

ATTACHMENT 3

FY 2009 Higher Education R&D Survey pilot contact materials

NSF FY 2009 Higher Education R&D Survey Pilot Contacts

Contact 1: Pre-launch email one week before launch: November 9, 2009

To: [[resp_first_name_v]] [[resp_last_name_v]]
From: Higher Education R&D Survey
Subject: NSF Higher Education R&D Survey Pilot Test
Attached: Higher Education R&D Survey PDF

Next week you and 39 other universities and colleges will receive login information for the National Science Foundation's (NSF's) FY 2009 Higher Education Research and Development Survey (HERD). This survey is an updated version of the Survey of R&D Expenditures at Universities and Colleges. The other 675 annually surveyed institutions will be completing the regular version of the survey this fall. We are excited that the new survey will allow us to collect more accurate and relevant information on the R&D performed by academic institutions.

As a participant in the pilot test of the survey, you will not need to complete the FY 2009 Survey of R&D Expenditures at Universities and Colleges. Your answers to some of the pilot test's survey questions will provide information that is comparable to the current survey. We will use the comparable information in our national publications of FY 2009 academic R&D expenditures by institution. Your experiences with the pilot test will also help us fine tune the question wording and instructions before all institutions begin completing the new survey in November 2010.

Please note that Question 23 on the new survey requests the hours your institution spends completing this pilot test. We ask that you separately track the time it takes to reprogram your systems for the new data and the time you spend preparing your response. These estimates will help us predict the survey burden for future respondents. To see Question 23 and the other survey questions, instructions, and new web features, please view a copy of the attached survey questionnaire, also available online at: [FY 2009 HERD](#).

The deadline for responses to the pilot survey is February 26, 2010.

If you are not the correct person to respond to the survey, please contact our survey contractor, Westat, by calling Mary Hagedorn at 1-800-937-8281 or by e-mail at info@nsfherdsurvey.org. If you have questions about the survey itself, please contact me at rbritt@nsf.gov.

Your help in testing the pilot survey will greatly benefit the more than 700 institutions that will receive the survey next year. Thank you for your time and patience as we implement the revised survey.

Sincerely,
Ronda Britt
Survey Manager, Higher Education R&D Survey
Division of Science Resources Statistics
National Science Foundation

Contact 2: HERD Launch Email November 16, 2009

To: [[resp_first_name_v]] [[resp_last_name_v]]
From: Higher Education R&D Survey
Subject: NSF Higher Education R&D Survey Pilot Test Now Open
Attached: Higher Education R&D Survey pdf

Dear [[resp_first_name_v]] [[resp_last_name_v]]:

The website is now open for the pilot test of the National Science Foundation's (NSF's) Higher Education Research and Development Survey (HERD). We greatly appreciate your help in completing this new version of the survey. We will not report your responses to new categories and questions in the NSF FY 2009 detailed statistical tables. Rather, the published tables will show your institution's information for only the survey responses comparable to the ongoing NSF FY 2009 Survey of Research and Development Expenditures at Universities and Colleges.

To access the survey, please use this information:

Survey website: <http://www.nsfherdsurvey.org/>

Your institution's ID: [ID]

Password: [password]

To preview the survey questions, instructions, and new web features, please use the attached questionnaire (also available on the survey website).

Please track the amount of time that you and others spend on the survey using Question 23. Your experiences with the pilot survey will guide our plans for the new survey in FY 2010.

The deadline for your institution's response is February 26, 2010.

If you have any questions about the survey website, please call Mary Hagedorn of Westat at (800) 937-8281 or email her at info@nsfherdsurvey.org. If you have questions about the survey itself, please contact me at (703) 292-7765 or rbritt@nsf.gov.

Thank you for your cooperation in providing this important information.

Sincerely,
Ronda Britt
Survey Manager, Higher Education R&D Survey
Division of Science Resources Statistics
National Science Foundation

Contact 3: HERD Reminder email 1: December 7, 2009

To: [[resp_first_name_v]] [[resp_last_name_v]]
From: Higher Education R&D Survey
Subject: Reminder of due date for NSF Higher Education R&D Survey

Dear [[resp_first_name_v]] [[resp_last_name_v]]:

On November 16, we launched the pilot test for the National Science Foundation's (NSF's) Higher Education Research & Development Survey (HERD). As a reminder, we need your response on or before the survey deadline of February 26, 2010. We are eager to hear about your experiences collecting these new items, and this deadline allows us time to speak with you afterward and make final changes for next year's survey. I'm including the information below to reach the web survey.

Survey website: <http://www.nsfherdsurvey.org/>
Your institution's ID: [ID]
Password: [password]

If you have any questions about the survey website, please call Bill DeBaun of Westat at (800) 937-8281 or email him at info@nsfherdsurvey.org. If you have questions about the new survey items, please contact me at rbritt@nsf.gov or (703) 292-7765.

Thank you for your time and your participation.

Sincerely,
Ronda Britt
Survey Manager, Higher Education R&D Survey
Division of Science Resources Statistics
National Science Foundation

Contact 4: HERD Reminder email 2: January 4, 2010

To: [[resp_first_name_v]] [[resp_last_name_v]]
From: Higher Education R&D Survey
Subject: Reminder of due date for NSF Higher Education R&D Survey

Dear [[resp_first_name_v]] [[resp_last_name_v]]:

It has been seven weeks since the launch of the pilot test of the National Science Foundation's (NSF's) Higher Education Research & Development Survey (HERD). I wanted to remind you that we would like to receive your survey answers on or before the deadline of February 26. We must compile the results of the pilot test quickly in order to complete the redesign project for NSF. I am providing the login information below for your convenience.

Survey website: <http://www.nsfherdsurvey.org/>
Your institution's ID: [ID]
Password: [password]

Please contact me if you have any questions about the survey website. I can be reached by phone at (800) 937-8281 or by email at info@nsfherdsurvey.org. You may contact Ronda Britt, the NSF Survey Manager, at rbritt@nsf.gov or (703) 292-7765 if you would like to discuss the survey questions.

Thanks you for your continued efforts on this pilot survey.

Sincerely,
Bill DeBaun
Westat

Contact 5: HERD Reminder by mail: January 19, 2010

Letter to the President from Lynda Carlson with copy to respondent

Include “postcard” reminder of deadline with R’s mailing

Mail both using FED-EX

Dear President xxx:

I sincerely thank you for your institution’s participation in the National Science Foundation’s (NSF’s) efforts to measure R&D at universities and colleges. Last year, U.S. colleges and universities reported \$52 billion dollars of R&D expenditures. We could not estimate this amount without the contributions of each survey respondent.

[Name of institution] is one of 40 that were randomly selected to participate in a pilot test of the new Higher Education Research and Development Survey (HERD). As you may know, this new survey will replace the current Survey of Research and Development Expenditures at Universities and Colleges (Academic R&D Survey) for all R&D-performing institutions beginning in 2010. By fielding our pilot test of the new survey with a smaller group of schools, we hope to resolve any major issues before the entire survey population receives the FY 2010 survey next November. Because the core questions on the survey remain the same, your institution’s responses to this pilot survey will be included in our statistics for the FY 2009 Academic R&D Survey.

[Name of respondent] of your staff is serving as your institution’s coordinator for the pilot survey. We are expecting all responses for the survey by our deadline of February 26th, which is a four-week extension to the normal survey deadline. This gives respondents additional time to coordinate with those who have the new survey information needed for your institution’s response. For example, we have requested information on the amount of interdisciplinary R&D, the numbers of proposals, and the headcounts of research personnel. NSF is also collecting information on R&D awards funded through the American Recovery and Reinvestment Act (ARRA) for pilot and nonpilot institutions.

Thank you for your ongoing participation in NSF’s efforts to provide an accurate portrayal of R&D statistics for our nation’s colleges and universities.

Sincerely,

Lynda Carlson, PhD
Director
Division of Science Resources Statistics

cc: [[firstname]] [[lastname]], [[title]]

Contact 6: Fourth/Final Reminder – February 16, 2010

To: **Primary contact email**

From: Higher Education R&D Survey

Re: Due date reminder for NSF Higher Education R&D Survey

Dear [[firstname]] [[lastname]]:

We are reminding all survey respondents about the upcoming deadline for the National Science Foundation's FY 2009 Higher Education Research & Development Survey (HERD). Responses are due on Friday, February 26, 2010. We notified [title] [name of president/chancellor] in a letter sent January 19th that we need [name of institution]'s response by February 26th. This is our final reminder before that date.

Please remember to track the amount of time that you and others spend on the survey and report this time by office in Question 23.

Survey website: <http://www.nsfherdsurvey.org/>

Your institution's ID: [[id]]

Password: [[password]]

For questions about the survey website, please contact Bill DeBaun of Westat by email at info@nsfherdsurvey.org or by phone at (800) 937-8281. Please contact me at rbritt@nsf.gov or (703) 292-7765 if you have questions or comments about the new survey items.

Thank you for your time and your participation.

Sincerely,

Ronda Britt

Survey Manager, Higher Education R&D Survey

Division of Science Resources Statistics

National Science Foundation

Contact 7: HERD Nonresponse phone calls

Points to cover

- Emphasize that we need a survey response as soon as possible.
- Tell respondent that it is critical that we have a response from all 40 institutions since their responses will be used to assess the feasibility of the questions to include in the full population survey next year.
- Encourage respondent to enter data that are ready and not wait to enter everything at once.
- Find out which items, if any, are barriers to timeliness and let them know Ronda will call to discuss a solution.

Contact 8: Second nonresponse followup (email)

To: Primary contact email

From: NSF Higher Education R&D Survey

Subject: Please reply regarding the NSF Higher Education R&D Survey

Dear [[firstname]] [[lastname]]:

I would greatly appreciate your institution's response to the National Science Foundation's FY 2009 Higher Education R&D Survey. We are asking for all survey responses by Friday, March 19, 2010. After that date, NSF will begin final follow-up efforts by sending letters to the Presidents and Chancellors of institutions that have not yet responded. I recognize and appreciate the effort it takes to provide this information in a timely manner. Please let me know if there is anything I can do to help.

Survey website: <http://www.nsfherdsurvey.org/>

Your institution's ID: [[id]]

Password: [[password]]

If you have any questions, please contact me at rbritt@nsf.gov or (703) 292-7765.

Thank you very much for your continued participation.

Sincerely,

Ronda Britt

Survey Manager, Higher Education R&D Survey

Division of Science Resources Statistics

National Science Foundation

Contact 9: Nonresponse calls, final contact before Presidents letter

(Westat makes these calls)

Points to cover

- Emphasize that we need a survey response as soon as possible. Ask if they can submit before March 19. Inform respondent that NSF will be sending letters to the Presidents and Chancellors of institutions that have not submitted data by March 19.
- Tell respondent that it is critical that we have a response from all 40 institutions so that we can generalize to the survey population.
- Encourage respondent to enter data that are ready and not wait to enter everything at once.
- Find out which items, if any, are barriers to timeliness and let them know Ronda will call to discuss a solution.

Contact 10: Presidents nonresponse letter, mail on Monday March 22

Printed on NSF letterhead, in NSF envelopes, sent overnight delivery

Date Sent

[[adminfirstname]] [[adminmiddlename]] [[adminlastname]]
[[admintitle]]
[[admininstitution]]
[[adminaddr]]
[[admincity]], [[adminstate]] [[adminzip]]

Dear [[adminsalutation]] [[adminlastname]]:

I am writing to let you know we need your institution's response to the National Science Foundation's **Higher Education Research and Development Survey** by Tuesday, April 6, 2010. After this date, we will not be able to include <institution name> in our FY 2009 detailed statistical tables. We launched the survey on November 16, 2009, and asked for responses by February 26, 2010. Our current contact within your institution is [[firstname]] [[lastname]], [[title]].

[admininstitution] is one of only 40 institutions selected to participate in this pilot test of the new survey. The pilot is central to our efforts to update our annual ***Survey of Research and Development (R&D) Expenditures at Universities and Colleges*** to accurately measure the current state of academic research. Because your institution represents similar institutions, your response is critical for assessing how the expanded survey content will work for other institutions.

Although your institution's participation in this survey is voluntary, I am sure that you recognize the importance of improving the measurement of research activities at our nation's colleges and universities. For almost 40 years, NSF has provided these longitudinal data in statistical reports and databases to federal, state, and academic decision makers. The soundness of their decisions on academic research depends on complete, accurate, and timely information. In addition, many universities and colleges use the NSF statistics to benchmark their programs against other institutions. They have asked us to update our indicators for today's academic research. You may see NSF's R&D publications at: www.nsf.gov/statistics/rdexpenditures/.

Please let us know if we should contact a different person to provide your institution's response. You may contact the survey manager, Ms. Ronda Britt, at (703) 292-7765 or rbritt@nsf.gov.

Thank you for your continuing participation in this important survey.

Sincerely,

Lynda T. Carlson, Ph.D.
Director
Division of Science Resources Statistics

cc: [[firstname]] [[lastname]], [[title]

Contact 11: Final nonresponse email, March 24

To: **Primary contact email**

From: NSF Higher Education R&D Survey

Re: NSF Higher Education R&D Survey

Dear [[firstname]] [[lastname]]:

We need your response to the National Science Foundation's FY 2009 Higher Education R&D Survey by Tuesday, April 6. We need to finish data collection in order to review the results of the pilot and make final changes to the FY 2010 survey.

Survey website: <http://www.nsfherdsurvey.org/>

Your institution's ID: [[id]]

Password: [[password]]

If you have any questions, please contact me at rbritt@nsf.gov or (703) 292-7765.

Thank you very much for your continued participation.

Sincerely,

Ronda Britt

Survey Manager, Higher Education R&D Survey

Division of Science Resources Statistics

National Science Foundation

Contact 12: Final nonresponse calls, March 31-April 2

Points to cover (change as needed)

- Emphasize that we need a survey response as soon as possible.
- Tell respondent that it is critical that we have a response from all 40 institutions so that we can generalize to the survey population; they represent the other schools.
- Encourage respondent to enter data that are ready and not wait to enter everything at once.
- Find out which items, if any, are barriers to timeliness and tell them Ronda will call them to discuss a solution.

Contact 13: Thank you email (automatic bounce back)

To: **Primary contact email**

From: NSF Higher Education R&D Survey

Re: NSF Higher Education R&D Survey

Dear [[firstname]] [[lastname]]:

On behalf of the National Science Foundation (NSF), I want to thank you for participating in the FY 2009 pilot test of the NSF Higher Education R&D Survey. We greatly appreciate your additional efforts this year to help us test the new survey questions. Our survey contractor, Westat, will be contacting you within the next week to set up a time to talk about your reactions to the new questions as well as the new format and procedures. After all 40 institutions finish the pilot survey, we will be making decisions on how to proceed with next year's survey.

If you have any questions, please contact me at rbritt@nsf.gov or (703) 292-7765.

Thank you again, and I look forward to your comments.

Sincerely,

Ronda Britt
Survey Manager, Higher Education R&D Survey
Division of Science Resources Statistics
National Science Foundation

Contact 14: HERD Thank-you letter

from NSF Director delivered to President by FedEx, copy to respondent via FedEx

Date Sent

[[adminfirstname]] [[adminmiddlename]] [[adminlastname]]
[[admintitle]]
[[admininstitution]]
[[adminaddr]]
[[admincity]], [[adminstate]] [[adminzip]]

Dear [[adminsalutation]] [[adminlastname]]:

On behalf of the National Science Foundation (NSF), I want to express our heartfelt appreciation for the participation of [Name of institution] in the pilot test of the Higher Education Research & Development Survey. [Name], [Title] of your staff has devoted considerable hours to complete new survey items and give us feedback on what is working and what needs improvement. As you may know, only 40 institutions were selected to test the replacement for NSF's Survey of Research and Development Expenditures at Universities and Colleges (Academic R&D Survey). Your institution's participation in the pilot test helps us minimize the burden to all survey respondents when we launch the new Higher Education Research & Development Survey this November.

Your institution's responses to core questions on this pilot survey will be included in our statistics for the FY 2009 Academic R&D Survey. These core questions provide continuity with the current survey questions that were answered by the rest of our survey population. The following website shows our most recently published statistics for academic R&D expenditures including rankings by university as well as state-by-state tables.

<http://www.nsf.gov/statistics/rdexpenditures/>

If you have any questions, please contact Ronda Britt of my staff. You can reach her at rbritt@nsf.gov or (703) 292-7765.

Again, I thank you for helping us make this major improvement to our collection of R&D statistics.

Sincerely,

Arden Bement, Jr.
Director

cc: [[respfirstname]] [[resplastname]], [[resptitle]]

Contact 15: Refusal conversion 1st attempt

(Within one week of refusal)

To: **Primary contact email**

From: NSF Higher Education R&D Survey

Re: NSF Higher Education R&D Survey

We regret that you will not be able to respond to NSF's FY 2009 Higher Education R&D Survey. Unless we hear otherwise, a letter will be sent next week to [name of President/Chancellor] to confirm that [name of institution] will not be able to participate in this pilot test of the new survey.

We understand that this survey requests a great deal more information than usual. We appreciate your past and future efforts to provide this information so that we can provide complete and accurate data on our nation's academic research expenditures and activities.

Sincerely,
Ronda Britt
Survey Manager, Higher Education R&D Survey
Division of Science Resources Statistics
National Science Foundation

Contact 16: Refusal conversion 2nd attempt, presidents letter

(One week after first refusal conversion attempt, as necessary)

Printed on NSF letterhead, in NSF envelopes

[Date]

[[adminmiddlename]] [[adminlastname]]

[[admintitle]]

[[admininstitution]]

[[adminaddr]]

[[admincity]], [[adminstate]] [[adminzip]]

Dear [[adminsalutation]] [[adminlastname]]:

The National Science Foundation (NSF) is now conducting the pilot test of the ***FY 2009 Higher Education Research and Development Survey***. We were informed by [[firstname]] [[lastname]], [[title]], that [[institution name]] will not be participating in this pilot test. While your institution's participation in this survey is voluntary, we wanted to confirm this decision with your office before proceeding without your institution's information.

This pilot survey is central to our efforts to update the content of our annual ***Survey of Research and Development Expenditures at Universities and Colleges***. Your institution is one of 40 randomly selected to try the new questions as well as to provide the standard information in a new format. Because [[institution name]] represents similar institutions, we very much need your response to help determine how the expanded survey content will work for other institutions.

For almost 40 years, NSF has provided national R&D data in statistical reports and databases to federal, state, and academic decision makers. The soundness of their decisions on academic research depends on complete, accurate, and timely information.

Please let us know if you can provide some or all of the FY 2009 survey responses. You may contact Ronda Britt of my staff at (703) 292-7765 or rbritt@nsf.gov.

Thank you for your consideration in this matter.

Sincerely,

Lynda T. Carlson, PhD

Director

Division of Science Resources Statistics

cc: [[respfirstname]] [[resplastname]], [[resptitle]]

Contact 17: Refusal conversion 3rd attempt, by phone

(two weeks after 2nd attempt)

Ronda will make these calls.

Messages to convey:

1. Ask which items seem to be the most burdensome. Emphasize that estimates are acceptable, especially for new items.
2. Document issues with each item as time allows. Negotiate for as much of data as they can provide.

Main items we need in order of preference:

- a. Items 1 and 9: Separately budgeted R&D expenditures by source of funds and S&E field
 - b. Item 1: Separately budgeted R&D expenditures by source of funds
 - c. Item 1, rows a and g:
 - a. Federal R&D expenditures in S&E fields
 - f. Total R&D expenditures in S&E fields
3. If respondent changes mind about refusal, set up date for survey deadline
 - a. Use actual survey deadline (February 26) if more than two weeks in future
 - b. Use March 19th if after mid-February and before March 19th
 - c. Use April 6th as appropriate for conversations on/after March 12th
 4. Thank respondent and say that we hope next year will work out better when they are not part of the pilot.