

# GUIDELINES FOR DETERMINING RESEARCH & DEVELOPMENT ACTIVITIES

## What counts in the R1 Carnegie Classification®

The term “research” designates an activity designed to test a hypothesis, permit conclusions to be drawn, and thereby to develop or contribute to generalizable knowledge (expressed, for example, in theories, principles, and statements of relationships). Research is usually described in a formal protocol that sets forth an objective and a set of procedures designed to reach that objective. [1]

	Core Criteria (all must be met)	Examples (meet criteria)	Examples (do not meet criteria)
<b>Novel</b>	<ul style="list-style-type: none"> <li>» New knowledge</li> <li>» New applications of available knowledge</li> <li>» Not been done before</li> <li>» Includes ideas that could be patented</li> <li>» Brings about a significant improvement to an existing product or process</li> <li>» New, novel, or changed concepts, approaches, or methods</li> </ul>	<ul style="list-style-type: none"> <li>» Exploring new methods for teacher effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>» Developing a professional development course for teachers to expand their knowledge of a subject</li> </ul>
<b>Creative</b>	<ul style="list-style-type: none"> <li>» Original concepts or ideas</li> <li>» Unique and innovative concepts</li> </ul>	<ul style="list-style-type: none"> <li>» Writing of books when the purpose is to publish research results</li> </ul>	<ul style="list-style-type: none"> <li>» Expressing oneself artistically through books, works of art, or performance</li> <li>» Coding, translating, or digitizing data when these activities are the sole or primary purpose of the project</li> </ul>
<b>Uncertain</b>	<ul style="list-style-type: none"> <li>» Testing a question/hypothesis</li> <li>» Difficult to judge the probabilities of success</li> <li>» Work or methods cannot be precisely described in advance</li> </ul>	<ul style="list-style-type: none"> <li>» Testing approaches to control the level of natural toxins in lake water</li> </ul>	<ul style="list-style-type: none"> <li>» Monitoring the level of natural toxins in lake water for general public health information when this is the sole or primary purpose of the project</li> </ul>
<b>Systematic</b>	<ul style="list-style-type: none"> <li>» Planned, measurable outcomes</li> <li>» Processes and outcomes are documented</li> </ul>	<ul style="list-style-type: none"> <li>» Use of empirical research methods to study the variability of health characteristics among individuals in a population</li> </ul>	<ul style="list-style-type: none"> <li>» Random collection of data on the health characteristics of a population</li> </ul>
<b>Translatable</b>	<ul style="list-style-type: none"> <li>» Can be generalized to other situations or locations</li> <li>» Findings are reproducible</li> <li>» May produce findings that could be published in academic journals</li> <li>» May result in an invention</li> </ul>	<ul style="list-style-type: none"> <li>» Creating an enrichment program for the development of certain life skills for a general population</li> </ul>	<ul style="list-style-type: none"> <li>» Personal advising or counseling or goods/services provided to project participants</li> </ul>

[1] National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research. (1979). *The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research*.

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## Activities that **DO NOT** count in the R1 Carnegie Classification®

	Activity [2]	Examples
<b>Instruction</b>	<ul style="list-style-type: none"> <li>» The instruction classification includes expenses for all activities that are part of an institution's instruction program. Expenses for credit and noncredit courses; academic, vocational, and technical instruction; remedial and tutorial instruction; and regular, special, and extension sessions are included.</li> </ul>	<ul style="list-style-type: none"> <li>» Mentoring programs</li> <li>» Student internships or other supervised on-site work experience</li> <li>» Expansion of an academic program</li> <li>» Continuing education of alumni/public</li> </ul>
<b>Public Service</b>	<ul style="list-style-type: none"> <li>» The public service classification includes expenses for activities established primarily to provide non-instructional services for the benefit of individuals and groups that are external to the institution. These activities include community service programs (excluding instructional activities) and cooperative extension services. Included in this classification are conferences, institutes, general advisory services, reference bureaus, radio and television, consulting, and similar non-instructional services to particular sectors of the community.</li> </ul>	<ul style="list-style-type: none"> <li>» Educational programs/camps for youth</li> <li>» Professional or management services</li> <li>» Community organization/infrastructure efforts</li> <li>» Facilitating access to public services/benefits</li> </ul>
<b>Academic Support</b>	<ul style="list-style-type: none"> <li>» The academic support classification includes expenses incurred to provide support services for the institution's primary programs of instruction, research, and public service. The academic support classification includes the following eight subclasses: Libraries, Museums and Galleries, Educational Media Services, Ancillary Support, Academic Administration, Academic Personnel Development, Course and Curriculum Development, and Academic Support Information Technology.</li> </ul>	<ul style="list-style-type: none"> <li>» Curriculum development</li> </ul>
<b>Non-University Activities</b>	<ul style="list-style-type: none"> <li>» Activities not tracked in the University's accounting system cannot be reported as R&amp;D.</li> </ul>	<ul style="list-style-type: none"> <li>» Fellowships paid directly to the faculty member.</li> </ul>

[2] National Association of College and University Business Officers, Financial Accounting and Reporting Manual for Higher Education, ¶701 Functional Expenses.

**Other Sources Reviewed:**

National Science Foundation, Higher Education Research and Development Survey, FY 2018; Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR 200; Federal Acquisition Regulations; National Science Foundation, Survey of State Government R&D, FY 2018; National Science Foundation, Survey of Nonprofit Research Activities, FY 2016; Organisation for Economic Co-operation and Development, Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development; Financial Accounting Standards Board, Accounting Standards Codification, Topic 730 Research and Development, 730-10-20 Glossary.

**POST-AWARD ADMINISTRATION**

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