



Survey of State R&D

Attachment B - FY 2010/11 SGRD Agency Respondent Layout

Login Page:



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



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

Home System Requirements Contact Us

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.

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; use "Paperwork Project 0607-0933 " as the subject.

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

Overview for Department/Agency:

Overview 1. Your Info 2. Definitions/Examples 3. Screener Question [Contact Us](#) - [Log Out](#)

Overview for Department/Agency

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

Step 1 Provide your contact information

Step 2 Preview questions, definitions, and examples

Step 3 Answer R&D screener question

Step 4 Answer survey questions for your state's fiscal years ending in 2010 and 2011

Question 1: R&D expenditures by performer and source of funding

 Internal performer R&D now includes administration/management of external R&D projects

Question 2: Basic research expenditures

Question 3: R&D expenditures from federal funds

Question 4: R&D expenditures by type of research (New category added for energy R&D)

Question 5: Expenditures for construction and acquisition of facilities used primarily for R&D

Step 5 Review and submit data

To view your department/agency's responses from the 2009 survey, click [here](#).

Fiscal Year 2009 Summary Data:

Contact Us - Log Out				
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

Fiscal Year 2009 Summary Data

Below are your survey responses from Fiscal Year 2009.

Question 1

R&D Expenditures by Performer and Source of Funds

	FY 2009
Internal Performers - Department/Agency	
• State Funds	\$ 1
• Federal Funds	\$ 3
• Other Funds	\$ 5
External Performer - Academic Institutions	
• All Funds	\$ 7
External Performer - Companies and Individuals	
• All Funds	\$ 9
External Performer - Other	
• All Funds	\$ 11
Total R&D Expenditures	\$ 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 1 **Department/Agency Contact Information**

Please review your contact information and update if needed. (* required fields)

State Unknown

Your Name *

Title

Agency Name *

Telephone - - EXT

Email *

[Save and Continue](#)

Step 2. Definitions/Examples:

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/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
qovs.nsf.list@census.gov

[Previous](#)

[Continue](#)

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.

[Back to top](#)

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

<p>R&D includes, but is not limited to, activities that produce:</p> <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 	<p>R&D does NOT include:</p> <ul style="list-style-type: none"> • 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)
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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.

[Back to top](#)

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"> 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. <ul style="list-style-type: none"> 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. <ul style="list-style-type: none"> 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.)

[Back to top](#)

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"> Companies Nonprofit organizations Other state governments City, county, regional, or other local governments

[Back to top](#)

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

Performers are the people who conduct R&D.

Internal Performers:	Within your department/agency <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 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

[Back to top](#)

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: <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 	Do NOT include: <ul style="list-style-type: none"> Agency and other fiduciary fund expenditures Intra-agency transactions Non-cash payments
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[Back to top](#)

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

Include: <ul style="list-style-type: none"> Grants Payments for contracted R&D projects Reimbursable costs for R&D projects 	Do NOT include: <ul style="list-style-type: none"> 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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[Back to top](#)

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.

[Back to top](#)

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.

[Back to top](#)

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.

[Back to top](#)

[Previous](#)

[Continue](#)

Step 3. Screener Question:

Contact Us - Log Out				
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

Step 3**R&D Screener Question**

Did your department/agency do ANY of the following during FY 2010 or FY 2011?
Your answer will determine whether you continue to the R&D expenditure questions in Step 4.

FY 2010 is your state's fiscal year ending in 2010.
FY 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.

- 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

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

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

You may provide comments below. Please indicate whether comment applies to FY 2010 or FY 2011.

You may return and revise data until final submission.

[Previous](#)[Save and Continue](#)

Step 4. Question 1:

Contact Us - Log Out				
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

Step 4
R&D Expenditure Questions

Question 1

What were your department/agency R&D expenditures for FY 2010 and FY 2011 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.

Click [here](#) for R&D definitions and examples.

Internal Performers

- 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 for external R&D projects

Examples of expenditures:

- Salaries
- Benefits
- Supplies
- Travel

Expenditures by Internal Performers	Source of Expenditures	Examples of Sources
FY 2010	FY 2011	
\$ <input type="text" value="123,456"/>	\$ <input type="text" value="1"/>	State Funds
\$ <input type="text" value="2"/>	\$ <input type="text" value="3"/>	Federal Funds
\$ <input type="text" value="4"/>	\$ <input type="text" value="5"/>	Other Funds

External Performers

R&D done for your department/agency by:

- Academic institutions
- Companies and individuals
- Others

- Grants
- Payments for contracted R&D projects
- Reimbursable costs for R&D projects

Examples of expenditures:

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

Expenditures by External Performers	Source of Expenditures
FY 2010	FY 2011
Academic Institutions	
\$ <input type="text" value="6"/>	\$ <input type="text" value="7"/>
Companies and Individuals	
\$ <input type="text" value="8"/>	\$ <input type="text" value="9"/>
Others	
\$ <input type="text" value="1"/>	\$ <input type="text" value="2"/>
\$ <input type="text" value="123,477"/>	\$ <input type="text" value="27"/>

Total R&D Expenditures (automatically calculated)

You may provide comments below. Please indicate whether comment applies to FY 2010 or FY 2011.

You may return and revise data until final submission.

Previous
Save and Continue

Step 4. Question 2:

Contact Us - Log Out				
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

Step 4
R&D Expenditure Questions

Question 2 (subset of Question 1 "Total")

How much of your total 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. 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.

Click [here](#) for examples that compare basic research, applied research, and development.

FY 2010	FY 2011	
\$ <input style="width: 80px;" type="text" value="123,477"/>	\$ <input style="width: 80px;" type="text" value="27"/>	Basic research expenditures for your department/agency (If none, enter "0")

FY 2010 answer should be less than or equal to **\$123,477**.
FY 2011 answer should be less than or equal to **\$27**.
(See the totals you reported for Question 1.)

You may provide comments below. Please indicate whether comment applies to FY 2010 or FY 2011.

You may return and revise data until final submission.

[Previous Question](#)
[Save and Continue](#)

Step 4. Question 3:

Contact Us - Log Out				
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

Step 4
R&D Expenditure Questions

Question 3 (subset of Question 1 "Total")

How much of your total 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 non-federal matching amounts.

FY 2010	FY 2011	
\$ <input style="width: 80px;" type="text"/>	\$ <input style="width: 80px;" type="text"/>	R&D expenditures from federal funds (If none, enter "0")

FY 2010 answer should be less than or equal to **\$17**.
FY 2011 answer should be less than or equal to **\$21**.
(See the amounts you reported for Question 1 for internal federal funds plus external expenditures.)

You may provide comments below. Please indicate whether comment applies to FY 2010 or FY 2011.

You may return and revise data until final submission.

[Previous Question](#)
[Save and Continue](#)

Step 4. Question 4:

[Contact Us - Log Out](#)

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

Step 4
R&D Expenditure Questions

Question 4 (breakout of Question 1 "Total")

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

Expenditures		Type of Research	Examples
FY 2010	FY 2011		
\$ <input style="width: 80px;" type="text"/>	\$ <input style="width: 80px;" type="text"/>	Agriculture	Animal health Aquaculture Crop management Food and commodities Forestry
\$ <input style="width: 80px;" type="text"/>	\$ <input style="width: 80px;" type="text"/>	Energy (New category)	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 style="width: 80px;" type="text"/>	\$ <input style="width: 80px;" type="text"/>	Environment and natural resources	Air and water quality Fish, game, and wildlife Geological survey Marine and aquatic environments Parks and preserves Soil and water conservation
\$ <input style="width: 80px;" type="text"/>	\$ <input style="width: 80px;" type="text"/>	Health	Biomedical research Mental health and addiction Public health
\$ <input style="width: 80px;" type="text"/>	\$ <input style="width: 80px;" type="text"/>	Transportation	Aviation Highways, roads and bridges Ports and waterways Public transportation Rail and freight
\$ <input style="width: 80px;" type="text"/>	\$ <input style="width: 80px;" type="text"/>	Other	R&D in other areas, such as: Corrections Criminal justice Education Forensic science Labor Public safety Social services
\$ <input style="width: 80px;" type="text"/>	\$ <input style="width: 80px;" type="text"/>	Total R&D Expenditures (automatically calculated)	

FY 2010 answer must equal **\$123,477**.
FY 2011 answer must equal **\$27**.
(See the totals you reported for Question 1.)

You may provide comments below. Please indicate whether comment applies to FY 2010 or FY 2011.

You may return and revise data until final submission.

Previous Question

Save and Continue

Step 4. Question 5:

Contact Us - Log Out				
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

Step 4 **R&D Expenditure Questions**

Question 5 (not included in Question 1 "Total")

What were your department/agency R&D expenditures for FY 2010 and FY 2011 for construction and acquisition of facilities used primarily for R&D?

Please include:

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

Click [here](#) for R&D definitions and examples.

FY 2010	FY 2011	
\$ <input type="text"/>	\$ <input type="text"/>	Expenditures for construction and acquisition of facilities used primarily for R&D (If none, enter "0")

You may provide comments below. Please indicate whether comment applies to FY 2010 or FY 2011.

You may return and revise data until final submission.

Step 5. Review and Submit Final Data:

Contact Us - Log Out				
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

Step 5	Review and Submit Final Data
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Please review your survey responses. Your survey responses for FY 2009 are provided for comparison.
 To revise data, click the appropriate Question heading.
 Click "Submit Final Data" to submit the data to your state coordinator.
 To revise your responses to the FY 2009 survey, click [here](#).

Department/Agency Summary Data

Question 1

R&D Expenditures by Performer and Sources	FY 2009	FY 2010	FY 2011
Internal Performers - Department/Agency			
• State Funds	\$ 25,543	\$	\$
• Federal Funds	\$ 102,173	\$	\$
• Other Funds	\$ 0	\$	\$
External Performer - Academic Institutions			
• All Funds	\$ 1,059,451	\$	\$
External Performer - Companies and Individuals			
• All Funds	\$ 90,000	\$	\$
External Performer - Other			
• All Funds	\$ 0	\$	\$
Total R&D Expenditures	\$ 1,277,167	\$	\$
<u>Question 2</u> (subset of Question 1 "Total")	\$ 0	\$	\$
Basic Research Expenditures			
<u>Question 3</u> (subset of Question 1 "Total")	\$ 1,021,734	\$	\$
R&D Expenditures from Federal Funds			
<u>Question 4</u> (breakout of Question 1 "Total")			
R&D Expenditures by Type of Research			
• Agriculture	\$ 0	\$	\$
• Energy (New category)	N/A	\$	\$
• Environment and Natural Resources	\$ 0	\$	\$
• Health	\$ 0	\$	\$
• Transportation	\$ 1,277,167	\$	\$
• Other	\$ 0	\$	\$
<u>Question 5</u> (not included in Question 1 "Total")			
Expenditures for Construction and Acquisition of Facilities Used Primarily for R&D	\$ 0	\$	\$

To revise your responses to the FY 2009 survey, click [here](#).

Previous	Submit Final Data	Print or Save (pdf)
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Step 5. Revise FY 2009 Data:

Contact Us - Log Out				
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

Revise FY 2009 Data

To revise FY 2009 data, enter your new data in the appropriate field(s). Click Save and Return when finished.

Question 1

R&D Expenditures by Performer and Source of Funds

	FY 2009	Original FY 2009
Internal Performers - Department/Agency		
• State Funds	\$ <input type="text" value="25,543"/>	\$ 25,543
• Federal Funds	\$ <input type="text" value="102,173"/>	\$ 102,173
• Other Funds	\$ <input type="text" value="0"/>	\$ 0
External Performer - Academic Institutions		
• All Funds	\$ <input type="text" value="1,059,451"/>	\$ 1,059,451
External Performer - Companies and Individuals		
• All Funds	\$ <input type="text" value="90,000"/>	\$ 90,000
External Performer - Other		
• All Funds	\$ <input type="text" value="0"/>	\$ 0
Total R&D Expenditures	\$ <input type="text" value="1,277,167"/>	\$ 1,277,167

Question 2

Basic Research Expenditures

	\$ <input type="text" value="0"/>	\$ 0
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Question 3

R&D Expenditures from Federal Funds

	\$ <input type="text" value="1,021,734"/>	\$ 1,021,734
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Question 4

Expenditures by type of R&D

• Agriculture	\$ <input type="text" value="0"/>	\$ 0
• Energy (New category)	\$ <input type="text" value="0"/>	N/A
• Environment and natural resources	\$ <input type="text" value="0"/>	\$ 0
• Health	\$ <input type="text" value="0"/>	\$ 0
• Transportation	\$ <input type="text" value="1,277,167"/>	\$ 1,277,167
• Other	\$ <input type="text" value="0"/>	\$ 0

Question 5

Expenditures for Construction and Acquisition of Facilities Used Primarily for R&D

	\$ <input type="text" value="0"/>	\$ 0
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