

Attachment A: SGRD instrument and supplemental graphic



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Contact Information

1. Please review the contact information below and update if needed.

Your Name:*

Title:*

Agency:

Address:

City:

State:*

ZIP: -

Telephone:* - - Extension:

Email:*

* Required fields

Do you want to provide additional contact information?

- Yes
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Reporting Period

2a. When did your state agency's Fiscal Year 2013-2014 end?

Month Day 2014

Note: For the rest of this survey, we will refer to this as FY 2014.

b. When did your state agency's Fiscal Year 2014-2015 end?

Month Day 2015

Note: For the rest of this survey, we will refer to this as FY 2015.

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R&D Activities

Research and development (R&D) is creative work conducted systematically to extend scientific knowledge, or devise new applications, which may include materials, products, devices, processes, systems, methods, or services.

What is R&D

- R&D is aimed at new findings
 - It has not been done before
 - It may produce findings that could be published in academic journals
 - It includes ideas that could be patented
- R&D increases our knowledge of the subject
 - Helps create new products or applications
- R&D creates solutions that others may find useful
 - Findings can be generalized to other situations and locations
- R&D outcomes are uncertain (because it has never been done before)
 - Solutions are not always obvious or expected

What is NOT R&D

- Construction and acquisition of land and facilities used primarily for R&D (this is reported separately in Question 11)
- Fixed equipment used primarily for R&D (this is reported separately in Question 11)
- Program planning and evaluation
- Business development services for new companies
- Commercialization (includes promoting/producing the products/services from R&D projects)
- Economic/policy/feasibility studies
- General patient services
- Information systems
- Management studies
- Marketing of products/services
- Market research or analysis
- Routine data collection/dissemination
- Routine monitoring/testing
- Strategic planning
- Technology transfer

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 has not 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. (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. (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 is not 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. (The monitoring plan has already been tested and you are certain of the quality of the plan.)</p>

Examples of classifying R&D from four activities		
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.

Reporting unit

The reporting unit is your department, agency, commission, public authority (herein referred to as agency) including all divisions and offices regardless of location that either perform or fund R&D.

Estimates are acceptable

Please report all items to the best of your ability.

3. Did your agency do any of the following during FY 2014 or FY2015?

a. Had a division, branch or office devoted to research and development

- Yes
- No

b. Performed R&D activities using agency staff

- Yes
- No

c. Funded research or development at another state or local government

- Yes
- No

d. Funded universities or other nonprofit organizations to perform research or development activities

- Yes
- No

e. Funded companies or individuals to perform research or development activities

- Yes
- No

f. Performed or funded other research or development activities not specified above

- Yes

Please specify:

(250 chars max)

- No

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R&D Expenditures

Expenditures for R&D Performed Internally (Internal R&D)

4. During FY 2014 and FY 2015, what were the total expenditures for internal R&D performance from federal funds, state funds, or other funds? For more information on internal R&D [open this supplemental PDF](#).

Include

Types of activities

- R&D performed by your agency's employees
- Services performed by others in support of an agency R&D project (e.g., lab testing)
- Administration and management of R&D performed external to your agency (e.g., administration of R&D-related contracts)

Types of costs

- Salaries
- Benefits
- Supplies and movable equipment for R&D
- Travel
- Indirect costs
- Purchased services

Exclude

- R&D performed by higher education institutions
- R&D performed by businesses and individuals
- R&D performed by non-profit organizations
- R&D performed by other governments
- Construction and acquisition of land or facilities used primarily for R&D (report in Question 11)
- Fixed equipment used primarily for R&D (report in Question 11)

	FY 2014	FY 2015
a. Federal funds used for internal R&D For example:	\$ <input type="text"/> .00	\$ <input type="text"/> .00

	FY 2014	FY 2015
a. Federal funds used for internal R&D For example:	\$ <input type="text"/> .00	\$ <input type="text"/> .00
<ul style="list-style-type: none"> • Grants • Contracts • Awards • Appropriations from the United States Government 		
b. State funds used for internal R&D For example:	\$ <input type="text"/> .00	\$ <input type="text"/> .00
<ul style="list-style-type: none"> • Appropriations from the state legislature • Bond funds • General funds • Restricted funds • Revenue funds • State grants • Tobacco settlement funds • Lottery proceeds • Funds from other agencies within your state 		
c. Other sources used for internal R&D For example:	\$ <input type="text"/> .00	\$ <input type="text"/> .00
<ul style="list-style-type: none"> • Funding from other state governments • Funds from state/regional partnership agreements • Funding from local or tribal governments • Funding from nonprofit organizations • Funding from business <p>Please specify: <input style="width: 150px;" type="text"/></p>		
d. TOTAL	\$ <input type="text"/> .00	\$ <input type="text"/> .00

Expenditures for R&D Performed by External Entities (External R&D)

5. During FY 2014 and FY 2015, what were the total expenditures for external R&D performance from federal funds, state funds, or other funds? For more information on external R&D [open this supplemental PDF](#).

Include R&D funded by your agency and performed by, higher-education institutions, agricultural experiment stations, businesses and individuals, non-profit organizations, other state or local governments.

Exclude pass-through funding for which you have no administrative oversight or control.

	FY 2014	FY 2015
a. Federal funds used for external R&D For example: <ul style="list-style-type: none">• Grants• Contracts• Awards• Appropriations from the United States Government	\$ <input type="text"/> .00	\$ <input type="text"/> .00
b. State funds used for external R&D For example: <ul style="list-style-type: none">• Appropriations from the state legislature• Bond funds• General funds• Restricted funds• Revenue funds• State grants• Tobacco settlement funds• Lottery proceeds• Funds from other agencies within your state	\$ <input type="text"/> .00	\$ <input type="text"/> .00
c. Other sources used for external R&D For example: <ul style="list-style-type: none">• Funding from other state governments• Funds from state/regional partnership agreements• Funding from local or tribal governments• Funding from nonprofit organizations• Funding from companies/industry Please specify: <input type="text"/>	\$ <input type="text"/> .00	\$ <input type="text"/> .00
d. TOTAL	\$ <input type="text"/> .00	\$ <input type="text"/> .00

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Total R&D Expenditures

6. The following matrix shows the answers reported in Questions 4 and 5. To revise them, please return to the appropriate question and enter new data.

FY 2014			FY 2015		
Internal	External	Total by Source	Internal	External	Total by Source
Federal	\$0	\$0	Federal	\$0	\$0
State	\$0	\$0	State	\$0	\$0
Other	\$0	\$0	Other	\$0	\$0
Total	\$0	\$0	Total	\$0	\$0

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Total R&D Expenditures by Function

7. Of the \$37 for FY2014 and \$41 for FY2015 reported expenditures, how much was for:

	FY 2014	FY 2015
a. Agriculture For example: <ul style="list-style-type: none"> • Animal husbandry • Aquaculture • Crop management • Food and commodities 	\$ <input type="text"/> .00	\$ <input type="text"/> .00
b. Energy For example: <ul style="list-style-type: none"> • Alternative fuels (e.g., ethanol, biofuels) • Energy conservation/efficiency • Oil and gas • Other fossil fuels (e.g., coal, clean-coal, lignite) • Renewable energy (e.g., wind, solar) 	\$ <input type="text"/> .00	\$ <input type="text"/> .00
c. Environment and Natural Resources For example: <ul style="list-style-type: none"> • Air and water quality • Fish, game, and wildlife • Forestry • Geological studies • Marine and aquatic environments • Parks and preserves • Soil and water conservation 	\$ <input type="text"/> .00	\$ <input type="text"/> .00
d. Health For example:	\$ <input type="text"/> .00	\$ <input type="text"/> .00

d. Health

\$.00

\$.00

For example:

- Biomedical research
- Mental health and addiction
- Pharmaceutical
- Public health

e. Transportation

\$.00

\$.00

For example:

- Aviation
- Highways, roads, and bridges
- Ports and waterways
- Public transportation
- Rail and freight

f. Other functions

\$.00

\$.00

For example:

- Corrections and criminal justice
- Education
- Labor
- Public safety
- Social services

Please specify:

g. Total

\$.00

\$.00

Should equal \$37

Should equal \$41

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Funds Received from Federal Agencies for R&D

8. Of the \$4 for FY2014 and \$6 for FY2015 reported expenditures from federal funds, what amount came from the following agencies? Please add any agencies not already listed. If none, please report \$0.

Federal Agency	FY 2014	FY 2015
Department of Agriculture	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Commerce	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Defense	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Education	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Energy	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Health and Human Services	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Homeland Security	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Housing and Urban Development	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Interior	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Justice	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Labor	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of State	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Transportation	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of the Treasury	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Department of Veteran Affairs	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Environmental Protection Agency	\$ <input type="text"/> .00	\$ <input type="text"/> .00
National Aeronautics and Space Administration	\$ <input type="text"/> .00	\$ <input type="text"/> .00
National Science Foundation	\$ <input type="text"/> .00	\$ <input type="text"/> .00
Other, please specify: (100 chars. max.)		
<input type="text"/>	\$ <input type="text"/> .00	\$ <input type="text"/> .00
<input type="text"/>	\$ <input type="text"/> .00	\$ <input type="text"/> .00
TOTAL	\$ <input type="text"/> .00	\$ <input type="text"/> .00
	Should equal \$4	Should equal \$6

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FY 2015 Expenditures for R&D Performed Internally by Type of R&D

9. What amount of your \$2 reported FY 2015 federal internal R&D expenditures and \$22 reported FY 2015 non-federal internal R&D expenditures in Question 4 were for basic research, applied research, and experimental development, from federal and non-federal funds? (Please use your best estimate.)

	FY 2014		FY 2015	
	Federal Funds	Non-federal Funds	Federal Funds	Non-federal Funds
a. Basic research	\$ n/a .00	\$ n/a .00	\$ <input type="text"/> .00	\$ <input type="text"/> .00
<p>Research undertaken primarily to acquire new knowledge without any particular application or use in mind. (See below for examples of Basic Research)</p>				
b. Applied research	\$ n/a .00	\$ n/a .00	\$ <input type="text"/> .00	\$ <input type="text"/> .00
<p>Research conducted to gain the knowledge or understanding to meet a specific, recognized need. (See below for examples of Applied Research)</p>				
c. Experimental development	\$ n/a .00	\$ n/a .00	\$ <input type="text"/> .00	\$ <input type="text"/> .00
<p>The systematic use of the knowledge or understanding gained from research directed towards the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes. (See below for examples of Experimental Development)</p>				
d. TOTAL	\$ n/a .00	\$ n/a .00	\$ <input type="text"/> .00 Should equal \$2	\$ <input type="text"/> .00 Should equal \$22

Examples

Basic Research	Applied Research	Experimental 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.
You are studying the effects of various strategies for teaching math in order to understand which is the most effective.	You are studying the implementation of a specific math curriculum to determine what factors lead to successful implementation by teachers.	You are using research in the field to develop education software and support tools for math curriculum.

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Expenditures for R&D Performed Externally by Type of Entity

10. Of the \$16 for FY2014 and \$17 for FY2015 reported expenditures in Question 5, how much was to:

	FY 2014	FY 2015
a. Higher education institutions	\$ <input type="text"/> .00	\$ <input type="text"/> .00
b. Businesses or individuals	\$ <input type="text"/> .00	\$ <input type="text"/> .00
c. Other entities	\$ <input type="text"/> .00	\$ <input type="text"/> .00
For example: <ul style="list-style-type: none"> • Other state governments • Local governments • Non-profit organizations Please specify: (250 chars. max.) <input style="width: 200px;" type="text"/>		
d. TOTAL	\$ <input type="text"/> .00 <small>Should equal \$16</small>	\$ <input type="text"/> .00 <small>Should equal \$17</small>

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R&D Expenditures for Land and Facilities

11. During FY 2014 and FY2015, what were your agency's R&D expenditures for construction and acquisition of land and facilities (including fixed equipment) used primarily for R&D?

This question asks about R&D facilities and fixed equipment, such as reactors, wind tunnels, and particle accelerators. It includes the acquisition of, construction of, and major repairs or alterations to structures, works, equipment, facilities, or land for use in R&D activities. 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:

- Only expenditures related to the R&D activities of your agency.

Exclude:

- Expendable or movable equipment (e.g., spectrometers, microscopes).
- Office furniture and equipment.
- Costs of pre-design studies (e.g., those undertaken before commitment to a specific facility).

NOTE: The expenditures reported on this question are separate from the R&D expenditures asked throughout the rest of the survey, and should not be included in the expenditures on any other question in the survey.

FY 2014

FY 2015

\$.00

\$.00

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R&D Funding Structures

