

6. Appendix 6: Wave 1 Funder Questionnaire

Survey of 1996 and 1997 Research and Development Funding and Performance 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 asking for your help in understanding the activities of the nonprofit sector by completing this questionnaire on science and engineering research and development activities funded by nonprofit organizations like yours.

For this survey we are asking you to respond to two items on the types of institutions which your organization funds and the amounts of funding your organization gives to each type of organization. One item asking for your website address on the World Wide Web is included as well as a final item requesting your feedback about this survey. 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 in no way adversely affect your organization.

The president or director of your organization named the individual on the label below to coordinate data collection for this survey. Please correct any incorrect information on the label.

<p><i>Organization Identification #</i> <i>Contact Name</i> <i>Name of Organization</i> <i>Address of Organization</i> <i>Phone number</i> <i>E-mail address</i></p>
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If someone other than the person listed above coordinates the data collection, please tell us whom we may call if we have questions about the data.

<i>Name</i>	<i>Title</i>	<i>Phone</i>
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Completing this survey requires an average of x hours. If you wish to comment on this burden, please contact Gail McHenry, Reports Clearance Officer, NSF, at 703-306-1125 ext. 2010.

Please return the completed survey by *(date)* to:

*The Gallup Organization
Attn: Jennifer Spielvogel
One Church St., #900
Rockville, MD 20850*

If you have any questions or comments about the survey, contact Mary V. Burke at NSF at 703-306-1772 ext. 6933 (mvburke@nsf.gov) or Jennifer Spielvogel of The Gallup Organization at 1-800-288-9439 (jspielvogel@gallup.com).

General Instructions

Please read the detailed instructions for each item before completing the table for that item.

- Please report for the entire organization including any branches, divisions and departments that are not separately incorporated.
- The survey covers your fiscal years ending in 1996 and 1997.
- Where exact data are not available, please give the best estimate you can.
- Enter “0” as an item total rather than leave an item blank.
- If you have any questions, contact Mary V. Burke at NSF (703-306-1772 ext. 6933) or Jennifer Spielvogel of The Gallup Organization (1-800-288-9439).

About this survey

1. How to use the TIPS

Within each item in this survey, along with instructions for completing the item, you will find TIPS containing additional information to help you complete the item correctly. The TIPS also contain definitions of terms that appear in the item. Terms appearing in **boldface type** in the instructions are defined in the TIPS on that page.

2. 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, also are included.

3. 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).

Item 1. Your Organization

To complete Item 1, please check the box of the one category which most closely described your organization in 1996. **If you have any difficulty categorizing your organization, or if your organization conducts science and engineering research and development intramurally (in-house), please call Dr. Jennifer Spielvogel at 1-800-288-9439.**

Check One Box

Independent Foundation

A grantmaking organization usually classified by the IRS as a private foundation. Independent foundations may also be known as general purpose foundations, special purpose foundations, or private non-operating foundations.

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

Operating foundations are private foundations whose primary purpose is to conduct research, social welfare, or other programs determined by its governing body or establishment charter. 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

Professional societies are voluntary associations 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

Science exhibitors are nonprofit organizations which have as their primary goal the expansion of scientific and technological literacy within their 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 several 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.

Item 2. Amount of Science and Engineering Research and Development Funded

Item 2 asks how much science and engineering research and development your organization funded in 1996 and 1997, and what kinds of institutions your organization funded.

To complete Item 2, you should:

- ❶ In the spaces marked, fill in the months in which your fiscal years began and ended.
- ❷ Review the definitions of **types of institutions** listed below.
- ❸ Fill in how much funding your organization provided to each of these types of institutions in FY 1996 (Column 1).
- ❹ Fill in what part of that was **medical or health related** (Column 2).
- ❺ Fill in the corresponding figures for FY 1997 (Columns 3 and 4).

TIPS

- In item 2 include grants and contracts for science and engineering research and development, and R&D-related fellowships and postdoctoral funding included in the budgets of those grants and contracts. Include S&E R&D endowments in the year they are awarded.

Exclude contributions to general purpose funds, and general purpose or undesignated endowments, scholarships, fellowships or postdoctoral funding.

Exclude costs for buildings, fixtures or other depreciable equipment used in S&E R&D. (These items are to be reported in Item @A, S&E R&D 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; Neuroscience.

Definitions of types of institutions

- **a. College or university.** An accredited institution of higher learning which offers undergraduate or graduate degrees. Report grants and contracts to university hospitals in Row b.
- **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 which, while providing patient care, 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.
- **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 nongovernmental, 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 several 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.
- **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 (shown 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)
 Critical Technologies Institute (RAND Corp.)
 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)
 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.)
 Software Engineering Institute (Carnegie Mellon University)
 Stanford Linear Accelerator Center (Leland Stanford, Jr. University)
 Tax Systems Modernization Institute (IIT Research Institute)
 Thomas Jefferson National Accelerator Facility* (Southeastern Universities Research Association)
 *(*In May 1996 the name was changed from Continuous Electron Beam Accelerator Facility.*)

TOTAL AMOUNT OF SCIENCE AND ENGINEERING R&D FUNDED

2. Please list the amount of science and engineering R&D funding (see instructions for definition of R&D) your organization provided to each type of institution listed below.

Type of institution	FY 1996		FY 1997	
	Month beginning: _____ Month ending: _____		Month beginning: _____ Month ending: _____	
	Total (1)	Medical or health related (2)	Total (3)	Medical or health related (4)
a. College or University				
b. University-affiliated hospital				
c. Other voluntary nonprofit hospital				
d. Research institute				
e. Professional or technical society, or academy of science				
f. Industry				
g. Private foundation				
h. Science exhibitor				
I. Trade association				
j. Nonprofit industrial consortium				
k. Academic Consortium				
l. Agricultural cooperative				
m. Federally Funded Research and Development Center (FFRDC) (see list on p. 6)				
n. Organizations outside the United States				
o. Other (please specify)				
Total amount of S&E R&D funded	\$	\$	\$	\$

Item 2A. Science and Engineering Research and Development Capital Support

Item 2A asks how much of the total science and engineering research and development that your organization funded in 1996 and 1997 was provided for R&D capital support.

To complete Item 2A, you should:

- ❶ Review the definition of **capital support** below.
- ❷ For FY 1996 (Column 1), fill in the portion of the amount listed in Item 2, Total Amount, Column 1, that was for capital support.
- ❸ Fill in the corresponding amount for FY 1997 (Column 2) from Item 2, Total Amount, Column 3.

Definitions

- ***S&E R&D Capital Support*** includes all expenses for buildings, fixtures, and depreciable equipment used in R&D performance. Include only costs which are normally chargeable to fixed asset accounts for which depreciation accounts are ordinarily maintained; *include* major alterations, capitalized repairs and improvements; and *include* expenditures made during the year for establishments under construction but not yet in operation. Do not include capital expenditures made by owners of property rented or leased, including the Federal Government. *Exclude* cost of land and cost of maintenance and repair charged as current operating expense. Also *exclude* cost of government-owned structures or equipment.

2A.	Science and Engineering Research and Development Capital Support	
	FY 1996	FY 1997

Item 3. Your Organization's Website

Reports of the survey results will be available via the World Wide Web. Users of the survey may wish to contact your website directly.

Please write your organization's website address below.

Item 4. Comments and Feedback

We appreciate the time you have taken to fill out the *Survey of 1996 and 1997 Research and Development Funding and Performance by Nonprofit Organizations*.

How many person-hours were required to complete this form? _____

If you have any comments regarding this study, write them in the space below.

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