

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 a "screener" question, which serves only to determine whether the respondent needs to continue with the survey. (The answers will not be analyzed 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.

- 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.
- 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 \(PDF\)](#) 

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

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

Contact Us

James Berry, Survey Project Manager
U.S. Census Bureau
(301) 763-7317
govs.nsf.list@census.gov

***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 Department/Agency

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

Step 1 Provide your contact information

Step 2 Preview questions, definitions, and examples

Step 3 Answer R&D screener question

Step 4 Answer survey questions

Question 1 R&D expenditures by performer and source of funding

Question 2 Basic research expenditures

Question 3 R&D expenditures from federal funds

Question 4 Expenditures for construction and acquisition of facilities used primarily for R&D

Step 5 Review and submit data

Continue

Step 1**Department/Agency Contact Information**

Please review your contact information and update, if needed. (*required field)

<State Name>

| | | | |
|---------------------|-------------|----------------|-------------|
| Your Name* | | | |
| | | | |
| Title | | | |
| | | | |
| Agency Name* | | | |
| | | | |
| Telephone | | | |
| | (area code) | (phone number) | (extension) |
| E-mail* | | | |

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?

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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.

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

| <u>R&D includes</u>, but is not limited to, activities that produce: | <u>R&D does NOT include:</u> |
|---|--|
| <ul style="list-style-type: none">• Ideas that might be patented• Findings that could be published in academic journals• New or improved products or applications | <ul style="list-style-type: none">• 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 |

C. 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> |

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">• Companies• Nonprofit organizations• Other state governments• City, county, regional, or other local governments |

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) |
|-------------------------------|---|

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">• Nonprofit organizations• Other departments/agencies within your state• Other state governments• City, county, regional, or other local governments• Federal government |

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

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.)

| Examples | | |
|--|---|---|
| Basic research | Applied research | Development |
| 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. |

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Did your department/agency do any of the following during FY 2006? Your answer will only be used to determine whether you continue to the R&D expenditure questions in Step 4 and will not be released publicly.

- Had a division, branch, or office devoted to research or development
- Conducted research or development activities using department/agency staff
- Funded research or development at another state or local government
- Funded universities or other nonprofit organizations to perform research or development activities
- Funded companies or individuals to perform research or development activities
- Conducted or funded other research or development activities not specified above

Yes

No

If you select "**No**" your state survey coordinator will be notified that your department or agency does not have qualifying R&D activities for the FY 2006 survey.

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Question 1

What were your department/agency R&D expenditures for FY 2006 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; use Question 4.

Internal Performers

- 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)

Examples of expenditures:

- Salaries
- Benefits
- Supplies
- Travel

- Equipment
- Indirect Costs
- Purchased Services

Expenditures by Internal Performers

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: nonprofit organizations, companies, other state/local governments

External Performers

- R&D done for your department/agency by:
- Academic institutions
 - Companies and individuals
 - Others

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 External Performers

Source of Expenditures

Academic Institutions

\$

All Funds (federal, state, other)

Companies and Individuals

\$

All Funds (federal, state, other)

Others

\$

All Funds (federal, state, other)

\$

Total R&D Expenditures (automatically calculated)

*Note: The "Previous" and "Save and Continue" buttons are not shown on the Question 1 page due to space limitations. Both these buttons appear on the survey Website for Question 1.

Step 4

R&D Expenditure Questions

Question 2

How much of your total department/agency R&D expenditures reported in Question 1 (\$xxx,xxx) were for basic research? You may provide an estimate, if necessary.

- **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 and development, are not reported separately on this survey. Applied research is conducted with a specific practical objective.)

\$ **Basic research expenditures** (if none, enter "0")

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Question 3

How much of your total department/agency R&D expenditures reported in Question 1 (\$xxx,xxx) were from federal funds? You may provide an estimate, if necessary.

- Include expenditures for internal and external performers
- Federal sources include grants, contracts, and appropriations from the United States government.
- **Exclude** any nonfederal matching amounts.

\$ **R&D expenditures from federal funds** (if none, enter "0")

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Question 4

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

Please include:

- Construction projects
- Major renovations of buildings
- Purchasing land and buildings

\$ **Expenditures for construction and acquisition of facilities used primarily for R&D (if none, enter "0")**

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- Please review your survey responses.
- To revise data, click the appropriate "Question" heading
- Click "Submit Final Data" to submit the data to your state coordinator

Question 1**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 |
|-----------|----|---|

External Performer - Companies and Individuals

| | | |
|-----------|----|---|
| All Funds | \$ | 0 |
|-----------|----|---|

External Performer - Others

| | | |
|-----------|----|---|
| All Funds | \$ | 0 |
|-----------|----|---|

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

Question 2 (subset of Question 1 "Total")

Basic Research Expenditures \$ 0

Question 3 (subset of Question 1 "Total")

R&D Expenditures from Federal Funds \$ 0

Question 4

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

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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.

**Display Submission
(PDF Format)**

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