



Questionnaire EUFORI Study

Thank you for participating in this survey. The following questionnaire includes several questions about the income sources and expenditure of your foundation. Please note that this survey will be about your most recent available accounts, preferably the fiscal year 2012. If your financial year does not correspond with the calendar year January – December 2012, please use the documents covering your latest book year. For all financial questions, please fill in the amount in the national currency.

If you have an **annual report** and/or a **financial statement** about your latest book year, it will be helpful to have these documents ready as you fill out the questions.

Definitions

Please note that for the purpose of this study **research** includes basic and/or applied research projects or programmes covering all thematic aspects of science, technology from the social sciences, humanities, engineering and technology, to natural sciences, agricultural sciences and medical sciences (including clinical trials phases 1,2,3).

Research related activities are also covered. These include support for projects/programmes on researcher mobility (career structure and progression), knowledge transfer (including intellectual property rights/patents), civic mobilization or advocacy (trying to change social opinions and/or behaviors regarding science, including promoting science-related volunteering, or promoting researchers' rights and social status), infrastructure (laboratories, research centres, pilot or demo plants), dissemination of research (seminars, conferences, etc.) and science communication (museums and science parks)

For the purpose of this study, the definition of **innovation** is: 'the introduction to the market of a new product, methodology, service and/or technology or a combination of these aspects'. Innovation projects are, for example, green energy sources such as wind turbines and solar panels.

Reference number (as stated in your invitation letter): _____

Although data will be analyzed anonymously, we need a reference number. This reference number only serves for the purpose of data collection and will not compromise the anonymity of your foundation.

A. GENERAL QUESTIONS

Q1 Did your foundation fund/operate research and/or innovation (R&I) activities between 2005-2012?

You may tick one option only.

- Yes, research
- Yes, innovation
- Yes, both research and innovation
- No, go to → **end of questionnaire** [foundations not funding or operating research and/or innovation activities are beyond the scope of this survey. Thank you very much for your time. Please return the questionnaire to the address mentioned in the cover letter by using the envelope enclosed (no postage required)]

Q2 Under which category does your foundation fall? You may tick one or more options.
<input type="checkbox"/> Grant-making (Grant-making foundations use their expenditures to make grants to other organizations, and/or support projects carried out by other organizations)
<input type="checkbox"/> Operating (operating foundations use their expenditures to achieve their goals by themselves, by carrying out projects within their own organization)

Q3 What was the year of establishment and (if applicable) the year of registration of your foundation?	
Year of Establishment	Year of Registration:.....
<input type="checkbox"/> Not applicable	<input type="checkbox"/> Not applicable

Q4 Who is the financial founder of your foundation? You may tick one or more options
<input type="checkbox"/> Private individual(s)/family <input type="checkbox"/> For profit-corporation <input type="checkbox"/> University <input type="checkbox"/> Research Institute <input type="checkbox"/> Hospital <input type="checkbox"/> Other non-profit organisations (association, etc.) <input type="checkbox"/> Public sector (government, national or local) <input type="checkbox"/> Other, please specify

Q5 Who is in charge of defining the annual strategy of your foundation? You may tick one or more options
<input type="checkbox"/> The original financial founder (see Q4) <input type="checkbox"/> Governing board with appointed members <input type="checkbox"/> Governing board with elected members <input type="checkbox"/> Other, please specify.....

Q6 What is the number of board members within your foundation?
Number of governing board members: <input type="checkbox"/> Not applicable Number of supervisory board members: <input type="checkbox"/> Not applicable

Q7 Does your foundation have professional paid staff? If yes, please provide the Full Time Equivalent (FTE) working for the foundation. (1FTE=1 full work week)
<input type="checkbox"/> Yes, number of FTE:..... <input type="checkbox"/> No

Q8 Which areas of research does your foundation fund/operate?	
Research area	Percentage of total expenditures to research
Basic research (aimed at acquiring new knowledge with no particular application or use intended)	..%
Applied research (including translational research) (aimed at acquiring new knowledge with a particular application or use intended)	..%
Total	100%

Q11b Could you please indicate whether your foundation's endowment:

You may tick one or more options

- will be maintained in order to generate income (created in perpetuity)
- is expandable at the trustees' discretion
- will be spend down

Q11c and Q11d and Q11e are for foundations with income from government subsidies and grants. If there is no income from government subsidy, go to → Q12.

Q11c Are there any government representatives on your foundation's:

Governing board	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not applicable
Supervisory board	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not applicable

Q11d Does your foundation distribute any government funds?

- | | |
|-----------------------------------------|------------------------------------------|
| <input type="checkbox"/> (Almost) never | <input type="checkbox"/> Often |
| <input type="checkbox"/> Sometimes | <input type="checkbox"/> (Almost) always |

Q11e Within your foundation, does government influence decision-making about the allocation of funds for R&I?

Please answer the question with a number from 0-10, where 0= 'not influential' and 10='totally influential'.

0	1	2	3	4	5	6	7	8	9	10
Not influential										Totally influential

Q12 What are the total assets of your foundation in 2012? (please provide amount in local currency as of the end of the book year)

Amount:

- I don't know
- I don't want to answer this question

Q13 Please think about the assets of your foundation and specify the following types of assets as a percentage of your total assets.

Type of assets	Percentage
Current assets (cash and other assets that can be converted to cash or consumed within a short term, without disturbing the normal operations of the organization)	..%
Long term investments in securities (e.g. bonds, common stocks and/or long term notes)	..%
Long term investments in fixed assets (e.g. land and/or buildings)	..%
Long term investments in special funds (e.g. sinking funds, pension funds and/or insurance)	..%
Other, please specify.....	..%
Total assets	100%

- I don't know
- I don't want to answer this question

C. EXPENDITURES

The questions in this section are about your foundation's expenditures to R&I. Again, please use the **most recent available accounts (preferably the fiscal year 2012)**. If your financial year does not correspond with the calendar year January – December **2012**, please use the documents covering your latest book year. Please fill in the answers in the local currency and specify if otherwise. See the definitions section (page 2) for our understanding of research, research related activities and innovation.

Q14 What was the total expenditure of your foundation in 2012? *(please provide amount in local currency as of the end of the book year)*

Amount:

- I don't know I don't want to answer this question

Q15 Which percentage of your total expenditures in 2012 was related to:

Research (both direct and research related)	..%
Innovation	..%
Other purposes	..%
Total expenditures	100%

- I don't know I don't want to answer this question

Q16 Which percentage of the total expenditures to research in 2012 was related to:

Direct research activities	..%
Research related activities	..%
Total expenditures to research	100%

- I don't know I don't want to answer this question

Q17 What form did your expenditures for research (both direct and research related) take in 2012? Please specify the expenditures per type of support as a percentage of your total support for research.

Grants (including awards and prizes)	..%
Own operating costs	..%
Other, namely.....	..%
Total expenditures to research	100%

- I don't know I don't want to answer this question

Q18 What form did your expenditures for innovation take in 2012? Please specify the expenditures per type of support as a percentage of your total support for innovation.

Grants (including awards and prizes)	..%
Own operating costs	..%
Other, namely.....	..%
Total expenditures for innovation	100%

- I don't know I don't want to answer this question

Q19 Compared to the previous fiscal accounting year, your foundation's R&I expenditures have:	
<input type="checkbox"/> Increased, please indicate by what %..... <input type="checkbox"/> Decreased, please indicate by what %..... <input type="checkbox"/> Remained about the same	<input type="checkbox"/> Discontinued <input type="checkbox"/> Just started to support research and/or innovation

Q20 In the next fiscal accounting year, your foundation's R&I expenditures are expected to:	
<input type="checkbox"/> Increase, please indicate by what %..... <input type="checkbox"/> Decrease, please indicate by what %..... <input type="checkbox"/> Remain about the same	<input type="checkbox"/> Discontinue

D. THEMATIC FIELDS OF SUPPORT

The following questions are about the scientific fields that benefit from your foundation's activities. Please note that for the purpose of these questions all support for research (direct and/or research related) are included.

Q21 Which thematic research fields did your foundation support (fund/operate) in 2012?		
Thematic Field	Amount in local currency (2012)	In the past five years (prior to the reported year), we have supported this field
Natural Sciences ¹	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Engineering and technology ²	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Medical Sciences ³	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Agricultural Sciences ⁴	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Social and behavioral Sciences ⁵	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Humanities ⁶	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Other, namely	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Total		

¹ Natural sciences (mathematics and computer sciences – software only, physics, astronomy, chemistry, geosciences, biology, etc.)

² Engineering and technology (civil engineering, electronics, systems analysis, computer engineering (hardware only)).

³ Medical Sciences (genetics, clinical microbiology, neurology, epidemiology, etc.)

⁴ Agricultural Sciences (agriculture, forestry, agronomy, fisheries, etc.)

⁵ Social and behavioral Sciences (economics, psychology, anthropology, communication science, sociology, political science, etc.)

⁶ Humanities (arts, language and literature, culture, history, law, philosophy, theology, etc.)

Q22 If your foundation supported more than one thematic research field in the past 5 years (prior to the reported year), please rank them in order of importance (1-7). (please note: importance in terms of expenditures)		
Thematic Field	Rank	
Natural Sciences	<input type="checkbox"/> Not applicable
Engineering and technology	<input type="checkbox"/> Not applicable
Medical Sciences	<input type="checkbox"/> Not applicable
Agricultural Sciences	<input type="checkbox"/> Not applicable
Social and behavioural sciences	<input type="checkbox"/> Not applicable
Humanities	<input type="checkbox"/> Not applicable
Other, namely.....	<input type="checkbox"/> Not applicable

Now we will ask some questions about research-related activities. These activities are not research activities themselves but activities that facilitate and disseminate research.

Q23 Did your foundation support (fund/operate in) the following research-related activities in 2012?		
Research-related activity	Amount in local currency (2012)	In the past five year (prior to the reported year), we have supported this activity:
Research mobility and career development	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Technology transfer ⁷	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Infrastructure and equipment ⁸	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Dissemination of research ⁹	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Science communication/education ¹⁰	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Civic mobilization / advocacy ¹¹	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Other, namely.....	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Not specified into categories	<input type="checkbox"/> Yes, <input type="checkbox"/> Yes, amount unknown <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Total		

⁷ Technology transfer (i.e. intellectual property and rights/patents).

⁸ Infrastructure and equipment (i.e. laboratories, research centres).

⁹ Dissemination of results (i.e. seminars, conferences and/or publications).

¹⁰ Science communication/education (i.e. museums, science parks, television programmes).

¹¹ Civic mobilization/advocacy (i.e. activities aimed at trying to change social opinions and/or behaviors regarding science, including promoting science-related volunteering, or promoting researchers' rights and social status).

Q24 If your foundation supported more than one research-related activity in the past 5 years (prior to the reported year) , please rank them in order of importance (1-7). (please note: importance in terms of expenditures).		
Research Related Activity	Rank	
Research mobility and career development	<input type="checkbox"/> Not applicable
Technology transfer	<input type="checkbox"/> Not applicable
Infrastructure and equipment	<input type="checkbox"/> Not applicable
Dissemination of research	<input type="checkbox"/> Not applicable
Science communication/education	<input type="checkbox"/> Not applicable
Civic mobilization/advocacy	<input type="checkbox"/> Not applicable
Other, namely.....	<input type="checkbox"/> Not applicable

Please note that Q25 is only applicable for foundations supporting/operating innovation. If your foundation does not fund/operate innovation projects, please go to → Q26

Q25 Can you describe some examples of <u>innovation projects</u> you supported/operated?
1.
2.
3.

Q26 In general, if you think about the role of your foundation in the domain of research and innovation, how would you describe your role? Please answer the question with a number from 1-5, where 1= 'never' and 5='always'.						
Role	Never		Always			Don't know
As complementary (additional to public/other support)	1	2	3	4	5	<input type="checkbox"/>
As substituting (instead of/a substitute for public/other support)	1	2	3	4	5	<input type="checkbox"/>
As initiating (aimed to start a project with the expectation that others will take over)	1	2	3	4	5	<input type="checkbox"/>
As competitive (aimed to rival with other initiatives)	1	2	3	4	5	<input type="checkbox"/>

E. GEOGRAPHICAL DIMENSION OF ACTIVITIES

Q27 How was your foundation's research and/or innovation expenditures distributed geographically in 2012? Specify the expenditures per geographical area as a percentage of total expenditures on research and innovation.	
Geographic distribution	Percentage
Local or regional level (geographical area within a country)	.. %
National level	.. %
European (Union) level	.. %
International (worldwide and/or specific countries only)	.. %
Total expenditures on research and innovation	100 %
<input type="checkbox"/> I don't know <input type="checkbox"/> I don't want to answer this question	

Q28 If your foundation funds/operates in other EU countries than the country of residence, has it encountered difficulties when doing so? You may tick one or more options.	
<input type="checkbox"/> Yes, legal <input type="checkbox"/> Yes, fiscal <input type="checkbox"/> Yes, cultural (i.e. language barriers) <input type="checkbox"/> Yes, political or policy related <input type="checkbox"/> Yes, with industrial property rights <input type="checkbox"/> Yes, with intellectual property rights	<input type="checkbox"/> Yes, other, namely: <input type="checkbox"/> No <input type="checkbox"/> Not applicable

Q29 In your opinion, what should be the role of the European Union in relation to foundations? <i>You may tick one or more options.</i>
<input type="checkbox"/> Providing a legal framework <input type="checkbox"/> Providing fiscal facilities <input type="checkbox"/> Providing a structure to enhance collaboration <input type="checkbox"/> Investing in an information infrastructure by databases <input type="checkbox"/> Contribute to awareness raising about foundations <input type="checkbox"/> Evaluate projects from foundations <input type="checkbox"/> Collaborate with foundations in projects <input type="checkbox"/> Other, please specify..... <input type="checkbox"/> None <input type="checkbox"/> No opinion

Q30 Do your activities contribute to European integration? <i>You may tick one or more options.</i>
<input type="checkbox"/> Yes, integration on educational issues (e.g. encourage and support free movement of the academic community within Europe) <input type="checkbox"/> Yes, integration on research issues (e.g. encourage and support joint research projects within Europe) <input type="checkbox"/> Yes, integration on social issues (e.g. the convergence of living and working conditions) <input type="checkbox"/> Yes, integration on cultural issues (e.g. the process of one culture gaining ideas, technologies and products of another) <input type="checkbox"/> Yes, other, namely..... <input type="checkbox"/> No <input type="checkbox"/> I don't know

F. FOUNDATION OPERATIONS AND PRACTICES

Please note that Q31 and Q32 are only applicable for foundations providing grants only. If your foundation does not provide any grants, please go to → Q33

Q31 Please indicate whether the following statements are 'daily practice' within your foundation.					
Statement	Never			Always	
Our foundation waits for applications from third parties, with no active call for proposals	1	2	3	4	5
Our foundation pro-actively searches for projects (e.g. through competitive calls for proposals)	1	2	3	4	5
Our foundation prefers 'small' grants to multiple organizations/individuals over 'large' grants to few organizations/individuals	1	2	3	4	5
Our foundation demands evidence of how grants have been spent after funded projects have been complete	1	2	3	4	5
Our foundation conducts evaluations to assess whether a grant was successful and why	1	2	3	4	5
Our foundation is involved in the implementation of a project which it funds	1	2	3	4	5
Our foundation supports an organization only once (i.e. projects can receive a grant onetime only)	1	2	3	4	5
Support from our foundation is on a long-term basis (i.e. every year an amount for a project for multiple years)	1	2	3	4	5

Q32 To which category do your beneficiaries belong? Please provide an estimate of the distribution of your R&I beneficiaries for the year 2012 according the following sectors:	
Individuals	..%
Public higher education institutions	..%
Private higher education institutions	..%
Research Institutes	..%
Other: Government sector (excluding higher education institutions)	..%
Other: Business/enterprise sector	..%
Other: Non-profit sector	..%
Total	100%
<input type="checkbox"/> I don't know	
<input type="checkbox"/> I don't want to answer this question	

Q33 Does your foundation develop joint research activities in partnership with others in the field of R&I?¹² You may tick one or more options.	
<input type="checkbox"/> Yes, foundations <input type="checkbox"/> Yes, universities <input type="checkbox"/> Yes, hospitals <input type="checkbox"/> Yes, research institutes <input type="checkbox"/> Yes, governments	<input type="checkbox"/> Yes, other non-profits (e.g. associations, etc) <input type="checkbox"/> Yes, companies <input type="checkbox"/> Yes, other, namely: <input type="checkbox"/> No → Go to end of Questionnaire

Q34 Why did your foundation engage in these partnerships? You may tick one or more options.	
<input type="checkbox"/> Pooling expertise and/or sharing infrastructure <input type="checkbox"/> Increasing impact <input type="checkbox"/> Expanding activities (internationally or otherwise) <input type="checkbox"/> Avoiding duplication of effort	<input type="checkbox"/> To increase legitimacy <input type="checkbox"/> Creating economies of scale <input type="checkbox"/> Pooling money for lack of necessary funds <input type="checkbox"/> Other, namely:

¹² Partnerships refer to the development of joint research programmes or activities between funders. It does not refer to the relationship between foundations and their grantees.

We thank you very much for your participation in this study through filling in this questionnaire. If you are interested in the results of this research, please fill in the contact information in order to receive a summary of the results. As data will be analyzed anonymously, please note that contact information will be stored separately from your data.

CONTACT INFORMATION:

Name of foundation:

Contact person for survey:

Function:

Address:

ZIP Code:

Country:

Email:

Telephone:

Website(s):

Could you please send us an annual report together with this questionnaire?

- Yes
- No

We also invite you to visit www.euforistudy.eu. This website will be updated regularly about the progress made in the study and will be used to disseminate the results of this study.

