



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

FORM
BRDI-1A (02-16-2012)

2011 BUSINESS R&D AND INNOVATION SURVEY

OMB No. 0607-0912: Approval Expires 01/31/2015

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47132-0001

For information or assistance:

- econhelp.census.gov/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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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 R&D 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.

Why did your company receive this survey?

The Census Bureau surveys a broad cross section of U.S. businesses to better identify which companies engage in R&D activities. Even companies that have no R&D activity are required to complete the survey. The data all companies provide are used to produce economic indicators related to sales, employment, patenting, and innovation.

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



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Survey Overview and Table of Contents

The survey is divided into six 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.9
Topics: R&D expenses and capital expenditures for R&D	
Requires: knowledge of your company's accounting concepts and access to financial records	
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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.18
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.26
Topics: intellectual property and technology transfer	
Requires: knowledge of your company's general business strategy, patenting, and licensing	

Changes from the 2010 survey

On the basis of extensive conversations with many of the 2010 survey respondents, the 2011 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 econhelp.census.gov/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 econhelp.census.gov/brdis.

Electronic materials

Electronic versions of the questionnaire and related documents are available to print or share with others in your company via e-mail. They can be found at econhelp.census.gov/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 R&D 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.

R&D 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

R&D 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 2011, if possible, or for your company's fiscal year ending between April 2011 and March 2012.

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.



1-3 Did your company own more than 50 percent of any company operations or subsidiaries outside the 50 United States and D.C. during 2011?

- Yes → **Include data for these operations/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, 2011 and December 31, 2011, report only for the period January 1, 2011 to the date your company ceased operations. If your company ceased operations before April 1, 2011, 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 2011?

- 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 concerning 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 2011?

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 2011?

Include:

- Sales and operating revenues from discontinued operations

Exclude:

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

\$Bil.	Mil.	Thou.
<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; 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: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>

1-10 How much of the 2011 net sales and operating revenue amounts was for the business code reported in 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: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>
b.	All other sales and operating revenues.	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>
c.	Total	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>

Total equals Question 1-8

Total equals Question 1-9



Product (good or service) innovation

A product innovation is the market introduction of a **new** or **significantly** improved good or service with respect to its capabilities, user friendliness, components, or sub-systems.

- Product innovations (new or improved) must be new to your company, but they do not need to be new to your market.
- Product innovations could have been originally developed by your company or by other companies.

1-11 During the three years 2009 to 2011, did your company introduce:

- a. New or significantly improved goods (Exclude the simple resale of new goods purchased from other companies and changes of a solely aesthetic nature)? Yes No
- b. New or significantly improved services? Yes No

1-12 If you answered "yes" to either 1-11, line a, or 1-11, line b, were any of your product innovations during the three years 2009 to 2011:

- a. New to your market? Yes No
 Your company introduced a new or significantly improved good or service to your market before your competitors. (It may have been available in other markets.)
- b. New only to your company? Yes No
 Your company introduced a new or significantly improved good or service that was already available from your competitors in your market.

1-13 Using the definitions above, please give the percentage of your total sales in 2011 from:

- a. New or significantly improved goods and services introduced during 2009 to 2011 that were **new to your market** %
- b. New or significantly improved goods and services introduced during 2009 to 2011 that were **new only to your company**. %
- c. Goods and services that were **unchanged or only marginally modified** during 2009 to 2011 (include the resale of new goods or services purchased from other companies) %
- d. **Total sales in 2011** %



Process innovation

A process innovation is the implementation of a **new** or **significantly** improved production process, distribution method, or support activity for your goods or services.

- Process innovations must be new to your company, but they do not need to be new to your market.
- The innovation could have been originally developed by your company or by other companies.
- Exclude purely organizational innovations.

1-14 During the three years 2009 to 2011, did your company introduce:

- a. New or significantly improved methods of manufacturing or producing goods or services? Yes No
- b. New or significantly improved logistics, delivery or distribution methods for your inputs, goods, or services? Yes No
- c. New or significantly improved supporting activities for your processes, such as maintenance systems or operations for purchasing, accounting, or computing? Yes No



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 (countries, states, specific location), and for parts of your company defined by business code.

2-1 What was the total worldwide R&D expense for your company in 2011?

If your company is publicly traded, this amount is equivalent to that disclosed on SEC Form 10-K as defined in FASB ASC Topic 730, Research and Development (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 econhelp.census.gov/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;" 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"/> <input style="width: 20px; height: 20px;" type="text"/>

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

- a. Collaborative R&D that was reimbursed by business partners, such as through cost-sharing agreements. Yes No
- b. R&D paid for by government or private foundation grants. Yes No
- c. Technical services not an integral part of an R&D project (such as product support provided by R&D employees). Yes No
- d. Bid and proposal costs. Yes No
- e. Expense your company claimed resulting from the acquisition of another company with unfinished R&D projects (in-process R&D) Yes 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;" 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"/> <input style="width: 20px; height: 20px;" 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 2011.

\$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"/> <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"/>

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

- Yes → **Continue with Question 2-6**
- No → **Skip to Section 3 on page 13**



R&D paid for by your company

2-6 Of the amount reported in Question 2-4, what were the costs for the business code reported in Question 1-7?

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

2-7 Of the amount reported in Question 2-4, what costs were incurred by your company in the following locations?

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

2-8 Copy the amount from Question 2-7, line a. This is the total domestic R&D paid for by your company in 2011.

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

2-9 Copy the amount reported from Question 2-7, line b. This is the total foreign R&D paid for by your company in 2011.

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

2-10 How much of the (1) domestic, (2) foreign, and (3) total worldwide R&D paid for by your company in 2011 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" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>
c. Temporary staffing, including on-site consultants	<input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>
h. Payments to business partners for collaborative R&D	<input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>



2-10 (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"/>
k. 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"/>
l. 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 2-8</i>			<i>Total equals Question 2-9</i>			<i>Total equals Question 2-4</i>		

2-11 Add 2-10, 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"/>

2-12 - 2-14 Not applicable to this form

2-15 Subtract Question 2-11 from Question 2-10, line l, for column 1 only and enter the result here. This is the domestic R&D paid for and performed by your company in 2011.

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

2-16 In which state (including the District of Columbia) did your company perform the largest dollar amount of R&D reported in Question 2-15, and how much of that R&D was performed in this state?

State

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

2-17 At what domestic location did your company perform the largest dollar amount of R&D in 2011?

Address 1

Address 2

City **State** **ZIP**



2-18 How much of the amount reported in Question 2-15 was from the location identified in Question 2-17?

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

2-19 How much of the amount reported in Question 2-15 was for the business code reported in Question 2-6?

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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2-20 - **2-25** Not applicable to this form

Projected R&D for 2012

2-26 What are your company's projected 2012 costs for (1) domestic, (2) foreign, and (3) total worldwide R&D paid for by your company?

NOTE: This amount is the 2012 projection for what is reported in Question 2-10, line I.

(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"/>

2-27 How much of the amount reported in Question 2-26, 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

2-28 What was the amount of your company's capital expenditures in the domestic United States in 2011?

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

2-29 How much of the amount reported in Question 2-28 was for R&D operations?

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



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 and for units or parts of your company defined by geography (countries, states).

3-1 What were your company's total worldwide costs (both direct and indirect) in 2011 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. Medical clinical trial Phase I-III 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 2011.

\$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 3-4
- No → Skip to Section 4 on page 18

R&D paid for by others

3-4 Of the amount reported in Question 3-2, what costs were incurred by your company in the following locations?

	\$Bil.	Mil.	Thou.
a. Domestic United States (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"/>

3-5 Copy the amount from Question 3-4, line a. This is the total domestic R&D paid for by others in 2011.

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

3-6 Copy the amount from Question 3-4, line b. This is the total foreign R&D paid for by others in 2011.

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



3-7 How much of the (1) domestic, (2) foreign, and (3) total worldwide R&D paid for by others in 2011 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"/>
k. 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"/>
l. 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 3-5</i>			<i>Total equals Question 3-6</i>			<i>Total equals Question 3-2</i>		

3-8 Add 3-7, 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"/>

3-9 – 3-11 Not applicable to this form

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

3-12 Subtract Question 3-8, column 1, from Question 3-5 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"/>

3-13 Not applicable to this form



3-14 How much of the amount reported in Question 3-12 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 3-12).	<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 Subtract Question 3-15 from Question 3-12 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"/>

3-18 In which state (including the District of Columbia) did your company perform the largest dollar amount of R&D paid for by others in 2011?

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 3-17
- (3) Total domestic R&D performed by your company that was paid for by others reported in Question 3-12

(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"/>

3-19 – **3-22** Not applicable to this form

Projected R&D paid for by others in 2012

3-23 What are your company's projected 2012 costs for R&D that will be paid for by others?

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

NOTE: This amount is the 2012 projection for what is reported in Question 3-2.

3-24 How much of the projected costs in 2012 for R&D that will be paid for by others reported in Question 3-23 will be performed by your company in the United States?

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

NOTE: This amount is the 2012 projection for what is reported in Question 3-12.

3-25 How much of the projected costs in 2012 for domestic R&D performed by your company that will be paid for by others reported in Question 3-24 will be paid for by the U.S. federal government?

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

NOTE: This amount is the 2012 projection for what is reported in Question 3-15.



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 2011.

\$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"/>

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

- Yes → **Continue with Question 4-3**
- No → **Skip to Question 4-12 on page 19**

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

4-3 Copy the amount from Question 2-15. This is the domestic R&D paid for and performed by your company.

\$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"/>

4-4 How much of the amount reported in Question 4-3 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 4-3).

\$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"/>
<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"/>
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4-5 If you reported any research in Question 4-4, 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 4-4, line a)

\$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"/>
<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"/>
<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"/>



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 4-6 to 4-7.

4-6 What percentage of the amount reported in Question 4-3 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 2011, 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.

 %

4-7 What percentage of the amount reported in Question 4-3 had environmental protection applications, including pollution abatement?

 %

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 4-8 to 4-11.

4-8 What percentage of the amount reported in Question 4-3 was for software products?

 %

4-9 What percentage of the amount reported in Question 4-3 was for software embedded in other projects or products?

 %

4-10 What percentage of the amount reported in Question 4-3 was for biotechnology—the use of cellular and bio-molecular processes to solve problems or make useful products?

 %

4-11 What percentage of the amount reported in Question 4-3 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 others

4-12 Copy the amount from Question 3-12. 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"/>

4-13 Is the amount entered in Question 4-12 greater than zero?

Yes → Continue with Question 4-14

No → Skip to Section 5 on page 22



4-14 How much of the amount reported in Question 4-12 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 4-12).	<input type="text"/>	<input type="text"/>	<input type="text"/>

4-15 If you reported any research in Question 4-14, 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 4-14, line a).	<input type="text"/>	<input type="text"/>	<input type="text"/>

NOTE: You may report the same R&D in multiple areas for Questions 4-16 to 4-21.

4-16 What percentage of the amount reported in Question 4-12 had energy applications, including energy production, distribution, storage, and efficiency (excluding exploration and prospecting)? %

4-17 What percentage of the amount reported in Question 4-12 had environmental protection applications, including pollution abatement? %

4-18 What percentage of the amount reported in Question 4-12 was for biotechnology—the use of cellular and bio-molecular processes to solve problems or make useful products? %

4-19 What percentage of the amount reported in Question 4-12 was for nanotechnology—the science and technology involving work at the nanometer scale? %

4-20 What percentage of the amount reported in Question 4-12 was for software products? %

4-21 What percentage of the amount reported in Question 4-12 was for software embedded in other projects or products? %



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

4-22 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.
<input type="text"/>	<input type="text"/>	<input type="text"/>

4-23 Is the amount entered in Question 4-22 greater than zero?

- Yes → Continue with Question 4-24
- No → Skip to Section 5 on page 22

4-24 How much of the amount reported in Question 4-22 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 4-22).

\$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"/>

4-25 If you reported any research in Question 4-24, 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 4-24, 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"/>



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. Include employment data for operations or subsidiaries for which your company owned more than 50 percent.

5-1 What was the total number of worldwide employees working at your company for the pay period that included March 12, 2011?

Include:

- Full- and part-time employees

Exclude:

- Leased or temporary employees and on-site consultants

Number

--	--	--	--	--	--

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 the first quarter filing of IRS Form 941, Employer's Quarterly Tax Return.

	(1) Domestic operations	(2) Foreign operations	(3) Total employees																		
Employees	<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>							<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>							<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </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.

All other employees include 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%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>							<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>							<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>						
b. All other employees . . .	<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>							<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>							<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>						
c. Total employees	<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>							<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>							<table border="1" style="width: 100%; height: 25px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </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



Domestic full-time equivalents (FTEs)

5-7 Of the domestic R&D employees reported in Question 5-4, column 1, what was the number of full-time equivalents (FTEs) for R&D activity for full-time R&D employees, other full-time employees not working solely on R&D, and part-time employees?

a. FTEs for full-time R&D employees Number
 Count the number of full-time employees who work only on R&D.

Example:
 50 full-time R&D employees worked only on R&D = 50 FTEs

b. FTEs for other full-time employees not working solely on R&D
 Use the proportion of the time they work on R&D to calculate the number of FTEs.

Example:
 60 full-time employees averaged one-fourth of their time on R&D = 15 FTEs

c. FTEs for part-time employees working on R&D
 Use the portion of a full-time week (such as 40 hours) that they work on R&D to calculate the FTEs.

Example:
 20 part-time employees averaged 20 hours a week on R&D activities = 10 FTEs

d. **Total FTEs**

Total FTEs should not exceed Question 5-4, column 1.



5-8 Of the domestic R&D scientists, engineers, and managers reported in Question 5-6, row a, column 1, what was the number of full-time equivalents (FTEs) for R&D activity for full-time R&D employees, other full-time employees not working solely on R&D, and part-time employees?

a. FTEs for full-time R&D scientists, engineers, and managers

Number

Count the number of full-time employees who work only on R&D.

Example:

50 full-time R&D scientists worked only on R&D = 50 FTEs

b. FTEs for other full-time scientists, engineers, and managers not working solely on R&D

Use the proportion of the time they work on R&D to calculate the number of FTEs.

Example:

60 full-time managers averaged one-fourth of their time on R&D = 15 FTEs

c. FTEs for part-time scientists, engineers, and managers working on R&D

Use the portion of a full-time week (such as 40 hours) that they work on R&D to calculate the FTEs.

Example:

20 part-time employees averaged 20 hours a week on R&D activities = 10 FTEs

d. **Total FTEs**

Total FTEs should not exceed Question 5-6, row a, column 1.



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 activities related to intellectual property 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 <u>apply for</u> in 2011 from the U.S. Patent and Trademark Office (USPTO)?	Number
		<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"/>

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?	
		<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"/> %

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?	
		<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"/> %

6-4	How many patents were <u>issued</u> to your company in 2011 by the USPTO?	Number
		<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"/>

6-5	What percentage of your company's inventions <u>considered</u> for patenting in 2011 resulted in patent applications?	
		<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"/> %

Patent licensing

6-6	What was the amount of your company's patent licensing revenue in 2011?	\$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"/> <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"/>



6-7 How many new agreements did your company enter into during 2011 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 2011?

- 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—the 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 2011, 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"/> |



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Business codes

(used in Sections 1 and 2)

Aerospace and 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, and 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.)

Thank You – Your Response is Important

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

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