

## 4. Appendix 4: Wave 1 CATI Screener Questionnaire

# CRT

FINANCE,NSF40626  
F626

**FIELD FINAL - APRIL 30, 1998**  
(Columns are "card/column")  
(Revisions listed on last page)

AC8441  
PROJECT REGISTRATION #120000  
NATIONAL SCIENCE FOUNDATION

THE GALLUP ORGANIZATION

X APPROVED BY CLIENT

Research and Development Funding  
and Performance – Nonprofit Screener  
Max Larsen/Heather Bellows  
Julie Trausch  
Jane Wood, Specwriter  
April, 1998

X APPROVED BY PROJECT MANAGER

n=approximately 6,000 mail-out returns

I.D.#:

0 (1-6)

\*\*AREA CODE AND TELEPHONE NUMBER:

                       
(32 - 41)

\*\*INTERVIEW TIME:

                       
( 2/49 - 2/54)

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**(Ask to speak to an executive who is knowledgeable about Research and Development at this location in the fields of Science, Technology and conducting funding.)**

Hello, this is \_\_\_\_\_, calling from The Gallup Organization, on behalf of the National Science Foundation. May I please speak to the person at this location who is most knowledgeable about conducting research and development in science, engineering, or technology fields for your institution; or, the person most knowledgeable about your institution's funding of organizations that conduct such research. **(NOTE TO INTERVIEWER: If needed, probe back with the individual who would be responsible for the donation of funds to**

**organizations that do research and development. Possible departments are R&D, foundation group, development group, medical education, etc.)**

- 1 Respondent available - **(Continue)**
  - 4 No such person - **(Ask to speak with appropriate individual knowledgeable about these areas; If not available, set time to call back)**
  - 5 Respondent mentions receipt of NSF questionnaire - **(Skip to S6)**
  - 7 Respondent not available - **(Set time to call back)**
  - 8 (Refused) - **(Thank and Terminate)** \_\_\_\_\_ ( 5/12)
- 

**(INTERVIEWER READ:)** **(When qualified respondent is reached, continue:)** Hello, this is , calling from The Gallup Organization, on behalf of the National Science Foundation.

S1. Are you the person in your organization who is most knowledgeable about conducting research and development in science, engineering, or technology, at this location?

- 1 Yes - **(Skip to S4)**
- 2 No **(Continue)**
- 3 (DK) **(Continue)**
- 4 (Refused) **(Continue)** \_\_\_\_\_ ( 5/68)

S2. **(If code "2", "3" or "4" in S1, ask:)** Are you the person in your organization who is most knowledgeable about the funding or donation of funds to organizations that conduct research and development in science, engineering, or technology?

- 1 Yes - **(Skip to S4)**
- 2 No **(Continue)**
- 3 (DK) **(Continue)**
- 4 (Refused) **(Continue)** \_\_\_\_\_ ( 5/69)

S3. **(If code "2", "3" or "4" in S2, ask:)** Does your company either conduct or fund this type of research?

- 1 Yes - **(Ask to speak to correct individual, and Reset to "Interviewer Read" before S1)**
- 2 No - **(Thank, Terminate and Tally,**

**saving Case I.D.)**

3 (DK) - **(Thank, Terminate and Tally,  
saving Case I.D.)**

4 (Refused) - **(Thank, Terminate and Tally,  
saving Case I.D.)**

\_\_\_ ( 5/70)

S4. In the near future, NSF will be conducting a survey of 1996 and 1997 research and development funding and performance by organizations. I am calling you today to ask you for some preliminary data about your organization to assist NSF in determining the future survey eligibility of your organization. This will take three to five minutes of your time. May we continue?

1 Yes - **(Continue)**

2 No - **(Set time to call back)**

3 (DK) **(Thank and Terminate)**

4 (Refused) **(Thank and Terminate)**

\_\_\_ ( 5/71)

S5. We recently sent you or your organization a questionnaire regarding research and development funding and performance by organizations. Did you or your organization receive this questionnaire?

1 Yes - **(Continue)**

2 No **(Skip to #1)**

3 (DK) **(Skip to #1)**

4 (Refused) **(Skip to #1)**

\_\_\_ ( 5/72)

S6. **(If code "1" in S5, ask:)** Have you already filled out and returned the questionnaire?

1 Yes - **(Thank, Terminate and Tally,  
with Case I.D.)**

2 No **(Continue)**

3 (DK) **(Continue)**

4 (Refused) **(Continue)**

\_\_\_ ( 5/73)

S7. **(If code "2", "3" or "4" in S6, ask:)** Do you have five minutes now that I could ask you to complete the questionnaire over the telephone?

1 Yes - **(Continue)**

2 No - **(Reset to "Intro", and  
Set time to call back)**

3 (DK) - **(Reset to "Intro", and  
Set time to call back)**

4 (Refused) - **(Reset to "Intro", and Set time to call back)** \_\_\_\_\_ ( 5/74)

1. Is your organization a nonprofit organization? **[(If necessary, say:)]** By nonprofit, we mean an organization classified as 501(c) by the Internal Revenue Service, filing a 990 or 990-PF information return form.]

1 Yes **(Skip to #2)**  
2 No **(Skip to #2)**

3 Organization just became a FOR-PROFIT organization - **(Continue)**

4 (DK) **(Skip to #2)**  
5 (Refused) **(Skip to #2)**

\_\_\_\_\_ ( 5/57)

1a. **[(If code "3" in #1, ask:)]** In what year did your organization become a FOR-PROFIT organization? (Open ended **and code last two digits of year**)

DK (DK)  
RF (Refused)

\_\_\_\_\_ ( 5/58) \_\_\_\_\_ ( 5/59)

2. In 1996, did your organization CONDUCT any research or development in science, engineering or technology fields? **[(If necessary, say:)]** Science, engineering and technology would include Social Sciences, Life Sciences, Environmental Sciences, Agricultural Sciences, Psychology, Engineering, Mathematical Sciences, Medical and Health Sciences, Physical Sciences, and Computer Sciences.]

1 Yes - **(Continue)**  
2 No - **(Skip to #3)**  
3 (DK) **(Continue)**  
4 (Refused) **(Continue)**

\_\_\_\_\_ ( 5/60)

2a. **[(If code "1", "3" or "4" in #2, ask:)]** In total dollars, approximately how much research and development in the fields of science, engineering or technology did your organization conduct in 1996? (Open ended and code)

1 Less than \$50,000  
2 \$50,000 - \$249,999  
3 \$250,000 - \$999,999  
4 \$1,000,000 - \$4,999,999  
5 \$5,000,000 - \$24,999,999

- 6 \$25 million or more
- 7 (DK)
- 8 (Refused) \_\_\_\_\_ ( 5/61)

3. Did your organization PROVIDE ANY FUNDING in 1996 to other organizations to conduct research or development in science, engineering or technology fields? **[(If necessary, say:) Science, engineering and technology would include Social Sciences, Life Sciences, Environmental Sciences, Agricultural Sciences, Psychology, Engineering, Mathematical Sciences, Medical and Health Sciences, Physical Sciences, and Computer Sciences.]**

- 1 Yes
- 2 No
- 3 (DK)
- 4 (Refused) \_\_\_\_\_ ( 5/62)

**(If code "2", "3" or "4" in #2 AND #3  
Validate and Thank, Saving Case I.D.)**

3a. **(If code "1" in #3, ask:)** Approximately how much research or development in science, engineering or technology fields did your organization FUND to other organizations in 1996? (Open ended and code)

- 1 Less than \$50,000
- 2 \$50,000 - \$249,999
- 3 \$250,000 - \$999,999
- 4 \$1,000,000 - \$4,999,999
- 5 \$5,000,000 - \$24,999,999
- 6 \$25 million or more
- 7 (DK)
- 8 (Refused) \_\_\_\_\_ ( 5/63)

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

- 1 Yes - **(Continue)**
- 2 No **(Skip to #5)**
- 3 (DK) **(Skip to #5)**
- 4 (Refused) **(Skip to #5)** \_\_\_\_\_ ( 5/64)

4a. **(If code "1" in #4, ask:)** Did the college or university include the activities of your organization as part of its budget in 1996?

- 1 Yes
- 2 No
- 3 (DK)

4 (Refused) \_\_\_\_\_ ( 5/65)

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

- 1 Yes
- 2 No
- 3 (DK)
- 4 (Refused) \_\_\_\_\_ ( 5/66)

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

- 1 Yes
- 2 No
- 3 (DK)
- 4 (Refused) \_\_\_\_\_ ( 5/67)

## **SURVEY COORDINATOR**

**(INTERVIEWER READ:)**

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.

6. In case we send your organization a survey form, who would be the person in your organization to serve as the Survey Coordinator?

- 1 Respondent wants to be included in follow-up study - **(Continue)**
- 2 Respondent does not want to be included in follow-up survey - **(Validate and Thank)** \_\_\_\_\_ ( 7/79)

**TITLE:**

\_\_\_\_\_ ( 6/12 - 6/31)

**FIRST NAME:**

\_\_\_\_\_ ( 6/32 - 6/46)

LAST NAME:

\_\_\_\_\_

( 6/47 - 6/61)

COMPANY NAME:

\_\_\_\_\_

( 9/12 - 9/71)

ADDRESS:

\_\_\_\_\_

( 6/62 - 6/80)

CITY:

\_\_\_\_\_

( 7/12 - 7/31)

STATE:

\_\_\_\_\_

( 7/32) ( 7/33)

ZIP CODE:

\_\_\_\_\_

( 7/34 - 7/38)

TELEPHONE NUMBER:

\_\_\_\_\_

( 7/39 - 7/48)

FAX NUMBER:

\_\_\_\_\_

( 7/49 - 7/58)

E-MAIL ADDRESS:

\_\_\_\_\_

( 8/12 - 8/51)

**(INTERVIEWER READ:)**

Again, this is \_\_\_\_\_, with  
The Gallup Organization. I'd like to thank you  
for your time. Our mission is to "help people  
be heard", and your opinions are important to  
Gallup in accomplishing this.

**(VALIDATE PHONE NUMBER AND THANK RESPONDENT)**

**\*\*COMMENTS: (INTERVIEWER: Enter any observations)**

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( 7/59) ( 7/60)

INTERVIEWER I.D.#

\_\_\_ ( 2/41- 2/44)