

SUPPORTING STATEMENT
U.S. Department of Commerce
U.S. Census Bureau
Survey of State Research and Development
OMB Control Number 0607-0933

B. Collection of Information Employing Statistical Methods

1. Description of Universe and Respondent Selection

The State Government R&D survey is used to collect data from each of the 50 state governments, Puerto Rico, and the District of Columbia. Each of these elements is considered a population unit and is surveyed with certainty. A unit has responded when the state coordinator submits the data reported by the state agencies and departments.

2. Procedures for Collection of Information

A Web-based survey instrument is made available to each agency and department within the population unit. The initial communication with each state is via a letter to the governors requesting that they appoint a central coordinator for collection of data. The central coordinator, most likely a state budget or finance official, will assist Census Bureau staff in the collection of data at the department/agency level.

3. Methods to Maximize Response and Account for Nonresponse

Maximizing response: The key to maximizing response is by obtaining high-level approval and oversight for the data collection effort within each state. The state coordinator, who has been identified by the Governor, is asked to assist with identifying those agencies and departments within the state that support or fund R&D activities.

The state coordinators are responsible for communicating with individual department and agency respondents to encourage and monitor participation in the survey. Compiled responses from each department/agency are reviewed and officially submitted by the central state coordinator. Survey staff also monitors responses, but will only intervene at the department/agency level, if necessary. Since the survey is expected to launch in November 2013, monthly follow-up on state agencies and departments that have not submitted data will begin with state coordinators in January 2014.

Accounting for Nonresponse: Missing data are possible in four instances: (1) state does not respond to the survey, (2) state does not respond to particular items in the survey, (3) agencies or departments within a state do not respond to the survey and, (4) agencies or departments within a state that do not respond to particular items on the survey.

Efforts are made to minimize both unit and item nonresponse. Depending upon the nature and extent of any nonresponse at the end of the data collection period, appropriate nonresponse adjustments may be applied to the data to produce final estimates. These techniques include but are not limited to weighting adjustments, regression or ratio imputation techniques and the use of prior period data. Any imputed items in the micro-data will be appropriately flagged and all final techniques will be thoroughly evaluated and documented.

For the FY 2009 survey, all states participated in the survey, however only 43 out of 51, or 84.3 percent, of states or state equivalents officially verified final state data. Response rates are expected to remain at similar levels for future iterations of the survey.

4. Tests of Procedures or Methods

Project staff consulted with employees from multiple state governments who hold roles primarily in the budget and finance offices, to test the collection methodology prior to the FY 2010 and FY 2011 survey kickoff. Usability tests were also conducted upon completion of the survey Website prior to the FY 2010 and FY 2011 survey kickoff. Respondent debriefings were conducted after the FY 2009 survey cycle to insure the survey definitions were clear, the survey instrument was functional, and the survey was not overly burdensome for state coordinators or state agency respondents. Respondent debriefings will be conducted following the FY 2010 and FY 2011 survey cycle. For all follow up contact protocols were developed in cooperation with the survey methodologists at both the Census Bureau and NSF.

5. Contacts for Statistical Aspects and Data Collection

Statistical staffs at both the Census Bureau and the National Science Foundation have been consulted on statistical aspects of the survey and on data collection issues.

Person responsible for data collection:

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List of Attachments

- A. Blank Survey (State Coordinator)
- B. Blank Survey (Agency Respondent)
- C. FY 2012-13 State R&D Paper version of the Web Form
- D. Governor's Letter to States (Sample from FY 2010 and FY 2011 Survey)
- E. State Coordinator Cover Email
- F. Agency Respondent Cover Email
- G. List of Individual Usability Testing and Debriefing Interview Consultations
- H. Letter from the Bureau of Economic Analysis in Support of Data Collection
- I. Thank You Letter to States