

**Department of Commerce
United States Census Bureau
OMB Information Collection Request
Survey of State Government Research and Development
OMB Control Number 0607-0933**

B. Collection of Information Employing Statistical Methods

1. Description of Universe and Respondent Selection

The survey frame consists of all state government-dependent units, including those for the District of Columbia and Puerto Rico, with the capacity or budget authority to perform or fund R&D. This totals approximately 700 state government agencies, commissions, public authorities, and similar state-dependent units each year. A state coordinator, who is appointed by the governor of each state, reviews the list of agencies and based on their knowledge of the state budget, activities, and priorities will make changes to the survey frame where appropriate. The survey's agency response rate has averaged 95% and we expect it to remain consistent for the FY 2026-2028 surveys.

The target population consists of state government departments, agencies, commissions, public authorities, institutions, and other entities that operate separately or somewhat autonomously from the central state government but where the state government maintains administrative or fiscal control over their activities, as defined in the *U.S. Census Bureau Government Finance and Employment Classification Manual* (chapter 1). Several industry-specific state commissions, which are generally chartered by state legislatures but are administered independently, are considered state agencies and included in the survey's target population. Since not all state agencies have the budget authority or operational capacity to perform or fund R&D, NCSSES and Census Bureau staff have identified those agencies most likely to perform or fund R&D based on state session laws, authorizing legislation, budget authority, previous R&D activities, and reports issued by state government agencies. The state coordinators, based on their knowledge of the state government's own activities and priorities, are asked to confirm which of the selected agencies identified should be sent the survey for a given fiscal year or to add additional agencies to the survey frame. State-run colleges and universities, which are canvassed as part of the National Center for Science and Engineering Statistics (NCSES) Higher Education Research and Development (HERD) Survey, are excluded from the survey frame. State-run laboratories or experiment stations controlled by state universities are also excluded from the respondent universe, as are any entities determined to be nonprofit or private, as defined by the U.S. Census Bureau government classification criteria.

2. Procedures for Collection of Information

The Survey of State Government Research and Development is a census of all state government agencies, commissions, and public authorities with the authority to fund

research and development. There is no sampling. The Census Bureau, serving as collection agent, employs a methodology similar to the one used to collect information from state and local governments on other established censuses and surveys. This methodology involves identifying a central coordinator in each state who will assist Census Bureau staff in identifying appropriate state agencies to be surveyed. These state coordinators also verify the final responses at the end of the data collection cycle and may assist with nonresponse follow-up with individual state agencies.

The FY 2026 survey content (Attachment C) is unchanged from what was collected during the FYs 2023-2025 survey cycles.

In August, the Governor's email is sent to the Governor or equivalents' Federal Affairs Representatives' offices to announce the survey collection and to solicit assignment of a State Coordinator.

In September, the State Coordinator email is sent to solicit assistance in identifying agencies which may perform or fund R&D activities. Later, state coordinators are asked to review final data submitted by the agencies. State coordinators are provided with a list of agencies (Attachment B) and asked to: add agencies that may be involved in R&D and are not already on the frame, make changes to the existing frame due to reorganizations, restructuring of agency R&D related activities to their portfolios since the last survey cycle, or remove agencies from the frame that no longer exist or have R&D activities.

Once the state coordinator completes updates to the list of agencies and returns it to the Census Bureau, e-mails are sent to the agency contacts with the survey form (Attachment C) attached. Agency contacts are asked to complete the form and e-mail back to the Census Bureau. Alternatively, agency contacts can provide survey responses over the phone to a Census Bureau analyst.

The survey announcement email, state coordinator email, agency email, and follow-up emails can be found in Attachment D.

3. Methods to Maximize Response and Account for Nonresponse

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

Survey staff monitor response and work with the agency level respondents to obtain responses. Since the survey is expected to launch in November 2026, monthly follow-up on state agencies that have not submitted data will begin in January 2027.

Accounting for Nonresponse: Missing data are possible in two instances: (1) agencies within a state do not respond to the survey (unit nonresponse) and, (2) agencies within a state do not respond to items on the survey (item non-response). Since each state

government's organizational structure, laws, and delegation of powers within its purview are unique, there is no imputation base for a given state government to use data from other state governments. However, in limited cases where a state agency is known to have R&D and is unable to report, one of two methods of imputation are applied to avoid an undercount of the state's public investments in R&D. The first method uses a ratio of the state total from all reporting units within the state and applies it to the non-responding unit's previous year total. The second method applies a three-year average of prior year reporting patterns to estimate the current year. These methods are handled on a case-by-case basis and described in the survey's corresponding technical notes.

Since its change from a biennial collection to an annual collection with the FY 2016 survey cycle, the survey's agency response rate has averaged 95% and we expect it to remain consistent for the FY 2026-2028 surveys.

4. Tests of Procedures or Methods

The NCSES within the U.S. National Science Foundation (NSF) and the Census Bureau annually conduct debriefings with survey respondents to assess the effectiveness of current question wording, instructions, and tools. In the event that these debriefings or other respondent feedback suggest the need for substantive changes to survey questions, any such changes will be cognitively tested with respondents prior to implementation.

5. Contacts for Statistical Aspects and Data Collection

Statistical staff at both the Census Bureau and NCSES have been consulted on statistical aspects of the survey and on data collection issues.

Persons responsible for data collection:

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Attachments

- A) Legal Citations
- B) Survey Frame-Review Module (State Coordinator)
- C) State Agency Form
- D) Emails
- E) BEA Letter of Support
- F) Federal Register Notice Comment