Survey of FY 2006
State Research &Development Expenditures
State Coordinator Web Pages

These are the Web pages for the State Coordinator section of the State R&D application. The pages are designed so that the State Coordinator can:
1) Be introduced to the scope and definitions of the survey
2) Supply contact information for department/agency respondents
3) Notify Census Bureau when departments/agencies are ready to begin the survey
4) Monitor department/agency responses
5) Officially submit state summary data

Welcome!

- This survey is conducted jointly by the National Science Foundation (NSF) and the U.S. Census Bureau.

- Results will be incorporated in NSF publications on your state's and the nation's R&D activities. Please visit the NSF web site at www.nsf.gov/statistics

- This is a voluntary survey.

Enter Password _____   **SUBMIT**

System Requirements

- Operating System: Windows 95, 98, ME, 2000, XP, or NT
- System Software: Adobe PDF reader download Adobe Acrobat
- Browser: Netscape 4.0/Internet Explorer 4.0 or a later version, JavaScript enabled
- Pop-up Blockers disbaled

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Instructions for State Coordinator

Step 1	Provide state coordinator contact Information
Step 2	See survey definitions and examples
Step 3	View department/agency survey form
Step 4	Provide department/agency contact information
Step 5	Notify department/agency contacts
Step 6	Notify the Census Bureau so that contacts can begin survey
Step 7	Monitor state progress
Step 8	Review, revise, and submit final state data

Step 1	State Coordinator Contact information
	Please provide contact information in case we have questions about your state's survey responses.

Name of contact person	
Title	
Department/agency	
Phone number				
	(area code) (phone number) (extension)
E-mail address	

Step 2	**Survey definitions and examples**
	This step provides an overview of key terms and guidance for the State R&D Expenditures survey.

What does R&D mean?

What should be included/excluded in R&D?

What makes it R&D?

What are sources of R&D funding?

What does R&D performer mean?

What expenditures should be included/excluded?

 Expenditures for your Department/Agency as Performer

 Expenditures for Academic institutions, Companies or Individuals, or Others as Performers

What are some other survey definitions that may be helpful?

What does R&D mean?

Research and development (R&D) is creative work conducted systematically to:

   1) extend scientific knowledge, or
   2) devise new or improved applications.

   Applications can include materials, products, devices, processes, systems or services.

What should be included/excluded in R&D?

R&D includes, but is not limited to, activities that produce:	R&D does NOT include:
• Ideas that might be patented • Findings that could be published in academic journals • New or improved products or applications	• Management information systems • Economic / policy / feasibility studies • Program planning and evaluation • Strategic planning • Market research or analysis • Routine data collection / dissemination • Routine monitoring / testing • Technology transfer • Technical assistance • Consulting services • Commercialization • General patient services

What makes it R&D?

What makes it R&D	When it is R&D	When it is NOT R&D
R&D is novel. • It increases our knowledge of the subject • It hasn't been done before.	You are testing blood samples as part of a research project to find out the side effects of a new cancer treatment.	You are collecting information from samples of patients to estimate the incidence of chicken pox in the state's population. (You are using a standard approach to estimate the spread of chicken pox.)
R&D creates solutions useful to others. • Others might benefit from the findings. • The findings can be generalized to other situations and locations.	You are testing a pavement on your highways that is currently used only at airports. Other states will want the results.	You are testing pavement on your state's highways to estimate how much you need to budget for pavement replacement over the next five years. (Other states will not benefit from your specific state information.)
The outcome of R&D is uncertain. • The solution isn't obvious to an expert in that field.	Your research involves monitoring streams to determine whether a new program is increasing the population of a particular type of fish.	You are monitoring streams as part of plan to implement long-term monitoring for a particular type of fish. (The monitoring plan has already been tested and you are certain of the quality of the plan.)

What are sources of R&D funding?

Sources of R&D funding include:

State	State appropriations and grants, tobacco settlement funds, state lottery proceeds
Federal	Grants, contracts, and appropriations from the United States government

All other	Grants and contracts from:
	    Companies
	    Nonprofit organizations
	    Other state governments
	    City, county, regional, or other local governments

What does R&D performer mean?

Internal Performer:

Within your department/agency   R&D performed by your department's/agency's employees

Services performed by others in support of an internal R&D project (e.g., lab testing)

External Performers:

Academic institutions   R&D performed for your department/agency by public or private universities and colleges

Companies and individuals   R&D performed for your department/agency by companies or individuals under contract for research projects

Other performers   R&D performed for your department/agency by:
Nonprofit organizations
Other departments/agencies within your state
Other state governments
City, county, regional, or other local governments
Federal government

What expenditures should be included/excluded?

Expenditures are amounts paid for current operations and capital outlays.

Respondents to this survey will be asked to report expenditures by performer of R&D. Please refer below for guidance on the types of expenditures to report for internal and external performers.

**Examples of Expenditures for INTERNAL Performer
(Your Department/Agency)**

Include:
- Salaries, wages, and benefits
- Supplies
- Purchased services (e.g. lab testing)
- Travel
- Indirect or overhead costs for R&D activities
- Equipment

Do NOT include
- Agency and other fiduciary fund expenditures
- Intra-governmental transactions
- Non-cash payments

**Examples of Expenditures for EXTERNAL Performers
(Academic institutions, Companies or Individuals, or Others)**

Include:
- Grants
- Payments for contracted R&D projects
- Reimbursable costs for R&D projects

Do NOT include
- Pass-through grants over which you have no administrative oversight or control

What are some other survey definitions that may be helpful?

<u>Your state</u>
should include your state's departments, agencies, boards, and commissions.

<u>Fiscal Year</u>
is your state's fiscal year ending in 2006.

<u>Construction and Acquisition of R&D Facilities</u> (Question 4 only)
includes major costs for construction and purchase of buildings to be primarily used as R&D facilities. Include new construction, major renovations, and purchase of land or buildings.

<u>Basic research</u>
is conducted primarily to acquire new knowledge without any specific product or process in mind. (The other two categories of R&D, applied research and development, are not reported separately for this survey.)

<u>Applied research</u>
is conducted with a specific practical objective.

<u>Development</u>
translates research into new or improved products and processes.

Step 3	**Department/Agency Survey (printable copy)**

Step 3 — **Department/Agency Survey (printable copy)**
Select the link below to view a "paper" copy of the questionnaire that departments/agencies in your state will be asked to complete electronically.

[FY 2006 State R&D Expenditures Survey Form](#) (PDF)

[download Adobe Acrobat](#)

Step 4	**Department/Agency Contact Information**
	This step involves identifying contact information for departments/agencies in your state that will participate in this survey. We ask that you first provide information for departments/agencies that have been pre-selected as most likely to have R&D expenditures. Second, you may add additional departments/agencies that are not included in the pre-selected list.

1) <u>Pre-selected Departments/Agencies</u>: Contact information for these state organizations that are most likely to have R&D expenditures. These departments/agencies may not be deleted, However, in the first section of the survey questionnaire, these organizations will answer screener questions to indicate whether or not they actually had R&D expenditures for FY 2006.

Department/Agency		**Contact Name/Title**	**E-mail/Phone #**
Agriculture Department	<u>Click to enter information</u>		
Energy, Department of	<u>Click to enter information</u>		
Environmental Quality Department	<u>Click to enter information</u>		
Fish and Wildlife Department	<u>Click to enter information</u>		
Labor and Industries Bureau	<u>Click to enter information</u>		
Transportation Department	<u>Click to enter information</u>		

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<u>Additional Departments/Agencies</u>: Use the "**Add department/agency**" button to add and provide contact information for departments/agencies not included in the pre-selected list. You may add as many additional departments/agencies as you like.

Do NOT add academic institutions to the Department/Agencies list.

| Add Department/Agency |

| **Add Department/Agency** |

Example of page where state coordinator enters dept/agency contact information

Department/agency	
Name of contact person	
Title	
E-mail address	
Phone number	

(area code)   (phone number)   (extension)

Step 5	**Notify Departments/Agencies About Survey**
	During this step, we ask that you please notify your department/agency contacts about this survey.

- You have completed the contact information for the departments/agencies listed below.

  - Agriculture Department
  - Energy, Department of
  - Environmental Quality Department
  - Fish and Wildlife Department
  - Labor and Industries Bureau
  - Transportation Department

- Please contact these organizations to notify them that they will be participating in this survey. Suggested e-mail text is provided below.

Suggested e-mail text to department/agency contacts…

Subject: State R&D Expenditures Survey

Shortly, you will be receiving an email with a password from the U.S. Census Bureau for the State R&D Survey. Our state has agreed to 1) find out which departments and agencies have R&D expenditures, and 2) report the amount of R&D expenditures in ten categories for each department or agency with R&D expenditures for FY 2006.

The Census Bureau and the National Science Foundation (NSF) are conducting the study jointly. The survey results will help NSF update R&D expenditure information for the 50 state governments that were last collected in FY 1995. This new information will be reported by state as well as combined with other information about R&D for our state's companies and academic institutions.

It is very important that NSF represent our state accurately, so I am asking you to give this effort your attention. We would like to respond to the survey request within 30 days, so I need your information submitted to the web site no later than xx, xxx.

I appreciate your help so that our survey response will be timely.

Step 6	**Notify Census Bureau so that Contacts Can Begin Survey**
	*When you have contacted a department/agency, please return to this page and check the box to the left. Checking the box and pressing the "**Submit**" button will generate an automatic email from the Census Bureau to the contact with a secure password for the survey website*.

An agency will be grayed out after Census sends the password.

[   ]   Agriculture Department

[   ]   Energy, Department of

[   ]   Environmental Quality Department

[   ]   Fish and Wildlife Department

[   ]   Labor and Industries Bureau

[   ]   Transportation Department

[   ]   Water Resources Department

Submit

Step 7	**Monitor State Progress**
	This step allows you to view individual department/agency responses and monitor your state's summary data.

_____ of _____ departments and agencies have submitted survey responses for your state. This includes organizations that reported no R&D for FY 2006.

View Department/Agency Responses

+ Agriculture Department (not responded)

+ Energy, Department of

+ Environmental Quality Department

+ Fish and Wildlife Department (not responded)

+ Labor and Industries Bureau

+ Transportation Department (not responded)

+ Water Resources Department

+ View State Summary Data

Clicking on an agency name will link to a page where state coordinator can view agency survey responses.

Clicking on View State Summary Data will link to the Review and Submit Final State Data.

Department of Transportation

Status: Option1 - Has not logged in

Option2 – Logged in, but no data provided

Option3 – Indicated no R&D activity

Option4 – Partially completed survey

Option5 – Survey completed

R&D Assessment

1.	Did your department/agency have any units devoted to research?	[ ] Yes
2.	Did your department/agency conduct research and development using your own agency staff?	[ ] Yes
3.	Did your department/agency fund research at another state or local government agency?	[ ] Yes
4.	Did your department/agency fund any universities or other nonprofit organizations for scientific studies?	[ ] Yes
5.	Did your department/agency fund any companies or private individuals for research-related activities?	[ ] Yes
[If you answered "No" to Questions 1 to 5:] **6.** Did your agency fund or conduct any other R&D activities during FY 2006?		[ ] Not applicable: Answered "yes" above

R&D Expenditures

	FY 2006 expenditures **(Dollars in thousands)**
YOUR R&D EXPENDITURES BY PERFORMER	
Department/agency employees **by source of funds**	
State funds	$ xxx,xxx
Federal funds	$ xxx,xxx
Other funds	$ xxx,xxx
Academic institutions	$ xxx,xxx
Companies and Individuals	$ xxx,xxx
Other performers	$ xxx,xxx
TOTAL R&D EXPENDITURES FOR YOUR DEPARTMENT/AGENCY	$ X,XXX,XXX
ESTIMATED EXPENDITURES FOR BASIC RESEARCH	$ xxx,xxx
ESTIMATED EXPENDITURES FUNDED BY FEDERAL GOVERNMENT SOURCES	$ xxx,xxx
CONSTRUCTION AND ACQUISITION EXPENDITURES	$ xxx,xxx

- *Please select the "**Submit Final State Data**" button below when you are ready to certify your state's response to the State R&D Expenditure Survey.*

- *You may revise this data, if needed.*

- This data is considered your official state submission.

	FY 2006 expenditures (Dollars in thousands)
YOUR R&D EXPENDITURES BY PERFORMER	
Department/agency employees by source of funds	
State funds	$ xxx,xxx
Federal funds	$ xxx,xxx
Other funds	$ xxx,xxx
Academic institutions	$ xxx,xxx
Companies and Individuals	$ xxx,xxx
Other performers	$ xxx,xxx
TOTAL R&D EXPENDITURES FOR YOUR DEPARTMENT/AGENCY	$ x,xxx,xxx
ESTIMATED EXPENDITURES FOR BASIC RESEARCH	$ xxx,xxx
ESTIMATED EXPENDITURES FUNDED BY FEDERAL GOVERNMENT SOURCES	$ xxx,xxx
CONSTRUCTION AND ACQUISITION EXPENDITURES	$ xxx,xxx

Comments:

Submit Final State Data

Thank you for submitting your state's data.