



U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

FORM
BRDI-1A (03-01-2011)

2010 BUSINESS R&D AND INNOVATION SURVEY

OMB No. 0607-0912: Approval Expires 10/31/2011

DUE DATE:

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www.census.gov/econhelp/brdis

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U.S. CENSUS BUREAU
1201 East 10th Street
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47132-0001

For information or assistance:

- www.census.gov/econhelp/brdis
- Call 1-800-772-7851, option "5" (8 a.m. – 5 p.m. EST, M-F)
- Write to the address above. Include your 11-digit ID printed on the mailing label.

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(Please correct any errors in this mailing address)

Your Response is Required by Law

Title 13, United States Code, requires businesses and other organizations that receive this questionnaire to answer the questions and return the report to the Census Bureau.

Respondents are not required to respond to any information collection unless it displays a valid approval number from the Office of Management and Budget (OMB). The OMB number appears at the top of this page.

Your Response is Confidential by Law

Title 13, United States Code, requires that your response be seen only by persons sworn to uphold the confidentiality of Census Bureau information and may be used only for statistical purposes. The law also provides that copies retained in your company's files are immune from legal process.

About the Business R&D and Innovation Survey

The Business Research and Development and Innovation Survey is a national survey that collects critical information about research and development (R&D) and innovation at businesses operating in the U.S. Policy makers and data users in industry and academia make use of this information for short and long-term planning.

Better information about R&D and innovation in the U.S. business sector will help leaders make better decisions to strengthen American competitiveness.

Thank You – Your Response is Important

Accurate and timely statistical information could not be produced without your continued cooperation and goodwill. Thank you.

~ This survey is jointly conducted by the U.S. Census Bureau and the National Science Foundation ~



Table of Contents

Survey Overview and Table of Contents

The survey is divided into seven sections. Each section asks questions about different aspects of R&D or innovation at your company. Due to the specialized nature of each section, it may be necessary to collaborate with colleagues in different departments to answer the questions. The sections cover the following topical areas:

Section 1: Company Information	p.4
Topics: company ownership, business(es), revenues, and innovation.	
Requires: knowledge of the company's sales and revenues.	
Section 2: Financial Schedule A	p.8
Topics: R&D expenses and capital expenditures for R&D.	
Requires: knowledge of your company's accounting concepts and access to financial records.	
Section 3: Financial Schedule B	p.12
Topics: costs for work that was funded, paid for, or reimbursed by others.	
Requires: knowledge of your company's financial records related to R&D activities.	
Section 4: Management and Strategy of R&D	p.17
Topics: characteristics of R&D reported in Sections 2 and 3.	
Requires: familiarity with the technical and strategic aspects of your company's R&D.	
Section 5: Human Resources	p.22
Topics: your company's employees, focusing on those who work on R&D activities.	
Requires: familiarity with human resources (HR) concepts and access to HR records.	
Section 6: Intellectual Property and Technology Transfer	p.25
Topics: intellectual property and technology transfer.	
Requires: knowledge of your company's general business strategy, patenting, and licensing.	
Section 7: R&D Time Frame and R&D Product Life	p.27
Topics: R&D time frame and R&D product life.	
Requires: knowledge of accounting, sales, and marketing information related to your company's R&D activities and products resulting from R&D.	

Changes from the 2009 survey

Based on extensive conversations with many of the 2009 survey respondents, the 2010 survey has been improved. Sections and questions have been modified to make the concepts presented easier to understand. For a list of specific changes, go to www.census.gov/econhelp/brdis.

Filing electronically

You may submit your survey online via a secure website. Online submission allows you to save the data on secure Census Bureau servers as you go, so you can save, exit, and resume later without losing any of your data. It also allows you to save a paper or electronic copy of your completed survey. To submit online, follow the instructions at www.census.gov/econhelp/brdis.

Electronic materials

Electronic versions of the questionnaire and related documents are available to print or share with others in your company via email. They can be found at www.census.gov/econhelp/brdis.

You can:

- Print and download copies of the questionnaire in PDF format
- Download Excel worksheets for each section
- Get question-by-question instructions, definitions, and examples that provide clarification
- Get answers to frequently asked questions, including how the data will be used



What is Research and Development (R&D)?

R&D is planned, creative work aimed at discovering new knowledge or developing new or significantly improved goods and services. This includes a) activities aimed at acquiring new knowledge or understanding without specific immediate commercial applications or uses (basic research); b) activities aimed at solving a specific problem or meeting a specific commercial objective (applied research); and c) systematic use of research and practical experience to produce new or significantly improved goods, services, or processes (development).

The term research and development does NOT include expenditures for:

- Costs for routine product testing, quality control, and technical services unless they are an integral part of an R&D project
- Market research
- Efficiency surveys or management studies
- Literary, artistic, or historical projects, such as films, music, or books and other publications
- Prospecting or exploration for natural resources

Does R&D include Development of Software and Internet Applications?

Only development of software and internet applications that include an element of uncertainty and that are intended to close gaps and meet scientific and technological needs should be reported as R&D on this survey.

Research and development activity in software includes:

- Development of new software.
- Significant improvement of existing software.
- Construction of new theories and algorithms in the field of computer science.

Research and development activity in software does NOT include:

- Creation of new software based on known methods and applications.
- Support for existing systems.
- Conversion or translation of existing software and software languages.
- Adaptation of a product to a specific client, unless knowledge that significantly improved the base program was added in that process.
- Routine debugging of existing systems and software.

Reporting unit

The reporting unit is your company, including all subsidiaries and divisions. Include subsidiary companies where there is more than 50 percent ownership.

Reporting period

Report data for the calendar year 2010, if possible, or for your company's fiscal year ending between April 2010 and March 2011.

Estimates are acceptable

Please report all items to the best of your ability.

To speak with a survey specialist, call 1-800-772-7851, option '1' for English, then option '5'.

Survey specialists are available 8 a.m. to 5 p.m. EST, M-F to help with any questions you may have.



SECTION 1

Company Information

1-1 Did another company other than a holding company own more than 50 percent of your company during 2010?

Yes → **Please provide the following information:**

Name of owner

(MM) (DD) (YYYY)

Date owner purchased your company

No → **Skip to Question 1-3**

1-2 If you answered "Yes" to Question 1-1, is your company's owner a foreign company?

Yes (Foreign owner) → **Please follow these instructions:**

REPORTING INSTRUCTIONS FOR FOREIGN-OWNED COMPANIES:

If your company is foreign-owned, the reporting unit for the survey is your U.S.-based company, including all its majority-owned subsidiaries and divisions regardless of location. For reporting purposes, your foreign owner and any other foreign affiliates your company does not own should be treated the same as any other customer or business partner you do not own.

If you pay your foreign owner for R&D services, those costs should be included in your responses in Section 2 as "costs for purchased R&D services".

If your foreign owner pays or reimburses your company for R&D services, the costs for this R&D should be included in your responses in Section 3 as "costs funded, paid for, or reimbursed by others".

Report your survey data using U.S. generally accepted accounting principles (U.S. GAAP) as recognized by the Financial Accounting Standard Board (FASB). If your company follows International Financial Reporting Standards (IFRS), we request that you estimate any adjustments that would be required to conform to U.S. GAAP.

No (U.S. owner) → **Please provide the following information:**

EIN of owner (9 digits)

REPORTING INSTRUCTIONS:

If your company was purchased between April 1, 2010 and December 31, 2010, report only for the period January 1, 2010 to the date of purchase. If your company was purchased before April 1, 2010, complete Question 1-6 and return this form to the Census Bureau – you are not required to complete the rest of this survey.

Disregard these instructions if your owner instructs you to complete this survey.



1-3 Did your company own more than 50 percent of any subsidiaries outside the 50 United States and D.C. during 2010?

- Yes → **Include data for these subsidiaries in your survey responses**
- No

1-4 Has your company ceased operations?

- Yes → **Please provide the following information:**

(MM) (DD) (YYYY)

Date your company ceased operations

REPORTING INSTRUCTIONS:

If your company ceased operations between April 1, 2010 and December 31, 2010, report only for the period January 1, 2010 to the date your company ceased operations. If your company ceased operations before April 1, 2010, complete Question 1-6 and return this form to the Census Bureau – you are not required to complete the rest of this survey.

- No

1-5 Did your company have discontinued operations in 2010?

- Yes → **Include data for these operations in your survey responses**
- No

1-6 Who is the survey coordinator?

The survey coordinator is the person at your company responsible for gathering all requested information, ensuring instructions are followed, and submitting the completed survey. The survey coordinator may not be able to personally complete the entire survey, and may need to request information from other knowledgeable resources within your company’s R&D, accounting, human resources, and legal matters.

Name

Title

Telephone

Area code Number

Extension

Fax

Area code Number

E-mail address



1-7 What business code from the list below or the codes on pages 30-31 accounts for the largest share of your company's operations in 2010?

NOTE: These codes will be used to describe both business activities and R&D activities and may differ from industry codes used by other government surveys and reports.

If no business codes are printed below, please write in the code from pages 30-31 that best applies to your company.

Business Code

--	--	--	--

Business Code (see pages 30-31)	Description

1-8 What was the amount of your company's worldwide net sales and revenues during 2010?

Include:

- Sales and operating revenues from discontinued operations

Exclude:

- Non-operating income (i.e., dividends, interest)

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>

1-9 How much of the amount reported in Question 1-8 was attributable to or originated from domestic operations?

Include:

- Operating revenues and sales to foreign customers, including foreign subsidiaries

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>

1-10 How much of the 2010 net sales and operating revenue amounts was for the business code reported Question 1-7:

- (1) Worldwide net sales and operating revenues reported in Question 1-8
- (2) Domestic net sales and operating revenues reported in Question 1-9

	Business Code	(1) Worldwide net sales and operating revenues			(2) Domestic net sales and operating revenues		
		\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
a.	<input style="width: 40px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>
b.	All other sales and operating revenues.	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>
c.	Total	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>

Total equals Question 1-8

Total equals Question 1-9



Innovation

1-11 Did your company introduce any of the following during the three-year period, 2008 to 2010?

- a. New or significantly improved goods (excluding the simple resale of new goods purchased from others and changes of a solely aesthetic nature) Yes No
- b. New or significantly improved services. Yes No
- c. New or significantly improved methods of manufacturing or producing goods or services. Yes No
- d. New or significantly improved logistics, delivery, or distribution methods for your inputs, goods, or services. Yes No
- e. New or significantly improved support activities for your processes, such as maintenance systems or operations for purchasing, accounting, or computing Yes No

1-12 If you answered "yes" to either 1-11, line a, or 1-11, line b, were any of those new or significantly improved goods or services:

- a. New to one of your markets? Yes No
 Your company introduced new or significantly improved goods or services to one of your markets before your competitors (it may have been available in other markets).
- b. Only new to your company? Yes No
 Your company introduced new or significantly improved goods or services that were already available from your competitors in your markets.

1-13 Using the definitions above, please give the percentage of your total sales in 2010 from:

- a. New or significantly improved goods and services introduced during 2008 to 2010 that were new to one of your markets. %
- b. New or significantly improved goods and services introduced during 2008 to 2010 that were only new to your company. %
- c. Goods and services that were unchanged or only marginally modified during 2008 to 2010 (include the resale of new goods or services purchased from other companies) %
- d. **Total sales in 2010** %

1-14 - 1-17 Not applicable to this form



SECTION 2

Financial Schedule A

Who should answer this section?

Persons familiar with accounting concepts and with access to financial records related to your company's R&D activities should complete this section.

What does this section cover?

This section requests financial information about your company's R&D expenses and capital expenditures for R&D. This section requests information about your company's R&D at multiple levels of detail: for your worldwide consolidated enterprise, for units or parts of your company defined by geography (inside/outside the U.S., specific location), and by business code.

2-1 What was the total worldwide R&D expense for your company in 2010?

If your company is publicly traded, this amount is equivalent to that disclosed on SEC Form 10-K as defined by FASB Statement No. 2, "Accounting for Research and Development Costs."

If your company is foreign-owned, refer to the instructions on page 4. Additional guidance, such as for **privately-owned companies**, is available online at www.census.gov/econhelp/brdis.

NOTE: Report your company's R&D expense even if the amount is not considered material for your company's financial statements.

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>

2-2 Does the amount reported in Question 2-1 include any of the following costs?

- | | | | | | |
|---|--------------------------|-----|--|--------------------------|----|
| a. Collaborative research and development that was reimbursed by business partners, such as through cost-sharing agreements. | <input type="checkbox"/> | Yes | | <input type="checkbox"/> | No |
| b. R&D paid for by government or private foundation grants. | <input type="checkbox"/> | Yes | | <input type="checkbox"/> | No |
| c. Technical services not an integral part of an R&D project (such as product support provided by R&D employees). | <input type="checkbox"/> | Yes | | <input type="checkbox"/> | No |
| d. Bid and proposal costs. | <input type="checkbox"/> | Yes | | <input type="checkbox"/> | No |
| e. Expense your company claimed resulting from the acquisition of another company with unfinished R&D projects (In-process R&D) | <input type="checkbox"/> | Yes | | <input type="checkbox"/> | No |

2-3 If you answered "Yes" to any of the costs in Question 2-2, what was the amount of these costs that was included in your response to Question 2-1?

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>

2-4 Subtract Question 2-3 from Question 2-1 and enter the result here. This is the total R&D paid for by your company in 2010.

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>

2-5 Is the amount entered in Question 2-4 greater than zero?

- Yes → **Continue with Question 2-7**
- No → **Skip to Section 3 on page 12**

2-6 Not applicable to this form



R&D paid for by your company

2-7 Of the amount reported in Question 2-4, what were the costs for each business code listed or amended on page 6 of this form?

Allocate R&D that is applicable to more than one business code on a reasonable basis. Allocation in proportion to operating revenues is acceptable unless some alternative allocation basis is more appropriate.

Business Code (see page 6)	\$Bil.	Mil.	Thou.
a. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
b. All other R&D paid for by your company	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
c. Total (equals Question 2-4).	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

2-8 Of the amount reported in Question 2-4, what costs were incurred by your company in the following locations?

	\$Bil.	Mil.	Thou.
a. Domestic U.S. (50 states and D.C.) [Include R&D performed by domestic operations that are paid for by foreign subsidiaries]	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
b. All other countries (also, Puerto Rico) [Include R&D performed by foreign subsidiaries that are paid for by domestic operations]	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
c. Total (equals Question 2-4).	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

2-9 Copy the amount from Question 2-8, line a. This is the total domestic R&D paid for by your company in 2010.

\$Bil.	Mil.	Thou.
<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

2-10 Copy the amount reported from Question 2-8, line b. This is the total foreign R&D paid for by your company in 2010.

\$Bil.	Mil.	Thou.
<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

2-11 How much of the (1) domestic, (2) foreign, and (3) total worldwide R&D paid for by your company in 2010 was for each of the following types of costs?

	(1) Domestic			(2) Foreign			(3) Total Worldwide		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
a. Salaries, wages, and fringe benefits	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
c. Temporary staffing including on-site consultants	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
h. Payments to business partners for collaborative R&D	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>



2-11 (Continued)

	(1) Domestic			(2) Foreign			(3) Total Worldwide		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
i. Purchased R&D services (if your company is foreign-owned, include payments to your foreign owner for R&D)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
l. All other costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
m. Total	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<i>Total equals Question 2-9</i>			<i>Total equals Question 2-10</i>			<i>Total equals Question 2-4</i>		

2-12 Add 2-11, lines h and i for each column, and enter the result here. This is R&D performed by others.

	(1) Domestic			(2) Foreign			(3) Total Worldwide		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

2-13 - 2-15 Not applicable to this form

2-16 Subtract Question 2-12 from Question 2-11, line m, for column 1 only and enter the result here. This is the domestic R&D paid for and performed by your company in 2010.

	\$Bil.	Domestic Mil.	Thou.
	<input type="text"/>	<input type="text"/>	<input type="text"/>

2-17 In which state (including the District of Columbia) did your company perform the largest dollar amount of R&D reported in Question 2-16, and how much of that R&D was performed in this state?

State \$Bil. Mil. Thou.

2-18 At what domestic location did your company perform the largest dollar amount of R&D in 2010?

Address 1

Address 2

City State ZIP



2-19 How much of the amount reported in Question 2-16 was from the location identified in Question 2-18?

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

2-20 How much of the amount reported in Question 2-16 was for the business code reported in Question 2-7?

Business Code (see page 6)

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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2-21 - **2-23** Not applicable to this form

Projected R&D for 2011

2-24 What are your company's projected 2011 costs for (1) domestic, (2) foreign, and (3) total worldwide R&D paid for by your company?

NOTE: This amount is the 2011 projection for what is reported in Question 2-11, line m.

(1) Domestic			(2) Foreign			(3) Total Worldwide		
\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

2-25 How much of the amount reported in Question 2-24, column 1, is for projected purchased R&D services and projected payments to business partners for collaborative R&D?

Domestic		
\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

Capital Expenditures

2-26 What was the amount of your company's capital expenditures in the domestic United States in 2010?

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

2-27 How much of the amount reported in Question 2-26 was for R&D operations?

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

2-28 - **2-29** Not applicable to this form



SECTION 3

Financial Schedule B

Who should answer this section?

Persons familiar with accounting concepts and with access to financial records related to your company's R&D activities should complete this section.

What does this section cover?

This section requests financial information about your company's costs for work that was funded, paid for, or reimbursed by others. This section requests information about these costs at multiple levels of detail: for your worldwide consolidated enterprise, for units or parts of your company defined by geography (inside/outside the U.S., specific location), and by business code.

3-1 What were your company's total worldwide costs (both direct and indirect) in 2010 for the following that were funded, paid for, or reimbursed by others not owned by your company?

Exclude:

- Costs that were paid for by your company, such as those reported in Question 2-4
- Payments in excess of the actual cost of the work performed (such as profit or fees)

	\$Bil.	Mil.	Thou.
a. R&D that was reimbursed by your company's foreign owner, if your company was foreign-owned	□ □	□ □ □	□ □ □
b. Collaborative R&D that was reimbursed by business partners, such as through cost-sharing agreements.	□ □	□ □ □	□ □ □
c. R&D paid for by government or private foundation grants . .	□ □	□ □ □	□ □ □
d. Defense R&D services provided to the government and/or government contractors	□ □	□ □ □	□ □ □
e. Medical nonclinical R&D services provided to others not owned by your company.	□ □	□ □ □	□ □ □
f. Phase I-III medical clinical trial services provided to others not owned by your company (include pass-through costs) . .	□ □	□ □ □	□ □ □
g. Nondefense custom software development and/or computer systems designed for others not owned by your company.	□ □	□ □ □	□ □ □

Exclude:

- Software development that does not depend on a scientific or technological advance such as adding functionality to existing application programs, debugging systems, and adapting existing software

h. Developing, producing, and testing prototypes of customer's products prior to their introduction to the market (excluding defense-related prototyping reported in line d)	□ □	□ □ □	□ □ □
i. All other R&D services provided to others not owned by your company.	□ □	□ □ □	□ □ □
j. Total.	□ □	□ □ □	□ □ □



3-2 Copy the amount from Question 3-1, line j. This is the total R&D paid for by others in 2010.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

3-3 Is the amount entered in Question 3-2 greater than zero?

- Yes → Continue with Question 3-5
- No → Skip to Section 4 on page 17

R&D paid for by others

3-4 Not applicable to this form

3-5 Of the amount reported in Question 3-2, what costs were incurred by your company in the following locations?

	\$Bil.	Mil.	Thou.
a. Domestic U.S. (50 states and D.C.)	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. All other countries (also, Puerto Rico)	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Total (equals Question 3-2).	<input type="text"/>	<input type="text"/>	<input type="text"/>

3-6 Copy the amount from Question 3-5, line a. This is the total domestic R&D paid for by others in 2010.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

3-7 Copy the amount from Question 3-5, line b. This is the total foreign R&D paid for by others in 2010.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>



3-8 How much of the (1) domestic, (2) foreign, and (3) total worldwide R&D paid for by others in 2010 was for each of the following types of costs?

	(1) Domestic			(2) Foreign			(3) Total Worldwide		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
a. Salaries, wages, and fringe benefits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Temporary staffing including on-site consultants	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Payments to business partners for collaborative R&D	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Purchased R&D services (if your company is foreign-owned, include payments to your foreign owner for R&D)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
l. All other costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
m. Total	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<i>Total equals Question 3-6</i>			<i>Total equals Question 3-7</i>			<i>Total equals Question 3-2</i>		

3-9 Add 3-8, lines h and i for each column, and enter the result here. This is R&D performed by others (e.g. subcontracted/passed-through R&D costs).

	(1) Domestic			(2) Foreign			(3) Total Worldwide		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

3-10 - 3-12 Not applicable to this form

Domestic R&D performed by your company that was paid for by others

3-13 Subtract Question 3-9, column 1, from Question 3-6 and enter the result here. This is the domestic R&D performed by your company that was paid for by others.

	\$Bil.	Mil.	Thou.
	<input type="text"/>	<input type="text"/>	<input type="text"/>



3-14 How much of the amount reported in Question 3-13 was paid for by each of the following?

If your company is a subcontractor or subgrantee, report the original source of funds.

Example: Company Sub Inc. performs custom software development for a large defense company as a subcontractor on a contract with the U.S. Dept. of Defense. Even though Sub Inc. is working directly for the defense company, it reports the cost of this development in line d because the Dept. of Defense was the original source of funds.

	\$Bil.	Mil.	Thou.
a. Other companies located <u>inside</u> the United States	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Your company's foreign owner (if your company is foreign-owned)	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Other companies located <u>outside</u> the United States	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. U.S. federal government agencies or laboratories.	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. U.S. state government agencies or laboratories	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Foreign government agencies or laboratories	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. All other organizations <u>inside</u> the United States	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. All other organizations located <u>outside</u> the United States	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Total (equals Question 3-13).	<input type="text"/>	<input type="text"/>	<input type="text"/>

3-15 Copy the amount from Question 3-14, line d. This is domestic R&D performed by your company that was paid for by the U.S. federal government.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

3-16 How much of the amount reported in Question 3-15 was paid for by the following agencies?

	\$Bil.	Mil.	Thou.
a. Department of Defense	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Department of Energy	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. National Aeronautics and Space Administration	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. National Institutes of Health	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. All other	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Total (equals Question 3-15).	<input type="text"/>	<input type="text"/>	<input type="text"/>



3-17 Not applicable to this form

3-18 Subtract Question 3-15 from Question 3-13 and enter the result here. This is the domestic R&D performed by your company that was paid for by nonfederal sources.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

3-19 In which state (including the District of Columbia) did your company perform the largest dollar amount of R&D paid for by others in 2010?

State

How much of the following three amounts was performed in the state reported above:

- (1) Domestic R&D paid for by the U.S. federal government reported in Question 3-15
- (2) Domestic R&D paid for by nonfederal sources reported in Question 3-18
- (3) Total domestic R&D performed by your company that was paid for by others reported in Question 3-13

(1) Federal			(2) Nonfederal			(3) Total		
\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Projected R&D paid for by others in 2011

3-20 What are your company's projected 2011 costs for R&D that will be paid for by others?

NOTE: This amount is the 2011 projection for what is reported in Question 3-2.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

3-21 How much of the projected costs in 2011 for R&D that will be paid for by others reported in Question 3-20 will be performed by your company in the United States?

NOTE: This amount is the 2011 projection for what is reported in Question 3-13.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

3-22 How much of the projected costs in 2011 for domestic R&D performed by your company that will be paid for by others reported in Question 3-21 will be paid for by the U.S. federal government?

NOTE: This amount is the 2011 projection for what is reported in Question 3-15.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>



SECTION 4

Management and Strategy of R&D

Who should answer this section?

Persons familiar with the technical, managerial, and strategic aspects of your company's R&D should complete this section.

What does this section cover?

This section requests information about the characteristics of the R&D reported in Sections 2 and 3. This section requests information about your company's worldwide consolidated R&D and the R&D your company performs in the domestic United States.

4-1 Copy the amount from Question 2-4. This is the total R&D paid for by your company in 2010.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

4-2 Is the amount entered in Question 4-1 greater than zero?

- Yes → **Continue with Question 4-5**
- No → **Skip to Question 4-19 on page 19**

4-3 – **4-4** Not applicable to this form

4-5 What percentage of the amount reported in Question 4-1 was for R&D in science/technology new to the market(s) (i.e. first-to-market) in which your company operates?

Exclude

- R&D to improve upon, replicate, or adopt science/technology currently in use in the market(s) in which your company operates.

Example: In 2010 Company B used a portion of its R&D to explore the potential use of a new heat-conducting material in its cookware products. Because this technology had not been used previously in the cookware industry, Company B should include that R&D in this question.

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
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4-6 – **4-8** Not applicable to this form



Characteristics of domestic R&D paid for and performed by your company

4-9 Copy the amount from Question 2-16. This is the domestic R&D paid for and performed by your company.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

4-10 How much of the amount reported in Question 4-9 was for the following categories?

- a. Research—the planned, systematic pursuit of new knowledge or understanding.
- b. Development—the systematic use of research and practical experience to produce new or significantly improved goods, services, or processes
- c. **Total** (equals Question 4-9).

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

4-11 If you reported any research in Question 4-10, line a, how much of that research was for the following categories?

- a. Applied research—the activity aimed at solving a specific problem or meeting a specific commercial objective.
- b. Basic research—the activity aimed at acquiring new knowledge or understanding without specific immediate commercial application or use.
- c. **Total** (equals Question 4-10, line a).

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Areas of application for domestic R&D paid for and performed by your company

NOTE: You may report the same R&D in multiple areas for Questions 4-12 to 4-13.

4-12 What percentage of the amount reported in Question 4-9 had energy applications, including energy production, distribution, storage, and efficiency (excluding exploration and prospecting)?

Example: Company B is a semiconductor manufacturer. Its products are not designed specifically for energy applications. In 2010, 10% of the domestic R&D performed by the company was focused on improving the energy efficiency of its products. Based on this, Company B reports "10%" for this question.

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
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4-13 What percentage of the amount reported in Question 4-9 had environmental protection applications, including pollution abatement?

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
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Technology focus of domestic R&D paid for and performed by your company

NOTE: You may report the same R&D in multiple areas for Questions 4-14 to 4-18.

4-14 What percentage of the amount reported in Question 4-9 was for software products? %

4-15 What percentage of the amount reported in Question 4-9 was for software embedded in other projects or products? %

4-16 Not applicable to this form

4-17 What percentage of the amount reported in Question 4-9 was for biotechnology—the use of cellular and bio-molecular processes to solve problems or make useful products? %

4-18 What percentage of the amount reported in Question 4-9 was for nanotechnology—the science and technology involving work at the nanometer scale? %

Activities with academia

4-19 Did your company perform any of the following activities with universities, students, or academic faculty in 2010?

- a. Hired academic consultants for short-term projects in science and engineering Yes No
- b. Hosted student interns pursuing undergraduate or graduate degrees in science or engineering for at least one month. Yes No
- c. Hosted postdoctoral fellows in science or engineering for at least one month Yes No
- d. Had scientists or engineers from your company who served as visiting scientists or engineers at a college or university for at least one month Yes No
- e. Made monetary gifts to universities or colleges that were restricted to supporting R&D Yes No



Domestic R&D performed by your company that was paid for by others

4-20 Copy the amount from Question 3-13. This is the domestic R&D performed by your company that was paid for by others.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

4-21 Is the amount entered in Question 4-20 greater than zero?

- Yes → Continue with Question 4-22
- No → Skip to Section 5 on page 22

4-22 How much of the amount reported in Question 4-20 was for the following categories?

	\$Bil.	Mil.	Thou.
a. <u>Research</u> —the planned, systematic pursuit of new knowledge or understanding.	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <u>Development</u> —the systematic use of research and practical experience to produce new or significantly improved goods, services, or processes	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Total (equals Question 4-20).	<input type="text"/>	<input type="text"/>	<input type="text"/>

4-23 If you reported any research in Question 4-22, line a, how much of that research was for the following categories?

	\$Bil.	Mil.	Thou.
a. <u>Applied research</u> —the activity aimed at solving a specific problem or meeting a specific commercial objective.	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <u>Basic research</u> —the activity aimed at acquiring new knowledge or understanding without specific immediate commercial application or use.	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Total (equals Question 4-22, line a).	<input type="text"/>	<input type="text"/>	<input type="text"/>

NOTE: You may report the same R&D in multiple areas for Questions 4-25 to 4-28.

4-24 Not applicable to this form

4-25 What percentage of the amount reported in Question 4-20 had energy applications, including energy production, distribution, storage, and efficiency (excluding exploration and prospecting)?

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
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4-26 What percentage of the amount reported in Question 4-20 had environmental protection applications, including pollution abatement R&D?

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
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4-27 What percentage of the amount reported in Question 4-20 was for biotechnology—the use of cellular and bio-molecular processes to solve problems or make useful products? %

4-28 What percentage of the amount reported in Question 4-20 was for nanotechnology—the science and technology involving work at the nanometer scale? %

Domestic R&D performed by your company that was paid for by the U.S. federal government

4-29 Copy the amount from Question 3-15. This is domestic R&D performed by your company that was paid for by the U.S. federal government. \$Bil. Mil. Thou.

4-30 Is the amount entered in Question 4-29 greater than zero?

- Yes → Continue with Question 4-31
- No → Skip to Section 5 on page 22

4-31 How much of the amount reported in Question 4-29 was for the following categories? \$Bil. Mil. Thou.

a. <u>Research</u> —the planned, systematic pursuit of new knowledge or understanding.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <u>Development</u> —the systematic use of research and practical experience to produce new or significantly improved goods, services, or processes.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Total (equals Question 4-29).	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

4-32 If you reported any research in Question 4-31, line a, how much of that research was for the following categories? \$Bil. Mil. Thou.

a. <u>Applied research</u> —the activity aimed at solving a specific problem or meeting a specific commercial objective.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <u>Basic research</u> —the activity aimed at acquiring new knowledge or understanding without specific immediate commercial application or use.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Total (equals Question 4-31, line a).	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



SECTION 5

Human Resources

Who should answer this section?

Persons familiar with human resources concepts and with access to records related to your company's employees should complete this section.

What does this section cover?

This section requests information about your company's employees, focusing on those who worked on R&D activities either full-time or part-time.

5-1 What was the total number of worldwide employees working at your company for the pay period that included March 12, 2010?

Include:

- Full and part-time employees

Exclude:

- Leased or temporary employees and on-site consultants

Number

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5-2 How many of the employees reported in Question 5-1 were employees of your company's domestic operations and foreign operations?

Domestic operations employees include all employees whose payroll was reported on IRS Form 941, Employer's Quarterly Tax Return.

	(1) Domestic Operations	(2) Foreign Operations	(3) Total Employees																		
Employees	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>						

Total equals Question 5-1

5-3 How many employees reported in Question 5-2 were R&D employees?

R&D employees include all employees who work on R&D or who provide direct support to R&D such as researchers, R&D managers, technicians, clerical staff, and others assigned to R&D groups.

R&D employees exclude employees who provide indirect support to R&D, such as corporate personnel, security guards, and cafeteria workers.

	(1) Domestic Operations	(2) Foreign Operations	(3) Total Employees																		
a. R&D employees	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>						
b. All other employees . . .	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>						
c. Total employees	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>						

Total line equals Question 5-2



R&D Employees

5-4 Copy the numbers from Question 5-3, line a. These are your company's R&D employees.

	(1) Domestic Operations	(2) Foreign Operations	(3) Total R&D Employees
R&D employees	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

5-5 How many of the R&D employees reported in Question 5-4 were female employees and male employees?

	(1) Domestic Operations	(2) Foreign Operations	(3) Total R&D Employees
a. Female R&D employees	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
b. Male R&D employees . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
c. Total R&D employees	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Total line equals Question 5-4

5-6 How many of the R&D employees reported in Question 5-4 worked in the occupations listed below?

	(1) Domestic Operations	(2) Foreign Operations	(3) Total R&D Employees
a. R&D scientists, engineers, and managers	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
b. R&D technicians and technologists.	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
c. R&D support staff (clerical and other)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
d. Total R&D employees	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Total line equals Question 5-4



R&D scientists, engineers, and managers

5-7 Copy the numbers from Question 5-6, line a. These are the number of your company's R&D scientists, engineers, and managers.

	(1) Domestic Operations	(2) Foreign Operations	(3) Total
R&D scientists, engineers, and managers.	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

5-8 How many of the R&D scientists, engineers, and managers reported in Question 5-7 had the following level of education?

	(1) Domestic Operations	(2) Foreign Operations	(3) Total
a. PhD (excluding MD, JD, and EdD).	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
b. All other	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
c. Total R&D scientists, engineers, and managers	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Total line equals Question 5-7

5-9 Not applicable to this form

Full-time equivalents (FTEs)

5-10 What was the number of domestic full-time equivalent (FTE) scientists and engineers engaged in R&D activities for the pay period that included March 12, 2010?

Full-time equivalents account for R&D scientists and engineers who do not work full-time and R&D scientists and engineers who do not work on R&D activities full-time. For example, a scientist or engineer who works half-time would be counted as one employee on a headcount basis but as one-half (1/2) of an FTE employee. Similarly, a full-time employee who devotes 25% of her time to R&D would be counted as one quarter (1/4) of an R&D FTE employee. The number of FTEs and the headcount may differ for your company.

Number

5-11 How many FTEs reported in Question 5-10 were engaged in R&D activities funded by U.S. federal government grants or contracts for the pay period that included March 12, 2010?

Number



SECTION 6

Intellectual Property and Technology Transfer

Who should answer this section?

Persons with an understanding of your company's general business strategy and knowledge of its patenting, licensing, and other intellectual property related activities should complete this section.

What does this section cover?

This section requests information about intellectual property and technology transfer activities such as:

- Patents
- Patent licensing
- Protection of intellectual property
- Transfer of intellectual property

Are responses to this survey confidential?

Yes. Your responses are completely confidential under Title 13, United States Code, and are seen only by persons sworn to uphold the confidentiality of Census Bureau information. Data provided will be used only to publish summary statistics that do not identify individual companies. Title 13 also provides that copies of reports retained in your files are immune from legal process. In addition, reported data are exempt from requests made under the Freedom of Information Act.

Patents

6-1

How many patents did your company apply for in 2010 from the U.S. Patent and Trademark Office (USPTO)?

Number

6-2

What percentage of the patent applications reported in Question 6-1 has your company applied for or plans to apply for in foreign jurisdictions?

 %

6-3

What percentage of the patent applications reported in Question 6-1 was for inventions that originated within your company's organized R&D activities?

 %

6-4

How many patents were issued to your company in 2010 by the USPTO?

Number

6-5

What percentage of your company's inventions considered for patenting in 2010 resulted in patent applications?

 %

Patent licensing

6-6

What was the amount of your company's patent licensing revenue in 2010?

\$Bil.

Mil.

Thou.



6-7 How many new agreements did your company enter into during 2010 to license patents to others not owned by your company?

Number

Intellectual property transfer activities

6-8 Did your company perform the following activities in 2010?

- a. Transferred intellectual property (IP) to others not owned by your company through participation in technical assistance or "know how" agreements Yes No
- b. Received IP from others not owned by your company through participation in technical assistance or "know how" agreements Yes No
- c. Transferred IP to a spin-off or spin-out of your company. Yes No
- d. Received IP from a parent company as part of a spin-off or spin-out. . . Yes No
- e. Acquired more than 50% ownership in another company for the primary purpose of acquiring their IP. Yes No
- f. Acquired any financial interest in another company in order to gain access to their IP Yes No
- g. Participated in cross-licensing agreements—agreements in which two or more parties grant a license to each other for the use of the subject matter claimed in one or more of the patents owned by each party. Yes No
- h. Allowed free use of patents or other IP owned by your company (for example, allowing free use of software patents by the open source community) Yes No
- i. Made use of open source patents or other freely available IP not owned by your company. Yes No

Intellectual property protection

6-9 During 2010, how important to your company were the following types of intellectual property protection?

- | | Very important | Somewhat important | Not important |
|---|--------------------------|--------------------------|--------------------------|
| a. Utility patents (patents for invention) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Design patents (patents for appearance). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Trademarks. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Copyrights | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Trade secrets | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| f. Mask works (copyright protection for semiconductor products) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |



SECTION 7

R&D Time Frame and R&D Product Life

Who should answer this section?

Persons with access to accounting, sales, and marketing records related to your company's R&D and products resulting from R&D should complete this section.

What does this section cover?

This section requests information about the time frame of your company's R&D and R&D product life.

R&D Time Frame

7-1 Did your company receive any revenue during 2008 to 2010 from products that resulted from R&D mostly paid for by your company?

- Yes → Continue with Question 7-2
- No → Skip to Question 7-6

7-2 What is the name (or description) of one product resulting from your company's R&D for which your company recently started receiving revenue?

7-3 Using the business codes in Question 1-7, which one best describes the product reported in Question 7-2?

Business Code

7-4 In what year did your company first receive revenue for the product reported in Question 7-2?

Year

7-5 In what year did your company begin the R&D for the product reported in Question 7-2?

Year

If the earliest R&D was used for more than one product, please report the year in which those earliest R&D activities began.



R&D Product Life

7-6 Did your company stop receiving revenue during 2008 to 2010 from any product that resulted from R&D mostly paid for by your company?

Yes → Continue with Question 7-7

No → Skip to Remarks section on page 32

7-7 What is the name (or description) of one product resulting from your company's R&D for which your company recently stopped receiving revenue?

7-8 Using the business codes in Question 1-7, which one best describes the product reported in Question 7-7?

Business Code

7-9 In what year did your company first receive revenue for the product reported in Question 7-7?

Year

7-10 In what year did your company last receive revenue for the product reported in Question 7-7?

Year



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Business codes

(used in Sections 1, 2, 3, and 7)

Aerospace & Defense

- 33642 Aircraft engine and engine parts manufacturing
- 33641 Aircraft manufacturing
- 33644 Guided missiles, space vehicles, and parts manufacturing
- 33692 Military armored vehicle, tank, and tank components manufacturing
- 33643 Other aircraft parts and auxiliary equipment manufacturing
- 33452 Search, detection, navigation, guidance, aeronautical, and nautical system and instruments manufacturing
- 33660 Ship and boat building

Automobiles, Motorcycles, & Components

- 33620 Motor vehicle body and trailer manufacturing
- 33630 Motor vehicle parts manufacturing
- 33610 Motor vehicles manufacturing
- 33691 Motorcycle, bicycle, and parts manufacturing
- 33651 Railroad rolling stock manufacturing
- 33660 Ship and boat building
- 33699 All other transportation equipment manufacturing

Capital Equipment

- 33311 Agricultural machinery and equipment manufacturing
- 33332 Commercial, service industry, temperature control, and airflow control machinery manufacturing
- 33312 Construction machinery manufacturing
- 33500 Electrical equipment, appliances, and components manufacturing
- 33360 Engine, turbine, and power transmission equipment manufacturing
- 33322 Industrial machinery manufacturing, except semiconductor machinery
- 33390 Metalworking and other general purpose machinery manufacturing
- 33319 Mining, oil, and gas field machinery and equipment manufacturing
- 33331 Photographic and photocopying equipment manufacturing

Chemicals and Materials

- 32402 Asphalt paving, roofing, and saturated materials manufacturing
- 32510 Basic chemicals manufacturing
- 32790 Cement, concrete, lime, gypsum, and other nonmetallic mineral product manufacturing
- 32710 Clay and glass products manufacturing
- 21200 Mining
- 32403 Other petroleum and coal products manufacturing, including motor oil, hydraulic fluid, and charcoal
- 32592 Paint, adhesive, and other chemical manufacturing
- 32200 Paper manufacturing
- 32530 Pesticide, fertilizer, and other agricultural chemical manufacturing
- 32600 Plastics and rubber products manufacturing
- 33100 Primary Metal Manufacturing
- 32520 Resin, synthetic rubber, and artificial synthetic fibers and filaments manufacturing
- 32591 Soap, cleaning compound, and toilet preparations manufacturing
- 32100 Wood products manufacturing

Consumer Goods

- 33430 Audio and video equipment manufacturing
- 31210 Beverage manufacturing
- 33200 Fabricated metal products manufacturing
- 31100 Food manufacturing
- 33700 Furniture and related products manufacturing
- 33990 Miscellaneous manufacturing not listed elsewhere (games, office supplies, slot machines, etc.)
- 32300 Printing and related support activities
- 32591 Soap, cleaning compound, and toilet preparations manufacturing
- 31990 Textile, apparel, and leather products manufacturing
- 31220 Tobacco manufacturing

Energy and Mining

- 33360 Engine, turbine, and power transmission equipment manufacturing
- 21200 Mining
- 33319 Mining, oil, and gas field machinery and equipment manufacturing
- 21100 Oil and gas extraction
- 32401 Petroleum refineries
- 21300 Support activities for mining, including oil and gas

Finance, Insurance, and Real Estate

- 52200 Finance: Banking and Credit Intermediation
- 52400 Insurance carriers and related activities
- 53100 Real estate
- 52310 Securities, commodity contracts, and other financial investments and related activities (including funds and trusts)

Healthcare

- 33451 Electromedical, electrotherapeutic and irradiation apparatus manufacturing
- 62200 Hospitals and nursing care facilities
- 32542 In-vitro diagnostic substances manufacturing
- 62150 Medical and diagnostic laboratories
- 33910 Medical equipment and supplies manufacturing
- 62110 Offices of physicians
- 62199 Other ambulatory health care services (ambulance, dental, home health care)
- 32541 Pharmaceutical, medicinal, botanical, and biological products (except diagnostic) manufacturing
- 54173 Research and development services in biotechnology
- 54174 Research and development services in physical, engineering, and life sciences (except biotechnology)



Information Technology - Goods and Services

54150	Computer systems design and related services
33412	Computers and peripheral equipment manufacturing, including magnetic and optical media
51800	Data processing, hosting, and related services
33500	Electrical equipment, appliances, and components manufacturing
45411	Electronic shopping and electronic auctions
33459	Measuring and control instruments manufacturing (not listed elsewhere)
33429	Other communication equipment manufacturing, (except radio, television, and wireless communication equipment)
51910	Other information services including internet publishing, broadcasting, and web search portals
33422	Radio, television, and wireless communication equipment manufacturing
33440	Semiconductor and other electronic components manufacturing
33321	Semiconductor machinery manufacturing
51120	Software publishers (except internet)
33421	Telephone apparatus manufacturing including routers, modems, and gateways
42500	Wholesale electronic markets and agents and brokers (business to business)

Professional, Scientific, and Technical Services

54180	Advertising and related services
54130	Architectural, engineering, and related services
54150	Computer systems design and related services
54111	Legal, accounting, tax preparation, bookkeeping and payroll services
54160	Management, scientific, and technical consulting services
54190	Professional, scientific, and technical services (not listed elsewhere)
54173	Research and development services in biotechnology
54174	Research and development services in physical, engineering, and life sciences (except biotechnology)
54172	Research and development services in social sciences and humanities
54140	Specialized design services

Telecommunications and Utilities

51500	Broadcasting (except Internet)
51790	Other telecommunications (not listed elsewhere)
51740	Satellite telecommunications
22100	Utilities
56200	Waste management and remediation services
51710	Wired telecommunications carriers
51720	Wireless telecommunications carriers (except satellite)

Other Services

72000	Accommodation and food services
56100	Administrative and support services
71000	Arts, entertainment, and recreation
23000	Construction
53300	Lessors of nonfinancial intangible assets (including patent licensing)
55100	Management of companies and enterprises
42300	Merchant wholesalers, durable goods
42400	Merchant wholesalers, nondurable goods
51200	Motion picture and sound recording (except Internet)
51110	Newspaper, periodical, book, and directory publishers (except internet)
81000	Other services (not listed elsewhere)
49200	Couriers, messengers, and express delivery services
53200	Rental and leasing services
44000	Retail trade, except electronic shopping and electronic auctions
62400	Social assistance services
21300	Support activities for mining, including oil and gas
48000	Transportation
49300	Warehousing and storage



Remarks (Please use the space below for any explanations that may help us understand your reported data.)

We estimate that it will take from .5 to 12 hours to complete this form, with 6.9 hours being the average. This includes time to read instructions, develop or assemble materials, conduct tests, organize and review the information, and maintain and report the information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

Paperwork Project 0607-0912
U.S. Census Bureau
4600 Silver Hill Road
AMSD-3K138
Washington, D.C. 20233

You may e-mail comments to Paperwork@census.gov; use "Paperwork Project 0607-0912" as the subject.

~ **Thank you for completing your 2010 Business R&D and Innovation Survey** ~

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