

INSTRUCTIONS FOR SURVEY OF INDUSTRIAL RESEARCH AND DEVELOPMENT DURING 2001 FORM RD-1

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Changes from 2000 to 2001 R&D survey year:

- There are 5 mandatory items on the survey form (Items 1A, 1B, 3A3 columns 1 and 3; and Item 9)
- Added "Item 6B – Fringe Benefits" to Item 6.
- Added "Item 7 – Company R&D by Technology Area".
- Added "Item 8 – Contracted Out R&D by Type of Organization".

GENERAL INSTRUCTIONS

Comprehensive and timely information about the nature and support of corporate research and development activities is an important component in the overall assessment of our nation's scientific and technological resources. The information you provide is used to prepare national measures of industrial research and development (R&D) not available from any other source. By carefully completing this report, the accuracy of this information is assured.

TAX INCENTIVES – Most states offer some type of incentive for research and development activity. Many of the states offer an income tax credit modeled after the federal research and experimentation tax credit guidelines. Other types of incentives include sales and use tax credits and property tax credit. A few states which offer tax incentives are: California, Minnesota, Washington, and Wisconsin. For further information on state tax incentives, please contact the Comptroller of the Treasury in your state. However, for purposes of this survey, please report you total R&D expenditures regardless of any tax incentives.

DUE DATE – Please complete and return this form in the envelope provided within 60 days. Make a copy for your records.

SURVEY SCOPE – This report covers publicly traded and privately-owned, nonfarm business firms in all sectors of the United States economy. It does not include operations owned by Federal, state or local governments, nonprofit organizations, or trust or pension plans.

If your company is owned by a Federal, state or local government, is a nonprofit organization, or is a trust or pension plan which performs no activity other than investments, do not report. Please note in the remarks section, page 6, and return the form.

REPORTING ENTITY – Report research and development activities for all domestic operations of your **entire consolidated domestic enterprise**, including subsidiaries and divisions. The term "company" in these instructions refers to the consolidated domestic enterprise. Report for all parts of the company located in the 50 states and the District of Columbia. Report net receipts and employment figures for all parts of the company, even those that do not perform R&D, as long as they are located in the 50 states or the District of Columbia.

If this form has been directed to a holding company, report for all subsidiaries and operations under the ownership and control of the holding company.

If you report separately for a component of this company based upon an arrangement with the Census Bureau, please continue to do so.

COVERAGE REVIEW – Check the appropriate box if this company was owned or controlled by another company on December 31, 2001. If yes, follow the instructions below:

- If you have been reporting separately for this component of the company based upon an arrangement with the Census Bureau, please complete the form.

- If your company is owned by a foreign company, please complete the form and fill out the new owner information in the remarks section, page 6.
- If your company was purchased by another company on or prior to March 31, 2001, please write the name and address of the new owner in the remarks section, page 6, sign the form in Item 13, and fax the form to (301) 457-1318.
- If your company was purchased after March 31, 2001, please complete the form for the months prior to the purchase of your company, write the name and address of the new owner in the remarks section, page 6, and return the form in the envelope provided.

If you have questions, please call the R&D Survey staff at (301) 457-4677 to determine whether you are required to complete the form.

PERIOD COVERED BY THE REPORT – Report figures for calendar year 2001. Fiscal year data are acceptable for all items except for employment, provided your fiscal year ends between September 2001 and March 2002. Please report employment figures (Items 1B and 2) for the specific times indicated for these items.

HOW TO REPORT – Report all value figures in thousands of dollars. If you cannot answer a question from your company records, please estimate the answer carefully.

Example: 1,123,678,599 dollars.

	Bil.	Mil.	Thou.
Report	\$1	123	679

If you estimate your answers in millions of dollars, please fill the thousands box with zeros.

Example: 1,124

	Bil.	Mil.	Thou.
Report	\$1	124	000

FIGURES FOR 2000 PRINTED ON THE FORM – If your company reported for 2000, entries from that form have been printed on the present form. If these figures are incorrect, please revise them. Please describe in the "Remarks" section the reasons for any substantial increase or decrease in the 2001 figures entered on this form when compared to corresponding 2000 figures or changes in the 2000 figures. Examples of such reasons are new government contracts, acquisitions and divestitures, and revised accounting method. If you acquired or disposed of a unit performing an important amount of research and development during the 2-year period, please identify the unit in "Remarks," and give the total amount of research and development accounted for by that unit.

ADDITIONAL FORMS – Photocopies of this form are acceptable. If you require additional forms, write to the U.S. Census Bureau, 1201 East 10th Street, Jeffersonville, IN 47132-0001 or call (812) 218-3331.

GENERAL INSTRUCTIONS – Continued

FILING EXTENSIONS – If you cannot complete the form in 60 days, request an extension of time by:

- calling the Census Touchtone Data Entry System on 1-800-851-2014 (have your 11-digit Identification Number (ID) available. The ID is printed on the form above your address.)

OR

- writing to the address below (Please include your 11-digit Identification Number):

U.S. Census Bureau
1201 East 10th Street
Jeffersonville, IN 47132-0001

ALTERNATIVE REPORTING FORMATS – Included with the survey form is a computer diskette. Reporting your company information on the diskette is an alternative means of completing the survey. **If you do report on the diskette do not mail in the paper form.**

Receiving your data on diskette benefits us through reduced processing costs. Please refer questions concerning operation of the diskette to the Electronic Reporting Staff at 1-800-838-2640.

BURDEN HOUR ESTIMATE – Public reporting burden for this collection of information is estimated to average 18 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimates or any other aspects of this collection of information, including suggestions for reducing this burden, to Suzanne H. Plimpton, National Science Foundation, 4201 Wilson Boulevard, Room 485, Arlington, VA 22230.

Direct **QUESTIONS** regarding this form to the U.S. Census Bureau, Manufacturing and Construction Division, ATTN.: Special Studies Branch, Room 2135/4, Washington, DC 20233-6900, call (301) 457-1339 or E-mail to yvette.e.moore@census.gov. (Please see the instructions for Item 13 on page 8 for E-mail warning.)

DEFINITION OF RESEARCH AND DEVELOPMENT

R&D includes basic and applied research in the sciences and engineering. It also includes design and development of new products and processes and enhancement of existing products and processes.

R&D includes activities carried on by persons trained, either formally or by experience, in the physical sciences such as chemistry and physics, the biological sciences such as medicine, and engineering and computer science. R&D includes these activities if the purpose is to do one or more of the following things:

1. Pursue a planned search for **new knowledge**, whether or not the search has reference to a specific application. (Basic research)
2. Apply **existing knowledge** to problems involved in the **creation of a new product or process**, including work required to evaluate possible uses. (Applied research)
3. Apply **existing knowledge** to problems involved in the **improvement of a present product or process**. (Development)

Research and development includes the activities described above whether assigned to separate R&D organizational units of the company or carried out by company laboratories and technical groups not part of an R&D organization. Reporting the R&D activities of such latter groups may require the use of estimates for some of your responses.

Activities to be **excluded** from R&D:

- R&D from acquired companies prior to acquisition
- Amortization above the actual cost of property and equipment related to your R&D activities.
- Test and evaluation once a prototype becomes a production model

- Routine product testing
- Geological and geophysical exploration activities
- Technical services such as:
 - quality and quantity control
 - technical plant sanitation control
 - trouble-shooting in connection with breakdowns in full-scale production
- Advertising programs to promote or demonstrate new products or processes
- Assistance in preparation of speeches and publications for persons not engaged in research and development.
- Social Science R&D which is defined to encompass those activities devoted to further understanding the behavior of groups of human beings or of individuals as members of groups. Some of the topics include the following:
 - Personnel R&D
 - Economic R&D
 - Artificial intelligence and expert systems R&D
 - Consumer, market, and opinion R&D
 - Engineering psychology R&D
 - Management and organization R&D
 - Actuarial and demographic R&D
 - Educational processes and applications R&D
 - R&D in law

ITEM BY ITEM INSTRUCTIONS

Section I – GENERAL COMPANY DATA

Item 1 – RECEIPTS AND EMPLOYMENT FOR THE COMPANY

Item 1A – Net Sales, Operating Receipts and Revenues

Include:

- Sales, operating receipts and revenues from all domestic operations of the company, net of returns and allowances. This includes receipts from sales of products and services provided to other companies, individuals, U.S. Government agencies, and foreign countries.
- Net selling value of shipments, f.o.b. plant, after discounts and allowances minus freight charges and excise taxes
- Revenue from investments, rents, and royalties only if it is the principal business of the company. Finance, insurance and real estate companies should include interest, dividends, commissions and rental income as part of revenues.
- Value of assets sold under a capital lease agreement
- Export transfers to your foreign subsidiaries

Exclude:

- Sales and other taxes collected and paid directly to government taxing agencies
- Domestic intra-company transfers
- Receipts from sale of products and services provided by your foreign subsidiaries
- Income from interest, dividends and commissions, (except for companies in the finance, insurance and real estate industries).
- Other nonoperating income (e.g., royalties)

Item 1B – Domestic Company Employment

Include:

- The number of full and part-time employees of the company as defined on Treasury Form 941, Employer's Quarterly Federal Tax Return, and Circular E, Employer's Tax Guide, if filed for the entire company.
- The number of employees in all activities in the 50 States and the District of Columbia during the pay period which includes March 12, 2001.
- Persons on paid sick leave, paid holidays, and paid vacations during the pay period which includes March 12, 2001.

Report the number of employees, not payroll.

Item 2 – NUMBER OF RESEARCH AND DEVELOPMENT SCIENTISTS AND ENGINEERS

Scientists and engineers are defined for this survey as all persons engaged in scientific or engineering work at a level which requires a knowledge of physical or life sciences or engineering or mathematics. Their experience is equivalent to completion of a 4-year college course with a major in these fields, regardless of whether or not they actually hold a degree in this field.

The figure on R&D scientists and engineers will be obtained primarily from two sources:

1. For company laboratories performing only research and development, report the number of scientists and engineers employed in January, 2002.
2. For employees whose activities are not solely devoted to R&D, report the proportion of their time that is devoted to R&D. For example, if a company had the full-time equivalent of 60 scientists and engineers in January 2002 and one-fourth of their time was charged to R&D projects, the figure for the number of R&D scientists and engineers for this company would be 15.

Item 3 – COSTS INCURRED FOR RESEARCH AND DEVELOPMENT

► Source of Funds for Research and Development Costs

Federal funds

Include:

- Federally-sponsored research and development performed within the company. Include only the amount of work done on Federal R&D contracts or subcontracts in the current year.
- R&D portion of procurement contracts or subcontracts

Exclude:

- For Item 3A exclude Federal R&D contracts and R&D portions of procurement contracts that your company subcontracted to other R&D organizations. Including these funds would cause duplication in the statistical totals, which include data on work actually performed by each company. Report subcontracted costs in Item 3B.
- Expenditures for independent research and development (IR&D). These are included in company funds. (See definition below.)

Company and other funds

Include:

- Company-sponsored research and development performed within the company and R&D performed under contract from non-Federal sources

ITEM BY ITEM INSTRUCTIONS – Continued

Item 3 – COSTS INCURRED FOR RESEARCH AND DEVELOPMENT – Continued

Company and other funds – Continued

Include:

- Costs for independent research and development (IR&D). We define IR&D funds as R&D performed by the company for which you anticipate reimbursement by the government through indirect charges for the purchase of products or services. Qualified projects usually have potential interest to the Department of Defense or other agencies of the Federal government. These IR&D funds are excluded from federal funds received for federally-sponsored research and development contracts.
- Costs for which you anticipate reimbursement as company funds. Report expenditures in the period for which they are incurred. Do not include the actual reimbursement.

Item 3A – PERFORMED WITHIN THE COMPANY

► Types of R&D Costs

Include as R&D costs:

- Wages, salaries, and related costs
- Materials and supplies consumed
- R&D depreciation
- Cost of computer software used in R&D activities
- Utilities, such as telephone, telex, electricity, water, and gas
- Travel costs and professional dues
- Property taxes and other taxes (except income taxes) incurred on account of the R&D organization or the facilities they use
- Insurance expenses
- Maintenance and repair, including maintenance of buildings and grounds
- Company overhead including: personnel, accounting, procurement and inventory, and salaries of research executives not on the payroll of the R&D organization

Exclude as R&D costs:

- R&D from acquired companies prior to acquisition
- Capital expenditures
- Test and evaluation once a prototype becomes a production model
- Patent expenses
- Income taxes and interest
- R&D performed abroad (see Item 3C), such as in Canada and Puerto Rico
- R&D performed by non-company R&D organizations of any kind (see Item 3B)

- Portion of company-held R&D contracts that are subcontracted outside the reporting company (see Item 3B)
- Fellowships, grants, and gifts to promote R&D or the study of science and engineering

Item 3A.1 – Basic Research

Include the cost of research projects which represent original investigation for the advancement of scientific knowledge and which do not have specific immediate commercial objectives, although they may be in the fields of present or potential interest to the reporting company.

Item 3A.2a – Applied Research

Include the cost of research projects which represent investigation in discovery of new scientific knowledge and which have specific commercial objectives with respect to either products or processes.

Item 3A.2b – Development

Include the cost of projects which represent technical activity concerned with non-routine problems encountered in translating research into products or processes.

Include:

- Expenditures for designing and conducting clinical trials of drugs, pharmaceuticals, or other products that have not been marketed
- Software development
 - Designing and/or adapting software if the application has commercial value (exclude software development for internal use)
 - Beta version of software being developed which has potential commercial application
- Design and operation of pilot plants and semi-work plants
- Engineering activity required to advance the design of a product or process so it meets specific functional and economic requirements
- Design, construction, and testing of prototypes and models including test models for defense contracts
- Designs for special manufacturing equipment and tools
- Preparation of reports, drawings, formulas, specifications, standard practice instructions, or operating manuals

Exclude:

- Software development intended for within company use only
- Beta version of software being developed which does not have potential commercial application
- Routine technical services to customers
- Toolmaking and tool tryout
- Production of detailed construction drawings and manufacturing blueprints

ITEM BY ITEM INSTRUCTIONS – Continued

Item 3A.2c – Total Costs for Applied Research and Development

Add line 3A.2a and line 3A.2b.

Item 3A.3 – Total Costs for Basic and Applied Research and Development Performed Within the Company

Add line 3A.1 and line 3A.2c.

► Estimating basic, applied, and development expenditures

If your company does not keep records that can be allocated to these specific categories, estimate by the following:

1. Isolate projects that clearly fall into the development category of R&D costs. If your company fabricates products, development activity will include the design, construction, and testing of prototypes and models. If your company's R&D involves the development of a "process" as in chemicals and petroleum, this development activity would primarily include the design and operation of pilot plants or semi-work plants.
2. Isolate the organizational units which have R&D activities that can be readily classified based on the function assigned to the unit. R&D work performed in production units as well as in various laboratories is generally classified as development R&D.
3. Distribute the balance of R&D costs on the basis of individual projects or on the basis of other summaries of the work.

Item 3B – OUTSIDE THE COMPANY

Report payments in the form of contracts, grants, and fellowships made to other industrial firms, commercial laboratories, consultants, educational institutions, hospitals, and research institutions or other organizations.

Federal Funds (column 1): Report R&D activities that your company subcontracted to other organizations using **federal funds** you received for R&D contracts and R&D portions of procurement contracts.

Company and Other Funds (column 2): Report R&D activities that your company subcontracted to other organizations using **company or other nonfederal funds**.

Item 3C – FOREIGN

Report the amount of R&D financed by the U.S. parent or its foreign subsidiaries, including Canada and Puerto Rico, and performed by company R&D laboratories, branch plants, or other organizations, located outside the United States. Foreign subsidiaries are those outside the 50 States and the District of Columbia.

Exclude R&D activities performed by foreign subsidiaries which were financed by foreign governments or other outside organizations.

Item 3D – TOTAL

With the exception of "Other funds," this number represents company-sponsored R&D. It is comparable to information reported on Form 10K, if you report to the Securities and Exchange Commission.

Add line 3A.3 (column 2), line 3B (column 2), and line 3C.

Item 4 – COMPANY AND OTHER FUNDS, EXCEPT FEDERAL, FOR RESEARCH AND DEVELOPMENT PERFORMED WITHIN THE COMPANY BUDGETED FOR THE YEAR 2002

Report the estimated cost of company and other nonfederally sponsored R&D that will be performed within the 50 states and the District of Columbia in 2002. This item is comparable to the 2001 figure reported in Item 3A.3, column 2.

Section II – RESEARCH AND DEVELOPMENT PERFORMED WITHIN THE DOMESTIC COMPANY

Item 5 – COSTS INCURRED FOR FEDERAL RESEARCH AND DEVELOPMENT PERFORMED WITHIN THE COMPANY BY PRINCIPAL GOVERNMENT AGENCY

Distribute the cost of Federal research and development work (Item 3A, line 3, column 1) by Federal agency – If exact figures are not available by agency, please estimate or apportion according to the number of scientists and engineers working on the Federal projects and/or the costs of Federal programs.

Item 6 – COSTS INCURRED FOR RESEARCH AND DEVELOPMENT PERFORMED WITHIN THE COMPANY BY MAJOR TYPE OF EXPENSE

If most R&D is performed in units where summaries are regularly prepared by element of cost, base the breakdown of research and development costs upon the records of such units. If existing records do not yield figures for this item, the item may be estimated.

Item 6A – Wages and Salaries

Report the gross earnings paid in calendar year 2001 to employees engaged in R&D (follow the definition of salaries and wages that is used for calculating the withholding tax). Include salaries of officers in the research establishment(s) if a corporation; exclude payments to proprietor or partners if an unincorporated concern. (Scientists and engineers are defined in item 2.) Exclude employee fringe benefits which are to be reported in Item 6B – Fringe Benefits.

ITEM BY ITEM INSTRUCTIONS – Continued

Item 6B – Fringe Benefits

An employment benefit granted by an employer that has monetary value, but does not affect basic wage rates. Any benefit that is given in addition to wages. Include items such as life and medical insurance, disability benefits, time-off benefits, retirement benefits, pension and social security contributions, vacation, annual, sick and maternity leave, paid holiday, and stock options.

Item 6C – Materials and Supplies

Report the delivered cost for all purchased materials consumed, whether received from other companies, withdrawn from inventory, or received from other establishments of this company. Include all work that was done for your laboratories and other technical units by non-company organizations (for example, model construction by a non-company model shop). Exclude purchases from other R&D organizations.

Item 6D – Depreciation

Report depreciation and amortization charged during the year against property and equipment related to your R&D activities. Include the depreciation and amortization against property and equipment acquired since the beginning of the year that was sold or retired during the year and not in service at the end of the year. Do not include amounts above the actual cost of property and equipment related to your R&D activities.

Item 6E – Other Costs

Include items related to your R&D activities and not included in Items 6A, 6B, 6C, and 6D. Include utilities, books and periodicals, property and other taxes, and company overhead.

Item 7 – COSTS INCURRED FOR RESEARCH AND DEVELOPMENT PERFORMED WITHIN THE COMPANY BY TECHNOLOGY AREA

Item 7A – Biotechnology

The use of the data and techniques of engineers and technology for the study and solution of problems concerning living organisms, as well as parts, products, and models thereof, to alter living or non-living materials. Include areas such as drugs, vaccines, hormones such as insulin, "gene therapy" techniques, diagnostic products, genetically altered plants and animals, pesticides and other agricultural chemicals, catalysts, organic and inorganic industrial chemicals, enzymes for food production and waste disposal, paints and adhesives, and other products developed using metabolic engineering (altering the metabolism of cells or organisms) and protein engineering (altering proteins to improve stability, specificity and efficiency of function).

Item 7B – Software Development

The formulation of programs, routines, etc. for a computer. Include areas such as computer systems software, application development tools and environments, computer-aided design tools and methods, and applications software. Do not include computer programming or engineering of software used exclusively for internal company operations.

Item 7C – Materials Synthesis and Processing

The formulation and manipulation of new materials using the data and techniques of engineering and technology. Include areas such as synthesis and production techniques for new engine and powertrain components and body parts in the automobile industry, new engine and structural parts in the aerospace industry, higher performance semiconductors and photonic devices in the semiconductor industry, and advanced structural materials in the industrial machinery, medical, building and construction, and sporting goods industries.

Item 7D – Other Technology Areas Including Nanotechnology

Expenses for R&D in other technology areas including nanotechnology which is the creation and utilization of materials, devices, and systems through the control of matter on the nanometer-length scale, that is, at the level of atoms and molecules in the range of 1 to 100 nanometers. Include areas such as materials and systems that exhibit novel and significantly improved physical, chemical, and biological properties, phenomenon, and processes because of their size.

Item 8 – COST INCURRED FOR RESEARCH AND DEVELOPMENT PERFORMED BY OTHERS OUTSIDE THE COMPANY BUT WITHIN THE UNITED STATES BY TYPE OF ORGANIZATION

Research and Development (R&D) funded by your company – not the Federal government – and performed by others outside the company but within the United States.

Item 8A – For-profit Company

A company that is organized to pursue profit.

Item 8B – University or College

A degree-granting institution of higher learning, having facilities for teaching and research.

Item 8C – Nonprofit Organization

A company that is not organized to pursue profit. Exclude universities and colleges.

ITEM BY ITEM INSTRUCTIONS – Continued

Item 9 – COST OF RESEARCH AND DEVELOPMENT PERFORMED WITHIN THE COMPANY BY STATE

Report the cost of R&D for each State in which your company has research and development laboratories or facilities. It is not necessary to calculate separately individual assignments which may be made outside the home State of a particular research staff.

As much as 10 percent of the total may, if desired, be reported in line 52 as "Not distributed by State."

Item 10 – ENERGY RESEARCH AND DEVELOPMENT PERFORMED WITHIN THE COMPANY

Include all spending for R&D to increase energy resources or capabilities, including the development of energy equipment. Energy research and development can include costs of R&D projects (both product and process) on exploration, extraction, transportation, processing, storage, generation (including conversion), distribution, conservation, etc., of present, new, or improved forms of energy. Record energy R&D spending according to type of energy in Items 10A through 10D.

If R&D spending is for joint or multiple purposes, estimate and report the portion of cost incurred for the energy purpose. In the limited number of cases where the separation of joint (multiple) costs by type of energy cannot be estimated, include the total cost of the R&D project when the primary purpose of the project is energy research and development. If the project is not primarily for energy research and development then exclude all of the project cost.

Item 10B – Fossil Fuels Include Synthetic Fuels and Mining

"Synthetic fuels" includes programs designed to convert coal to gaseous and liquid products. "Mining" is composed of programs for developing equipment and techniques to improve the productivity and recovery rates of coal mining.

Item 10C – Conservation and Utilization

Includes R&D activities undertaken to reduce consumption either at the point of energy use or in the transmission, transportation, storage, and conversion of energy. Examples of such are R&D undertaken primarily to reduce fuel consumption in manufacturing, to improve the efficiency of transportation of energy products, or to produce an end product which is more efficient in energy consumption.

Item 10D – All Other Energy

Includes areas such as wind, waste, hydroelectric, etc. Also include in this category the development of energy equipment which cannot be readily classified in Items 10A through 10C.

Section III – RESEARCH AND DEVELOPMENT PERFORMED OUTSIDE THE DOMESTIC COMPANY WITH COMPANY FUNDS

This section of the report form covers the R&D reported in item 3.C of section I, on page two.

Item 11 – FOREIGN RESEARCH AND DEVELOPMENT BY COUNTRY

Allocate the totals reported in Item 3.C., column 2 by the country in which your various research and development takes place. Estimate the costs associated with each country. If necessary, you may write in countries not listed.

Item 12 – COVERAGE AND OPERATIONAL STATUS

Check the appropriate box if the domestic company expenditures on this form, including all subsidiaries, have R&D. If no, please explain in remarks section or in a transmittal letter.

Item 13 – CERTIFICATION

Report the name and telephone number of the person to contact regarding this report. Please sign and date the form.

If you wish to correspond by E-mail, please provide your E-mail address in the "Remarks" section.

WARNING CONCERNING ELECTRONIC MAIL –

The Internet is NOT a secure means of transmitting information unless it is encrypted. If you choose to communicate with the Census Bureau via electronic mail, the Census Bureau cannot guarantee the privacy of the information while transmitted, but will safeguard it in accordance with Title 13. Be advised that making inquiries regarding this survey via electronic mail may divulge your participation in this survey.