

**Attachment A**  
**2016 Pilot Survey of Nonprofit Research Activities**



## 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 and landscape of research activities within the nonprofit community.

The types of information requested in the survey are generally available for nonprofits from the following offices within a nonprofit organization:

- Chief Financial Officer / Finance Department
- Human Resources
- Director of Research / Chief Science Officer / Research Department

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?

#### Technical support: Survey questions:

ICF International  
Support@NPRAsurvey.org  
877-xxx-xxxx

Ronda Britt, Project Officer  
National Science Foundation  
[rbritt@nsf.gov](mailto:rbritt@nsf.gov)

**Please submit your response by Month dd, 2016**

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

## GENERAL INFORMATION

- 1 What is the name of the organization for which you are reporting?**  
For the purposes of this survey, your organization is defined as all units included in your Internal Revenue Service Form 990 filing.

The name of your organization listed in IRS Form <990> <990-PF> is:

**<Name of Organization>**

If this is correct, check here:

☐

If this is incorrect, please provide the name of the organization for which you are reporting below.

- 2 What were your total expenses for Fiscal Year (FY) 2015 as (would be) reported on**  
**<IRS Form 990, line 18?>**  
**<IRS Form 990-PF, line 26 (total expenses and disbursements)?>**

\$  .00

- 3 In what month did your organization's Fiscal Year 2015 end?**

	Month	Year
Fiscal Year End	<input type="text"/> <input type="text"/>	2015

- 4 How many Full-Time Equivalent persons (FTEs) were employed by your organization in FY 2015?**  
FTEs are calculated as the total working (paid) hours during a specific reference period (usually a calendar year) divided by the number of hours representing a full-time schedule within the same period. Include your employees and consultants.

For example, if you have 3 people working 20, 30, and 40 hours in a week and a full-time schedule is 40 hours a week at your organization, your FTE calculation is  $(20 + 30 + 40)/40 = 2.25$  FTE.

FTEs

## 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 completely determined at the outset
- **Systematic:** projects are planned and budgeted
- **Transferable/Reproducible:** project methodology and results are transferable/reproducible to other situations and locations

### May meet the criteria for research

- Laboratory or animal studies
- Clinical trials
- Prototype development
- Outcomes research
- Development/measurement of new methods to deliver/measure social service outcomes
- Policy research
- Humanities research
- Research traineeships
- 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, unless included as part of an overall research project

**5**

### Considering the guidance above, did your organization perform research in FY 2015?

- Include research performed by your organization's employees or consultants. (Consultants are individuals hired on a temporary basis to provide additional expertise on projects.)
- Exclude research performed outside your organization by subcontractors or sub-awardees (report below in question 6).

☐ Yes

☐ No

**6**

### Considering the guidance above, did your organization fund research performed outside your organization in FY 2015?

Include all grants, contracts, subcontracts, and sub-awards awarded by your organization to external recipients to perform research.

☐ Yes

☐ No

If No to **5** and **6**, skip to **16**.

## RESEARCH PERFORMANCE

If you responded **YES** to **5**, please answer the following questions about your organization's research activities in FY 2015. Refer to page 3 for guidance on what is included as research.

If you responded **NO** to **5**, skip to **12**.

### 7 In FY 2015, how much did your organization spend on research performed by your employees or consultants?

Include:

- Direct costs such as salaries and wages, travel, equipment, supplies, consulting, and other expenditures directly supporting your organization's research projects.
- Indirect costs *associated with research expenditures* such as general and administrative salaries and wages, fringe benefits, facility costs, depreciation, etc. These should be calculated using your organization's applicable fringe, overhead, and G&A or F&A rates.

Exclude:

- Capital expenditures (i.e., costs for construction or renovation of facilities).
- Payments/funds in excess of actual cost of the research work performed (e.g. fees).
- Payments made by your organization to subcontractors or sub-awardees performing research.

\$  .00

### 8 What were the sources of funding for research performed in FY 2015?

This total should equal the total reported in **7**.

<b>a. Federal government</b> <i>Any agency of the United States government. Include subcontract or sub-award funds your organization received for research activities on federal projects.</i>	\$ <input type="text"/> .00
<b>b. State &amp; local government</b> <i>Any state, county, municipality, or other local government entity in the United States.</i>	\$ <input type="text"/> .00
<b>c. Businesses</b> <i>Domestic or foreign for-profit organizations. Report funds from a company's nonprofit foundation in row d.</i>	\$ <input type="text"/> .00
<b>d. Foundations</b> <i>Domestic or foreign nonprofit grant-making organizations.</i>	\$ <input type="text"/> .00
<b>e. Universities</b> <i>Domestic or foreign degree-granting institutions.</i>	\$ <input type="text"/> .00
<b>f. All other nonprofits</b> <i>Domestic or foreign public charities and other nonprofit organizations not reported in rows d or e.</i>	\$ <input type="text"/> .00
<b>g. Internal funds</b> <i>Your organization's own funds from your endowment, general donations, or other unrestricted sources.</i>	\$ <input type="text"/> .00
<b>h. Individual donors</b> <i>Gifts designated by the donors for research.</i>	\$ <input type="text"/> .00
<b>i. Other, please specify:</b> <i>All other sources not reported above. Please list in the space below.</i>	\$ <input type="text"/> .00
<input type="text"/>	
<b>j. TOTAL</b>	\$ <input type="text"/> .00

## RESEARCH PERFORMANCE

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How much of the total FY 2015 research performed by your staff or consultants was in each field below?

This total should equal the total reported in 7.

a. Agricultural sciences, natural resources, conservation

\$ .00

b. Biomedical and health sciences

\$ .00

c. Engineering

\$ .00

d. Geosciences (atmospheric, earth, and ocean sciences)

\$ .00

e. Mathematics and computer sciences

\$ .00

f. Physical sciences (astronomy, chemistry, and physics)

\$ .00

g. Psychology and social sciences (including policy research)

\$ .00

h. Humanities

\$ .00

i. All other fields

\$ .00

j. TOTAL

\$ .00

## RESEARCH PERFORMANCE

### 10 Approximately how many (paid) full-time equivalents (FTEs) worked on research activities in FY 2015?

FTE research personnel are calculated as the total working (paid) hours spent working on research during a specific reference period (usually a calendar year) divided by the number of hours representing a full-time schedule within the same period. Include your employees and consultants.

For example, if you have 3 people working 20, 30, and 40 hours in a week on research activities and a full-time schedule is 40 hours a week at your organization, your research FTE calculation is  $(20 + 30 + 40)/40 = 2.25$  FTE.

**a. Researchers**

*Professionals engaged in the conception or creation of new knowledge.*

**b. Technicians and other support personnel**

*Staff who work under the supervision of researchers to conduct research activities or who provide direct support services for the research project.*

**c. TOTAL**

### 11 Did any volunteers work on your research activities in FY 2015?

Volunteers are unpaid workers contributing appreciable and essential activity to research performed by your organization. Their research skills should be comparable to those of your employees.

☐ No

☐ Yes → Approximately how many volunteers worked on your research activities during FY 2015?

**Volunteers**

## RESEARCH FUNDING

If you responded **YES** to **6**, please answer the following questions about funding research activities outside your organization in FY 2015. Refer to page 3 for guidance on what is included as research.  
If you responded **NO** to **6**, skip to **16**.

### 12 In FY 2015, how much funding did your organization provide to others to perform research activities?

- Include all grants, contracts, subcontracts, and sub-awards awarded by your organization to external recipients to perform research.
- For multi-year awards, include only the amount paid to the external recipient in FY 2015.

**a. Research grants or contracts**

*Include grants and contracts awarded by your organization to external recipients to perform independent research.*

\$ .00

**b. Subcontracts and sub-awards**

*Include subcontracts and sub-awards awarded by your organization to external recipients to support your research activities.*

\$ .00

**c. TOTAL**

\$ .00

### 13 Of the amount reported in **12**, 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

## RESEARCH FUNDING

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How much of the research funding your organization provided to others in FY 2015 was in each field below?

This total should equal the total reported in 12.

a. Agricultural sciences, natural resources, conservation

\$ .00

b. Biomedical and health sciences

\$ .00

c. Engineering

\$ .00

d. Geosciences (atmospheric, earth, and ocean sciences)

\$ .00

e. Mathematics and computer sciences

\$ .00

f. Physical sciences (astronomy, chemistry, and physics)

\$ .00

g. Psychology and social sciences (including policy research)

\$ .00

h. Humanities

\$ .00

i. All other fields

\$ .00

j. TOTAL

\$ .00

## RESEARCH FUNDING

15

Of the amount reported in 12, how much came from each of the following sources?

<b>a. Federal government</b> <i>Any agency of the United States government. Include subcontract or sub-award funds your organization received for research activities on federal projects.</i>	\$	.00
<b>b. State &amp; local government</b> <i>Any state, county, municipality, or other local government entity in the United States.</i>	\$	.00
<b>c. Businesses</b> <i>Domestic or foreign for-profit organizations. Report funds from a company's nonprofit foundation in row d.</i>	\$	.00
<b>d. Foundations</b> <i>Domestic or foreign private and public grant-making organizations.</i>	\$	.00
<b>e. Universities</b> <i>Domestic or foreign degree-granting institutions.</i>	\$	.00
<b>f. All other nonprofits</b> <i>Domestic or foreign public charities and other nonprofit organizations not reported in rows d or e.</i>	\$	.00
<b>g. Internal funds</b> <i>Your organization's own funds from your endowment, general donations, or other unrestricted sources.</i>	\$	.00
<b>h. Individual donors</b> <i>Gifts designated by the donors for research.</i>	\$	.00
<b>i. Other, please specify:</b> <i>All other sources not reported above. Please list in the space below.</i>	\$	.00
<b>j. TOTAL</b>	\$	.00

## CONTACT INFORMATION AND SURVEY TIME

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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:

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What was the total amount of staff time it took your organization 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.

Hours

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Minutes

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Thank you for completing this survey.