

# Survey of FY 2006 State R&D 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) Revise state summary data, if necessary
- 6) Officially submit state summary data

## Welcome!

OMB: 0607-0933  
Expires: 10/31/2009

- The purpose of the State R&D Expenditures Survey is to measure your state's contributions toward scientific advancement and technological innovation.
- This survey is conducted in conjunction with on-going collections of R&D from private industry, academic institutions, and the Federal government.

**Enter Your Password**


**SUBMIT**

- Results of this survey will be published by the National Science Foundation at [www.nsf.gov/statistics](http://www.nsf.gov/statistics).
- The U.S. Census Bureau is serving as the data collector for NSF and your participation is voluntary.

**[Preview FY 2006 State R&D Expenditures Survey \(PDF\)](#)** 

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## System Requirements

- **Pop-up Blockers Disabled**
- **Java Script Enabled**
- **Operating System:** Windows 95, 98, ME, 2000, XP, or NT
- **System Software:** Adobe PDF reader  [download Adobe Acrobat](#)
- **Browser:** Netscape 6.0/Internet Explorer 5.0 or a later version

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## Burden Statement

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid Office of Management and Budget (OMB) control number. The OMB control number for this survey is displayed at the top right of the survey "Home" page. The time required to complete these responses is estimated to be approximately four hours for the state coordinator and one and a half hours for agency respondents. The burden on state coordinators includes the initial identification of department and agency contacts, monitoring of department and agency responses, and final review and verification of state data. The burden on agency respondents includes the initial collection of data and the entry of data into the Web application. Send comments about this burden estimate or any other aspect of this collection of information, including suggestions for reducing burden to: Paperwork Project 0607-0933, U.S. Census Bureau, 4700 Silver Hill Road, Stop 1500, Washington, DC 20233-1500

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## Contact Us

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(301) 763-7317  
[govs.nsf.list@census.gov](mailto:govs.nsf.list@census.gov)

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**\*Note:** On each page, there is a "Menu" for navigation to all other pages, a link to our contact information, and a "Logout" button.

## Instructions for State Coordinator

### As Coordinator for your state, we are asking you to:

- Identify and provide contact information for departments and agencies in your state that may have conducted or funded R&D during FY 2006.
- Work with the selected departments and agencies as they complete the survey.
- Review, revise, and submit your state's final data after the departments and agencies have completed the survey.

### Below is an overview of the steps you will need to follow to complete this submission.

- |               |  |
|---------------|--|
| <b>Step 1</b> | Provide state coordinator contact information                  |
| <b>Step 2</b> | Preview questions, definitions, and examples                   |
| <b>Step 3</b> | Provide department/agency contact information                  |
| <b>Step 4</b> | Notify department/agency contacts                              |
| <b>Step 5</b> | Notify the Census Bureau so that the contacts can begin survey |
| <b>Step 6</b> | Monitor state progress   |
| <b>Step 7</b> | Review and revise state data                                   |
| <b>Step 8</b> | Submit final state data  |

**Continue**

**Step 1****State Coordinator Contact information**

Please provide contact information in case we have questions about your state's survey responses. (\*required fields)

<State Name>

<b>Your Name *</b>			
<b>Title *</b>			
<b>Agency Name *</b>			
<b>Telephone *</b>			
	(area code)	(phone number)	(extension)
<b>E-mail *</b>			

**Save and Continue**

This step provides you with a preview of the survey questions, key terms, and examples of R&D.

To view a printable copy of these definitions and examples, and to preview the survey questions, click the link below.

**[Preview FY 2006 State R&D Expenditures Survey \(PDF\)](#)** 

[download Adobe Acrobat](#)

- A) What does R&D mean?
- B) What should be included/excluded in R&D?
- C) What makes it R&D?
- D) What are sources of R&D funding?
- E) What does R&D performer mean?
- F) What expenditures should be included/excluded?
- G) What are some other survey definitions that may be helpful?

**Previous**

**Continue**

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### **A. 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.

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## B. What should be included/excluded in R&D?

<b><u>R&amp;D includes</u>, but is not limited to, activities that produce:</b>	<b><u>R&amp;D does NOT include:</u></b>
<ul style="list-style-type: none"><li>• Ideas that might be patented</li><li>• Findings that could be published in academic journals</li><li>• New or improved products or applications</li></ul>	<ul style="list-style-type: none"><li>• Management information systems</li><li>• Economic / policy / feasibility studies</li><li>• Program planning and evaluation</li><li>• Strategic planning</li><li>• Market research or analysis</li><li>• Routine data collection / dissemination</li><li>• Routine monitoring / testing</li><li>• Technology transfer</li><li>• Technical assistance</li><li>• Consulting services</li><li>• Commercialization</li><li>• General patient services</li></ul>

### C. What makes it R&D?

What makes it R&D	When it is R&D	When it is NOT R&D
<p>R&amp;D is novel.</p> <ul style="list-style-type: none"> <li>• It increases our knowledge of the subject</li> <li>• It hasn't been done before.</li> </ul>	<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&amp;D creates solutions useful to others.</p> <ul style="list-style-type: none"> <li>• Others might benefit from the findings.</li> <li>• The findings can be generalized to other situations and locations.</li> </ul>	<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&amp;D is uncertain.</p> <ul style="list-style-type: none"> <li>• The solution isn't obvious to an expert in that field.</li> </ul>	<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>



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## D. 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"><li>• Companies</li><li>• Nonprofit organizations</li><li>• Other state governments</li><li>• City, county, regional, or other local governments</li></ul>

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## E. What does R&D performer mean?

### Internal Performers:

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)
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### 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
Others	R&D performed for your department/agency by: <ul style="list-style-type: none"><li>• Nonprofit organizations</li><li>• Other departments/agencies within your state</li><li>• Other state governments</li><li>• City, county, regional, or other local governments</li><li>• Federal government</li></ul>

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## F. 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.

### Expenditures for your Department/Agency as Performer

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

### Expenditures for Academic Institutions, Companies or Individuals, or Others as Performers

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

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## G. What are some other survey definitions that may be helpful?

### Your State

should include your state's departments, agencies, boards, and commissions.

### Fiscal Year

is your state's fiscal year ending in 2006.

### Construction and Acquisition of Facilities Used Primarily for R&D

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.

### Basic Research

In order to understand the definition of basic research, it may be helpful to compare it to the other two components of R&D—applied research and development. Below are definitions and examples.

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.)

<b>Examples</b>		
<b>Basic research</b>	<b>Applied research</b>	<b>Development</b>
You are studying the properties of blood to determine what affects coagulation.	You are conducting research on how a new chicken pox vaccine affects blood coagulation.	You are testing a newly developed chicken pox vaccine with various ages of school children before implementing it statewide.
You are studying the properties of molecules under various heat and cold conditions.	You are conducting research on the properties of particular substances under various heat and cold conditions with the objective of finding longer lasting components for pavement.	You are testing a newly developed pavement under various types of heat and cold conditions prior to using it on your state's highways.
You are studying the heart chambers of various fish species.	You are examining various levels of a toxic substance to determine the maximum safe level for fish in a stream.	You are designing a new system for monitoring a stream that will try out the results of your recent research in a real world situation.

**Previous**

**Continue**

**Step 3****Department/Agency Contact Information**

Steps 3a and 3b ask you to provide the contact information for the departments and agencies in your state that will participate in this survey. The information you provide will be used by the Census Bureau to contact these departments/agencies with the instructions for accessing and completing the survey questions online.

- **Step 3a:** Provide contact information for each preselected department/agency that we would like to participate in this survey. Click on the name of each department/agency listed to complete the contact information.
- **Step 3b:** Identify and provide contact information for additional departments/agencies that you think should also participate in this survey.

All "preselected" and "added" departments/agencies will answer a short screener question to determine if they had qualifying R&D expenditures for FY 2006.

Please **DO NOT** add academic institutions to the Departments/Agencies list since they are surveyed separately.

## 3a. Preselected Agencies:

Department/Agency	Contact Name/Title	E-mail/Phone #
<u>Agriculture, Department of</u>	John Doe/Budget Officer	jdoe@state.gov/222.555.1212
<u>Energy, Department of</u>		
<u>Environmental Quality, Department of</u>		
<u>Fish and Wildlife, Department of</u>		

## 3b. Agencies you have added:

<u>Technology Development Corporation</u>		
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**Add Department/Agency**

**Previous**

**Continue**

**Step 3a****Update Contact Information**

Please provide contact information for the preselected department/agency.

(\*required fields)

<b>Name*</b>			
<b>Title</b>			
<b>Agency name*</b>			
<b>E-mail*</b>			
<b>Telephone</b>			
	(area code)	(phone number)	(extension)

**Save and Continue**

**Cancel**

**Step 3b****Add New Agency**

Please provide contact information for this additional department/agency.

(\*required fields)

<b>Name*</b>				
<b>Title</b>				
<b>Agency name*</b>				
<b>E-mail*</b>				
<b>Telephone</b>				
	(area code)	(phone number)	(extension)	

**Save and Continue****Delete****Cancel**

## Step 4

## Notify Departments/Agencies About Survey

- You have provided contact information for the departments/agencies listed in **BOLD** below. Please contact these organizations to notify them that they will be asked to participate in this survey. Suggested e-mail text is provided below.
  - **Agriculture, Department of**
  - Energy, Department of
  - Environmental Quality, Department of
  - Fish and Wildlife, Department of
  - Technology Development Corporation
- After you have contacted these departments/agencies, please proceed to Step 5 so that they can begin the survey.
- If you have not already done so, you may return to the previous step to complete the contact information for the remaining departments/agencies.

Suggested email text...

**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. The deadline for completing the survey is December 29, 2006.

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

[Previous](#)

[Continue](#)

**Step 5****Notify Census Bureau**

- Check the box next to each department/agency that is ready to begin the survey.
- When you click the "Submit" button, the Census Bureau will send the department/agency a password and instructions needed to begin the survey.
- You do not have to "Submit" all departments/agencies listed at this time. You may return later and complete this step.
- The next step allows you to track the progress and review answers for each department/agency.

**Contacted****Agriculture, Department of**[  ]

Energy, Department of

[  ]

Environmental Quality, Department of

[  ]

Fish and Wildlife, Department of

[  ]

Technology Development Corporation

**Submit****Previous****Continue**



This step allows you to view individual department/agency responses.

- Click on the department/agency name to view individual responses.
- The next step allows you to review and revise the summary, or aggregate, data for your state.

\_\_ 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****Agency Status**

Agriculture, Department of  
Energy, Department of  
Environmental Quality, Department of  
Fish and Wildlife, Department of  
Technology Development Corporation

This column will show one of the following status flags for each department/agency:  
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

**Previous****Continue**

Below is a summary of the data reported by departments/agencies in your state. Please review the data prior to submitting.

- The "Agency Reported" column is the sum of the expenditures reported by your state's departments/agencies.
- You may use the "Coordinator Revised" column to enter a different value for an item, if the value in the "Agency Reported" column is not an accurate representation of your state's R&D expenditures for that category. If different than the "Agency Reported" column, the "Coordinator Revised" column will be considered your state's response.
- Please continue to the next step to submit your final data.

**Question 1****R&D Expenditures by Performer and Source**

	<b>Agency Reported</b>	<b>Coordinator Revised</b>
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**Internal Performers – Department/Agency**

State Funds	\$ 0	\$ 0
Federal Funds	\$ 0	\$ 0
Other Funds	\$ 0	\$ 0

**External Performer - Academic Institutions**

All Funds	\$ 0	\$ 0
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**External Performer - Companies and Individuals**

All Funds	\$ 0	\$ 0
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**External Performer - Others**

All Funds	\$ 0	\$ 0
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**TOTAL R&D EXPENDITURES**

	<b>\$ 0</b>	<b>\$ 0</b>
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**Question 2** (subset of Question 1 "Total")**Basic Research Expenditures**

	\$ 0	\$ 0
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**Question 3** (subset of Question 1 "Total")**R&D Expenditures from Federal Funds**

	\$ 0	\$ 0
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**Question 4****Expenditures for Construction and Acquisition of R&D Facilities Used Primarily for R&D**

	\$ 0	\$ 0
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You may provide comments below.

[Previous](#)

[Save and Continue](#)

[Printer-friendly](#)

This step allows you to submit your final state data.

**Question 1****Final State Data****R&D Expenditures by Performer and Source****Internal Performers – Department/Agency**

State Funds	\$	0
Federal Funds	\$	0
Other Funds	\$	0

**External Performer - Academic Institutions**

All Funds	\$	0
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**External Performer - Companies and Individuals**

All Funds	\$	0
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**External Performer - Others**

All Funds	\$	0
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<b>TOTAL R&amp;D EXPENDITURES</b>	<b>\$</b>	<b>0</b>
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**Question 2** (subset of Question 1 "Total")

<b>Basic Research Expenditures</b>	\$	0
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**Question 3** (subset of Question 1 "Total")

<b>R&amp;D Expenditures from Federal Funds</b>	\$	0
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**Question 4**

<b>Expenditures for Construction and Acquisition of Facilities Used Primarily for R&amp;D</b>	\$	0
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[Previous](#)[Submit Final Data](#)[Printer-friendly](#)

**Survey of FY 2006 State R&D Expenditures**  
**SURVEY RESULTS**

**You have successfully submitted data. Thank you!**

If you need to revise data or have questions regarding the status of your survey, please contact James Berry at (800) 622-6193 or [govs.nsf@census.gov](mailto:govs.nsf@census.gov).

**Display Submission  
(PDF Format)**

You must have the [Adobe Acrobat](#)  reader installed on your machine to view and print the form.