Association of American Universities
1200 New York Avenue, NW, Suite 550 Washington, DC 20005 202.408.7500
An association of 62 leading research universities in the United States and Canada

About AAU

The Association of American Universities (AAU) was founded in 1900 by a group of fourteen unive currently consists of 60 American universities and two Canadian universities.

The association serves its members in two major ways. It assists members in developing national policy positions on issues that relate to academic research and graduate and professional education. It also provides them with a forum for discussing a broad range of other institutional issues, such as undergraduate education.

Structure and Operation

AAU holds two membership meetings annually. A fall meeting is conducted on a member campus; a spring meeting is held in Washington, D.C.

Member institutions are represented in AAU by their chief executive officer. The Executive Committee is charged with the general oversight and functioning of the association.

In addition to the Executive Committee, the association has a standing Membership Committee. Ad hoc committees of presidents and chancellors and their staffs are formed as needed.

Membership in the association is by invitation. The invitation of new members, which requires the assent of three-fourths of current members, is considered periodically.

Operation of the AAU Washington office and some of the general costs of AAU meetings are financed by dues paid by the member institutions.

AAU Constituent Groups

AAU Partners is the organization of partners (spouses) of AAU presidents and chancellors, which meets twice a year at the regular membership meetings to share information and address issues related to the myriad roles of the Partner on campus.

Each AAU president and chancellor names one or two institutional representatives to the AAU Council on Federal Relations (CFR). CFR members are typically senior officers of the institution with responsibility for federal relations activity and serve as the day-to-day point of contact between AAU staff and the institution.

The graduate deans of AAU institutions form the Association of Graduate Schools (AGS), which provides a forum for addressing issues concerning doctoral education and serves as an advisory body to AAU on graduate education policy.

The Chief Academic Officers of AAU universities (CAO) meet annually to discuss a variety of national and institutional issues. Their discussions help shape the association's agenda and policy positions.

Public Affairs Officers of AAU institutions participate in the Public Affairs Network (PAN), which promotes coordination of public affairs and federal relations activities on campuses, provides information on a wide range of issues affecting research universities, and serves as a forum for sharing information on public affairs strategies.

Senior Research Officers of AAU institutions (SRO) meet each year to identify issues that relate to the funding, conduct, and regulation of university research.

Affiliations

AAU is a member of the American Council on Education and often coordinates its activities with other higher education organizations, particularly the National Association of State Universities and Land-Grant Colleges (NASULGC), the Council of Graduate Schools (CGS), the Association of American Medical Colleges (AAMC), and the Council on Governmental Relations (COGR).

In matters of national science and research policy, AAU is actively involved with a broad cross-section of other interested organizations, including the National Academies of Sciences and Engineering, the Institute of Medicine, and other groups and professional societies.

Robert M. Berdahl
President, Association of American Universities

AAU Membership Indicators

The AAU presidents and chancellors have adopted the following set of membership indicators to use in assessments of current and potential new members. All indicators will be tabulated as both total values and normalized, per-faculty measures where feasible. In assessing non-U.S. institutions, comparable indicators appropriate to those institutions will be used.

These indicators are divided into Phase I indicators, which will be used as the primary indicators of institutional breadth and quality in research and education, and Phase II indicators, which will be used to provide additional important calibrations of institutional research and education programs. Both the Phase I and Phase II indicators constitute the first stage of membership assessment. The second stage involves a more qualitative set of judgments about institutions and their trajectories.

Phase I Indicators

1) *Competitively funded federal research support:* These data are collected by the National Science Foundation. The Membership Committee has been using obligations, which are the only measures that break down federal support by agency. The committee has recently switched to using NSF research expenditure data, which are more accurate, with a correction factor to subtract the estimated proportion of university expenditures drawn from USDA. Most USDA funding is not allocated competitively, and USDA support accordingly is included as a Phase II indicator.

2) *Membership in the National Academies (NAS, NAE, IOM):* The National Academies' membership database maintains the current institutional affiliation of its members.

3) *National Research Council faculty quality ratings:* These ratings are drawn from the decennial national assessment of research-doctorate programs conducted by the NRC. Though the data become dated between surveys, the committee believes that they continue to provide a valuable peer-assessment of faculty quality. The last NRC report was published in 1995 based on 1993 data; preparation for the next NRC assessment is currently underway.

4) *Faculty arts and humanities awards, fellowships, and memberships:* For its last research doctorate assessment, NRC compiled a list of awards, fellowships, and memberships signifying faculty achievement primarily in arts and humanities fields. The Membership Committee has expanded this list and will use it as an additional assessment of the distinction of an institution's faculty, focusing on the arts and humanities faculty (Attachment 1). Additional appropriate awards, fellowships, and memberships will be added to this list as they are identified.

5) *Citations:* The *U.S. University Science Indicators* citations database provides an annually updated measure of both research volume and quality and will provide a valuable complement to the first four indicators listed above.

Phase II Indicators

1) *USDA, state, and industrial research funding:* Though these three sources of academic research support fund important, high-quality research, they will be treated as phase II indicators since they are generally not allocated through competitive, merit-review processes. Competitively funded USDA research programs that can be separately identified in reported data will be included in phase I data.

2) *Doctoral education:* The committee will use number of Ph.D.s granted annually as well as tabulate the distribution of Ph.D.s across broad disciplinary categories (e.g., engineering but not aerospace engineering), using Department of Education IPEDS (Integrated Postsecondary Education Data System) data. These data will be treated as phase II indicators to de-emphasize the quantitative dimensions of Ph.D. programs and avoid sending an unintended signal to institutions to increase Ph.D. output at a time when many institutions are or are considering scaling back their Ph.D. programs.

3) *Number of postdoctoral appointees:* The committee will use NSF-compiled data from institutions on postdoctoral appointees, most of whom are in the health sciences, physical sciences, and engineering. Postdoctoral education is an increasingly important component of university research and education activities that the committee believes should be tracked in AAU membership indicators. However, because postdoctoral activity is highly correlated with university research and because self-reported postdoctoral data are less uniform than data on federally funded research, postdoctoral appointees will be treated as a phase II indicator.

4) *Undergraduate education:* The committee will assess the institution's undergraduate programs to determine that the institution is meeting its commitment to undergraduate education. Recognizing that differing institutional missions among research universities dictate different ways of providing undergraduate education, the committee will be flexible in this assessment. A number of measures have been suggested, including some that focus on input and others that look primarily at output variables. These are at this time imperfect, but may provide some guidance to the committee in making its judgments on this topic.
Attachment 2 shows the source of the indicator data.

Adopted July 18, 2000

AAU Fact Sheet

The Association of American Universities (AAU) is an organization of research universities devoted to maintaining a strong system of academic research and education. It consists of 60 U.S. universities and two Canadian universities.

AAU was founded in 1900 by a group of 14 Ph.D.-granting universities in the U.S. to strengthen and standardize U.S. doctoral programs. Today, the primary purpose of AAU is to provide a forum for the development and implementation of institutional and national policies promoting strong programs in academic research and scholarship and undergraduate, graduate, and professional education.

Member Institutions and Years of Admission:

Brandeis University (1985)
Brown University (1933)
California Institute of Technology (1934)
Carnegie Mellon University (1982)
Case Western Reserve University (1969)
Columbia University (1900)
Cornell University (1900)
Duke University (1938)
Emory University (1995)
Harvard University (1900)
Indiana University (1909)
Iowa State University (1958)
The Johns Hopkins University (1900)
Massachusetts Institute of Technology (1934)
McGill University (1926)
Michigan State University (1964)
New York University (1950)
Northwestern University (1917)
The Ohio State University (1916)
The Pennsylvania State University (1958)
Princeton University (1900)
Purdue University (1958)
Rice University (1985)
Rutgers, The State University of New Jersey (1989)
Stanford University (1900)
Stonybrook University-State University of New York (2001)
Syracuse University (1966)
Texas A&M University (2001)
Tulane University (1958)
The University of Arizona (1985)
University at Buffalo, The State University of New York (1989)
University of California, Berkeley (1900)
University of California, Davis (1996)
University of California, Irvine (1996)

University of California, Los Angeles (1974)
University of California, San Diego (1982)
University of California, Santa Barbara (1995)
The University of Chicago (1900)
University of Colorado at Boulder (1966)
University of Florida (1985)
University of Illinois at Urbana-Champaign (1908)
University of Iowa (1909)
The University of Kansas (1909)
University of Maryland at College Park (1969)
University of Michigan (1900)
University of Minnesota, Twin Cities (1908)
University of Missouri-Columbia (1908)
University of Nebraska-Lincoln (1909)
The University of North Carolina at Chapel Hill (1922)
University of Oregon (1969)
University of Pennsylvania (1900)
University of Pittsburgh (1974)
University of Rochester (1941)
University of Southern California (1969)
The University of Texas at Austin (1929)
University of Toronto (1926)
University of Virginia (1904)
University of Washington (1950)
The University of Wisconsin-Madison (1900)
Vanderbilt University (1950)
Washington University in St. Louis (1923)
Yale University (1900)

Founding Member Institutions:

The Catholic University of America
Clark University
Columbia University
Cornell University
Harvard University
The Johns Hopkins University
Princeton University
Stanford University
University of California, Berkeley
The University of Chicago
University of Michigan
University of Pennsylvania
The University of Wisconsin- Madison
Yale University

AAU FACTS & FIGURES

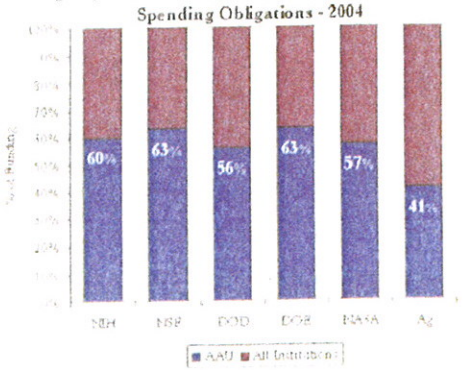
Brandeis University
Brown University
California Institute of Technology
Carnegie Mellon University
Case Western Reserve University
Columbia University
Cornell University
Duke University
Emory University
Harvard University
Indiana University
Iowa State University
The Johns Hopkins University
Massachusetts Institute of Technology
McGill University
Michigan State University
New York University
Northwestern University
The Ohio State University
The Pennsylvania State University
Princeton University
Purdue University
Rice University
Rutgers, The State University of New Jersey
Stanford University
Stony Brook University - State University of New York
Syracuse University
Texas A&M University
Tulane Unviersity
The University of Arizona
University at Buffalo, The State University of New York
University of California, Berkeley
University of California, Davis
University of California, Irvine
University of California, Los Angeles
University of California, San Diego
University of California, Santa Barbara
The University of Chicago
University of Colorado at Boulder
Unviersity of Florida
University of Illinois at Urbana-Champaign
The University of Iowa
The University of Kansas
University of Maryland, College Park
University of Michigan
University of Minnesota, Twin Cities
University of Missouri-Columbia
University of Nabraska-Lincoln
The University of North Carolina at Chapel Hill
University of Oregon
University of Pennsylvania
University of Pittsburgh
University of Rochester
University of Southern California
The University of Texas at Austin
University of Toronto
University of Virginia
University of Washington
The University of Wisconsin-Madison
Vanderbilt University
Washington University in St. Louis
Yale University

The Association of American Universities (AAU) is an association of 60 leading public and private U.S. research institutions. AAU focuses on issues important to research intensive universities, such as funding for research, research policy issues, and graduate and undergraduate education. AAU member universities are on the leading edge of innovation, scholarship, and solutions that contribute to our nation's economy, security, and well-being.

AAU Universities: Research Facts

- In FY 2004, AAU universities received $15.9 billion in federal academic research funding; 58% of all federal research funding to colleges and universities.
- The faculties at AAU universities include 2,993 members of the prestigious National Academies (82% of all members): the National Academy of Science, the National Academy of Engineering, and the Institute of Medicine (2004)
- Approximately two-thirds of the American Academy of Arts and Sciences 2006 Class of Fellows are affiliated with an AAU university.
- Since 1999, 43% of all Nobel Prize winners and 74% of winners at U.S. institutions were affiliated with an AAU university. Additionally, 51% of all Nobel winners have at least one degree from an AAU university.

AAU Universities' Federal Research Funding by Agency as a Percentage of Total Academic Research Spending Obligations - 2004



NIH: $9.1 billion, 60% of total academic research funding
NSF: $2.0 billion, 63% of total academic research funding
DOD: $1.2 billion, 56% of total academic research funding
DOE: $505.2 million, 63% of total academic research funding
NASA: $673.2 million, 57% of total academic research funding
Ag: $271.9 million, 41% of total academic research funding

Source: NSF

AAU Universities: Education Facts (2005)

- Undergraduate students: 1,044,759; 7% nationally
- Undergraduate degrees awarded: 235,328; 17% nationally
- Graduate students: 418,066; 20% nationally
- Master's awarded: 106,971; 19% nationally
- Professional Degrees: 20,859; 25% nationally
- Doctorates awarded: 22,747; 52% nationally
- Postdoctoral Fellows: 30,430; 67% nationally
- Students Studying Abroad: 57,205
- National Merit/Achievement Scholars (2004): 5,434; 63% nationally
- Faculty: approximately 72,000

AAU Universities: Public Service Facts

- Peace Corps alumni: 54,494; 30% nationally
- Teach for America participants (2006): 1,213; 50% nationally
- All 60 U.S. AAU universities have community service programs and many incorporate service-learning experiences for students
- Members of Congress current alumni: 190

Economic and Societal Impacts

AAU institutions contribute significantly to their regional and state economies, as well as to the national economy. AAU institutions employ approximately 800,000 people. The combined operating budgets of AAU universities total approximately $100 billion.

AAU universities use charitable contributions and their endowments to fulfill their education, research, and public service missions. For example, AAU universities awarded approximately $2 billion of their own institutional funds for student financial assistance in 2005-6.

AAU universities have patented and licensed thousands of innovative discoveries and technologies that have led to breakthroughs in medicine, information technology, communications, and energy, to name just a few areas. As a result, new industries, products, and jobs have been created. Licensing revenues generated by these innovations are used to enhance research and educational activities.

AAU Membership Policy

The Association of American Universities is an association of universities distinguished by the breadth and quality of their programs of research and graduate education. Membership in the association is by invitation. The association maintains a standing Membership Committee, which periodically evaluates non-member universities for invitation to membership, and evaluates current members to assure that their institutional missions, and the fulfillment of those missions, remain consonant with the character and purpose of the association.

In its evaluation of institutions, the Membership Committee is guided by a set of Membership Principles and Membership Indicators, presented below. The Membership Principles specify the primary purpose of the association and the corresponding characteristics of its member institutions.

The Membership Indicators are a two-phase set of quantitative measures used to assess the breadth and quality of university programs of research and graduate education.

In assessing potential new member universities, the evaluation of university profiles based on the Membership Indicators is the first stage of a two-stage process used to identify institutions that may be invited into membership. The second stage involves a more qualitative set of judgments about an institution's mission, characteristics, and trajectory.

Institutions that are nominated for invitation to membership must be approved by a three-fourths vote of member universities.

AAU Membership Principles

1) The primary purpose of AAU should continue to be to provide a forum for the development and implementation of institutional and national policies promoting strong programs of academic research and scholarship and undergraduate, graduate, and professional education.

2) The members of AAU should be universities distinguished by the breadth and quality of their programs of graduate education and research.

3) The members of AAU shall approve appropriate criteria for assessing the breadth and quality of these programs, and shall apply these criteria in making judgments about potential new members of the Association.

4) All members shall be monitored to make sure that their institutional missions, and the fulfillment of those missions, continue to be consonant with the character and purpose of the AAU.

5) There is a presumption that membership in the AAU is continuing. However, in those instances in which there appears to be a significant and sustained disparity between the mission and accomplishments of a member institution and the mission and membership criteria of the AAU, an in-depth review of that institution will be triggered. Discontinuation of membership will be one possible outcome of this in-depth review.

Adopted January 12, 1999

Faculty Awards and Fellowships

1. Alexander von Humbolt Fellowships
2. American Academy in Rome
3. American Academy of Arts and Sciences
4. American Antiquarian Society Fellowships
5. American Council of Learned Societies Fellowships
6. American Philosophical Society
7. American School of Classical Studies in Athens Fellowships
8. Field Medal
9. Folger Library Postdoctoral Fellowships
10. Ford Foundation Fellowships
11. Fulbright Awards
12. Huntington Library Research Fellowships
13. John Simon Guggenheim Memorial Fellowships
14. MacArthur Awards
15. National Academy of Education
16. National Endowment for the Humanities Fellowships
17. Newberry Library Fellowships
18. Nobel Prize
19. Packard Fellowships
20. Residency at the Center for Advanced Studie in the Visual Arts
21. Residency at the Getty Center for Arts and Humanities
22. Residency at the Institute for Advanced Study
23. Residency at the National Humanities Center
24. Residency at the Woodrow Wilson Center for Scholars
25. Rockefeller Fellowships
26. Searle Scholars
27. Sloan Fellowships

AAU MEMBERSHIP INDICATORS: Data Sources

Phase I Indicators

Competitively funded federal research support: federal R&D expenditures
Survey of Scientific and Engineering Expenditures at Universities and Colleges, conducted by the NSF Division of Science Resources Studies; AAU data from FY 1996-1998. (Data gathered via WebCASPAR; see Attachment 1 for instructions for accessing indicator data through WebCASPAR). The expenditure totals use a correction factor to subtract the estimated portion of USDA expenditures (agency-specific expenditures are not separately identified in NSF surveys) according to the following formula: federal expenditures – [federal expenditures x (USDA obligations/total federal obligations)].

Memberships in the National Academies (NAS, NAE, IOM)
Compiled from the membership lists of each academy; lists of NAE and IOM can be found at:
http://www.nae.edu/nae/naepub.nsf/Home+Page?OpenView
http://www.iom.edu/directory.asp
AAU data current as of July 15, 2000, for NAS; July 25, 2000, for NAE; and October, 2000, for IOM.

National Research Council faculty quality ratings
Goldberger, Marvin L., Brendan A. Maher and Pamela Ebert Flattau, Eds. *Research-Doctorate Programs in the United States: Continuity and Change.* Washington, D.C.: National Academy Press, 1995. The NRC decennial report presents faculty quality ratings by academic department; AAU indicator data are institutional averages of departmental ratings compiled by NSF (via WebCASPAR).

Faculty arts and humanities awards, fellowships, and memberships
AAU data are number of faculty members by institution receiving awards, fellowships, and memberships primarily in the arts and humanities (see Attachment 1, above).
Citations: The U.S. University Science Indicators

AAU indicators used 1995-1999 publication and citation data compiled by the Institute for Scientific Information; the data were drawn from an ISI CD-ROM, *University Science Indicators, 1981-1999, Deluxe Version*, which provides data for faculty at 120 universities.

Phase II Indicators

USDA, state, and industrial research funding
USDA obligations taken from NSF Survey of Federal Science and Engineering Support to Universities, Colleges and Nonprofit Institutions (federal expenditures data are not separately compiled by agency). State and industry expenditures compiled from the Survey of Scientific and Engineering Expenditures at Universities and Colleges. (All data gathered via WebCASPAR for FY 1996-1998.)

Doctoral Education
Number of doctorates compiled from the U.S. Department of Education's IPEDS Completions Survey, AY 1987-1997 (via WebCASPAR).

Number of Postdoctoral Appointees
NSF Survey of Graduate Students and Postdoctorates in Science and Engineering, fall 1996-1998 (via WebCASPAR).

Faculty Counts for Normalization

The faculty counts for normalization are drawn from two sources:

1) IPEDS Salary Survey, 1997-1998. The total faculty count used is the sum of faculty counts for 9/10 month contracts plus those for 11/12 month contracts. Data available at http://nces.ed.gov/ipeds.

2) For institutions with medical schools, the medical school basic science faculty, as compiled by the Association of American Medical Colleges, are added to the IPEDS total.

January 18, 2002