



Survey of FY 2009 State R&D Expenditures



Survey Questions [\(Click here\)](#)

pages 2-5

Definitions and Examples [\(Click here\)](#)

pages 6-10

Please provide your survey responses at:
<http://harvester.census.gov/nsf>

The purpose of this survey is to measure your state's contributions toward scientific advancement and technological innovation. The results of this survey will be used to estimate national totals for R&D in conjunction with other data collected by the National Science Foundation from private industry, academic institutions, and the Federal government.

OMB: XXXX-XXXX

Expires: MM/DD/YYYY

Survey Questions

R&D Screener Question

Did your department/agency do any of the following during FY 2009? Your answer will determine whether you continue to the R&D Expenditure questions in Step 4.

- Had a division, branch, or office devoted to research or development
- Performed 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
- Performed 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 2009 survey.

Note: You may provide comments for each question on the survey website.

R&D Expenditure Questions

Question 1

What were your department/agency R&D expenditures for FY 2009 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 facilities used primarily for R&D; use Question 5.

See [Page 6](#) for R&D definitions and examples.

Internal Performers

- | | | |
|---|--|---|
| <ul style="list-style-type: none"> • 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) • Administration/management of external R&D projects | Examples of expenditures: <ul style="list-style-type: none"> • Salaries • Benefits • Supplies • Travel | <ul style="list-style-type: none"> • Equipment • Indirect Costs • Purchased Services |
|---|--|---|

Expenditures by Internal Performers

Source of Expenditures

Examples of Sources

| | | |
|--|---------------|--|
| \$ <input style="width: 100%;" type="text"/> | State Funds | State appropriations, state grants, tobacco settlement funds, lottery proceeds |
| \$ <input style="width: 100%;" type="text"/> | Federal Funds | Federal awards |
| \$ <input style="width: 100%;" type="text"/> | 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: <ul style="list-style-type: none"> • Academic institutions • Companies and individuals • Others | Examples of expenditures: <ul style="list-style-type: none"> • 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 \$ <input style="width: 100%;" type="text"/> | All Funds (federal, state, other) | |
| Companies and Individuals \$ <input style="width: 100%;" type="text"/> | All Funds (federal, state, other) | |
| Others \$ <input style="width: 100%;" type="text"/> | All Funds (federal, state, other) | |
| \$ <input style="width: 100%;" type="text"/> | Total R&D Expenditures (automatically calculated) | |

R&D Expenditure Questions

Question 2

How much of your total R&D expenditures reported in Question 1 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 as separate categories in this survey. Applied research is conducted with a specific practical objective.)

See [Page 10](#) for examples.

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

Note: You may provide comments for each question on the survey website.

R&D Expenditure Questions

Question 3

How much of your total R&D expenditures reported in Question 1 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")

Note: You may provide comments for each question on the survey website.

R&D Expenditure Questions

Question 4

How much of your total R&D expenditures reported in Question 1 were for each type of R&D below? You may provide an estimate, if necessary.

| Expenditures | Type of R&D | Examples |
|---|--|--|
| \$ <input style="width: 100px;" type="text"/> | Agriculture | Animal health Aquaculture Crop management Food and commodities Forestry |
| \$ <input style="width: 100px;" type="text"/> | Environment and natural resources | Air and water quality Fish, game, and wildlife Marine and aquatic environments Parks and preserves Soil and water conservation |
| \$ <input style="width: 100px;" type="text"/> | Health | Biomedical research Mental health and addiction Public health |
| \$ <input style="width: 100px;" type="text"/> | Transportation | Highways and roads Water transit Rapid transit Rail |
| \$ <input style="width: 100px;" type="text"/> | Other | R&D in other areas, such as: Corrections Education Energy Geological survey Labor Public safety Social Services |
| \$ <input style="width: 100px;" type="text"/> | Total R&D Expenditures (automatically calculated) | |

Note: You may provide comments for each question on the survey website.

R&D Expenditure Questions

Question 5

What were your department/agency FY 2009 expenditures for construction and acquisition of facilities used primarily for R&D?

Please include:

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

See [Page 6](#) for R&D definitions and examples.

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

Note: You may provide comments for each question on the survey website.

Definitions & Examples

[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 \(including “basic research”\)?](#)

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">• Program planning and evaluation• Strategic planning• Market research or analysis• Economic / policy / feasibility studies• Routine data collection / dissemination• Management information systems• Routine monitoring / testing• General patient services• Marketing products / services• Business development services for new companies• Intellectual property protection (patents, disclosures)• Commercialization (includes promoting/producing the products/services from R&D projects) |

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&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 | Examples |
|-----------|--|
| State | State appropriations and grants, tobacco settlement funds, state lottery proceeds |
| Federal | Grants, contracts, and appropriations from the United States government |
| All other | <p>Grants and contracts from:</p> <ul style="list-style-type: none"> Companies Nonprofit organizations, including foundations Other state governments City, county, regional, or other local governments |

E. What does R&D performer mean?

| | |
|----------------------------|---|
| Internal Performers | Those within your department/agency who perform R&D <ul style="list-style-type: none"> • 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 | Those outside your department/agency who perform R&D under the administrative oversight or control of your department/agency. This may include projects for your department/agency, as well as your extramural research programs. |
| Academic institutions | Public or private universities and colleges |
| Companies and individuals | Companies or individuals under contract for research projects |
| Others | Nonprofit organizations, including foundations 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: | Do NOT include: |
|--|--|
| <ul style="list-style-type: none"> • Salaries, wages, and benefits • Supplies • Purchased services (e.g. lab testing) • Travel • Indirect or overhead costs for R&D activities • Equipment | <ul style="list-style-type: none"> • Agency and other fiduciary fund expenditures • Intra-agency transactions • Non-cash/In-kind payments |

Expenditures for Academic Institutions, Companies or Individuals, or Others as Performers (External)

| Include: | Do NOT include: |
|---|--|
| <ul style="list-style-type: none"> • Grants • Payments for contracted R&D projects • Reimbursable costs for R&D projects | <ul style="list-style-type: none"> • 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 2009.

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 as separate categories 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. |