

## **Attachment F. Likely Performer and Funder Sources**

## Likely Performer and Funder Sources

A total of 2,361 organizations were identified as likely performers using five auxiliary sources; 1,494 organizations were identified as likely funders using nine sources. Table H-1 and H-2 include the source of auxiliary data and the count of organizations for likely performers and funders.

**Table H-1: Auxiliary Data Sources Identifying Likely Performers**

Performer Source	Description	Organizations	Has EIN
<b>NCSES Federal Support for S&amp;E Survey (FSS) 2010–2013</b>	Organizations who are listed in the survey of Federal S&E Support in 2010–2013 as recipients of R&D. These organizations accepted federal funding for R&D in the United States.	1,831	
<b>Association of Independent Research Institutes (AIRI)</b>	AIRI members are nonprofit research institutes whose mission is to enhance the ability of its members to improve human health and advance knowledge.	81	✓
<b>NCSES Facilities Survey 2009</b>	Biomedical organizations who participated in the 2009 NCSES survey of Science and Engineering Research Facilities. Organizations that participated in this survey expended at least \$1 million in research and development funds in the prior fiscal year.	171	✓
<b>1996/1997 Nonprofit Survey Screened Performer</b>	Organizations screened in the Former 1996/1997 Nonprofit survey that were indicated as a “Performer” or “Both” Funder/Performer organizations.	233	✓
<b>NCSES Higher Education Research and Development (HERD) Affiliates</b>	NSF provided a list of 62 nonprofit organizations with affiliation agreements at different universities.	45	✓

**Table H-2: Auxiliary Data Sources Identifying Likely Funders**

Funder Source	Description	Organizations	Has EIN
<b>1996/1997 Nonprofit Survey Screened Funder</b>	Organizations screened in the Former 1996/1997 Nonprofit Survey that was indicated as a “Funder” or “Both” Funder/Performer organizations.	390	✓
<b>1996/1997 Nonprofit Survey Responding Funder</b>	Organizations responding to the Former 1996/1997 Nonprofit Survey and was indicated as a funder organization.	99	✓
<b>Grant Station Funder Database</b>	Grant Station database of funders who indicated funding of research.	822	✓
<b>Consortium of Social Science Associations (COSSA)</b>	ICF identified organization with a COSSA membership that indicated they were a private foundations and funded research.	10	
<b>Science Philanthropy Alliance</b>	Organizations listed as members of Science Philanthropy Alliance.	6	
<b>Health Research Alliance</b>	Organizations listed as members of Health Research Alliance.	66	

Funder Source	Description	Organizations	Has EIN
<b>ICF Cognitive Interview Exploration</b>	ICF identified organization that funded research through preliminary research in the process of identifying organizations for cognitive interviewing.	19	
<b>Open Education Database Article "100+ Places to Find Funding For Your Research"<sup>1</sup></b>	Article indicating sources of funding for researchers.	51	
<b>Inside Philanthropy<sup>2</sup></b>	Organizations identified by Inside Philanthropy that provided funding for scientific research.	31	
<b>R+D investors</b>	Organizations with Private Investments into Life Sciences & Medical Research + Public Health	22	

### Assigning EINs

An Employer Identification Number (EIN) is the unique identifier assigned to a nonprofit organization when IRS designates it with nonprofit status. Some auxiliary sources did not have an EIN number for the organization. EIN look-ups were performed for organizations without an EIN. This was accomplished in stages as additional sources were included.

For performers, the only source requiring EIN look-ups was the FSS. For 1,678 organizations on the 2010–2012 FSS, GuideStar<sup>3</sup> algorithmically assigned missing EINs using the organization’s name and address to find a match in GuideStar’s database. An additional 153 organizations from the 2013 survey were added after the initial matching. ICF used GuideStar’s Non-Profit Organization searchable database to look-up EINs for these organizations. The process resulted in 17 organizations from the list that could not be matched to an active organization in the database and were excluded from the likely performer list.

For Funders, 207 organizations collected from various sources required EIN look-ups. ICF used GuideStar’s Non-Profit Organization searchable database. EINs were located for all 207 organizations.

### Deduplication

Several organizations were identified from multiple data sources. The lists were unduplicated based on EIN. This resulted in the removal of 439 organizations from the likely performer list and 280 organizations from the likely funder list. Each list had only one unique EIN entry.

### Matching the Likely Performer List with the Exempt Organization Business Master File (EO/BMF)

We matched the likely performer list with the 2013 EO/BMF, as provided by the NCCS.<sup>4</sup> The EO/BMF is a file originally produced by the IRS, which identifies all active nonprofit organizations that are registered with the IRS. NCCS supplements the file with additional data fields. Merging the likely performers with

<sup>1</sup> (OEDb) Open Education Database. 2013. 100 Places to Find Funding For Your Research. Available at [http://oedb.org/ilibrarian/100\\_places\\_to\\_find\\_funding\\_your\\_research/](http://oedb.org/ilibrarian/100_places_to_find_funding_your_research/). Accessed on December 7, 2015.

<sup>2</sup> Fundraising for Science Research | Grants - Inside Philanthropy. n.d. Available at <http://www.insidephilanthropy.com/grants-for-scientific-research/>. Accessed on December 7, 2015.

<sup>3</sup> GuideStar develops and maintains a database of nonprofit organizations and provides information and analytic services related to nonprofits. More information available at <http://www.guidestar.org/Home.aspx>.

<sup>4</sup> NCCS builds and maintains a repository of data on the nonprofit sector in the U.S. More information available at <http://nccs.urban.org/>.

the EO/BMF identified 151 additional organizations with no active listing. They were assumed to be defunct or no longer operating as a nonprofit organization and were removed.

This step was not conducted when compiling the likely funder list. The funder list was compiled at a later date than the performer list. At the time when the performer list was developed, the EO/BMF was being evaluated as a frame source. As discussed, the benefits of the added financial data led to using the NCCS core files as the source of the frame. Since this was determined prior to the development of the likely funder list, matching to the EO/BMF was deemed unnecessary.

[Matching the Likely Performer and Likely Funder Lists to the NCCS Core Files](#)

Finally, the likely performer and likely funder lists were matched to the NCCS core files. Ninety-nine likely performers and 105 likely funders did not match to an organization on the NCCS core files because they did not meet the minimum criteria to file a Form 990, 990-EZ, or 990-PF. These organizations were removed.

This resulted in a final count of 1,655 likely performer organizations and 1,116 likely funder organizations. There were 154 organizations that identified as both a likely performer and a likely funder. Table 5 includes a summary of the creation of the likely performer and likely funder lists.

[Updating Likely Performer and Funder Status based on the Pilot Study](#)

We updated the list of likely performers and funders based on the results of the Pilot Study. Organizations that stated that they performed and/or funded research If an organization was sampled in the Pilot Study and they stated that they performed and/or funded research, they were added to the likely performer/funder lists. Similarly, if the organization stated that they did not perform or fund research, they were removed from the likely funder/performer list.

**Table H-3: Summary of Likely Performer and Likely Funder List Creation**

Summary of Likely Performer List Creation		
Description	Likely Performers	Likely Funders
Combined "Likely Performers or Funders" sources	2,361	1,511
No listing on GuideStar's Nonprofit Organization Database	-17	-0
Duplicate EINs	-439	-273
No listing on EO/BMF	-151	n/a
No listing on NCCS Core Files	-99	-105
"Likely Performers/Funder" Organizations based on Auxiliary Data	1,655	1,133
Pilot Results		
Removed	-48	-45
Added	140	152
<b>"Likely Performers/Funder" Organizations</b>	<b>1,747</b>	<b>1,240</b>