

Attachment A. FY 2016 Survey of Nonprofit Research Activities

- i. FY 2016 NSF Survey of Nonprofit Research Activities**
- ii. FY 2016 NSF Survey of Nonprofit Hospital Research Activities**

i. FY 2016 NSF Survey of Nonprofit Research Activities



NATIONAL SCIENCE FOUNDATION SURVEY OF NONPROFIT RESEARCH ACTIVITIES FY 2016

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. **If your organization does not perform or fund research, please contact our help desk at support@NPRAsurvey.org or 844-592-6268** so that we may remove you from future contacts.

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

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

The survey also requests information from your 2016 IRS Form 990 or Form 990-PF.

Your organization's response is voluntary and is extremely important. NSF is authorized to collect this information under the National Science Foundation Act of 1950, as amended. NSF will use the collected information to produce critical national estimates of spending on research and development, and will make the data from this survey available to the public through data tools and other resources on our website. Our goal is to be able to show research spending and funding at the organization level by various categories so that nonprofits can benchmark with their peers. You may select how your organization's information is reported in question 24.

Questions?

Technical support:

ICF
Support@NPRAsurvey.org
844-592-6268

Survey questions:

Ronda Britt, Project Officer
National Science Foundation
rbritt@nsf.gov

Please submit your response by Month dd, 2018.

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. Per the Federal Cybersecurity Enhancement Act of 2015, your data are protected from cybersecurity risks through screening of the federal information systems that transmit your data.

The time required to complete these responses is estimated to be approximately 4 hours for organizations that perform and/or fund research or 20 minutes for those who do not. 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

1 What is the name of the organization for which you are reporting as listed in your IRS Form <990> <990-PF>?

For the purposes of this survey, your organization is defined as all units included in your Internal Revenue Service Form 990 filing.

<Name of Organization>

Is this correct?

☐ Yes

☐ No → Please provide the name of the organization for which you are reporting below.

2 What is the Employer Identification Number (EIN) of the organization for which you are reporting as listed in your IRS Form <990> <990-PF>?

<Employer Identification Number >

Is this correct?

☐ Yes

☐ No → Please contact our helpdesk at 844-592-6268 or support@nprasurvey.org before continuing.

3 Is your organization affiliated or considered part of another for-profit, nonprofit, or higher education organization? For example, a specific hospital foundation, university research entity, etc.

☐ No

☐ Yes → Please provide the name of the organization with which your organization is affiliated.

4 What were your total expenses for 2016 as (would be) reported on <IRS Form 990, line 18?>

<IRS Form 990-PF, line 26 (a) revenue and expenses per books?>

Please note while nonprofit organizations' IRS Form 990s [990-PFs] are publicly accessible, your 2016 form may not have been released at this time. Thank you for taking the time to provide this information.

GENERAL INFORMATION

The remaining questions cover your organization's fiscal year ending in 2016.

5

In what month did your organization's Fiscal Year (FY) 2016 end?

	Month	Year
Fiscal Year End	___	2016

6

How many Full-Time Equivalent persons (FTEs) were employed by your organization in FY 2016?

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.

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.

Include only the following types of employees:

- Full-time
- Part-time
- Temporary/seasonal

	FTEs
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If you would like to add additional detail or clarification to 6, please comment below:

RESEARCH DEFINITION AND GUIDANCE

Questions 7 and 8 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 focused 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

RESEARCH PERFORMANCE

7

Considering the guidance above, did your organization perform research in FY 2016?

- Include research performed by your organization's employee, or contract employees. (Contract employees are *individuals* contracted to work on projects otherwise fully performed by your organization staff.)
- Exclude research performed outside your organization by subcontractors or sub-awardees (report below in 8).

☐ Yes

☐ No

If you would like to add additional detail or clarification to 7, please comment below:

8

Considering the guidance above, did your organization fund research performed by others outside your organization in FY 2016?

- Include all grants, contracts, subcontracts, and sub-awards awarded by your organization to external recipients to perform research.
- Exclude research performed by contract employees (see definition in 7).

☐ Yes

☐ No

If No to 7 and 8, skip to 22.

If you would like to add additional detail or clarification to 8, please comment below:

RESEARCH PERFORMANCE

If you responded **YES** to **7**, please answer the following questions about your organization's research activities in FY 2016. Refer to page 4 for guidance on what is included as research.

If you responded **NO** to **7**, skip to **16**.

9

In FY 2016, how much was spent on research performed within your organization?

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 outside your organization.

\$

.00

If you would like to add additional detail or clarification to **9**, please comment below:

RESEARCH PERFORMANCE

10

Of the amount reported in 9, how much came from each of the following sources?

a. Federal government

Any agency of the United States government. Include subcontract or sub-award funds your organization received for research activities on federal projects.

\$.00

b. State & local government

Any state, county, municipality, or other local government entity in the United States.

\$.00

c. Businesses

Domestic or foreign for-profit organizations. Report funds from a company's nonprofit foundation in row d.

\$.00

d. Foundations

Domestic or foreign nonprofit grant-making organizations.

\$.00

e. Universities

Domestic or foreign degree-granting institutions.

\$.00

f. All other nonprofits

Domestic or foreign public charities and other nonprofit organizations not reported in rows d or e.

\$.00

g. Internal funds

Your organization's own funds from your endowment, general donations, or other unrestricted sources.

\$.00

h. Individual donors

Gifts designated by the donors for research.

\$.00

i. Other, please specify:

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

\$.00

j. TOTAL

\$.00

11

Of the amount reported in 9, how much was spent in each field below?

Examples of subfields are shown below each field.

a. Agricultural Sciences and Natural Resources and Conservation

\$.00

Agricultural sciences	Forestry
Animal sciences	Natural resources and conservation
Applied horticulture	Plant sciences
Fishing and fisheries science	Soil sciences
Food science and technology	

b. Biological, Biomedical and Health Sciences

\$.00

Biochemistry, biophysics, molecular biology	Genetics
Biotechnology	Medicine
Botany	Neuroscience
Cell biology	Public health
Epidemiology	Veterinary medicine
	Zoology

c. Engineering

\$.00

Aerospace, aeronautical, and astronautical engineering	Electrical, electronic, and communications engineering
Bioengineering and biomedical engineering	Industrial and manufacturing engineering
Chemical engineering	Mechanical engineering
Civil engineering	Metallurgical and materials engineering

d. Geosciences, Atmospheric Sciences and Ocean Sciences

\$.00

Atmospheric sciences and meteorology	Ocean and marine sciences
Geological and earth sciences	

e. Mathematics, Statistics, and Computer and Information Sciences

\$.00

Computer sciences	Mathematics
Information sciences	Statistics
Information technology	

f. Physical Sciences

\$.00

Astronomy and astrophysics	Materials science
Chemistry	Physics

11

Of the amount reported in 9, how much was spent in each field below? (Continued)

Examples of subfields are shown below each field.

g. Psychology and Social Sciences

\$.00

Anthropology

Linguistics

Archaeology

Psychology

City, urban, community, and regional planning

Political science and government

Public policy analysis

Criminology

Sociology, demography, and population studies

Economics

Geography

h. Humanities

\$.00

English languages and literature, letters

History

Philosophy and religious studies

Foreign languages and literature

i. Other Fields

\$.00

Business management and business administration

Law

Library science

Communication and communications technologies

Social work

Education

Visual and performing arts

j. TOTAL

\$.00

RESEARCH PERFORMANCE

12

Of the amount reported in 9, how much was for basic research, applied research, and experimental development?

If possible, these categories defining the type of work should be classified at the individual project level by the researcher. Please report the totals by the original source of funding in columns 1 and 2. Estimates are acceptable. See the table below this question for examples.

Sources of Research Expenditures

	1. Federal	2. Nonfederal	3. Total
a. Basic research	\$.00	\$.00	\$.00
<i>Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view.</i>			
b. Applied research	\$.00	\$.00	\$.00
<i>Original investigation undertaken in order to acquire new knowledge. It is directed primarily towards a specific, practical aim or objective.</i>			
c. Experimental development	\$.00	\$.00	\$.00
<i>Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes</i>			
d. Total	\$.00	\$.00	\$.00

Column 1 total should match Question 10a.

Column 3 total should match Question 10j.

If you would like to add additional detail or clarification to 12, please comment below.

Examples		
Basic research	Applied research	Experimental development
A researcher is studying the properties of human blood to determine what affects coagulation.	A researcher is conducting research on how a new chicken pox vaccine affects blood coagulation.	A researcher is conducting clinical trials to test a newly developed chicken pox vaccine for young children.
A researcher is studying the properties of molecules under various heat and cold conditions.	A researcher is investigating the properties of particular substances under various heat and cold conditions with the objective of finding longer-lasting components for highway pavement.	A researcher is working with state transportation officials to conduct tests of a newly developed highway pavement under various types of heat and cold conditions.
A researcher is investigating the effect of different types of manipulatives on the way first graders learn mathematical strategy by changing manipulatives and then measuring what students have learned through standardized instruments.	A researcher is studying the implementation of a specific math curriculum to determine what teachers needed to know to implement the curriculum successfully.	A researcher is developing and testing software and support tools, based on fieldwork, to improve mathematics cognition for student special education.

RESEARCH PERFORMANCE

13 Approximately how many (paid) full-time equivalents (FTEs) worked on research activities in FY 2016?

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 only your organization's employees. Report contract employees in **14**.

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.

FTEs

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.

FTEs

c. TOTAL

FTEs

14 Did any contract employees work on your research activities in FY 2016?

Contract employees are individuals contracted to work on projects otherwise fully performed by your organization staff.

☐ No

☐ Yes → Approximately how many contract employees worked on your research activities during FY 2016?

Contract employees

15 Did any volunteers work on your research activities in FY 2016?

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. Individuals funded by other sources to conduct research at your organization should not be considered volunteers.

☐ No

☐ Yes → Approximately how many volunteers worked on your research activities during FY 2016?

Volunteers

RESEARCH FUNDING

If you responded **YES** to **8**, please answer the following questions about funding research activities outside your organization in FY 2016. Refer to page 4 for guidance on what is included as research.
If you responded **NO** to **8**, skip to **21**.

16 In FY 2016, 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 2016.
- Research performed by contract employees should be included in **9** - **12** and excluded from the amounts reported here.

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

If you would like to add additional detail or clarification to **16**, please comment below:

17 Of the amount reported in **16**, 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

18

Of the amount reported in 16, how much funding was provided for each field below?

Examples of subfields are shown below each field.

a. Agricultural Sciences and Natural Resources and Conservation

\$.00

Agricultural sciences	Forestry
Animal sciences	Natural resources and conservation
Applied horticulture	Plant sciences
Fishing and fisheries science	Soil sciences
Food science and technology	

b. Biological, Biomedical and Health Sciences

\$.00

Biochemistry, biophysics, molecular biology	Genetics
Biotechnology	Medicine
Botany	Neuroscience
Cell biology	Public health
Epidemiology	Veterinary medicine
	Zoology

c. Engineering

\$.00

Aerospace, aeronautical, and astronautical engineering	Electrical, electronic, and communications engineering
Bioengineering and biomedical engineering	Industrial and manufacturing engineering
Chemical engineering	Mechanical engineering
Civil engineering	Metallurgical and materials engineering

d. Geosciences, Atmospheric Sciences and Ocean Sciences

\$.00

Atmospheric sciences and meteorology	Ocean and marine sciences
Geological and earth sciences	

e. Mathematics, Statistics, and Computer and Information Sciences

\$.00

Computer sciences	Mathematics
Information sciences	Statistics
Information technology	

f. Physical Sciences

\$.00

Astronomy and astrophysics	Materials science
Chemistry	Physics

18

Of the amount reported in 16, how much funding was provided for each field below? (Continued)

Examples of subfields are shown below each field.

g. Psychology and Social Sciences

\$.00

Anthropology

Linguistics

Archaeology

Psychology

City, urban, community, and regional planning

Political science and government

Public policy analysis

Criminology

Sociology, demography, and population studies

Economics

Geography

h. Humanities

\$.00

English languages and literature, letters

History

Philosophy and religious studies

Foreign languages and literature

i. Other Fields

\$.00

Business management and business administration

Law

Library science

Communication and communications technologies

Social work

Education

Visual and performing arts

j. TOTAL

\$.00

19

Of the amount reported in **16**, how much came from each of the following sources?

a. Federal government

Any agency of the United States government. Include subcontract or sub-award funds your organization received for research activities on federal projects.

\$.00

b. State & local government

Any state, county, municipality, or other local government entity in the United States.

\$.00

c. Businesses

Domestic or foreign for-profit organizations. Report funds from a company's nonprofit foundation in row d.

\$.00

d. Foundations

Domestic or foreign nonprofit grant-making organizations.

\$.00

e. Universities

Domestic or foreign degree-granting institutions.

\$.00

f. All other nonprofits

Domestic or foreign public charities and other nonprofit organizations not reported in rows d or e.

\$.00

g. Internal funds

Your organization's own funds from your endowment, general donations, or other unrestricted sources.

\$.00

h. Individual donors

Gifts designated by the donors for research.

\$.00

i. Other, please specify:

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

\$.00

j. TOTAL

\$.00

RESEARCH FUNDING

20 Of the amount reported in **16**, how much was for basic research, applied research, and experimental development?

If possible, these categories defining the type of work should be classified at the individual project level by the researcher. Please report the totals by the original source of funding in columns 1 and 2. Estimates are acceptable. See the table below this question for examples.

Sources of Research Funding			
	1. Federal	2. Nonfederal	3. Total
a. Basic research <i>Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view.</i>	\$.00	\$.00	\$.00
b. Applied research <i>Original investigation undertaken in order to acquire new knowledge. It is directed primarily towards a specific, practical aim or objective.</i>	\$.00	\$.00	\$.00
c. Experimental development <i>Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes</i>	\$.00	\$.00	\$.00
d. Total <i>Column 1 total should match Question 19a. Column 3 total should match Question 19j.</i>	\$.00	\$.00	\$.00

If you would like to add additional detail or clarification to **20**, please comment below.

Examples		
Basic research	Applied research	Experimental development
A researcher is studying the properties of human blood to determine what affects coagulation.	A researcher is conducting research on how a new chicken pox vaccine affects blood coagulation.	A researcher is conducting clinical trials to test a newly developed chicken pox vaccine for young children.
A researcher is studying the properties of molecules under various heat and cold conditions.	A researcher is investigating the properties of particular substances under various heat and cold conditions with the objective of finding longer-lasting components for highway pavement.	A researcher is working with state transportation officials to conduct tests of a newly developed highway pavement under various types of heat and cold conditions.
A researcher is investigating the effect of different types of manipulatives on the way first graders learn mathematical strategy by changing manipulatives and then measuring what students have learned through standardized instruments.	A researcher is studying the implementation of a specific math curriculum to determine what teachers needed to know to implement the curriculum successfully.	A researcher is developing and testing software and support tools, based on fieldwork, to improve mathematics cognition for student special education.

DESCRIPTION OF RESEARCH PROJECTS

21 Optional. Please use this space to provide a brief description of some of the research your organization performs or funds.

These examples will help us provide more detail in our summary of the survey results, and provides additional context for the categories selected in the survey questions above.

CONTACT INFORMATION AND SURVEY TIME

22

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:

23

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

--	--

Minutes

--	--

NSF plans to publicly release data at varying levels of detail. Some tables will present data by organization name (see example 1 below). Other tables will present data aggregated into totals (see example 2 below).

Do you want your organization's data to be included by name in the published tables or do you want to only be included in aggregated totals? Please select one of the options below.

- ☐ Include in organization-level tables (okay to release my organization's data by name)
- ☐ Include in aggregate tables only (do not release my organization's data by name*)

*In accordance with the National Science Foundation Act of 1950, as amended, and other applicable federal laws, your responses will not be disclosed in identifiable form to anyone other than agency employees or authorized persons.

Example 1:

Table XX. Total research performance expenditures at nonprofit organizations, by organization and Federal/Nonfederal source of funds: FY 2016

Organization	All research performance	Federal government	Nonfederal sources
All nonprofit organizations	11,111,111	1,111,111	1,111,111
Organization A	0,000,000	0,000,000	0,000,000
Organization B	0,000,000	0,000,000	0,000,000
Organization C	0,000,000	0,000,000	0,000,000
Organization D	0,000,000	0,000,000	0,000,000
Organization E	0,000,000	0,000,000	0,000,000
Organization F	0,000,000	0,000,000	0,000,000
Organization G	0,000,000	0,000,000	0,000,000
Organization H	0,000,000	0,000,000	0,000,000
...	...	...	...
Organization Z	0,000,000	0,000,000	0,000,000
All other surveyed nonprofit organizations ^a	000,000	000,000	000,000

^a Expenditures included under All other surveyed nonprofit organizations are for those organizations that did not want their data reported by name.

SOURCE: National Science Foundation, National Center for Science and Engineering Statistics, Survey of Nonprofit Research Activities, FY 2016.

Example 2:

Table XX. Total research performance expenditures at nonprofit organizations, by source: FY 2016

Source	All research
All sources	11,111,111
Federal government	1,111,111
State and local government	1,111,111
Business	1,111,111
Foundations	1,111,111
Universities	1,111,111
Other nonprofits	1,111,111
Internal funds	1,111,111
Individual donors	1,111,111
Other sources	1,111,111

SOURCE: National Science Foundation, National Center for Science and Engineering Statistics, Survey of Nonprofit Research Activities, FY 2016.