

Survey of FY 2006 State R&D Expenditures Department/Agency Web Pages

The following are Web pages for the department/agency respondents who will complete the actual survey questionnaire. Similar to the State Coordinator section, these pages are designed to walk the respondent through a step-by-step approach to completing the survey. They are first introduced to the scope and definitions of the survey, including clarification of the definition of R&D. The respondents are then asked to answer “screener” questions. These questions serve only to determine whether the respondent needs to continue with the survey, and the answers will not be used for analysis or released publicly. Finally, there are four R&D expenditure questions, with a total of nine data items, for the respondents to complete. The State Coordinator will review these responses for accuracy.


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 Disabled

Contact Us

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OMB No. xxxx-xxxx
Approval expires: xx xx xxxx

Burden Statement

Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. The burden of this collection is estimated to average 90 minutes per response, including reviewing instructions, searching existing data sources, gathering necessary data, and completing and reviewing this form. Send comments regarding this burden estimate or any aspect of this survey, including suggestions for reducing this burden, to Paperwork Project xxxx-xxxx, U.S. Census Bureau, 4700 Silver Hill Road, Stop 1500, Washington, DC 20233-1500. You may e-mail comments to Paperwork@census.gov; use "Paperwork Project xxxx-xxxx" as the subject.

Steps to Complete Survey

Step 1	Provide contact information
Step 2	See survey definitions and examples
Step 3	View Department/Agency survey form
Step 4	Assess your department/agency R&D activity
Step 5	Answer survey questions
Question 1	R&D by performer and source of funding
Question 2	Percent basic research for total R&D
Question 3	Percent federal sources for total R&D
Question 4	Expenditures for construction and acquisition of R&D facilities
Step 6	Verify and submit data

Step 1

Contact information

Please provide contact information in case we have questions about your 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 needed to answer the survey questions in Steps 4 and 5.

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 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:

- Ideas that might be patented
- Findings that could be published in academic journals
- New or improved products or applications

R&D does NOT include:

- 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
<p>R&D is novel.</p> <ul style="list-style-type: none"> It increases our knowledge of the subject It hasn't been done before. 	<p>You are testing blood samples as part of a research project to find out the side effects of a new cancer treatment.</p>	<p>You are collecting information from samples of patients to estimate the incidence of chicken pox in the state's population.</p> <p>(You are using a standard approach to estimate the spread of chicken pox.)</p>
<p>R&D creates solutions useful to others.</p> <ul style="list-style-type: none"> Others might benefit from the findings. The findings can be generalized to other situations and locations. 	<p>You are testing a pavement on your highways that is currently used only at airports. Other states will want the results.</p>	<p>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.</p> <p>(Other states will not benefit from your specific state information.)</p>
<p>The outcome of R&D is uncertain.</p> <ul style="list-style-type: none"> The solution isn't obvious to an expert in that field. 	<p>Your research involves monitoring streams to determine whether a new program is increasing the population of a particular type of fish.</p>	<p>You are monitoring streams as part of plan to implement long-term monitoring for a particular type of fish.</p> <p>(The monitoring plan has already been tested and you are certain of the quality of the plan.)</p>

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: <ul style="list-style-type: none"> 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 during your state's fiscal year ending in 2006.

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

Step 3

Department/Agency Survey Form (printable copy)

This is a printable copy of definitions and questions to assist you in completing the survey. You may use it as a draft worksheet or distribute to other staff, as needed. Please submit final responses via this Web application only.

[FY 2006 Survey of State R&D Expenditures \(.pdf\)](#)

 [download Adobe Acrobat](#)

Step 4

Assess your department/agency R&D activity

Please answer the following screening questions to determine whether you need to continue to the R&D expenditure questions in Step 5. Your answers to these questions will be made available to your state coordinator, but will not be released publicly.

a. Did your department/agency have any units devoted to research in FY 2006?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other (Please explain.)
b. Did your department/agency conduct research and development using your own agency staff in FY 2006?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other (Please explain.)
c. Did your department/agency fund research at another state or local government agency in FY 2006?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other (Please explain.)
d. Did your department/agency fund any universities or other nonprofit organizations for scientific studies in FY 2006?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other (Please explain.)
e. Did your department/agency fund any companies or private individuals for research-related activities in FY 2006?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other (Please explain.)
[If you answered "No" to Questions a through e:]	<input type="checkbox"/> Not applicable: Answered "yes" above
f. Did your department/agency fund or conduct any other R&D activities in FY 2006?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other (Please explain.)

Step 5

R&D Expenditure Questions

Step 5 asks you to answer four questions. These answers will be provided to your state's survey coordinator as your department or agency's response to the Survey of FY 2006 State R&D Expenditures.

Question 1

What were your department/agency R&D expenditures for FY2006 by the following types of performers?

--Include R&D from all sources, and report sources separately when your department/agency performs the R&D internally.

--Do NOT report expenditures for construction and acquisition of R&D facilities here; use Question 4.

Internal Performer—

- Your department /agency

Examples of expenditures:

- Salaries
- Benefits
- Supplies
- Travel
- Equipment
- Indirect costs
- Purchased Services (e.g., lab testing)

Expenditures by Performer
(in thousands)

Source of
Expenditures

Examples of Sources

\$ _____

State funds

State appropriations, state grants, tobacco settlement funds, lottery proceeds

\$ _____

Federal funds

Federal awards

\$ _____

Other funds

Funds from all other sources, such as: non-profit organizations, companies, other state/local governments

External Performers—

- Academic institutions
- Companies and individuals
- Other

Examples of expenditures:

- Grants
- Payments for contracted R&D projects
- Reimbursable costs for R&D projects
- **Exclude** pass-through grants for which you have no administrative oversight or control

**Expenditures by Performer
(in thousands)**

**Source of
Expenditures**

Academic institutions

\$

All funds (federal, state, or other)

Companies and Individuals

\$

All funds (federal, state, or other)

Other

\$

All funds (federal, state, or other)

\$ TOTAL

Grand total for your department's/agency's funding (automatically calculated)

\$ TOTAL

Estimated Total (users can submit a different total if they do not know the detail)

Question 2

What percentage of your total department/agency R&D expenditures (as reported in Question 1 "TOTAL") were for basic research? You may give an estimate of the percentage, or you may estimate the total amount.

Basic research 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 in this survey.)

Applied research is conducted with a specific practical objective.

Basic research expenditures for your department/agency

Use column (1) or column (2) for your answer.
(If none, enter "0.")

(1) (Percentage)	--or--	(2) (Dollars in thousands)
<input type="text"/> %	OR	\$ <input type="text"/>

Question 3

What percentage of your total R&D expenditures (as reported in Question 1, "TOTAL") were funded from federal sources? You may give an estimate of the percentage, or you may estimate the total amount.

--Federal sources include grants, contracts, and appropriations from the United States government.

--**Exclude** any non-federal matching amounts.

R&D expenditures from federal funds

Use column (1) or column (2) for your answer.
(If none, enter "0.")

(1) (Percentage)	--or--	(2) (Dollars in thousands)
<input type="text"/> %	OR	<input type="text"/> \$

Question 4

What were your department/agency FY 2006 expenditures for construction and acquisition of facilities used primarily for R&D?

Please include:

- construction projects
- major renovations of buildings
- purchasing land or buildings

* Do NOT include this amount in Question 1.

Report dollars in thousands
(If none, enter "0.")

\$

Step 6

Verify and Submit final survey data to your state coordinator

Step 6 provides you with an opportunity to review your department or agency survey responses before you submit them to your state's survey coordinator. Please select the **Submit Survey Data** button when you are ready to submit your final survey data.

AGENCY SUMMARY DATA	
	FY 2006 expenditures (Dollars in thousands)
Question 1: R&D by Performer and Source	
Department/agency employees	
State funds	\$ xxx,xxx
Federal funds	\$ xxx,xxx
Other funds	\$ xxx,xxx
Academic institutions - All Funds	\$ xxx,xxx
Companies and Individuals - All Funds	\$ xxx,xxx
Other performers - All Funds	\$ xxx,xxx
TOTAL R&D EXPENDITURES	\$ xxx,xxx
Question 2: R&D expenditures for basic research	\$ xxx,xxx
Question 3: R&D Expenditures Funded from federal government sources	\$ xxx,xxx
Question 4: Expenditures for construction and acquisition of facilities used primarily for R&D (Do NOT include this amount in Question 1.)	\$ xxx,xxx

Submit Survey Data