

# **OFFICE OF RESEARCH AND OFFICE OF THE CONTROLLER**

## **HERD Survey**

**Institutional Research Expenditures for A Funded Faculty**

**October 2024**





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# HERD Survey



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# The HERD Survey

Each year, the National Science Foundation conducts an annual survey of **Higher Education Research and Development Survey (HERD)** expenditures at U.S. colleges and universities.



The HERD Survey is the primary source of information on R&D expenditures at U.S. colleges and universities (over 900 institutions participate each year).

The survey collects information on R&D expenditures by field of research and source of funds and gathers information on types of research, expenses, and headcounts of R&D personnel.



# Why is it important?

Competitively funded research support is one of the most important indicators for inclusion in the Association of American Universities (AAU).

The AAU relies on HERD data to evaluate universities for inclusion in its membership.

Being able to accurately chart the sources of funding for research expenditures is crucial to understanding the competitiveness of USC.

Data collected through the HERD Survey is also used to determine Carnegie Classification of higher education institutions along with other ratings and rankings.



# Defining Research



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# Definition of Research for the NSF HERD Survey

## Definitions:

Research and development: R&D activity is creative and systematic work undertaken to increase the stock of knowledge—including knowledge of humankind, culture, and society—and to devise new applications of available knowledge. R&D covers three activities: basic research, applied research, and experimental development. R&D does not include public service or outreach programs, curriculum development (unless included as part of an overall research project), or non-research training grants.

R&D expenditures: Expenditures for R&D activities from the institution's current operating funds that are budgeted and accounted for separately. For the purposes of HERD, R&D includes expenditures for organized research and expenditures from funds designated for research. This includes sponsored and university research.



# Research Examples

Type of R&D	Basic Research	Applied Research	Development
Definitions	Research undertaken primarily to acquire new knowledge without a specific application or use in mind.	Research conducted to gain the knowledge or understanding to meet a specific recognized need.	The systematic use of the knowledge gained from research directed toward the production of useful materials, devices, or methods, including the development of prototypes and processes.
Examples	A researcher is studying the properties of human blood to determine what affects coagulation.	A researcher is investigating 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 properties of substances at various temperatures to improve the durability of asphalt.	A researcher is working with state transportation officials to conduct tests of a newly developed highway pavement at various temperatures.



# Reporting and Criteria



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# HERD eForm Reporting

In partnership with the Office of the Vice President of Research and the Provost's Office, the USC Controller's Office has developed a new electronic form, similar to the time and effort process, to streamline the HERD reporting process for fiscal year 2023-2024 using PeopleSoft HCM.

Reports will be generated annually and available for review and approval in PeopleSoft HCM.

Chairs/Supervisors will receive automated email notifications from PeopleSoft once reports are created.



# Email Notification Example

**From:** PeopleSoft@peoplesoft.com <PeopleSoft@peoplesoft.com>  
**Sent:** Wednesday, September 11, 2024 10:23 AM  
**To:** Chair/Supervisor Name  
**Subject:** Approval Needed: HERD Reporting, Form 776234, John Tolkien

A HERD Reporting eForm has been created for John Tolkien for the FY24: July 1, 2023 – June 30, 2024 reporting period that requires review and approval. Please login into PeopleSoft HCM to review and approve this form or follow the link below.

To access this form, click the link below: [https://hcm-prd.ps.sc.edu/psp/HPRD/EMPLOYEE/HRMS/c/G3FRAME.G3SEARCH\\_FL.GBL?Page=G3SEARCH\\_FL&Action=U&G3FORM\\_ID=780620&G3FORM\\_TASK=EVL](https://hcm-prd.ps.sc.edu/psp/HPRD/EMPLOYEE/HRMS/c/G3FRAME.G3SEARCH_FL.GBL?Page=G3SEARCH_FL&Action=U&G3FORM_ID=780620&G3FORM_TASK=EVL)

Review and approval are required to be completed promptly within 10 business days of receipt. Unapproved forms will be excluded from the University's reporting of Higher Education Research and Development expenses. If you have questions regarding this form or process, please visit the Controller's Office website to review the training webinar [here](#) or review the job aid [here](#).

Thank you for your prompt attention to this request.

Operational Management and Reporting Team

USC Controller's Office

[HERD@sc.edu](mailto:HERD@sc.edu) |

- Notifications will come from peoplesoft.com
- These emails are not spam or phishing.
- The email will include a link to the job aid and training.



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# Criteria Used to Identify Faculty

A HERD eForm Report will automatically be generated for any employee that met the following criteria during the reporting period:

1. Held an unclassified primary job code that begins with UG or UD **AND**
2. Had salary paid from the University's unrestricted operating fund (A Funds, non-research purpose/classification codes).

Summer salary is excluded from the report as it is captured separately for HERD reporting purposes.

Reports are based on paycheck date (not earnings date) for actual salary expenses and include **standard fringe rate**.



# HERD eForms



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# Gathering Information

To comply with HERD requirements, it is crucial for each department chair/supervisor to accurately report the research effort of each faculty member and **approve** the eForm.

Research effort must be reported on an individual basis rather than across the board or in the aggregate.

If a faculty member is new to your department and was funded by a different department for the 2024 fiscal year, please contact the previous chair for the percentage of time the individual spent on research.

- You may also reach out to the Controller's Office using [HERD@sc.edu](mailto:HERD@sc.edu) to request the previous chair to be inserted onto the eForm to review and approve.

If someone identified on a report has no research responsibilities, enter 0%. Additional information can be provided in the comment section if necessary. See job aid and demo for additional information on completing the forms.



# Due Dates



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# Due Date for HERD FY2024

The HERD eForm Reports will be generated on Monday, October 7<sup>th</sup>, 2024.

- Automated email notifications from PeopleSoft will be sent to the employee's current supervisor/chair for review and approval.

Forms must be reviewed and approved by **Friday, October 25<sup>th</sup>, 2024.**

Unapproved forms will be excluded from HERD reporting.





# Contacts



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# Contact Information

Please contact your department business manager for salary specific questions. For all other questions, please reach out to the Controller's Office, [HERD@sc.edu](mailto:HERD@sc.edu).

For any research specific questions, please contact Dr. Lumi Bakos at [BAKOS@mailbox.sc.edu](mailto:BAKOS@mailbox.sc.edu).

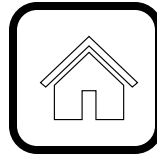


# THANK YOU!

## Office of the Controller



Alone, we can do so little; together,  
we can do so much.



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