



# Survey of State R&D

## Attachment A - FY 2010/11 SGRD State Coordinator Layout



# FY 2010 and FY 2011 Survey of State Government R&D



United States  
Census  
Bureau  
People, Places, and  
Our Economy

OMB: 0607-0933  
Exp: 04/30/2013

Home System Requirements Contact Us

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**Welcome!**

The purpose of the FY 2010 and FY 2011 Survey of State Government R&D 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.

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

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Results of this survey will be published by the National Science Foundation at [www.nsf.gov/statistics](http://www.nsf.gov/statistics).

**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.

You may e-mail comments to [Paperwork@census.gov](mailto:Paperwork@census.gov); use "Paperwork Project 0607-0933 " as the subject.

[Survey Questions and Definitions \(PDF\)](#)

## Overview for State Coordinator:

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Overview	Step 1. Coordinator Info	Step 2. Definitions/Examples	Step 3. Department Info
Step 4. Notify Depts.	Step 5. Request IDs and Passwords	Step 6. Department Progress	Step 7. Review/Submit

### 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 2010 or FY 2011.
- Work with the selected departments and agencies as they complete the survey.

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

**Step 1** Provide state coordinator contact information

**Step 2** Preview questions, definitions, and examples

**Step 3** Provide department/agency contact information

**Step 4** Notify department/agency contacts

**Step 5** Notify the Census Bureau so that the contacts can begin survey

**Step 6** Monitor department progress

**Step 7** Review and submit data

To view your state responses from the previous survey, click [here](#).

Fiscal Year 2009 Summary for State:

<a href="#">Contact Us - Log Out</a>			
Overview	Step 1. Coordinator Info	Step 2. Definitions/Examples	Step 3. Department Info
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<b>Fiscal Year 2009 Summary for State Unknown</b>			
Below are your survey responses from Fiscal Year 2009.			
<b>State R&amp;D Totals:</b>			
<b>Question 1</b>			
<b>R&amp;D Expenditures by Performer and Sources of Funds</b>			
<b>Internal Performers - Department/Agency</b>			<b>FY 2009</b>
• State Funds			\$ 1
• Federal Funds			\$ 0
• Other Funds			\$ 1
<b>External Performer - Academic Institutions</b>			
• All Funds			\$ 1
<b>External Performer - Companies and Individuals</b>			
• All Funds			\$ 1
<b>External Performer - Other</b>			
• All Funds			\$ 1
<b>Total R&amp;D Expenditures</b>			<b>\$ 5</b>
<b>Question 2</b> (subset of Question 1 "Total")			<b>\$ 15</b>
<b>Basic Research Expenditures</b>			
<b>Question 3</b> (subset of Question 1 "Total")			<b>\$ 2</b>
<b>R&amp;D Expenditures from Federal Funds</b>			
<b>Question 4</b> (breakout of Question 1 "Total")			
<b>Expenditures by type of R&amp;D</b>			
• Agriculture			\$ 0
• Energy (New category)			\$ 0
• Environment and natural resources			\$ 0
• Health			\$ 0
• Transportation			\$ 6
• Other			\$ 0
<b>Question 5</b> (not included in Question 1 "Total")			
<b>Expenditures for Construction and Acquisition of Facilities Used Primarily for R&amp;D</b>			<b>\$ 0</b>
<hr/>			
<b>State Agency Totals:</b>			
<b>Question 1: Total R&amp;D Expenditure</b>			<b>FY 2009</b>
Office of Sub Testing			\$ 5
<b>Question 2: Basic Research</b>			<b>FY 2009</b>
Office of Sub Testing			\$ 15
<b>Question 3: Federal R&amp;D funds</b>			<b>FY 2009</b>
Office of Sub Testing			\$ 2
<b>Question 4: R&amp;D Expenditures by type of research</b>			<b>FY 2009</b>
Office of Sub Testing			\$ 6
<b>Question 5: Construction R&amp;D</b>			<b>FY 2009</b>
Office of Sub Testing			\$ 0
<a href="#">Return to Survey</a>			

## Step 1. Coordinator Contact Information.

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Overview	Step 1. Coordinator Info	Step 2. Definitions/Examples	Step 3. Department Info
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**Step 1****State Coordinator Contact Information**

Please provide contact information in case we have questions about your state's survey responses. (\* required fields)

**State Unknown**

Your Name \*

Title \*

Agency Name \*

Telephone \*  -  -  EXT

Email \*

## Step 2. Definitions/Examples.

<a href="#">Contact Us - Log Out</a>			
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**Step 2**
**Definitions/Examples**

Survey definitions and examples of R&D are provided below.

Use the button below to view a printable version of these definitions and a preview of the survey questions.

Survey Questions and Definitions (PDF)  
[Download Adobe Acrobat Reader](#)

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 \(Question 1\)?](#)

E) [What does R&D performer mean \(Question 1\)?](#)

F) [What expenditures should be included/excluded?](#)

G) [What is the definition of Fiscal Year?](#)

H) [What is the definition of basic research \(Question 2\)?](#)

I) [What is the definition of "construction and acquisition of facilities" \(Question 5\)?](#)

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

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

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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.

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

R&D includes, but is not limited to, activities that produce:	R&D does NOT include:
<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>Management studies</li> <li>Strategic planning</li> <li>Business development services for new companies</li> <li>Market research or analysis</li> <li>Economic / policy / feasibility studies</li> <li>Routine data collection / dissemination</li> <li>Information systems</li> <li>Routine monitoring / testing</li> <li>General patient services</li> <li>Marketing of products / services</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.

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**C) What makes it R&D?**

What makes it R&D	When it is R&D	When it is NOT R&D
R&D is novel. <ul style="list-style-type: none"> <li>It increases our knowledge of the subject.</li> <li>It hasn't been done before.</li> </ul>	You are testing blood samples as part of a research project to find out the side effects of a new cancer treatment.	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.)
R&D creates solutions useful to others. <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>	You are testing a pavement on your highways that is currently used only at airports. Other states will want the results.	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.)
The outcome of R&D is uncertain. <ul style="list-style-type: none"> <li>The solution isn't obvious to an expert in that field.</li> </ul>	Your research involves monitoring streams to determine whether a new program is increasing the population of a particular type of fish.	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.)

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**D) What are sources of R&D funding (Question 1)?**

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"> <li>Companies</li> <li>Nonprofit organizations</li> <li>Other state governments</li> <li>City, county, regional, or other local governments</li> </ul>

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**E) What does R&D performer mean (Question 1)?**

**Performers** are the people who conduct R&D.

<b>Internal Performers:</b>	Within your department/agency <ul style="list-style-type: none"> <li>R&amp;D performed by your department's/agency's employees</li> <li>Services performed by others in support of an internal R&amp;D project (e.g., lab testing)</li> <li>Administration/management of external R&amp;D project</li> </ul>
<b>External Performers:</b>	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 or that received grants for research projects
Others	Nonprofit organizations Other departments/agencies within your state Other state governments City, county, regional, or other local governments Federal government

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**F) What expenditures should be included/excluded?**

**Expenditures** are amounts paid for current operations (Question 1 through 4) and capital outlays (Question 5).

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)**

<b>Include:</b> <ul style="list-style-type: none"> <li>Salaries, wages, and benefits</li> <li>Supplies</li> <li>Purchased services (e.g. lab testing)</li> <li>Travel</li> <li>Indirect or overhead costs for R&amp;D activities</li> <li>Equipment</li> </ul>	<b>Do NOT include:</b> <ul style="list-style-type: none"> <li>Agency and other fiduciary fund expenditures</li> <li>Intra-agency transactions</li> <li>Non-cash payments</li> </ul>
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**Expenditures for Academic Institutions, Companies or Individuals, or Others as Performers (External)**

<b>Include:</b> <ul style="list-style-type: none"> <li>Grants</li> <li>Payments for contracted R&amp;D projects</li> <li>Reimbursable costs for R&amp;D projects</li> </ul>	<b>Do NOT include:</b> <ul style="list-style-type: none"> <li>Pass-through grants over which you have no administrative oversight or control</li> <li>Direct appropriations to state universities that are used for R&amp;D activities over which you have no oversight or control. (That information is reported by universities on NSF Survey of Higher Education Institutions.)</li> </ul>
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**G) What is the definition of Fiscal Year?**

**Fiscal Year 2010** is your state’s fiscal year ending in 2010.

**Fiscal Year 2011** is your state’s fiscal year ending in 2011.

For example, if you are on a July - June fiscal year, Fiscal Year 2010 would be your July 1, 2009 to June 30, 2010 fiscal period.

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**H) What is the definition of basic research (Question 2)?**

It may be helpful to compare the three components of R&D —basic research, applied research and development. Report all three types of research for Questions 1, 3, 4 and 5. Report only basic research for Question 2.

Below are definitions and examples.

**Basic Research** (Question 2) is conducted primarily to acquire new knowledge. It can be pure basic research without a specific product or process in mind, or it can be oriented basic research to produce a broad base of knowledge for future research.

**Applied Research** is conducted with a specific practical objective.

**Development** is the systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.

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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**I) What is the definition of "construction and acquisition of facilities" (Question 5)?**

**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.

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Step 3. Department/Agency Contact Information.

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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 2010 and FY 2011 survey.

All departments/agencies will answer a short screener question to determine if they had qualifying R&D expenditures for FY 2010 and FY 2011.

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

If you would like to delete a department/agency on your state's list, please click on the department/agency name.

### 3a — Preselected Agencies

Department/Agency	Contact Name/Title	E-mail/Phone #
<a href="#">Office of Sub Testing</a>	Test ID	Lisa.Ann.McNelis@census.gov/301-763-7344

### 3b — Agencies you have Added for FY 2010 and FY 2011

<a href="#">Contact Us</a> - <a href="#">Log Out</a>			
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Step 3a
Update Contact Information

**Contact Information**  
Please provide contact information for the preselected department/agency. (\* required fields)

Name \*

Title

Agency Name \*

Telephone  -  -  EXT

Email \*



<b>Step 3b</b>	<b>Add New Agency</b>
<p><b>Contact Information</b></p> <p>Please provide contact information for this additional department/agency. (* required fields)</p> <p>Respondent Name * <input style="width: 250px; height: 20px;" type="text"/></p> <p>Title <input style="width: 250px; height: 20px;" type="text"/></p> <p>Agency Name * <input style="width: 250px; height: 20px;" type="text"/></p> <p>Telephone <input style="width: 40px; height: 20px;" type="text"/> - <input style="width: 40px; height: 20px;" type="text"/> - <input style="width: 40px; height: 20px;" type="text"/> EXT <input style="width: 40px; height: 20px;" type="text"/></p> <p>Email * <input style="width: 250px; height: 20px;" type="text"/></p> <p style="text-align: center;"> <input style="width: 150px; height: 25px; margin-right: 20px;" type="button" value="Cancel"/> <input style="width: 150px; height: 25px;" type="button" value="Save and Continue"/> </p>	

Step 4. Notify Departments/Agencies About Survey.

<a href="#">Contact Us</a> - <a href="#">Log Out</a>			
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<b>Step 4</b>	<b>Notify Departments/Agencies About Survey</b>		
<p>If you have not already done so, please contact the following departments/agencies identified in Step 3. Suggested e-mail text is provided below.</p> <ul style="list-style-type: none"> <li>• <b>Office of Sub Testing</b></li> </ul> <p>After you have contacted these departments/agencies, please proceed to Step 5 so they can begin the survey.</p> <p>Suggested email text...(You may add a deadline for your departments/agencies if you'd like.)</p> <div style="border: 1px solid #ccc; padding: 10px; margin: 10px 0;"> <p><b>Subject:</b> Survey of State Government R&amp;D</p> <p>Shortly, you will be contacted by the U.S. Census Bureau requesting your participation in the FY 2010 and FY 2011 Survey of State Government R&amp;D. 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 User ID, while the other e-mail will contain a Password. Please use the instructions provided in order to complete the ten survey items.</p> <p>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&amp;D for our state's companies and academic institutions.</p> <p>It is very important that NSF represent our state accurately, so I am asking you to give this effort your attention.</p> <p>I appreciate your help so that our survey response will be timely.</p> </div> <p style="text-align: center;"> <input style="width: 100px; height: 25px; margin-right: 20px;" type="button" value="Previous"/> <input style="width: 100px; height: 25px;" type="button" value="Continue"/> </p>			

Step 5. Request IDs and Passwords.

[Contact Us](#) - [Log Out](#)

Overview	Step 1. Coordinator Info	Step 2. Definitions/Examples	Step 3. Department Info
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## Step 5 Request IDs and Passwords

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 Request" button to request that the Census Bureau send the User ID 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	Contact Name	Resend
Contacted	Office of Sub Testing	Test ID	<a href="#">Resend</a>

Step 6. Department Progress.

[Contact Us](#) - [Log Out](#)

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## Step 6 Department Progress

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

- Click on the department/agency name to view individual responses.

0 of 1 departments/agencies have submitted survey responses for your state. This includes department/agencies that reported no R&D for FY 2010 and FY 2011.

**View Department/Agency Responses**

Name	FY 2010 and FY 2011 Status
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Step 7. Review/Submit Final State Data.

<a href="#">Contact Us</a> - <a href="#">Log Out</a>			
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Step 7
Review/Submit Final State Data

Below is a comparison of your survey responses from FY 2009 to the responses currently entered for FY 2010 and FY 2011.  
 To revise data, please contact the individual departments/agencies and have them contact the Census Bureau to reopen their survey.  
 [Note that data changes cannot be made on this screen].  
 Click "Submit Final Data" to submit your state's data to the Census Bureau.  
 To view your FY 2009, FY 2010, and FY 2011 individual agency responses, click [here](#).

**Question 1**  
**R&D Expenditures by Performer and Source**

	FY 2009	FY 2010	FY 2011
<b>Internal Performers - Department/Agency</b>			
• State Funds	\$ 1	\$ 3	\$ 6
• Federal Funds	\$ 0	\$ 9	\$ 12
• Other Funds	\$ 1	\$ 15	\$ 18
<b>External Performer - Academic Institutions</b>			
• All Funds	\$ 1	\$ 21	\$ 24
<b>External Performer - Companies and Individuals</b>			
• All Funds	\$ 1	\$ 27	\$ 30
<b>External Performer - Others</b>			
• All Funds	\$ 1	\$ 33	\$ 36
<b>Total R&amp;D Expenditures</b>	<b>\$ 5</b>	<b>\$ 108</b>	<b>\$ 126</b>
<b>Question 2</b> (subset of Question 1 "Total") <b>Basic Research Expenditures</b>	\$ 15	\$ 39	\$ 70
<b>Question 3</b> (subset of Question 1 "Total") <b>R&amp;D Expenditures from Federal Funds</b>	\$ 2	\$ 41	\$ 49
<b>Question 4</b> (breakout of Question 1 "Total") <b>R&amp;D Expenditures by type of research</b>			
• Agriculture	\$ 0	\$ 29	\$ 31
• Energy (New category)	\$ 0	\$ 33	\$ 35
• Environment	\$ 0	\$ 10	\$ 18
• Health	\$ 0	\$ 0	\$ 0
• Transportation	\$ 0	\$ 0	\$ 0
• Other	\$ 0	\$ 0	\$ 0
<b>Question 5</b> (not included in Question 1 "Total") <b>Expenditures for Construction and Acquisition of Facilities used Primarily for R&amp;D</b>	\$ 0	\$ 94	\$ 8

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Submit Final Data
Print or Save (pdf)

Current Year/Prior Year Comparison Summary for State:

[Contact Us](#) - [Log Out](#)

Overview	Step 1. Coordinator Info	Step 2. Definitions/Examples	Step 3. Department Info
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### Current Year/Prior Year Comparison Summary for **State Unknown**

Below is a comparison of your state's agency detail for FY 2009 to the responses currently entered for FY 2010 and FY 2011.

#### State Agency Detail:

Question 1: Total R&D Expenditure	FY 2009	FY 2010	FY 2011
Office of Sub Testing	\$ 5	\$ 36	\$ 42

Question 2: Basic Research	FY 2009	FY 2010	FY 2011
Office of Sub Testing	\$ 15	\$ 13	\$ 14

Question 3: Federal R&D funds	FY 2009	FY 2010	FY 2011
Office of Sub Testing	\$ 2	\$ 0	\$ 0

Question 4: R&D Expenditures by type of research	FY 2009	FY 2010	FY 2011
Office of Sub Testing - Total	\$ 6	\$ 0	\$ 0
Transportation	\$ 6	\$ 0	\$ 0

Question 5: Construction R&D	FY 2009	FY 2010	FY 2011
Office of Sub Testing	\$ 0	\$ 0	\$ 0

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