

### 3. Appendix 3: Wave 1 Paper Screener Questionnaire

#### Screening Questions for the Survey of 1996 and 1997 Research and Development Funding and Performance by Nonprofit Organizations



Nonprofit organizations play a key role in conducting and funding important research in the medical and health-related sciences, natural and social sciences, and engineering. The National Science Foundation is seeking your help in understanding the work of the nonprofit sector by completing this questionnaire on research and development activities undertaken by nonprofit organizations like yours.

For this survey we are asking you to respond to 5 items on science and engineering research and development your organization funds or performs.

This information is solicited under the authority of the National Science Foundation Act of 1950, as amended. Your response is entirely voluntary and your failure to provide some or all of the information will not adversely affect your organization.

Please write any address corrections on or alongside the label.

<p><i>EIN: Organization EIN</i> <i>Name of Organization</i> <i>Address of Organization</i></p>
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It is estimated that the response to this survey requires an average of 12 minutes. If you wish to comment on this burden, please contact Gail A. McHenry, Reports Clearance Officer, NSF, at 703-306-1125 ext. 2010, or e-mail gmchenry@nsf.gov.

Please return the completed survey by May 1 to: **National Science Foundation**  
**PO Box 5700**  
**Lincoln, NE 68505-9926**

If you have any questions or comments about the survey, please contact Mary V. Burke at NSF at 703-306-1772 ext 6933 (mvburke@nsf.gov) or Heather Bellows of The Gallup Organization at 1-800-497-1065 (*NSF@gallup.com*).

## ***General Instructions***

### ***About this survey***

#### **1. Definition of research and development**

**Research** is systematic study directed toward fuller knowledge or understanding of the subject studied. Research is classified as either basic or applied, according to the objectives of the investigator.

**Development** is systematic use of the knowledge or understanding gained from research, directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

Research and development includes the development and use of scientific knowledge through fundamental research in the laboratory, in the field, or through experiments; clinical investigations; clinical trials; epidemiological, engineering, and demographic studies; and controlled pilot projects. Included in this definition is the preparation for publication of books and papers describing the results of the specific research and development, if carried out as an integral part of that research and development. Also included is the administration of research and development. Traineeships, if they are mainly directed to R&D, are also included.

#### **2. Science and Engineering**

For this survey, science and engineering (S&E) includes:

- *Medical or Health-Related Sciences* including Biochemistry, Genetics, Physiology, Cell Biology/Molecular Biology, Pharmacology/Toxicology, Epidemiology, Health Care Sciences and Services, Reproduction, Growth and Development, Oncology/Pathology/Hematology, Immunology, Microbiology/Virology, Biomedical Engineering and Instrumentation, Neuroscience, Clinical Medicine, and other medical or health sciences.
- *Natural and Social Sciences* including Agricultural Sciences, Biological Sciences (non-medical), Computer Sciences, Environmental Sciences, Mathematical Sciences, Physical Sciences, Psychology, and Social Sciences.
- *Engineering* including Aeronautical and Astronautical, Chemical, Civil, Electrical, Mechanical, Metallurgical and Materials, and other engineering fields.

Science and engineering *do not* include law, business administration/management science, humanities, history (except research in history and philosophy of science and technology), the arts, or education (except educational psychology).

#### **3. Survey Marking Instructions**

Please follow the steps below carefully when completing this questionnaire.

- Use a blue or black ink pen only.
- Do not use ink that soaks through the paper.
- Make solid marks that fall inside the response boxes.
- For each question, please choose only **ONE** answer.

### 1. Your Organization

Is your organization a nonprofit organization? (By nonprofit, we mean an organization classified as 501(c) by the Internal Revenue Service, filing a 990 or a 990-PF tax return form.)

Yes  No

### 2. Research Performance

In 1996, did your organization **conduct** any research or development in the science, engineering, or technology fields? Science, engineering and technology fields include:

- Social Sciences
- Biological Sciences
- Environmental Sciences
- Agricultural Sciences.
- Psychology
- Engineering
- Mathematical Sciences
- Medical and Health Sciences
- Physical Sciences
- Computer Sciences

Yes (*Continue with 2a*)  No (*Skip to Q.# 3*)

2a. Approximately how much research or development in the science, engineering or technology fields did your organization **conduct** in fiscal year 1996? (*Consider total costs, including both direct and indirect costs in both internally and externally funded research or development.*)

- |  |   |
|--|---|
| <input type="checkbox"/> Less than \$50,000    | <input type="checkbox"/> \$1,000,000 - \$4,999,999  |
| <input type="checkbox"/> \$50,000 - \$249,999  | <input type="checkbox"/> \$5,000,000 - \$24,999,999 |
| <input type="checkbox"/> \$250,000 - \$999,999 | <input type="checkbox"/> \$25 million or more       |

### 3. Research and Development Funding

Did your organization **provide funding** in 1996 to other organizations to conduct research or development in the science, engineering, or technology fields? Science, engineering and technology would include:

- Social Sciences
- Biological Sciences
- Environmental Sciences
- Agricultural Sciences.
- Psychology
- Engineering
- Mathematical Sciences
- Medical and Health Sciences
- Physical Sciences
- Computer Sciences

Yes (*Continue with 3a*)  No (*See NOTE below*)

3a. Approximately how much research or development in the science, engineering or technology fields did your organization **fund** to other organizations in fiscal year 1996?

- |  |   |
|--|---|
| <input type="checkbox"/> Less than \$50,000    | <input type="checkbox"/> \$1,000,000 - \$4,999,999  |
| <input type="checkbox"/> \$50,000 - \$249,999  | <input type="checkbox"/> \$5,000,000 - \$24,999,999 |
| <input type="checkbox"/> \$250,000 - \$999,999 | <input type="checkbox"/> \$25 million or more       |

**NOTE:** *If you answered "No" to Question 2 and Question 3, you need not answer any more questions. Please return this questionnaire in the enclosed postage paid envelope. Thank you.*

*Others, please continue.*

**4. University Affiliation**

Did your organization have an agreement of affiliation with any college or university in fiscal year 1996?

Yes (*Continue with 4a*)       No (*Skip to Q.#5*)

4a. Did the college or university include the activities of your organization as part of its budget in 1996?

Yes       No       Don't Know

**5. Government Affiliation**

Is your organization a unit of the Federal, regional, state, county, city, or local government?

Yes       No

5a. Is your organization part of a public college or public university?

Yes       No

**6. Survey Coordinator**

The survey we will be conducting in the next few months is to estimate the amount of research and development in science and engineering funded or conducted by nonprofit organizations. We may send your organization a survey asking for financial data on science and engineering research or development your organization funds or conducts.

In case we send your organization a survey form, we need the name of a person in your organization to serve as the **Survey Coordinator**:

Name \_\_\_\_\_

Title \_\_\_\_\_

Address\* \_\_\_\_\_

\_\_\_\_\_

Telephone Number \_\_\_\_\_

Fax Number \_\_\_\_\_

E-mail Address \_\_\_\_\_ @ \_\_\_\_\_

***\*If this person's address is different from the organization's main address, please also provide the main address.***

Thank you for providing us with preliminary information and a Survey Coordinator for your organization. Please return this form within the next four weeks in the enclosed postage paid envelope.

Name of person completing this screening questionnaire \_\_\_\_\_

Title \_\_\_\_\_ Telephone Number \_\_\_\_\_