

Attachment A
Survey of Nonprofit Research Activities
Introductory Letter, Handout, Draft Questionnaire and Research Funding Flow
Graphic

NPRA Introduction Letter and Handout – June 2015

[[month day, year]]
[[PC_firstname]] [[PC_lastname]]
[[PC_title]]
[[organization]]
[[org_address]]
[[org_city]], [[org_state]] [[org_zip]]

Dear [[PC_salutation]] [[PC_lastname]]:

In order to better understand the important contributions that nonprofit organizations make to society and the economy, the National Science Foundation (NSF) needs your help with a brief survey. In a couple of days you will receive an email providing a link to a web survey asking about your organization's research activities.

NSF is one of the largest federal grant-making agencies, but part of our mission is also to collect and disseminate information on the U.S. research enterprise. This includes conducting surveys to measure the national level of research activity across the government, business, academic, and nonprofit sectors of the U.S. economy. These data are used by policymakers, researchers and administrators in each sector. Our last survey of nonprofit organizations was conducted in 1997, so we need your help to gather more current information.

This survey is being sent to a small number of nonprofits to obtain feedback on what works and doesn't work in preparation for a nationally representative survey of all nonprofits next year. The goal of that survey will be to obtain national estimates for the total spent on research within nonprofits. We also would like to explore the possibility of releasing detailed tables showing the spending and funding of each organization surveyed to assist nonprofits in benchmarking with their peers.

NSF has contracted with ICF International to conduct this survey. The attached handout provides an overview of the topics included in the survey and guidance on what we mean by research activities. Your invitation to the web survey will be sent in a couple of days from our official survey e-mail address: support@nprasurvey.org.

If you have questions about the survey, please contact us at our toll-free number 877.xxx.xxxx or at support@nprasurvey.org.

Thank you for your participation in this important effort.

Sincerely,

John R. Gawalt
Director
National Center for Science and Engineering Statistics
National Science Foundation



2015 NSF Nonprofit Research Activities Survey

Below you will find a list of topics covered in the NSF Nonprofit Research Activities Survey. This list should give you an understanding of the information that NSF is interested in collecting.

On the reverse side of this sheet is the definition that NSF is using to identify research activities, as well as some general examples of activities that should be included and excluded from your responses.

❖ **General Information About Your Organization**

- Total operating budget
- Fiscal year dates
- Number of staff
- Contact information

❖ **Research Performance**

- Financial expenditures on research activities
- Sources of funding for research activities
- Type of research activities performed
- Full time staff working on research activities

❖ **Research Funding**

- Amount of funding provided to external organizations for research
- Types of organizations funded
- Types of research funded
- Source of your research funding

RESEARCH DEFINITION AND GUIDANCE

By research, we mean ...

For the purposes of this survey, research includes research and experimental development.

Research and experimental development comprise creative and systematic work to

- increase the stock of knowledge, including knowledge of humankind, culture and society OR
- devise new applications of available knowledge (including materials, products, devices, processes, systems, or services).

Research activities *must* be ...

- **Novel:** projects that advance current knowledge or create new knowledge
- **Creative:** projects based on original concepts and hypotheses
- **Uncertain:** project outcomes are unable to be determined at the outset
- **Systematic:** projects are planned and budgeted
- **Transferable/Reproducible:** project methodology and results are transferable/reproducible to other situations and locations

Research *can include* projects that ...

- Discover previously unknown facts, structures, or relationships
- Extend the understanding of facts, relationships, or principals in ways useful to others
- Apply knowledge in a way not done before
- Create new solutions that could be generalizable to other situations
- Produce peer-reviewed publication (including academic articles or conference presentations)
- Develop or test prototypes derived from research or technical findings
- Lead to patents or commercialization

Examples of projects that ...

May meet the criteria for research

- Laboratory or animal studies
- Clinical trials
- Prototype development
- Outcomes research
- Surveys or testing to develop or evaluate social service programs
- Other experimental studies

Most likely do not meet the criteria for research

- Internal program monitoring or evaluation
- Public service grants or outreach programs
- Education or training programs
- Quality control testing
- Market research
- Management studies / efficiency surveys
- Literary, artistic, or historical projects, such as films, music, or books and other publications
- Feasibility studies



NSF Survey of Nonprofit Research Activities

Dear Nonprofit Executive/Research Director:

Nonprofit organizations are an integral part of our economy, and the National Science Foundation (NSF) wants to hear from you.

This survey focuses on research performed or funded by U.S. nonprofit organizations. Your answers will help policymakers understand the prevalence of research activities within the nonprofit community.

Your participation in this survey helps NSF with its task to compile information on the national level of research and development activity across the government, business, academic, and nonprofit sectors. NSF is authorized to collect this information under the National Science Foundation Act of 1950, as amended. Your organization's response is voluntary.

Questions?

877.xxx.xxxx (toll-free)

Support@nprasurvey.org

The Web address for submitting your data:

<http://www.NPRASurvey.org>

Please submit your response by Month dd, 2016

Thank you for contributing to this study of our Nation's nonprofit research activities!

Under the Paperwork Reduction Act of 1995, individuals do not have to respond to a collection of information unless such collection displays a valid Office of Management and Budget (OMB) control number. The OMB control number for this survey is displayed at the top right of this page.

The time required to complete these responses is estimated to be approximately xx hours. This includes the initial identification of the research activities, contracts/grants, and personnel, as well as the final review and verification of your organization's response.

If you wish to comment on the time required to complete this survey, please contact Suzanne Plimpton of NSF at (703) 292-7556, or e-mail splimpto@nsf.gov using "Survey of Nonprofit Research Activities" as the subject. Thank you for your participation.

GENERAL INFORMATION

The items presented in this section ask about your overall organization. For the purposes of this survey, your organization is defined as all units included in your Internal Revenue Service Form 990 filing.

1 What is the legal name of your organization?

2 What was your total operating budget (excluding capital construction costs) for FY 2014?

3 In what month and year did your organization's FY 2014 begin and end?

	Month	Year
Begin	__ __	201__
End	__ __	2014

4 How many Full-Time Equivalent persons (FTEs) are currently employed by your organization?

A full-time equivalent (FTE) is defined as the ratio of actual working (paid) hours during a specific reference period (usually a calendar year) divided by the total number of hours conventionally worked within the same period. For example, if you have 3 people working 20, 30, and 40 hours in a week and assuming an FTE works 40 hours a week, your FTE calculation is $(20 + 30 + 40)/40 = 2.25$ FTE.

RESEARCH DEFINITION AND GUIDANCE

Questions **5** and **6** ask about research performed and/or funded by your organization. Please read the information below before answering these questions.

By research we mean ...

For the purposes of this survey, research includes research and experimental development.

Research and experimental development comprise creative and systematic work to:

- Increase the stock of knowledge, including knowledge of humankind, culture and society OR
- Devise new applications of available knowledge (including materials, products, devices, processes, systems, or services)

Research activities *must* be ...

- **Novel:** projects that advance current knowledge or create new knowledge
- **Creative:** projects based on original concepts and hypotheses
- **Uncertain:** project outcomes are unable to be determined at the outset
- **Systematic:** projects are planned and budgeted
- **Transferable/Reproducible:** project methodology and results are transferable/reproducible to other situations and locations

Research *can* include projects that ...

- Discover previously unknown facts, structures, or relationships
- Extend the understanding of facts, relationships, or principals in ways useful to others
- Apply knowledge in a way not done before
- Create new solutions that could be generalizable to other situations
- Produce peer-reviewed publication (including academic articles or conference presentations)
- Develop or test prototypes derived from research or technical findings
- Lead to patents or commercialization

Examples of projects that ...

May meet the criteria for research

- Laboratory or animal studies
- Clinical trials
- Prototype development
- Outcomes research
- Surveys or testing to develop or evaluate social service programs
- Other experimental studies

Most likely do not meet the criteria for research

- Internal program monitoring or evaluation
- Public service grants or outreach programs
- Education or training programs
- Quality control testing
- Market research
- Management studies/efficiency surveys
- Literary, artistic, or historical projects, such as films, music, or books and other publications
- Feasibility studies

5 Considering the guidance above, did your organization perform any research in FY 2014?

Please include research performed by your organization's employees or subrecipients.

- Yes
- No

6 Considering the guidance above, did your organization fund research activities performed outside your organization in FY 2014?

- Yes
- No

If No to **5** and **6**, skip to **20**.

RESEARCH PERFORMANCE

If you responded **YES** to **5**, please answer the following questions about your organization's research activities in FY 2014. Refer to page 3 for guidance on what is included as research.

If you responded **NO** to **5**, skip to **15**.

7 In FY 2014, how much did your organization spend on research performed by your employees or subrecipients?

Include all expenditures from current operating funds and related indirect costs. Exclude capital expenditures (i.e., costs for construction or renovation of facilities).

\$.00

8 Of the amount reported in **7**, how much was paid to subrecipients in FY 2014?

Subrecipients are other organizations that have a specified research role on a research project managed by your organization.

\$.00

9 What were the sources of funding for research performed in FY 2014?

Total should equal **7**.

- | | |
|---|--|
| <p>a. Federal government
<i>Any agency of the United States government. Include federal funds passed through from another organization or institution.</i></p> | <input style="width: 150px; height: 20px;" type="text" value=""/> \$.00 |
| <p>b. State & local government
<i>Any state, county, municipality, or other local government entity in the United States.</i></p> | <input style="width: 150px; height: 20px;" type="text" value=""/> \$.00 |
| <p>c. Businesses
<i>Domestic or foreign for-profit organizations. Report funds from a company's nonprofit foundation in row d.</i></p> | <input style="width: 150px; height: 20px;" type="text" value=""/> \$.00 |
| <p>d. Other nonprofits, including universities
<i>Domestic or foreign nonprofit foundations and organizations.</i></p> | <input style="width: 150px; height: 20px;" type="text" value=""/> \$.00 |
| <p>e. Internal funds, including endowment
<i>Your organization's own funds from your endowment, general donations, or other unrestricted sources.</i></p> | <input style="width: 150px; height: 20px;" type="text" value=""/> \$.00 |
| <p>f. Individual donors
<i>Gifts designated by the donors for research.</i></p> | <input style="width: 150px; height: 20px;" type="text" value=""/> \$.00 |
| <p>g. Other, please specify:
<i>All other sources not reported above. Please list in the space below.</i></p> <div style="border: 1px solid #ccc; height: 20px; margin-top: 5px;"></div> | <input style="width: 150px; height: 20px;" type="text" value=""/> \$.00 |
| <p>h. TOTAL</p> | <input style="width: 150px; height: 20px;" type="text" value=""/> \$.00 |

RESEARCH PERFORMANCE

10 If your organization had individual donations for research of \$1,000,000.00 or more in FY 2014, please list the donor names and the amount donated.

Donor Name <small>If donor information is confidential, list as "Anonymous".</small>	Amount Donated
	\$.00
	\$.00
	\$.00
	\$.00

11 In your own words, briefly describe the types of research performed within your organization:

•
•
•
•
•
•
•

12 Approximately how many (paid) full-time equivalents (FTEs) worked on research activities in FY 2014?

Full-time equivalent (FTE) of research personnel is defined as the ratio of working (paid) hours actually spent on research during a specific reference period (usually a calendar year) divided by the total number of hours conventionally worked in the same period by an individual or by a group.

For example, Jill Smith regularly works 40 hours per week. Of those 40 hours, she usually spends 24 hours working on research tasks. Jill contributes .6 (24/40) FTE for research.

13 Did any volunteers work on your research activities in FY 2014?

No → Skip to **15**

Yes

14 If Yes to **13**, approximately how many volunteer FTEs worked on your research activities during FY 2014?

RESEARCH FUNDING

If you responded **YES** to **6**, please answer the following questions about funding research activities outside your organization in FY 2014. Refer to page 3 for guidance on what is included as research.

If you responded **NO** to **6**, skip to **20**.

15 In FY 2014, how much funding did your organization provide to others to perform research activities?

Include all grants and contracts awarded by your organization to external recipients to perform independent research. Exclude subrecipient or subcontract funding which support your organization's own research projects.

\$.00

16 Of the amount reported in **15**, how much was provided to the following types of organizations?

a. Universities or other educational entities

Domestic or foreign degree-granting institutions.

\$.00

b. Other nonprofit organizations

Domestic or foreign nonprofit foundations and organizations.

\$.00

c. Businesses

Domestic or foreign for-profit organizations.

\$.00

d. Other, please specify:

All other recipients not reported above. Please list in the space below.

\$.00

e. TOTAL

\$.00

17 In your own words, briefly describe the types of research funded outside your organization:

•
•
•
•
•
•
•

RESEARCH FUNDING

18

Of the amount reported in **15**, how much came from each of the following sources?

a. Federal government <i>Any agency of the United States government. Include federal funds passed through from another organization or institution.</i>	\$ <input type="text" value=""/> .00
b. State & local government <i>Any state, county, municipality, or other local government entity in the United States.</i>	\$ <input type="text" value=""/> .00
c. Businesses <i>Domestic or foreign for-profit organizations. Report funds from a company's nonprofit foundation in row d.</i>	\$ <input type="text" value=""/> .00
d. Other nonprofits, including universities <i>Domestic or foreign nonprofit foundations and organizations.</i>	\$ <input type="text" value=""/> .00
e. Internal funds, including endowment <i>Your organization's own funds from your endowment, general donations, or other unrestricted sources.</i>	\$ <input type="text" value=""/> .00
f. Individual donors <i>Gifts designated by the donors for research.</i>	\$ <input type="text" value=""/> .00
g. Other, please specify: <i>All other sources not reported above. Please list in the space below.</i>	\$ <input type="text" value=""/> .00
h. TOTAL	\$ <input type="text" value=""/> .00

19

If any of the funding provided to others in FY 2014 came from individual research donations of \$1,000,000.00 or more, please list the donor names and the amount donated.

Donor Name <small>If donor information is confidential, list as "Anonymous".</small>	Amount Donated
	\$ <input type="text" value=""/> .00
	\$ <input type="text" value=""/> .00
	\$ <input type="text" value=""/> .00
	\$ <input type="text" value=""/> .00

CONTACT INFORMATION AND SURVEY TIME

20

Please provide the contact information for the person responsible for the survey and an alternate contact.

Your Information

Name:

Title:

Address:

City:

State:

ZIP Code:

Telephone:

E-mail:

Alternate Contact

Name:

Title:

Telephone:

E-mail:

21

How long did it take you to complete this questionnaire?

Include:

- The time spent reading the instructions, working on the questions, and obtaining information
- The time spent by all employees in collecting and providing this information

hrs. mins.

Thank you for completing this survey.

