

# Survey of FY 2009 State Research & Development Expenditures

## State Coordinator Web Pages

4/14/10

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!

The purpose of the State R&D Expenditures Survey is to measure your state's contributions toward scientific advancement and technological innovation.

### Survey Questions and Definitions (PDF)

\*\*\*\* Warning \*\*\*\*

---

You have accessed a United States government computer. Use of this computer without authorization or for purposes for which authorization has not been extended is a violation of federal law and can be punished with fines or imprisonment (Public Law 99-474). Violators are subject to having their processes terminated. System usage by an individual accessing the site may be monitored, recorded, and subject to audit. Use of this system indicates consent to monitoring and recording.

---

UserID:	<input type="text"/>	
Password:	<input type="text"/>	<input type="button" value="Login"/>

- 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.


## System Requirements

Popup blockers disabled

JavaScript enabled

Operating System: Windows 95, 98, ME, 2000, XP, NT or 7

Browser: Netscape 6.0 or later / Internet Explorer 5.0 or later / Mozilla Firefox 1.0 or later

System Software: Adobe PDF reader  [download Adobe Acrobat](#)

---

## Burden Statement

**Expires XX/XX/XXXX**

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 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](mailto:Paperwork@census.gov); use "Paperwork Project XXXX-XXXX " as the subject.

---

## Contact Us

Kenny Herrell, Survey Project Manager  
U.S. Bureau of the Census  
(800) 622-6193  
[govs.nsf@census.gov](mailto:govs.nsf@census.gov)

OMB No. xxxx-xxxx

## Overview 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 2007.
- 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.

- |               |  |
|---------------|--|
| <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> | Department progress  |
| <b>Step 7</b> | Review and submit data   |

**Step 1****State Coordinator contact information**

Please provide contact information in case we have questions about your state's survey responses.

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

- 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 the other survey definitions (including “basic research”)?

If you have any questions about these definitions or the survey in general, please contact:

Kenny Herrell, Survey Project Manager  
U.S. Census Bureau  
(800) 622-6193  
[govs.nsf@census.gov](mailto:govs.nsf@census.gov)

---

### **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?**

<b><u>R&amp;D includes, but is not limited to, activities that produce:</u></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>• Program planning and evaluation</li><li>• Strategic planning</li><li>• Market research or analysis</li><li>• Economic / policy / feasibility studies</li><li>• Routine data collection / dissemination</li><li>• Management information systems</li><li>• Routine monitoring / testing</li><li>• General patient services</li><li>• Marketing products / services</li><li>• Business development services for new companies</li><li>• Intellectual property protection (patents, disclosures)</li><li>• Commercialization (includes promoting/producing the products/services from R&amp;D projects)</li></ul>

## Examples of classifying R&D in four situations

Activity	It IS R&D	It is NOT R&D
Technical assistance	You hire a technical consultant to test the disease resistance for the new fish species you are developing. (The assistance addresses the uncertainty of the science/technology aspects of the product or service.)	You hire a technical consultant to help you design the graphic design for the package to ship your new fish species when you begin offering it for sale to other states. (The assistance addresses the uncertainty of the marketing/production aspects of the product or service.)
Help for new businesses	You provide funding to new businesses to help them with the costs of building prototypes of products they are developing.	You provide funding for new technology companies to help them acquire basic skills to market their new products.
Consulting	You use a consultant to plan testing of a highway pavement material that your transportation research center is trying to develop.	You use a consultant to help you secure health and safety approval for your new pavement material.
Developing a product from your research	You hire a university research center to test a new type of grass you developed to test whether it will survive actual conditions along the coastline.	You hire a law firm to help you with the process for patenting the new grass that you developed.



### 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>

### 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:  
Companies  
Nonprofit organizations  
Other state governments  
City, county, regional, or other local governments

---

## E) 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

---

## 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 (Internal)

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 (External)

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 the other survey definitions (including “basic research”)?

**Fiscal Year** is your state’s fiscal year ending in 2006.

**Construction and Acquisition of R&D 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 for this survey. Applied research is conducted with a specific practical objective.)

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.

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

Contact information for departments/agencies identified for last year's survey is provided in the **"Preselected Agency"** list below. This information will be used by the Census Bureau to contact these departments/agencies with instructions for accessing and completing the survey questions online.

- Please verify the preselected information, or you may make changes by clicking on the department/agency name.
- Use the **"Add Department/Agency"** button at the bottom of this page to identify and provide information for additional agencies you think should also participate in the FY 2007 survey.

All preselected and added departments/agencies will answer a short screener question to determine if they had qualifying R&D expenditures for FY 2007.

Please **DO NOT** add academic institutions to the list of department/agencies since they are surveyed separately.

**3a**

Department/Agency	Contact Name Title	E-mail Phone #
-------------------	-----------------------	-------------------

Preselected Agencies:


### 3b

Department/Agency	Contact Name Title	E-mail Phone #
-------------------	-----------------------	-------------------

Agencies you have added:


**Add department/agency**

### 3c

If you would like to delete an agency on your state's list, please contact [Kenny Herrell](#).

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

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

If you have not already done so, please contact the following departments/agencies identified in Step 3. Suggested e-mail text is provided below.

- **Agriculture, Department of**
- **Barley Commission**
- **Environmental Quality, Department of**
- **Fish and Game, Department of**
- **Health and Welfare, Department of**
- **Idaho Bean Commission**
- **Idaho Forest Products Commission**
- **Idaho Oilseed Commission**
- **Idaho Pea and Lentil Commission**
- **Potato Commission**
- **Transportation, Department of**
- **Water Resources, Department of**
- **Wheat Commission**

After you have contacted these departments/agencies, please proceed to Step 5 so they can begin the survey.

Suggested e-mail text...

**Subject:** State R&D Expenditures Survey

Shortly, you will be contacted by the U.S. Census Bureau requesting your participation in the FY 2007 Survey of State R&D Expenditures. You will receive two e-mails containing information you will need to complete the survey via the survey Website. One e-mail will contain a UserID, while the other e-mail will contain a PASSWORD. Please use the instructions provided in order to complete the ten survey items.

The Census Bureau and the National Science Foundation (NSF) are conducting this study jointly. This 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.

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

**Step 5****Notify Census Bureau so that Contacts Can Begin Survey**

First, check the box next to each department/agency that is ready to begin the survey and receive their User ID and password.

Next, click the "Submit" button to request that the Census Bureau send the UserID and password. (Separate emails are sent for the User ID and for the password.)

Use the "Resend" link later if you want us to resend the two emails for the User ID and password.

Status	Agency Name	Request UserID and Password

**Submit**



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

- Click on the department/agency name to view or edit 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 2009.

### View or Edit Department/Agency Responses

Name	Status

The options for status are:

- Not logged in yet
- 0 of 5 questions completed
- 1 of 5 questions completed
- 2 of 5 questions completed
- 3 of 5 questions completed
- 4 of 5 questions completed
- 5 of 5 questions completed, not submitted
- Submitted, no R&D reported
- Submitted, R&D reported

Example of page where state coordinator can view department/agency survey responses.

<b>R&amp;D Expenditure Questions</b>	
<b>Question 1</b>	Total Agency
R&D Expenditures by Performer and Source	Reported
Internal Performers - Department/agency	
State funds	\$ xxx,xxx
Federal funds	\$ xxx,xxx
Other funds	\$ xxx,xxx
External Performer - Academic institutions	
All funds	\$ xxx,xxx
External Performer - Companies and Individuals	
All funds	\$ xxx,xxx
External Performer – Others	
All funds	\$ xxx,xxx
<b>Total R&amp;D Expenditures</b>	<b>\$ xxx,xxx</b>
<b>Question 2</b> (subset of Question 1 "Total")	\$ xxx,xxx
Basic Research Expenditures	
<b>Question 3</b> (subset of Question 1 "Total")	\$ xxx,xxx
R&D Expenditures from Federal Funds	
<b>Question 4</b> (subset of Question 1 "Total")	\$ xxx,xxx
Type of Research	
Agriculture	\$ xxx,xxx
Environment and Natural Resources	\$ xxx,xxx
Health	\$ xxx,xxx
Transportation	\$ xxx,xxx
Other	\$ xxx,xxx
<b>Question 5</b>	
Expenditures for Construction and Acquisition of Facilities	
Used Primarily for R&D	\$ xxx,xxx

This last step allows you to submit your final state data.

To revise these amounts, you may return to Step 6 or contact individual departments/agencies.

### Question 1

R&D Expenditures by Performer and Source

Final State Data

Internal Performers - Department/agency

State funds

\$ xxx,xxx

Federal funds

\$ xxx,xxx

Other funds

\$ xxx,xxx

External Performer - Academic institutions

All funds

\$ xxx,xxx

External Performer - Companies and Individuals

All funds

\$ xxx,xxx

External Performer – Others

All funds

\$ xxx,xxx

**Total R&D Expenditures**

**\$ xxx,xxx**

**Question 2** (subset of Question 1 "Total")

\$ xxx,xxx

Basic Research Expenditures

**Question 3** (subset of Question 1 "Total")

\$ xxx,xxx

R&D Expenditures from Federal Funds

**Question 4** (subset of Question 1 "Total")

\$ xxx,xxx

Type of Research

Agriculture

\$ xxx,xxx

Environment and Natural Resources

\$ xxx,xxx

Health

\$ xxx,xxx

Transportation

\$ xxx,xxx

Other

\$ xxx,xxx

**Question 5**

Expenditures for Construction and Acquisition of Facilities

\$ xxx,xxx

Used Primarily for R&D

[Previous](#)

[Submit Final Data](#)

[Printer-Friendly \(PDF\)](#)

## FY 2009 State R&D Expenditures Survey 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 Kenny Herrell at (800) 622-6193 or [govs.nsf@census.gov](mailto:govs.nsf@census.gov).

To retrieve a printable copy of your submission, please click [here](#).

**Display Submission (PDF format)**

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