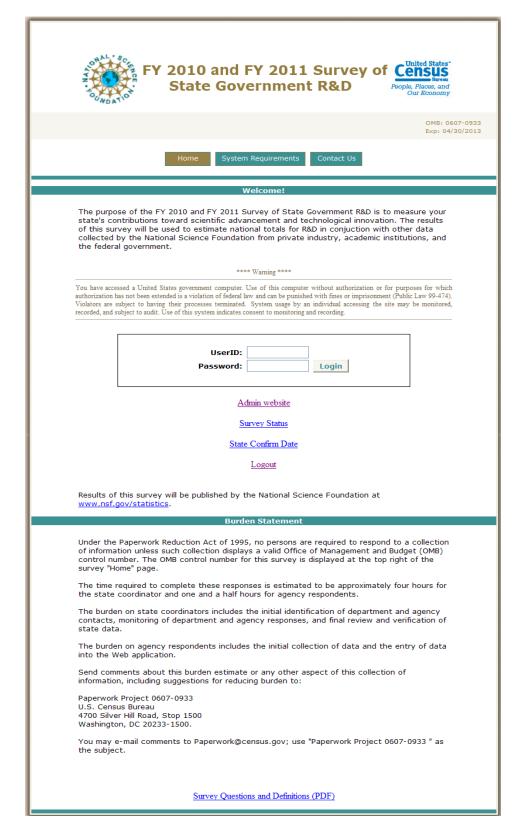
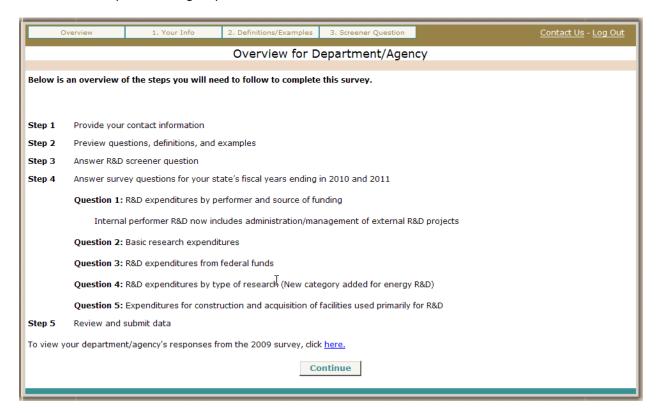
Survey of State R&D

Attachment B - FY 2010/11 SGRD Agency Respondent Layout

Login Page:



Overview for Department/Agency:



Fiscal Year 2009 Summary Data:

				Contact Us -
Overview	Step 1. Your Info	Step 2. Definitions/Examples	Step 3. Screener Question	Step 4. Question 1
Step 4. Question 2	Step 4. Question 3	Step 4. Question 4	Step 4. Question 5	Step 5. Review/Submit
	Fi	scal Year 2009 Sun	ımary Data	
elow are your survey resp	oonses from Fiscal Year 2009	э.		
uestion 1				
D Expenditures by Perfo	rmer and Source of Funds			FY 2009
Internal Performers - De • State Funds	epartment/Agency			\$ 1
Federal Funds				\$ 3
Other Funds				\$ 5
external Performer - Aca All Funds	ndemic Institutions			\$ 7
External Performer - Co • All Funds	mpanies and Individuals			\$ 9
External Performer - Oti All Funds	ner			\$ 11
otal R&D Expenditu	res			\$ 36

Question 2 (subset of Question 1 "Total") Basic Research Expenditures	\$ 36
Question 3 (subset of Question 1 "Total") R&D Expenditures from Federal Funds	\$ 30
Question 4 (breakout of Question 1 "Total")	
Expenditures by type of R&D • Agriculture	\$ 1
Energy (New category)	\$ 0
Environment and natural resources	\$ 5
Health	\$ 7
Transportation	\$ 9
• Other	\$ 11
Question 5 (not included in Question 1 "Total") Expenditures for Construction and Acquisition of Facilities Used Primarily for R&D	\$ 123
Return to Survey	

Step 1. Department/Agency Contact Information:



Step 2. Definitions/Examples:

			Contact Us - Log Ou
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
Step 2		Definitions/Exam	ples
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? If you have any questions about these definitions or the survey in general, please contact:			
) What makes it R&D?) What are sources of R&D Funding (Question 1)?) What does R&D performer mean (Question 1)?		Lisa McNelis, Survey Pro U.S. Census Bureau (800) 622-6193 govs.nsf.list@census.go	-

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)?

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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

 ${\small Applications\ can\ include\ materials,\ products,\ devices,\ processes,\ systems,\ or\ services.}$

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:
Ideas that might be patented Findings that could be published in academic journals New or improved products or applications	Program planning and evaluation Management studies Strategic planning Business development services for new companies Market research or analysis Economic / policy / feasibility studies Routine data collection / dissemination Information systems Routine monitoring / testing General patient services Marketing of products / services 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.

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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. It increases our knowledge of the subject. It hasn't been done before.	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. • Others might benefit from the findings. • The findings can be generalized to other situations and locations.	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. • The solution isn't obvious to an expert in that field.	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: Companies Nonprofit organizations Other state governments City, county, regional, or other local governments

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

Performers are the people who conduct R&D.

Internal Performers:	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) Administration/management of external R&D project 	

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 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)

Include:	Do NOT include:
Salaries, wages, and benefits Supplies Purchased services (e.g. lab testing) Travel Indirect or overhead costs for R&D activities Equipment	Agency and other fiduciary fund expenditures Intra-agency transactions Non-cash payments

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

Include:	Do NOT include:
Grants Payments for contracted R&D projects Reimbursable costs for R&D projects	 Pass-through grants over which you have no administrative oversight or control Direct appropriations to state universities that are used for R&D activities over which you have no oversight or control. (That information is reported by universities on NSF Survey of Higher Education Institutions.)

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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		You are testing a newly developed chicken pox	
determine what affects coagulation.	chicken pox vaccine affects blood coagulation.	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 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 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)?

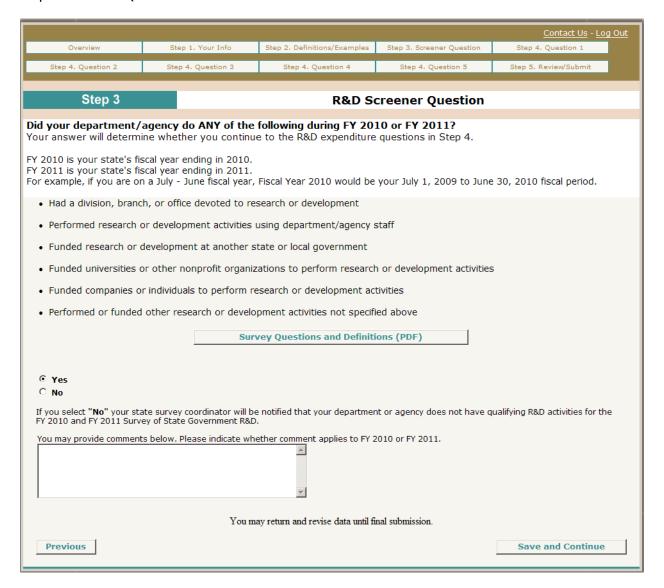
Construction and Acquisition of Facilities Used Primarily for R&D includes major costs for construction and purchase of buildings to be primarily used as R&D facilities. Include new construction, major renovations, and purchase of land or buildings.

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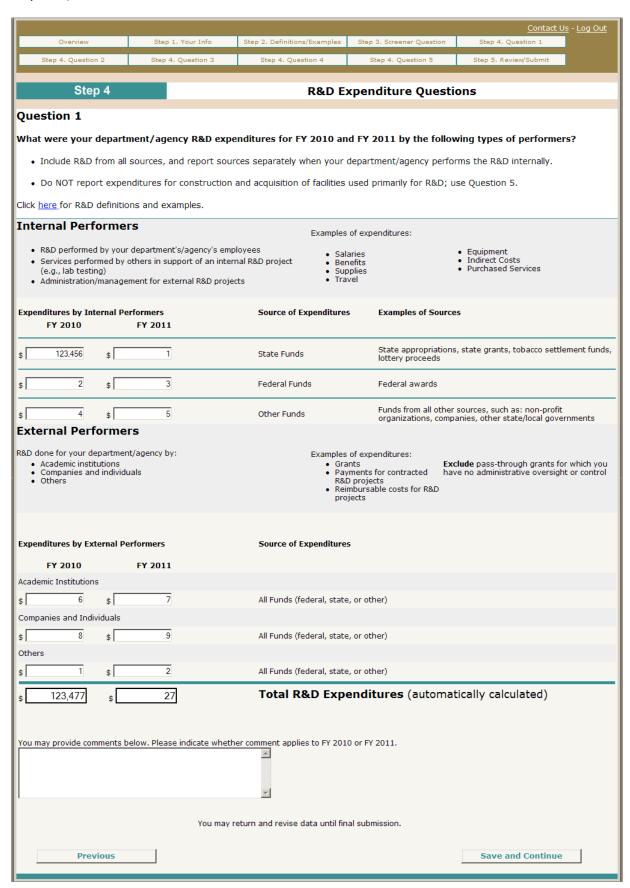
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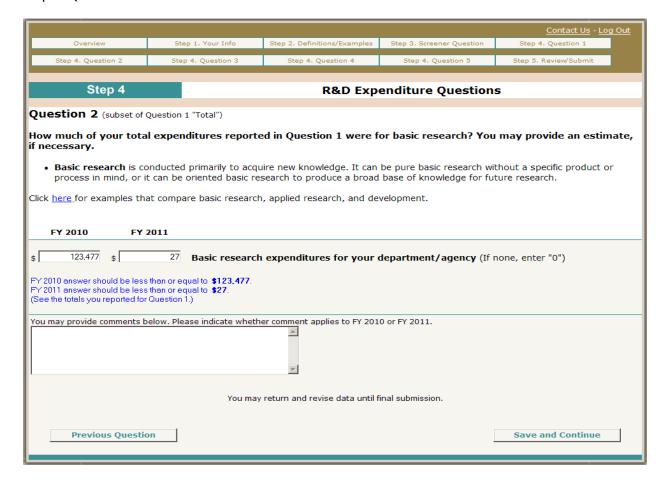
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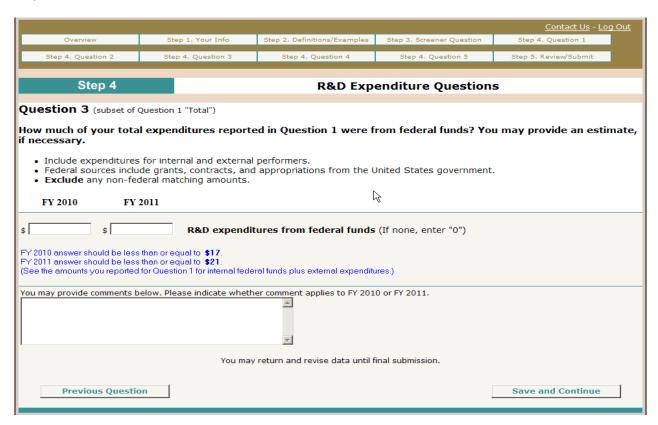
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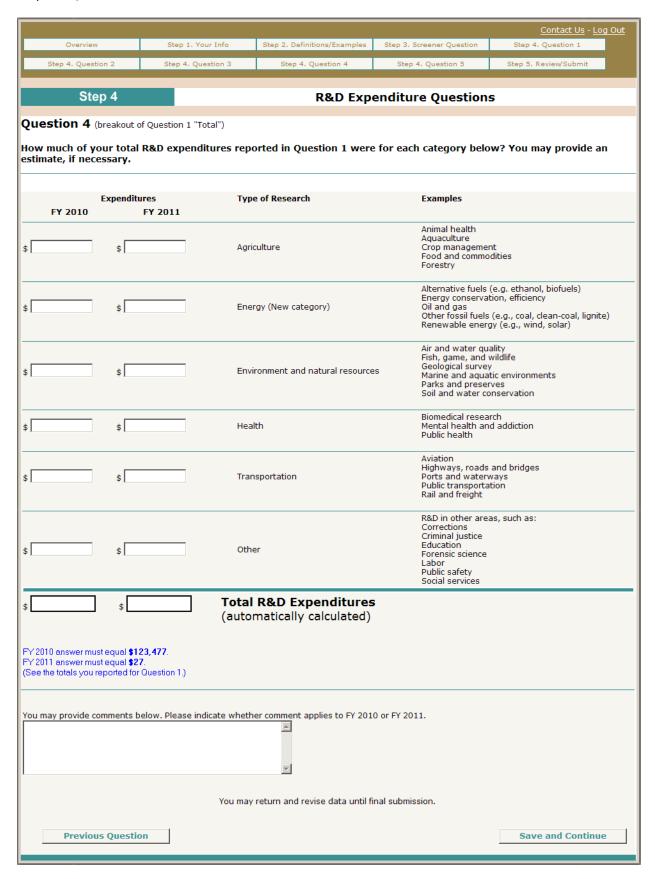
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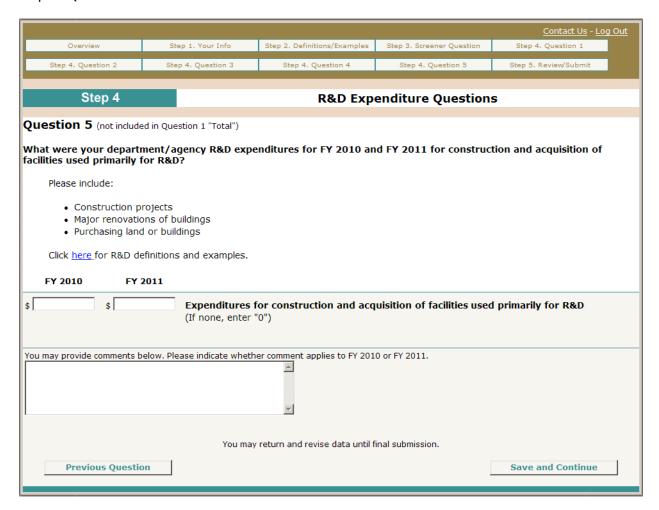
Step 4. Question 3:



Step 4. Question 4:



Step 4. Question 5:



Step 5. Review and Submit Final Data:



Step 5. Revise FY 2009 Data:

