

10. Appendix 10: Wave 2 Funder Questionnaire

Survey of 1996 and 1997 Research and Development

Funding by Nonprofit Organizations



National Science Foundation

Nonprofit organizations play a key role in 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 asking you to complete this questionnaire on science and engineering research and development activities funded by your organization.

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. Information received from individual organizations may be published in NSF reports.

Please correct any incorrect information on the label.

<p><i>Organization Identification # (EIN)</i></p> <p><i>Contact Name</i></p> <p><i>Name of Organization</i></p> <p><i>Address of Organization</i></p> <p><i>Phone number</i></p> <p><i>E-mail address</i></p>

If anyone other than the person listed above completes all or part of this survey, please ask each respondent to fill in the requested information in Question 4, page 7.

It is estimated that response to this survey will require two hours. If you wish to comment on this burden, please contact Suzanne H. Plimpton, Reports Clearance Officer, NSF, at 703-306-1125 or email splimpto@nsf.gov.

Please return the completed survey by (date) 1999 to: NSF Survey of Nonprofit Organizations
The Gallup Organization Survey Processing Center
P.O. Box 5700
Lincoln, NE 68505-9926

If you have any questions or comments about the survey, please contact Barbara Wells of The Gallup Organization at 1-888-558-5776 or NSF@gallup.com.

GENERAL INSTRUCTIONS

WHAT TO INCLUDE

- Please report for the entire organization, including any branches, divisions, and departments that are not separately incorporated. If your organization has offices and facilities in the United States in addition to the address listed on the cover of this questionnaire, please indicate the name and address of each of these facilities in the space provided for comments and feedback in Question 5, page 8.
- The survey covers your fiscal years ending in 1996 and 1997.
- If exact data are not available, please give the best estimate.
- Enter "0" as an item total rather than leave an item blank.

GLOSSARY OF TERMS

Refer to the Glossary on pages 9-11 for detailed definitions.

QUESTIONS

If you have any questions or comments about the survey, contact Barbara Wells of The Gallup Organization toll-free at 1-888-558-5776, or NSF@gallup.com.

RETURNING THE COMPLETED SURVEY

Return this survey by **September 30, 1999** in the enclosed pre-paid envelope or mail directly to:

NSF Survey of Nonprofit Organizations

The Gallup Organization Survey Processing Center

10.1.1.1.1 P.O. Box 5700

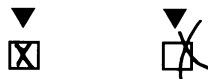
10.1.1.1.2 Lincoln, NE 68505-9926

SCANNABLE FORM

This questionnaire is a scannable form. Please mark your responses with an "x" using a blue or black pen as in the example below.

EXAMPLE

RIGHT WAY WRONG WAY



ELECTRONIC VERSION (WORLD WIDE WEB)

This questionnaire is available in an electronic form. The web address for the electronic version of the questionnaire is <http://nsffunder.gallup.com> and is available using most browsers including Netscape and Internet Explorer. Your password and the nonprofit organization's EIN is printed on the front cover of the paper questionnaire.

Type of Organization

Please **mark one box** next to the item that most closely describes your organization **in 1996**. If you have any difficulty categorizing your organization, or if your organization conducts intramural (in-house) science and engineering research and development, please call Dr. Barbara Wells toll-free at 1-888-558-5776.

- Independent Foundation**—A grant-making organization usually classified by the IRS as a private foundation. An independent foundation may also be known as a general-purpose foundation, a special purpose foundation, or a private non-operating foundation.
- Corporate Foundation**—A private foundation whose funds for grants are derived primarily from the contributions of a profit-making business organization. The corporate foundation may maintain close ties with the donor company, but it is an independent organization, often with its own endowment. (The corporate foundation is distinct from the corporate giving program.)
- Family Foundation**—An independent private foundation whose funds are derived from members of a single family.
- Community Foundation**—A 501(c)(3) organization that makes grants for charitable purposes in a specific community or region. Funds are usually derived from many donors and held in an endowment independently administered; income earned by the endowment is then used to make grants.
- Public Charity**—In general, an organization that is tax-exempt under code section 501(c)(3) and is classified by the IRS as a public charity and not a private foundation. Public charities generally derive their funding or support primarily from the general public in carrying out their social, educational, religious, or other charitable activities serving the common welfare.
- Operating Foundation**—A private foundation whose primary purpose is to conduct research, social welfare, or other programs determined by their governing bodies or establishment charters. Some grants may be made, but the sum is generally small relative to the funds used for the foundation's own programs.
- Professional or technical society, or academy of science and/or engineering**— A voluntary association of individuals sharing a common interest in the advancement of knowledge, either within a single field or across a broad spectrum of disciplines. The major function of these organizations is to aid and encourage the collection, collation, and dissemination of scientific and engineering knowledge for the benefit of their members and the scientific and engineering community as a whole.
- Science Exhibitor**—A nonprofit organization, whose primary goal is the expansion of scientific and technological literacy within the community by providing exhibits that display and interpret the latest scientific findings and technological advances within their field or fields. Included in this category are museums, zoological parks, botanical gardens, and arboreta.
- Trade Association**—Trade associations are nonprofit, cooperative, voluntarily-joined organizations of business competitors designed to assist their members and their industry in dealing with mutual business problems in one or more of the following areas: accounting practice; business ethics; commercial and industrial research; standardization; statistics; trade promotion; and relations with government, employees, and the general public.

2. Amount of Science and Engineering Research and Development Funded in 1996 and 1997

How much science and engineering research and development did your organization fund during fiscal years **1996 and 1997**? What types of institutions were funded? What amount of the total expenditures was for medical or health-related R&D?

TIPS

- ***Science and Engineering Research and Development funding***

Includes:

- ✓ grants and contracts for science and engineering research and development
- ✓ R&D-related fellowships and postdoctoral funding included in the budgets of grants and contracts
- ✓ science and engineering research and development endowments in the year they are awarded

Excludes:

- ✗ contributions to general purpose funds
- ✗ general purpose or undesignated endowments
- ✗ scholarships, fellowships, or postdoctoral funding
- ✗ costs for buildings, fixtures, or other depreciable equipment used in S&E R&D. These items are reported in Question 3 *Science and Engineering Research and Development Capital Support*.

Medical or Health-Related Research and Development is aimed ultimately at the improvement of human health and conquest of disease. Within this context, medical or health-related research and development includes Health Care Sciences and Services; Biomedical Engineering and Instrumentation; Clinical Medicine; Biochemistry; Genetics; Physiology; Cell Biology/Molecular Biology; Pharmacology/Toxicology; Epidemiology; Reproduction, Growth and Development; Oncology/Pathology/Hematology; Immunology; Microbiology/Virology; and Neuroscience.

TOTAL AMOUNT OF SCIENCE AND ENGINEERING R&D FUNDED

Please list the amount of science and engineering research and development funding your organization provided to each

type of institution listed below. Column 2 and column 4 ask for that part of the total expenditures that were for medical or health-related research and development. Descriptions of the types of organizations are provided on pages 10 and 11.

Type of Institution Within the United States	FY 1996		FY 1997	
	Total – All S&E Fields (1)	Medical or health-related (2)	Total – All S&E Fields (3)	Medical or health-related (4)
a. College or university.....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. University-affiliated hospital	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Other voluntary nonprofit hospital.....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. Research institute.....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Professional or technical society, or academy of science	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Industry.....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Private foundation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Science exhibitor.....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Trade association.....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
j. Nonprofit industrial consortium .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
k. Nonprofit academic consortium..	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
l. Agricultural cooperative.....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
m. Federally Funded Research and Development Center (FFRDC) (See list on page 11).....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
n. Other (Please specify)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
All Types of Institutions Outside the United States.....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Amount of S&E R&D Funded (Sum of all rows).....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

3. Science and Engineering Research and Development Capital Support

How much of the total science and engineering research and development capital support was

provided by your organization during fiscal years 1996 and 1997?

TIPS

S&E R&D Capital Support includes all expenses for buildings, fixtures, and depreciable equipment in the United States used in R&D performance.

Include:

- ✓ costs normally chargeable to fixed asset accounts for which depreciation accounts are ordinarily maintained
- ✓ major alterations, capitalized repairs, and improvements
- ✓ expenditures made during the year for establishments under construction, but not yet in operation

Exclude:

- ✗ capital expenditures made by owners of property rented or leased, including the federal government
- ✗ cost of land
- ✗ cost of maintenance and repair charged as current operating expense
- ✗ cost of government-owned structures or equipment
- ✗ capital support to non-U.S. organizations and their researchers

Science and Engineering Research and Development Capital Support	
FY 1996	FY 1997
\$ <input type="text"/>	\$ <input type="text"/>

4. Respondent Information

Please fill in your name and title at this organization, as well as the names and titles of any other individuals who answered any questions in this survey and the question number(s) each individual worked on. Also, include telephone numbers in case we have questions about any entries. If you need additional space to list respondents, please use the space in the Comment and Feedback section on page 8.

a. Name of primary contact: _____

Title: _____

Telephone:

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Please write in the question numbers answered: _____

Organization & Address (If different than organization and address on the cover of this booklet.)

If your organization is different from the one printed on the cover of this booklet, what is your organization's relationship to that organization?

b. Name of other respondent: _____

Title: _____

Telephone:

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Please write in the question numbers answered: _____

Organization & Address (If different than organization and address on the cover of this booklet.)

If your organization is different from the one printed on the cover of this booklet, what is your organization's relationship to that organization?

Glossary of Terms

Please refer to the following definitions when responding to survey questions, even if your organization may use different definitions.

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.

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-related sciences.
- **Natural and Social Sciences** including Agricultural Sciences, Biological Sciences (non-medical), Computer Sciences, Environmental Sciences, Mathematical Sciences, Physical Sciences, Psychology (including Educational Psychology), and Social Sciences.
- **Engineering** including Aeronautical and Astronautical, Chemical, Civil, Electrical, Mechanical, Metallurgical and Materials, and other engineering fields.

Science and Engineering (S&E) excludes:

- law, business administration/management science, humanities, history (except research in history and philosophy of science and technology), the arts, or **education** (except educational psychology).

Types of institutions within the United States

- a. College or university.** An accredited institution of higher learning which offers undergraduate or graduate degrees. Report grants and contracts to *university-affiliated hospitals*.
- b. University-affiliated hospital.** A member of the American Hospital Association which operates as an integral part of an institution of higher education. Hospitals which have been set up by research institutes and function primarily as laboratories for the research institutes should be considered *research institutes*.
- c. Other voluntary nonprofit hospital.** A member of the American Hospital Association not subject to the control of either federal, state, or local governments, nor an integral part of any institution of higher education. Hospitals, which have been set up by research institutes and which, while providing patient care, function primarily as laboratories for the research institutes, should be considered *research institutes*.
- d. Research institute, including medical research organizations.** A separately incorporated, independent nonprofit organization operating under the direction of its own controlling body. Its primary function is the performance of research and development in the sciences and engineering. This category also includes policy analysis organizations.
- e. Professional or technical society, or academy of science and/or engineering.** A voluntary association of individuals sharing a common interest in the advancement of knowledge, either within a single field or across a broad spectrum of disciplines. The major function of these organizations is to aid and encourage the collection, collation, and dissemination of scientific and engineering knowledge for the benefit of their members and the science and engineering community as a whole.
- f. Industry.** For-profit organizations conducting science and engineering research or development.
- g. Private foundation.** A non-governmental, nonprofit organization having a principal fund of its own, managed by its own trustees or directors, and established to maintain or to aid activities serving the common welfare. This organizational type includes operating foundations, which allocate the greater proportion of their R&D budgets to intramural performance, and philanthropic foundations, which allocate most of their funds to grants and contracts for R&D to be performed extramurally. This category also includes non-profit advocacy groups conducting S&E R&D.
- h. Science exhibitor.** A nonprofit organization, which has as its primary goal the expansion of scientific and technological literacy within its community by providing exhibits that display and interpret the latest scientific findings and technological advances within its field or fields. Included in this category are museums, zoological parks, botanical gardens, and arboreta.
- i. Trade association.** A nonprofit, cooperative, voluntarily-joined organization of business competitors designed to assist its members and their industry in dealing with mutual business problems in the following areas: accounting practice, business ethics, commercial and industrial research, standardization, statistics, trade promotion, and relations with government, employees, and the general public.
- j. Nonprofit industrial consortium.** A not-for-profit research joint venture conducting science and engineering research and development. For-profit industrial consortia should be included under *industry*.
- k. Nonprofit academic consortium.** A not-for-profit research joint venture headed by a college or

university conducting science and engineering research and development.

- L. Agricultural cooperative.*** An organization of individuals or business entities nominally competitors, in the production and sale of agricultural products. Its activities may include one or more of the following areas: collective marketing or purchasing, R&D, public relations, and the improvement of the economic condition of the farm population of the United States

m. Federally Funded Research and Development Center (FFRDC). Any of the specific organizations (listed below) that were established to meet the particular R&D needs of a federal agency:

Aerospace Federally Funded Research and Development Center (Aerospace Corp.)
Ames Laboratory (Iowa State University of Science and Technology)
Argonne National Laboratory (University of Chicago)
Arroyo Center (RAND Corp.)
Brookhaven National Laboratory
C3I Federally Funded Research & Development Center (MITRE Corp.)
Center for Advanced Aviation System Development (MITRE Corp.)
Center for Naval Analyses (CNA Corp.)
Center for Nuclear Waste Regulatory Analyses (Southwest Research Institute)
Energy Technology Engineering Center (*removed from FFRDC list in November 1995*)
Ernest Orlando Lawrence Berkeley National Laboratory (University of California)
Fermi National Accelerator Laboratory (Universities Research Association, Inc.)
Idaho National Engineering Laboratory (Lockheed Idaho Technologies Inc.)
Inhalation Toxicology Research Institute (*removed from FFRDC list in May 1996*)
Institute for Defense Analyses Studies and Analyses FFRDC (IDA)
Institute for Defense Analyses Communications and Computing FFRDC (IDA)
Internal Revenue Service FFRDC (MITRE Corp.)*
Jet Propulsion Laboratory (California Institute of Technology)
Lawrence Livermore National Laboratory (University of California)
Lincoln Laboratory (Massachusetts Institute of Technology)
Logistics Management Institute (LMI)
Los Alamos National Laboratories (University of California)
National Astronomy and Ionosphere Center (Cornell University)
National Center for Atmospheric Research (University Corporation for Atmospheric Research)
National Defense Research Institute (RAND Corp.)
National Renewable Energy Research Laboratory (Midwest Research Institute)
National Radio Astronomy Observatory (Associated Universities, Inc.)
National Optical Astronomy Observatories (Association of Universities for Research in Astronomy, Inc.)
NCI Frederick Cancer Research and Development Center (Science Applications International Corp.;
Advanced BioScience Laboratories, Inc.; Charles River Laboratories, Inc.; Data Management
Services, Inc.)
Oak Ridge Institute for Science and Education (Oak Ridge Associated Universities, Inc.)
Oak Ridge National Laboratory (Lockheed Martin Energy Systems, Inc.)
Pacific Northwest National Laboratories (Battelle Memorial Institute)
Princeton Plasma Physics Laboratory (Princeton University)
Project Air Force (RAND Corp.)
Sandia National Laboratory (Sandia Corp.)
Savannah River Technology Center (Westinghouse Savannah River Co.)
Science and Technology Policy Institute (RAND Corp.)**
Software Engineering Institute (Carnegie Mellon University)
Stanford Linear Accelerator Center (Leland Stanford, Jr. University)
Thomas Jefferson National Accelerator Facility*** (Southeastern Universities Research Association)
* (*In October 1998 the name was changed from Tax Systems Modernization Institute.*)
** (*In October 1998 the name was changed from The Critical Technologies Institute.*)
*** (*In May 1996 the name was changed from Continuous Electron Beam Accelerator Facility.*)

Institutions Outside the United States. All types of science and engineering research and development institutions located outside the United States.