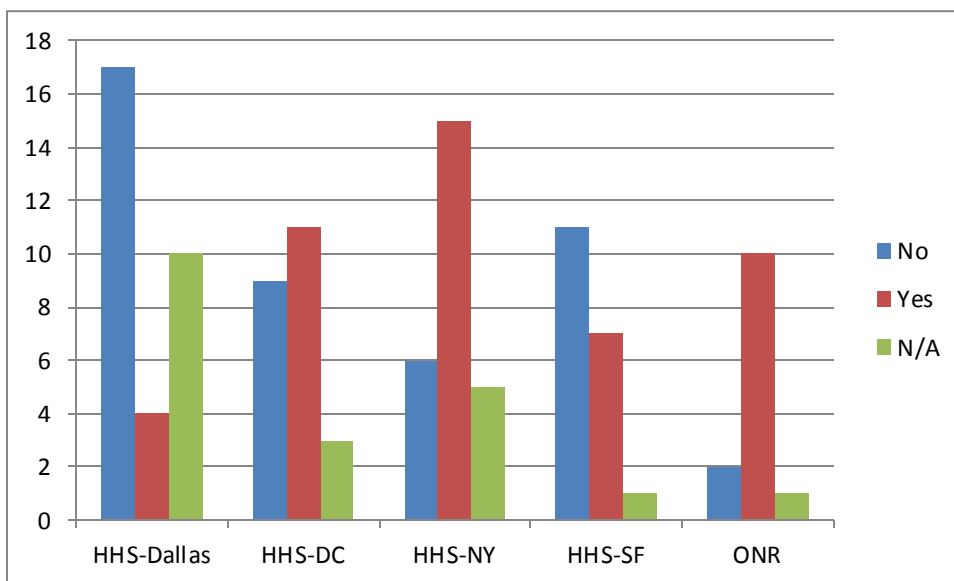
	No	Yes	N/A
HHS-Dallas	15	12	5
HHS-DC	12	6	4
HHS-NY	5	6	3
HHS-SF	7	9	1
ONR	2	9	2
Totals	41	42	15
<b>Total Responses:</b>	<b>98</b>		



- N/A were a combination of "Yet to do final negotiation" or "Unknown"

### Question 23. Were projections addressed in the negotiation?

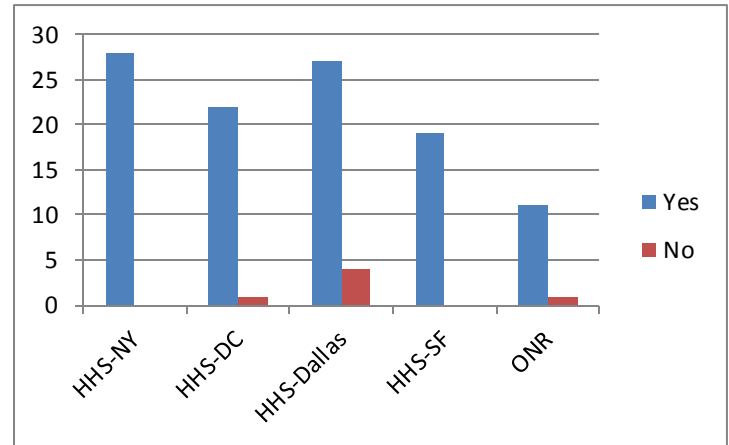
	No	Yes	N/A
HHS-Dallas	17	4	10
HHS-DC	9	11	3
HHS-NY	6	15	5
HHS-SF	11	7	1
ONR	2	10	1
Totals	45	47	20
<b>Total Responses:</b>	<b>112</b>		



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### Question 24. Was the negotiation conducted in a fair and reasonable manner?

	HHS-NY	HHS-DC	HHS-Dallas	HHS-SF	ONR
Yes	28	22	27	19	11
No	0	1	4	0	1
Totals	28	23	31	19	12
<b>Total Responses:</b>	<b>113</b>				



Of the “no’s” (and a few yes’s):

- There was little negotiation
- Well known there is a certain ‘mark down’ in mind before negotiations
- No rationale given for adjustment
- Would not accept documentation provided as justification of proposed rates

### Question 25. Did you submit a DS-2/Revised DS-2?

	No	Yes
HHS-Dallas	17	13
HHS-DC	18	7
HHS-NY	20	7
HHS-SF	13	7
ONR	9	4
Totals	77	38
<b>Total Responses:</b>	<b>115</b>	

