

# Appendices

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## **Appendix 1: Methodology and Data Sources**

The data presented by the AAAS R&D Budget and Policy Program cover only research and development (R&D), not the entire federal budget, except as noted. Within the federal budget there is no separately identified R&D budget as such; nor are most appropriations for R&D so labeled except for certain program areas, such as defense. Consequently, most funds for R&D are not line items in an agency's budget but are included within general program funding. The Office of Management and Budget (OMB) requires agencies to submit data on R&D programs as part of their annual budget submissions. Specifically, the agencies provide data (reported on MAX Schedule C as part of the budget process) on funding levels for basic research, applied research, development, R&D facilities, major capital equipment for R&D, and R&D support to universities and colleges (see Appendix 2: Definitions for the common definitions that OMB, the agencies, and AAAS use).

R&D figures rarely correspond to budget line items as found in appropriations bills or the President's budget. Agencies make determinations as to what proportion of budget line items are classified as R&D; many budget line items have both R&D and non-R&D components. Agencies also differ in their reporting. For example, some agencies classify program direction or management support as R&D; others do not.

The R&D data presented in the tables represent the agencies' best estimates of actual and proposed federal funding for R&D collected during the winter and spring by OMB and AAAS. These figures incorporate information provided to OMB in January by nearly two dozen agencies accounting for more than 99 percent of all federal R&D, and information collected by AAAS from individual agencies after the February release of the budget. Some adjustments to the original OMB-provided data were made during February and March 2000, to reflect agency revisions, AAAS conversations with agency budget officials, supplemental appropriations, emergency spending, and rescissions.

When year-to-year changes are expressed in constant dollars, the deflators used are the Gross Domestic Product (GDP) deflators from the

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*Budget of the United States Government FY 2001*, Historical Table 10.1.

Although this report relies mostly on OMB and agency data for R&D, it also relies on data from other data sources to provide a wider context for the federal R&D enterprise. When these other data sources are used, they are noted in tables and charts. The reader should be aware that although these sources use the same definitions of R&D as OMB and AAAS, there may be discrepancies between different data sources resulting from several factors: 1) the use of performer surveys rather than agency surveys; 2) the use of obligations or expenditures rather than outlays; 3) the use of a calendar year rather than the federal fiscal year (Oct. - Sept.); and 4) the use of conduct of R&D, rather than total R&D (including R&D facilities and capital equipment). The reader is advised to examine carefully the footnotes of the tables in this report.

**Special Note on “FS&T”:** “FS&T” refers to an alternative measure of the federal investment in science and technology proposed by the National Academy of Sciences in its 1995 report, *Allocating Federal Funds for Science and Technology* (National Academy Press, Washington, DC, 1995). “FS&T” is defined in the report as a subset of total federal R&D. (Since the release of the report, the Academy has revised its original definition of “FS&T”; the tables reflect these revisions.) “FS&T” excludes advanced development, testing and evaluation work in DOD and DOE. In DOD, “FS&T” excludes R&D funding in the “6.4” through “6.7” categories. In DOE, “FS&T” excludes the Naval Reactors program and the “Testing and Readiness” component of Stockpile Stewardship. Please refer to Chapter 7.

**Special Note on Table I-4, “Major Functional Categories of R&D”:** All activities in the federal budget are classified into 20 broad functional categories. (AAAS separates the general science, space, and technology function into its subfunctions of General Science and Space.) Each function often includes programs from multiple agencies. Each R&D program is assigned to only one function, even though the R&D activity may address several functional concerns. For example, NASA’s Earth Science program is classified under the Space function, even though its R&D is also closely related to Natural Resources and Environment, as well as General Science.

## **Appendix 2: Definitions**

In this report, R&D refers to actual research and development activities as well as R&D facilities. These definitions are used by the Office of Management and Budget, the National Science Foundation, and AAAS.

**Research** is systematic study directed toward more complete scientific knowledge or understanding of the subject studied. The federal government classifies research as either basic or applied according to the objective of the sponsoring agency.

- In **basic research** the objective is to gain knowledge or understanding of phenomena without specific applications in mind.
- In **applied research** the objective is to gain knowledge or understanding necessary for meeting a specific need.

**Development** is the systematic use of the knowledge or understanding gained from research directed toward the production of materials; devices; systems; or methods, including design, development, and improvement of prototypes and new processes. It excludes quality control, routine product testing, and production.

R&D funding normally includes those personnel, program supervision, and administrative support costs directly associated with R&D activities. Laboratory equipment is also included. Defense R&D also includes testing, evaluation, prototype development, and other activities which precede actual production.

Funding for **R&D facilities** includes construction, repair, or alteration of physical plant (*e.g.*, reactors, wind tunnels, particle accelerators, or laboratories) used in the conduct of R&D. It also includes major capital equipment used for R&D.

The federal R&D funding data in this report are presented in terms of **budget authority**. Budget authority is the initial budget parameter for congressional action on the President's proposed budget. Other R&D

## Appendix 2: Definitions

data sources may express R&D funding in terms of obligations or outlays. There are also R&D data sources which obtain funding data from funding **recipients** (companies, universities) rather than from funding **sources** (agencies).

**Budget authority** is the legal authorization to expend funds.

**Obligations** represent orders placed, contracts awarded, services received, and similar transactions during a given period, regardless of when the funds were appropriated and when the future payment of money is required.

**Outlays** represent checks issued and cash payments made during a given period, regardless of when the funds were appropriated or obligated. Some surveys refer to outlays as expenditures.

As an example, Congress may appropriate \$100 million to NASA in FY 1999 for an R&D laboratory. NASA may then issue contracts to build the lab and sign \$50 million of the contracts in FY 1999 and \$50 million in FY 2000. Upon completion of the lab in FY 2001, NASA may then write checks to the contractors for a total of \$100 million. Budget authority would be \$100 million in FY 1999; obligations would be split \$50 million each in FY 1999 and FY 2000; outlays would be \$100 million in FY 2001. In the federal budget process, there is normally a lag between budget authority and outlays for large capital projects and research contracts; budget authority and outlays usually occur in the same year for recurring expenses such as staff salaries.

(Definitions adapted from National Science Foundation, *Federal R&D Funding by Budget Function: Fiscal Years 1998-2000*, Arlington, VA, 1999.)

### **Appendix 3: Related Publications**

*AAAS Report XXV: Research and Development FY 2001*, Intersociety Working Group, 2000. \$19.95; \$15.96 for AAAS members. AAAS Publication Number: 00-02S. (Please use this information when ordering additional copies of this report.)

*AAAS Science and Technology Policy Yearbook 2000*, Albert H. Teich, Stephen D. Nelson, Celia McEnaney, and Stephen Lita, editors, 2000. \$24.95; \$19.95 for AAAS members. AAAS Publication Number: 00-03S. (A collection of writings on the major science and technology policy issues of 1999; including the proceedings of the 24th Annual AAAS Colloquium on Science and Technology Policy.)

*Congressional Action on Research and Development in the FY 2000 Budget*, AAAS, 1999. \$10.95. The AAAS analysis of final appropriations for R&D in the FY 2000 budget.

*AAAS Report XXIV: Research and Development FY 2000*, Intersociety Working Group, 1999. \$18.95; \$15.16 for AAAS members. AAAS Publication Number: 99-07S. (Last year's edition of this report.)

The above publications may be ordered from the AAAS Distribution Center. Please add \$4.00 for postage and handling per order. Orders must be prepaid by check or accompanied by purchase order payable to AAAS. Address: AAAS Distribution Center, P.O. Box 521, Annapolis Junction, MD 20701. For VISA / Mastercard orders call 1-800-222-7809 (8:30 AM - 5:00 PM ET). Fax orders to 301-206-9789. For shipments to CA and DC, add applicable sales tax. For shipments to Canada, add the GST. Please allow 2-3 weeks for delivery.

### **AAAS World Wide Web Site**

Updated information on federal funding for R&D, including the complete text of this publication and the other publications listed above, is available on the AAAS R&D Budget and Policy Program home page at:

<http://www.aaas.org/spp/R&D>

## **Intersociety Working Group Directory**

### **American Association for the Advancement of Science (AAAS)**

1200 New York Avenue, NW  
Washington, DC 20005  
Albert H. Teich, Science & Policy  
Programs, 202 326 6600  
E-Mail: [ateich@aaas.org](mailto:ateich@aaas.org)  
[www.aaas.org/spp](http://www.aaas.org/spp)  
R&D Web site: [www.aaas.org/spp/R&D](http://www.aaas.org/spp/R&D)

Virginia Van Horne, Education & Human  
Resources, 202 326 6631  
E-Mail: [gvanhorn@aaas.org](mailto:gvanhorn@aaas.org)  
[ehr.aaas.org/ehr/](http://ehr.aaas.org/ehr/)

### **American Astronomical Society (AAS)**

2000 Florida Avenue, NW, Suite 400  
Washington, DC 20009  
Kevin B. Marvel, 202 328 2010  
E-Mail: [kmarvel@aas.org](mailto:kmarvel@aas.org)  
[www.aas.org](http://www.aas.org)

### **American Chemical Society (ACS)**

1155 16th Street, NW  
Washington, DC 20036  
David L. Schutt, 202 872 4477  
E-Mail: [d\\_schutt@acs.org](mailto:d_schutt@acs.org)  
[www.acs.org](http://www.acs.org)

### **American Educational Research Association (AERA)**

1230 17th Street NW  
Washington, DC 20036-3078  
Sandi Wurtz, 202 223 9485  
E-Mail: [swurtz@aera.net](mailto:swurtz@aera.net)  
[www.aera.net](http://www.aera.net)

### **American Geological Institute (AGI)**

4220 King Street  
Alexandria, VA 22302  
David Applegate, 703 379 2480 x228  
E-Mail: [applegate@agiweb.org](mailto:applegate@agiweb.org)  
Margaret Baker, 703 379 2480 x212  
E-mail: [mab@agiweb.org](mailto:mab@agiweb.org)  
[www.agiweb.org](http://www.agiweb.org)

### **American Geophysical Union (AGU)**

2000 Florida Avenue, NW  
Washington, DC 20009  
Eugene Bierly, 202 777 7506  
E-Mail: [ebierly@agu.org](mailto:ebierly@agu.org)  
[www.agu.org](http://www.agu.org)

### **American Institute of Aeronautics and Astronautics (AIAA)**

1801 Alexander Bell Drive, Suite 500  
Reston, VA 20191-4344  
Paul Looney, 703 264 7517  
E-Mail: [paull@aiaa.org](mailto:paull@aiaa.org)  
[www.aiaa.org](http://www.aiaa.org)

### **American Institute of Physics (AIP)**

1 Physics Ellipse  
College Park, MD 20740-3843  
Audrey T. Leath, 301 209 3094  
E-Mail: [aleath@aip.org](mailto:aleath@aip.org)  
Richard M. Jones, 301 209 3094  
E-mail: [rmj@aip.org](mailto:rmj@aip.org)  
[www.aip.org](http://www.aip.org)

### **American Meteorological Society (AMS)**

3200 Wheatland Farms Drive  
Oakton, VA 22124  
H. Frank Eden, 703 273 8928  
E-Mail: [hfedden@aol.com](mailto:hfedden@aol.com)  
[www.ametsoc.org](http://www.ametsoc.org)

*Intersociety Working Group Directory*

**American Physical Society (APS)**

529 14th Street, NW, Suite 1050  
Washington, DC 20045  
Michael S. Lubell, 202 662 8700  
E-Mail: lubell@aps.org  
www.aps.org

**American Psychological Association  
(APA)**

750 First Street, NE  
Washington, DC 20002-4242  
Patricia Kobor, 202 336 5933  
E-Mail: pkobor@apa.org  
www.apa.org/ppo/

**The American Society of Mechanical  
Engineers (ASME)**

1828 L Street, NW, Suite 906  
Washington, DC 20036-5104  
Mary James Legatski, 202 785 3756  
E-Mail: legatskim@asme.org  
www.asme.org

**Association of American Universities  
(AAU)**

1200 New York Avenue, Suite 550  
Washington, DC 20005  
George Leventhal, 202 408 7500  
E-Mail: george\_leventhal@aau.edu  
www.tulane.edu/~aau/

**Computing Research Association  
(CRA)**

1100 17<sup>th</sup> Street, NW, Suite 507  
Washington, DC 20036  
Lisa Thompson, 202 234 2111  
E-Mail: thompson@cra.org  
www.cra.org

**Council of Professional Associations  
on Federal Statistics (COPAFS)**

1429 Duke Street, Suite 402  
Alexandria, VA 22314-3402  
Edward J. Spar, 703 836 0404  
E-Mail: copafs@aol.com  
members.aol.com/copafs

**The Ecological Society of America  
(ESA)**

1707 H St., NW Suite 400  
Washington, DC 20006  
Nadine Lynn, 202 833 8773  
E-Mail: nadine@esa.org  
Alison Gillespie, 202 833 8773  
E-mail: alison@esa.org  
esa.sdsc.edu/

**Federation of Behavioral,  
Psychological & Cognitive Sciences  
(FBPCS)**

750 First Street, NE Room 5004  
Washington, DC 20002-4242  
David Johnson, 202 336 5921  
E-Mail: djohnson@apa.org  
www.am.org/federation/

**Industrial Research Institute (IRI)**

1550 M Street, NW Suite 1100  
Washington, DC 20005  
Charles F. Larson, 202 776 0763  
E-Mail: larson@iriinc.org  
Patricia Tiede  
E-Mail: tiede@iriinc.org  
www.iriinc.org

**Institute of Electrical and Electronics  
Engineers USA (IEEE-USA)**

1828 L Street, NW  
Suite 1202, Washington, DC 20036  
Raymond Paul, 202 785 0017  
E-Mail: r.paul@ieee.org  
www.ieeeusa.org

*Intersociety Working Group Directory*

**Joint Policy Board for Mathematics  
(JPBM)**

1529 18th Street, NW  
Washington, DC 20036  
Daniel Goroff, 202 234 9570  
E-Mail: [jpbm@math.umd.edu](mailto:jpbm@math.umd.edu)  
Mark Marin  
E-mail: [mark\\_marin@lewis-burke.org](mailto:mark_marin@lewis-burke.org)  
[forum.swarthmore.edu/social/jpbm/](http://forum.swarthmore.edu/social/jpbm/)

**National Academy of Sciences /  
National Academy of Engineering /  
Institute of Medicine  
(NAS/NAE/IOM)**

Committee on Science, Engineering, and  
Public Policy (COSEPUP)  
2101 Constitution Ave., NW  
Washington, DC 20418  
Richard Bissell, 202 334 2424  
E-Mail: [cosepup@nas.edu](mailto:cosepup@nas.edu)  
[www2.nas.edu/cosepup](http://www2.nas.edu/cosepup)

**National Association of State  
Universities and Land-Grant Colleges  
(NASULGC)**

1307 New York Ave, Suite 400  
Washington, DC 20005-4722  
Eddie Gouge, 202 478 6040  
E-Mail: [egouge@nasulgc.org](mailto:egouge@nasulgc.org)  
[www.nasulgc.org](http://www.nasulgc.org)