

May 17, 2013

FY 2013 HERD Survey Contact Procedures

Contact	Date (FY 2013 date)	Description	Mode	From
1.	Mon., Nov. 4, 2013	Pre-launch <ul style="list-style-type: none"> • Update respondent name • Initial contact verification request 	Email	Ronda
2.	Tues., Nov. 12, 2013	Launch <ul style="list-style-type: none"> • Institution ID and password • Survey changes 	Email	Ronda
3.	Mon., Nov. 18, 2013	Verification reminder 1	Email	Ronda
4.	Mon., Dec. 2, 2013	Verification reminder 2	Email	Sean
5.	Mon. – Thur. Dec. 9-12, 2013	Verification reminder 3 <ul style="list-style-type: none"> • Verify primary and alternate contact • Seek information for new POC as needed 	Phone	ICF staff
6.	Tues. Dec. 3, 2013	Due date reminder 1	Email	Sean
7.	Fri., Jan. 3, 2014	Due date reminder 2 <ul style="list-style-type: none"> • Postcard 	Mail	
8.	Thur., Jan. 23, 2014	Due date reminder 3	Email	Sean
	Friday Jan. 31, 2014	Survey Deadline		
9.	Mon., Feb 3, 2014	Nonresponse 1a <ul style="list-style-type: none"> • Need response ASAP Nonresponse 1b <ul style="list-style-type: none"> • Special attention respondents Reminder of new deadlines	Email	Sean
10.	Mon., Feb. 10, 2014	Nonresponse 2 <ul style="list-style-type: none"> • Only for institutions without an upcoming expected date of completion • Asks for submission by Friday, March 7 • Explains letters will be sent to senior administrators after that date 	Email	Ronda
11.	Mon.-Thur., February 17-20, 2014	Nonresponse 3 <ul style="list-style-type: none"> • Only for institutions without an upcoming expected date of completion. • Asks for submission by Friday, March 7 • Explains letters will be sent to senior administrators after that date 	Phone	ICF staff

Contact	Date (FY 2013 date)	Description	Mode	From
12.	Mon., Feb. 24, 2014	Nonresponse 4a <ul style="list-style-type: none"> For institutions that missed an previous extension Nonresponse 4b <ul style="list-style-type: none"> For institutions with upcoming expected completion dates or no past expected completion dates. 	Email	Ronda
	Fri., March 7, 2014	Extended deadline		
13.	Mon., March 10, 2014	Nonresponse 5 <ul style="list-style-type: none"> Letter to senior administrator Copy primary contact 	Fed-Ex	NCSES Director
14.	Mon., March 17, 2014	Nonresponse 6 <ul style="list-style-type: none"> Last email before website closes 	Email	Ronda
15.	Mon.–Thur., March 24-27, 2014	Nonresponse 7 <ul style="list-style-type: none"> Phone calls to high priority institutions 	Phone	Kathryn/ Ronda
	Mon., March 31, 2014	[Estimated closeout of website; depends on response rate of Top 100]		
	Mon., April 14, 2014	[Estimated closeout of data collection; one week after closeout of website]		
Other contacts: Response acknowledgments				
16.	Automatic after submission	Survey received, data review in progress	Email	Jennifer
17.	Automatic after survey is marked final by data approver	Thank you 1	Email	Ronda
18.	As data is approved	Thank you 2 <ul style="list-style-type: none"> to school senior administrator copy respondent 	Mail	NCSES Director
Other contacts: Data corrections				
19.	As needed	Data quality issues 1	Email	Jennifer
20.	2 weeks after first correction email	Data quality issues 2	Email	Jennifer
21.	As needed	Data quality issues 3	Phone	ICF Staff
22.	As needed	Automated resubmit email	Email	Jennifer
Other contacts: Refusal conversion				
23.	After refusal	Refusal conversion 1	Phone	Ronda

Contact	Date (FY 2013 date)	Description	Mode	From
24.	After continued refusal or nonresponse refusal conversion 1	Refusal conversion 2 <ul style="list-style-type: none"> • Letter to senior administrator • Ask for confirmation of refusal • Request partial data • Copy respondent 	Fed-Ex	NCSES Director
25.	New institution welcome	<ul style="list-style-type: none"> • Introduction to survey for institutions new to population • Email to senior administrator • Copy respondent 	Email	Ronda

Details of Data Collection Procedures NSF HERD Survey FY 2013

During a data cycle for the HERD survey there is a typical set of contacts that an institution, usually one designated respondent, might receive. The following list describes each type of contact including the goal, timing and whether multiple versions could be sent. Included in each description is a link to a sample of each email, letter, or call script. NOTE: The data collection procedures for the FFRDC R&D Survey and HERD Short Form Survey are specified in separate documents for the FY 2013 data collection.

1. Pre-launch email: This email is sent to all institutions and it is sent to the primary contact currently listed in the database. Typically, this is the previous year's respondent, however an institution may have changed the designated respondent during the population review or between survey cycles. This email is typically sent 1 week before survey launch. The goals of this email are to 1) inform the respondent about the upcoming launch email, 2) give the institution the opportunity to change the designated respondent before survey information is sent out, and 3) give data collection staff the opportunity to identify incorrect email addresses prior to survey delivery. In most cases the pre-launch email is sent only once. If the email is returned as undeliverable, the data collection staff attempts to identify a correct address and resend the email. [Contact 1: [Pre-launch](#)]

2. Launch email: This email is sent to all primary contacts currently listed in the database after the web-based data collection system is open. The goals of this email are to 1) provide login information for the web-based survey, 2) briefly describes the purpose of the survey, 3) describe any changes to the survey instrument or procedures, 4) list sources for additional information and assistance, and 5) distribute the Adobe Acrobat version of the data collection instrument as an attachment. [Contact 2: [Launch](#)]

3. Verification reminder contacts: Two weeks after the pre-launch e-mail, which is also the initial contact verification request, respondents who have not contacted data collection staff to verify they are the correct respondent are sent a reminder email. This email asks them to respond and confirm or revise contact information. The goal of this email is to confirm that someone has taken responsibility for the survey by listing themselves as the primary contact. If a respondent calls or emails data collection staff with a question regarding the survey, they are recorded as verifying they are the correct respondent for the survey. [Contact 3: [Verification reminder 1](#)] A second verification reminder will be sent to all who still have not confirmed their contact information. [Contact 4: [Verification reminder 2](#)]

If an institution does not respond to the three initial requests to verify a primary contact, including the pre-launch email, data collection staff will start making phone calls. The goal of these calls is to confirm that someone has received the survey information and has taken responsibility for the survey by listing themselves as the primary contact. [Contact 5: [Verification reminder 3](#)]. The primary contact at each institution will be asked to confirm receipt of previous emails, confirm or revise their contact information, or provide contact information for another respondent.

If a primary contact has not been verified after one round of phone calls (one week), NSF and/or data collection staff will attempt to identify and verify an alternative contact.

4. Reminder contacts: Since there are almost 3 months between the launch email and the survey due date, primary contacts will be sent occasional reminders. The first reminder contact will be sent 7-8 weeks before the announced due date to all institutions who have not submitted final FY 2013 data. [Contact 6: [Due date reminder 1](#)].

Reminder cards will be mailed to the academic institutions that have not submitted final FY 2013 survey data four weeks before the deadline. [Contact 7: [Due date reminder 2](#)]

A third reminder will be sent approximately 1 week before the deadline. [Contact 8: [Due date reminder 3](#)]

5. Missing data, data errors or explanation for trend changes not provided: This email is sent to institutions that submit incomplete final data, submit data with errors or submit with unexplained trend changes. The emails typically go out within two weeks of an institution submitting. [Contact 19: [Data quality issues 1](#)] If a response is not received within 2 weeks a second email is sent. [Contact 20: [Data quality issues 2](#)] If there is no response to a second email, data collection staff will begin calling the primary contact until a response is received [Contact 21: [Data quality issues 3](#)]. Once an institution resubmits their corrected survey response, an email is automatically sent thanking them for the response [Contact 22: [Automated Resubmit e-mail](#)].
6. Automatic survey receipt and thank-you emails: An email acknowledging receipt of the survey submission is automatically sent to the primary contact by the web survey system after an institution clicks on the submit survey button. The primary contact typically receives the email within minutes of submitting data. The purpose of this email is to verify receipt of the survey and let them know that ICF will be reviewing their response and will be in touch with any questions. [Contact 16: [Survey received](#)]. Once the survey submission is finalized by ICF, a thank you email will be automatically sent. The goals of this email are to 1) thank the respondent for the participation in the survey, 2) confirm the data have been reviewed and finalized, 3) remind respondents that they can still review and download their data at anytime, and 4) provide additional information about reports and the public release of data. [Contact 17: [Thank you 1](#)]
7. Thank-you letter to institution administration: These letters are addressed to the senior administrator at each academic institution (e.g., President, Chancellor) and a copy is sent to the primary contact. The letters will be signed by the Director of NCSES and sent to institutions that have approved final data. These letters will be produced throughout the data collection cycle and mailed within 2 weeks of data being submitted. [Contact 18: [Thank you 2](#)]

8. Nonresponse contacts: Beginning a few days after the announced survey due date, all institutions that have not submitted final data are contacted about nonresponse. The following is the general schedule of nonresponse contacts:
- Email sent 2 business days after survey deadline to all institutions that have not submitted final data. This email will remind contacts of the missed due date and ask them to respond as soon as possible. [Contact 9: [Nonresponse 1](#)]
 - An email will be sent one week later to all institutions that have not submitted final data and have not requested an extension. This email will provide a first warning of the letter being sent to the senior administrator. [Contact 10: [Nonresponse 2](#)]
 - The following week data collection staff will call the primary contact of institutions that have not submitted final data and have not requested an extension. Contacts will be asked if they can respond by March 7 and will be reminded about the letters to school administration. [Contact 11: [Nonresponse 3](#)]
 - An email one week later from Ronda Britt to all institutions that have not submitted final data. This email will notify respondents that the university/college administration will be contacted at those institutions that do not submit by March 7. There will be two versions of this e-mail, one for institutions that missed a recent expected completion date and one for all other institutions [Contact 12: [Nonresponse 4a](#) and [Nonresponse 4b](#)]
 - Letter sent via Fed-Ex 2-day on Monday after extended deadline to the administration (e.g., President, Chancellor) of institutions that have not submitted final data. Copy of letter to respondent. [Contact 13: [Nonresponse 5](#)]
 - An email two weeks before website close announcing that the survey will close and data will no longer be accepted. [Contact 14: [Nonresponse 6](#)]
 - Closing phone calls. During the final 2 weeks of data collection, ICF and NSF staff will follow up with high priority institutions (those with higher expenditure amounts), institutions that have expressed a sincere desire to participate in the survey, and institutions that have entered some data but have not submitted. [Contact 15: [Nonresponse 7](#)]

Special Attention Institutions

Throughout the year institutions are set aside for additional or alternative contacts. In most cases this just means that survey personnel will contact the respondent or other institution staff in addition to or in lieu of standardized contact procedures. Institutions frequently do not stay on the “special attention” list throughout data collection. If an issue is resolved, the institution will again begin receiving standardized contacts with the rest of the survey population. Below is a list of specific and general circumstances that would qualify an institution for special attention. In some cases, specific contacts have been composed to address these events.

- Extension requests: All requests for extensions made prior to January 17 will be forwarded to Ronda Britt. The general answer will be that by Friday, February 21 is acceptable, and after that we will be evaluating our response rate and therefore cannot

guarantee an extension past that date. They will be assured that they will receive at least a two week notice before we close down the survey website. After January 17 ICF will manage requests for extensions if respondents agree to respond by February 21. Requests for extensions beyond February 21 will be forwarded to Ronda Britt.

- Institutions on calendar year fiscal years or late additions to survey population: Because these institutions are starting to gather their data later, a longer extension will be granted to them. If the school requests an extension, they will be given until March 7 to submit their survey response. Their post deadline contacts will be altered (see instructions for specific contacts and Contact 9: [Nonresponse 1b](#)).
- Institutions that indicate that they will not be participating in the FY 2013 survey: If a respondent indicates that they will not be participating in the survey, their information will be forwarded to Ronda Britt who will call the respondent to encourage response. [Contact 23: [Refusal conversion 1](#)]

If the respondent continues to refuse to participate or does not respond to refusal conversion 1, a letter signed by the NCSES Director will be sent to the school administration confirming the decision not to participate in the survey. [Contact 24: [Refusal conversion 2](#)]

- Institutions where the primary contact has left the institution and an alternative contact has not been provided: Typically institutions do not go without an identified primary contact for long, but establishing a new contact often involves a few phone calls and/or emails from survey staff.
- When one primary contact responds for several campuses: Standardized contacts are written with the assumption that one person is responsible for one institution submittal. In some cases standardized emails and letters are revised to be appropriate for a multi-campus respondents and to avoid sending the respondent many copies of the same letter or e-mail.
- Institutions new to the population: For institutions joining the population for the first time in FY 2013, a special pre-launch letter will be sent to the President's office and copying the respondent letting them know about the survey [Contact 25: [New institution welcome email](#)]

Pre-launch (Contact 1)

To: Primary contact email

From: NSF Higher Education R&D Survey

Re: Please verify contact information for the NSF Higher Education R&D Survey ([[inst_id]])

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

In about one week, the National Science Foundation (NSF) will begin the FY 2013 Higher Education R&D (HERD) Survey. I would appreciate very much if you would take a moment to reply and let us know whether or not you are still the appropriate contact person for your institution.

The current survey contact information appears below. If corrections are necessary, please let us know so we can update your institution's information.

Name: [[firstname]] [[lastname]]

Title: [[title]]

Phone: [[phone]]

Email: [[email]]

Address:

[[institution]]

[[addr2spaces]]

[[city]], [[state]] [[zip]]

This annual survey is being conducted for NSF by ICF International. If you have any questions regarding this information, please call Sean Rider of ICF International toll-free at (866) 936-9376 or send an email to support@herdsurvey.org.

Thank you so much for your continuing participation in the survey.

Sincerely,

Ronda Britt

Project Officer, Higher Education R&D Survey

National Center for Science and Engineering Statistics

National Science Foundation

Launch (Contact 2)

To: Primary contact email
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey ([[inst_id]])
Atth: HERD survey PDF

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

The website is now open for the National Science Foundation's (NSF's) FY 2013 Higher Education R&D Survey.

This survey is the primary source of information on research and development expenditures at higher education institutions in the United States and outlying areas. Your response to this survey is very important because it helps us produce the most accurate statistics possible on U.S. higher education R&D expenditures.

To access the survey for [Institution name], please follow the link below and enter your ID and password:

Survey website: www.herdsurvey.org
Your institution's ID: [[ID]]
Password: [[password]]

Survey deadline: January 31, 2014

The FY 2013 survey is conducted for NSF by ICF International. If you have any questions about the survey website, please contact Sean Rider toll-free at (866) 936-9376 or send an email to support@herdsurvey.org. If you have questions about survey items, please contact me at rbritt@nsf.gov or (703) 292-7765.

Thank you for completing this survey.

Sincerely,
Ronda Britt
Project Officer, Higher Education R&D Survey
National Center for Science and Engineering Statistics
National Science Foundation

Verification Reminder Contacts

Verification reminder 1 (Contact 3)

(to all institutions who have not yet verified the contact)

To: Primary contact email

From: NSF Higher Education R&D Survey

Re: Please verify contact information for the NSF Higher Education R&D Survey ([[inst_id]])

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

We are trying to verify all respondent contacts for the FY 2013 Higher Education R&D Survey. Please take a moment to reply to this message and let us know if you are still the appropriate contact for [[instlongname]].

If you would like to correct any of the contact information below, please include that in your reply.

Name: [[firstname]] [[lastname]]
Title: [[title]]
Phone: [[phone]]
Email: [[email]]

Address:
[[instprimary]]
[[addr]]
[[city]], [[state]] [[zip]]

If you have any questions about your participation in the survey, please contact me at rbritt@nsf.gov or (703) 292-7765.

Sincerely,
Ronda Britt
Project Officer, Higher Education R&D Survey
National Center for Science and Engineering Statistics
National Science Foundation

Verification reminder 2 (contact 4)

(to all institutions who have not yet verified the contact)

To: Primary contact email
From: NSF Higher Education R&D Survey
Re: Contact information for NSF Higher Education R&D Survey ([[inst_id]])

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

We are asking all institutions to confirm their contact information for the FY 2013 Higher Education Research and Development Survey.

Please take a minute to reply to this email and let us know whether or not you are still the appropriate contact for [[InstLongName]].

The information we currently have is listed below. If you would like to correct any of the contact information below, please include that in your reply.

Name: [[firstname]] [[lastname]]
Title: [[title]]
Phone: [[phone]]
Email: [[email]]

Address:
[[instprimary]]
[[addr]]
[[city]], [[state]] [[zip]]

Thank you,
Sean Rider
Data Collection Specialist
NSF Higher Education R&D Survey
ICF International
Toll-free number: (866) 936-9376
support@herdsurvey.org

Verification reminder 3 (Contact 5)

In-person

1. Tell respondent that we are trying to verify contact information for their institution.
2. Ask respondent if they have received the previous emails and provide the date the most recent email was sent.
3. Ask if they should continue to be the primary contact for the survey.
 - a. If the respondent confirms that they should be the primary contact, review contact information with respondent as necessary to confirm correct information for the primary contact and name and email of the alternate contact. Thank respondent for participating, ask if they have any questions for us.
 - b. If the respondent says that they should no longer be the primary contact, ask who the new contact should be or who we should call to identify a new contact. Try to get name, title, phone and e-mail for the next contact. Thank respondent for their help

Leaving a message

1. If the respondent cannot be reached leave a message identifying yourself and the survey, the purpose of the call, the date of the email referenced, and the action the respondent must take.

Voicemail Example: “Hello my name is [[survey staff]], and I’m calling on behalf of the National Science Foundation about the Higher Education R&D Survey. I just wanted to verify that you should be the primary contact for this year’s survey. Please call us at 866-936-9376 or respond to the e-mail we sent on [[date email was sent]]. I would appreciate a response by the end of this week.”

A similar message, with needed revisions, can be left with an administrative assistant or co-worker.
2. During a call cycle, typically a week, only one message should be left, but continue to try and contact respondents at different times of day throughout the cycle.

Reminder Contacts

Due date reminder 1 (Contact 6)

To: Primary contact email
From: NSF Higher Education R&D Survey
Re: Reminder: NSF Higher Education R&D Survey ([[inst_id]])

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

A few weeks ago we asked for your participation in the National Science Foundation's FY 2013 Higher Education R&D Survey. The survey deadline is January 31, 2014.

To access the survey for [Institution name]:

Survey website: www.herdsurvey.org
Your institution's ID: [[ID]]
Password: [[password]]

We greatly appreciate your efforts to fit the survey response into your busy schedule and respond by the deadline. If you have any questions about the survey items, please contact Ronda Britt of NSF at rbritt@nsf.gov or (703) 292-7765. If you have questions about using the survey website, please contact me toll-free at (866) 936-9376 or send an email to support@herdsurvey.org.

Thank you for your time and your participation.

Sincerely,
Sean Rider
Data Collection Specialist
NSF Higher Education R&D Survey
ICF International

Due date reminder 2 (Contact 7)

(a folded card, 3x5” when folded, mailed in an NSF legal envelope; a sticky note included inside card)

Design/text for mailer follows below:

Cover page: Teal background, large NSF logo on in the middle top 2/3 of card (use same color logo as one on existing postcard), “Higher Education R&D Survey” as heading on the bottom third of card.

Inside left:

“Friday, January 31, 2014, is the deadline for submitting your response to the NSF Higher Education R&D Survey. Your institution’s response is important to update the national data on academic R&D. We appreciate your efforts to submit your response by the deadline.”

To access the online survey, go to www.herdsurvey.org

Thank you for your participation. For additional help, please contact us:

Email: support@herdsurvey.org
Toll-free number: (866) 936-9376

Inside right:

Background – calendar showing month of January 2014, with the 31 circled and pointed to.

Text for post-it insert: (same font as rest of postcard printed on light blue paper)

<p>The deadline for the FY 2013 NSF Higher Education R&D Survey is:</p> <p>Friday, January 31, 2014</p> <p>Log in at www.herdsurvey.org</p>

Due date reminder 3 (Contact 8)

To: Primary contact email

From: NSF Higher Education R&D Survey

Re: Due date for NSF Higher Education R&D Survey: January 31, 2014 ([[inst_id]])

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

We are reminding all survey respondents about the upcoming deadline for the National Science Foundation's FY 2013 Higher Education R&D Survey.

Please respond by Friday, January 31, 2014.

The information below can be used to access the survey for [Institution name]:

Survey website: www.herdsurvey.org

Your institution's ID: [[inst_id]]

Password: [[password]]

If you have any questions, please call toll-free at (866) 936-9376 or send an email to support@herdsurvey.org.

Thank you in advance for completing the HERD Survey. Your information is vital in developing comprehensive statistics on R&D expenditures in the United States.

Sincerely,
Sean Rider
Data Collection Specialist
NSF Higher Education R&D Survey
ICF International

Nonresponse Contacts

Nonresponse 1a (Contact 9)

(Send to all institutions **except** those who have been granted a March 7 extension for special circumstances (See Nonresponse 1b))

To: Primary contact email

From: NSF Higher Education R&D Survey

Re: Please reply regarding the NSF Higher Education R&D Survey ([[inst_id]])

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

We need your response as soon as possible to the National Science Foundation's FY 2013 Higher Education R&D Survey. It is important for us to have every institution's current R&D information so that our FY 2013 statistical tables will be complete.

To access the survey for [Institution name]:

Survey website: www.herdsurvey.org

Your institution's ID: [[inst_id]]

Password: [[password]]

If you have questions or need further information, you may reach me by email at support@herdsurvey.org or call toll-free at (866) 936-9376.

Thank you very much for your help with the survey.

Sincerely,

Sean Rider

Data Collection Specialist

ICF International

NSF Higher Education R&D Survey

Nonresponse 1b (Contact 9)

(Send to all institutions that have been granted a March 7 extension)

To: Primary contact email
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey: due March 7, 2014 ([[inst_id]])

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

Your deadline for the National Science Foundation's FY 2013 Higher Education R&D Short Form is extended to Friday, March 7.

It is very important that we receive your response on or before March 7.

To access the survey for [Institution name]:

Survey website: www.herdsurvey.org

Your institution's ID: [[inst_id]]

Password: [[password]]

If you have questions or need further information, you may reach us by email at support@herdsurvey.org or by calling toll-free at (866) 936-9376.

Thank you for your continued participation. We know you are busy, and we greatly appreciate your efforts to respond to the survey in a timely manner.

Sincerely,
Sean Rider
Data Collection Specialist
ICF International
NSF Higher Education R&D Survey

Nonresponse 2 (Contact 10)

(Do not send to schools with upcoming expected completion dates)

To: Primary contact email

From: NSF Higher Education R&D Survey

Subject: Please reply regarding the NSF Higher Education R&D Survey ([[inst_id]])

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

I would greatly appreciate your institution's response to the National Science Foundation's FY 2013 Higher Education R&D Survey. We are asking for all survey responses by Friday, March 7, 2014. After that date, NSF will begin contacting the Presidents and Chancellors of institutions that have not yet responded.

To access the survey for [Institution name]:

Survey website: www.herdsurvey.org

Your institution's ID: [[inst_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

Project Officer, Higher Education R&D Survey

National Center for Science and Engineering Statistics

National Science Foundation

Nonresponse 3 (Contact 11)

Call primary contact at all academic institutions that have not submitted final data and do not have an upcoming expected submittal date.

In-person

Issues to be highlighted during a phone call to a nonrespondent from data collection staff:

1. Indicate that you are calling on behalf of the National Science Foundation regarding the Higher Education Research and Development Survey
2. Point out their latest activity on the survey. For example:
“In your last email you mentioned that you would have the survey submitted by XX.”
“It looks like you logged on to the survey back in January. Do you still have the survey information?”
3. Inform respondent that NSF will be sending letters to the Presidents and Chancellors of institutions that have not submitted data by March 7.
4. Ask if they can submit before March 7. Tell them that after March 7 we will be closing data collection as soon as we reach our desired response rate. We will contact them at least one week before we close the data collection period to give them one final chance to submit their data.
5. Tell the respondent you will email the ID and password if they do not have it. Be sure to verify the correct email address.
6. Ask the respondent if he/she has any questions and let them know that if they have any questions in the future, they can send an email to support@herdsurvey.org or call you toll free at 866-936-9376.

Leaving a message

1. If the respondent cannot be reached leave a voice mail identifying yourself and the survey, the purpose of the call, the date of the email referenced, and the action the respondent must take.

Voicemail Example: “Hello my name is [[survey staff]], and I’m calling on behalf of the National Science Foundation about the Higher Education R&D Survey. I just wanted to remind you that the extended due for the survey is March 7th. After March 7th NSF will be sending letters to the Presidents of Chancellors of institutions that have not submitted final data. Please call us at 866-936-9376, extension 2 and let us know if you will be able to submit by that date. If you have any questions about the survey or need us to resend survey information, give us a call.”

A similar message, with needed revisions, can be left with an administrative assistant or co-worker.

2. During a call cycle, typically a week, only one message should be left, but continue to try and contact respondents at different times of day throughout the cycle.

Nonresponse 4a (Contact 12)

(To primary contacts that missed post-due-date expected completion date)

To: Primary contact email
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey ([[inst_id]])

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

Earlier you let us know that you would submit the FY 2013 Higher Education R&D Survey by [Month XX]. As of today we have not received your response. We would appreciate a response no later than Friday, March 7.

After March 7, NSF will send letters to the Presidents and Chancellors of all institutions that have not yet responded. These letters will explain that our deadline has passed and offer a last chance to participate before the survey closes.

Institutions that do not respond are still included in the published tables. Their R&D expenditures are estimated and labeled as imputed estimates in our reports. The procedure to estimate missing information is done as a last resort; our goal is to receive current data from everyone so that our national statistics are as accurate as possible.

As NSF's project manager for the survey, I would greatly appreciate your help by submitting your survey response as soon as possible.

To access the survey for [Institution name]:

Survey website: www.herdsurvey.org
Your institution's ID: [[inst_id]]
Password: [[password]]

Thank you very much for your institution's continued participation in this national survey.

Sincerely,
Ronda Britt
Project Officer, Higher Education R&D Survey
National Center for Science and Engineering Statistics
National Science Foundation
rbritt@nsf.gov
(703) 292-7765

Nonresponse 4b (Contact 12)

(To primary contacts that did not get Nonresponse 4a – an upcoming expected completion date or never had a non-due date expected completion date).

To: Primary contact email
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey ([[inst_id]])

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

We need your survey response by Friday, March 7 for the FY 2013 Higher Education R&D Survey. After that date, NSF will send letters to the Presidents and Chancellors of all institutions that have not yet responded. These letters will explain that our deadline has passed and offer a last chance to participate before the survey closes.

Institutions that do not respond are still included in the published tables. Their R&D expenditures are estimated and labeled as imputed estimates in our reports. The procedure to estimate missing information is done as a last resort; our goal is to receive current data from everyone so that our national statistics are as accurate as possible.

As NSF's project manager for the survey, I would greatly appreciate your help by submitting your survey response as soon as possible.

To access the survey for [Institution name]:

Survey website: www.herdsurvey.org
Your institution's ID: [[inst_id]]
Password: [[password]]

Thank you very much for your institution's continued participation in this national survey.

Sincerely,
Ronda Britt
Project Officer, Higher Education R&D Survey
National Center for Science and Engineering Statistics
National Science Foundation
rbritt@nsf.gov
(703) 292-7765

Nonresponse 5 (Contact 13)

Version A: Institutions that did not submit final data and did not have an extension for special circumstances.

Version B: Respondents at calendar years schools OR late entry into survey population

Printed on NSF letterhead delivered via FedEx 2-day

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 by Friday, March 29 to the National Science Foundation's Higher Education Research and Development Survey. We launched the survey on November 13, 2013, and asked for responses by January 31, 2014. [Version B: March 7, 2014] Our current contact within your institution is [[firstname]] [[lastname]], [[title]].

This survey is the only source of comprehensive national information on R&D spending within the higher education sector. The survey has been revised in recent years to collect additional data which allow more detailed peer comparisons with other institutions. Although your institution's participation in this survey is voluntary, your survey response is very important to the accuracy of NSF's statistics.

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 annual assessment of our nation's R&D.

Sincerely,

John R. Gawalt
Director
National Center for Science and Engineering Statistics

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

Nonresponse 6 (Contact 14)

To: Primary contact email
From: NSF Higher Education R&D Survey
Re: Final Notice: NSF Higher Education R&D Survey due March 28 ([[inst_id]])

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

We need your response to the National Science Foundation's FY 2013 Higher Education R&D Survey before the website closes on Friday, March 28. This is the final extension that we are providing survey respondents. We would really appreciate your survey response so that our statistical tables are as complete as possible, since they are used by many of your peers and the media.

To access the survey for [Institution name]:

Survey website: www.herdsurvey.org
Your institution's ID: [[inst_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 institution's continued participation in this survey.

Sincerely,
Ronda Britt
Project Officer, Higher Education R&D Survey
National Center for Science and Engineering Statistics
National Science Foundation

Nonresponse 7 (Contact 15)

(To the primary contacts of high-priority institutions that have not submitted final data)

In-person

Issues to be highlighted during a phone call to a non-respondent from data collection staff:

1. Indicate that you are calling on behalf of the National Science Foundation regarding the Higher Education Research and Development Survey.
2. Remind respondent that the survey web site will close on March 28.
3. Ask if they will be able to respond to the survey and, if yes, when.
4. If they ask for more time or indicate that they can't submit by March 28, tell them that they will have to speak to Ronda Britt.
5. Ask the respondent if he/she has any questions and let them know that if they have any questions in the future, they can send an email to support@herdsurvey.org or call you toll free at 866-936-9376.

Leaving a message

1. If the respondent cannot be reached leave a voice mail identifying yourself and the survey, the purpose of the call, the date of the email referenced, and the action the respondent must take.

Voicemail Example: "Hello my name is [[survey staff]], and I'm calling on behalf of the National Science Foundation about the Higher Education R&D Survey. I just wanted to remind you that the survey website is closing on Friday, March 28th. Please call us at 866-936-9376 and let us know when you will be able to submit your survey. If you have any questions about the survey give us a call."

A similar message, with needed revisions, can be left with an administrative assistant or co-worker.

2. During a call cycle, typically a week, only one message should be left, but continue to try and contact respondents at different times of day throughout the cycle.

Thank You Emails and Letters

Survey received (Contact 16)

To: Primary contact email
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey ([[inst_id]])

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

We have received your institution's submission for the National Science Foundation's (NSF) FY 2013 Higher Education Research and Development (HERD) Survey. Our data collection team is now reviewing all survey responses and will follow up with any questions in the next few weeks. We will send you an email to let you know when the review is complete.

Thank you very much for your help with this effort. If you have any questions or need further information, you may reach me by email at support@herdsurvey.org or call toll-free at (866) 936-9376.

Sincerely,
Jennifer Greer
Data Quality Manager
NSF Higher Education R&D Survey
ICF International

Thank you 1 (Contact 17)

(after data review is complete and survey response is marked final for institutions with \$150,000 or more in R&D)

To: Primary contact email
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey ([[inst_id]])

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

On behalf of the National Science Foundation (NSF), I want to thank you for participating in the FY 2013 Higher Education Research and Development Survey. The detailed information you provided for [[institution name]] will increase both the accuracy and usefulness of the national R&D statistics for the academic community.

Your survey submission has been reviewed by our Data Quality Manager and will now be added to the final database. If you find errors that need to be corrected, please contact us at (866) 936-9376 as soon as possible.

You may view or download this final version of the survey data at any time by logging onto the survey website using the information below.

Survey website: www.herdsurvey.org/
Your institution's ID: [[inst_id]]
Password: [[password]]

To see our NSF publications for previous years of the survey, please visit:
www.nsf.gov/statistics/herd/

If you have any other questions, please contact our survey contractor, ICF International, toll-free at (866) 936-9376 or send an email to support@herdsurvey.org.

Sincerely,
Ronda Britt
Project Officer, Higher Education R&D Survey
National Center for Science and Engineering Statistics
National Science Foundation
rbritt@nsf.gov
(703) 292-7765

Thank you 2 (Contact 18)

(to senior administrator of institutions with approved final data)

Printed on NSF letterhead, in NSF envelopes

Date Sent

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

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

The National Science Foundation (NSF) thanks [[admininstitution]] for participating in the Higher Education Research and Development Survey. The information your institution provided for FY 2013 will become part of our longitudinal statistics on R&D expenditures in 36 fields. For 40 years, NSF has provided information from this survey to federal, state, and academic decision makers. In addition, data from our surveys become part of the international statistics that compare the overall research activity of the United States with other nations.

I would especially like to recognize [[firstname]] [[lastname]], [[title]], who provided this year's survey response for [[admininstitution]]. The efforts of your staff involved a significant amount of work to provide the information requested on the survey. We appreciate these contributions to NSF's measurement of academic R&D within the United States.

Our website includes survey results for previous years of the Higher Education R&D Survey as well as a variety of other science and engineering statistics. It is located at www.nsf.gov/statistics/. You may contact John Jankowski, Director of NSF's Research and Development Statistics Program for further information at (703) 292-7781 or jjankows@nsf.gov.

Again, thank you for your continuing participation.

Sincerely,

John R. Gawalt
Director
National Center for Science and Engineering Statistics

cc: [[firstname]] [[lastname]]

Data Correction/Clarification

Contact 19: Data Quality Issues (DQI) e-mail

To: FY 2013 respondent
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey

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

I am reviewing your data for NSF's FY 2013 Higher Education R&D Survey, and I need your help to clarify or correct [a few items/one item/two items]. After your reply, I can finalize your survey answers for FY 2013. I would like to finalize your survey data by [two weeks after message].

This year we are asking institutions to return to the survey website to explain or correct data quality issues.

To access the survey for [Institution name]:

Survey website: www.herdsurvey.org/
Your institution's ID: [[ID]]
Password: [[password]]

When you return to the survey, you will see a red error icon next to each question that has a data quality issue. At the top of each marked question you will find a description of the issue and options for correcting or explaining. When each issue has been resolved, click the Resubmit button. The survey has been reopened so you can make revisions to data if needed.

If you have any questions or concerns, please contact us at support@herdsurvey.org or call toll free at (866) 936-9376.

Sincerely,
Jennifer Greer
Data Quality Manager
NSF Higher Education R&D Survey
ICF International

Contact 20: Data Quality Issues (DQI) nonresponse followup (e-mail)

To: FY 2013 respondent
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey

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

I need your help to clarify or correct one item from your institution's FY 2013 Higher Education R&D Survey. I had previously contacted you about these issues on [date]. I need your response to finalize your institution's FY 2013 survey. I would like to finalize your survey data by [date].

This year we are asking institutions to return to the survey website to explain or correct data quality issues.

To access the survey for [inst name]:

Survey website: www.herdsurvey.org
Your institution's ID: [[ID]]
Password: [[password]]

When you return to the survey, you will see a red error icon next to each question that has a data quality issue. At the top of each marked question you will find a description of the issue and options for correcting or explaining. When each issue has been resolved, click the Resubmit button.

The survey has been reopened so you can make revisions to data if needed.

If you have any questions or concerns, please contact us at support@herdsurvey.org or call toll free at (866) 936-9376.

Sincerely,
Jennifer Greer
Data Quality Manager
NSF Higher Education R&D Survey
ICF International

Contact 21: Data Quality Issues (DQI) nonresponse followup (phone)

In-person

Issues to be highlighted during a phone call to a non-respondent from data collection staff:

1. Indicate that you are calling on behalf of the National Science Foundation regarding the Higher Education Research and Development Survey.
2. Ask if they received the data quality issues email and if so, when they might be able to respond.
3. Ask the respondent if he/she has any questions and let them know that if they have any questions in the future, they can send an email to support@herdsurvey.org or call you toll free at 866-936-9376.

Leaving a message

1. If the respondent cannot be reached leave a voice mail identifying yourself and the survey, the purpose of the call, the date of the email referenced, and the action the respondent must take.

Voicemail Example: "Hello my name is [name], and I'm calling on behalf of the National Science Foundation about the Higher Education R&D Survey. I'm following up on an e-mail we sent on [date] and message we left on [date] asking you to clarify some issues on your institution's FY 2013 survey. We are closing the database soon and cannot accept your data until your survey is corrected. Please call us as soon as possible at 866-936-9376. Thank you very much and have a nice day."

A similar message, with needed revisions, can be left with an administrative assistant or co-worker.

2. During a call cycle, typically a week, only one message should be left, but continue to try and contact respondents at different times of day throughout the cycle.

Contact 22: Automated Resubmit e-mail

To: FY 2013 respondent
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey

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

We have received your institution's resubmission for the FY 2013 Higher Education Research and Development (HERD) Survey. Thank you for taking the time to address our questions about your submitted data. If we have any further questions, we will let you know. We will send an email to let you know when your institution's survey submission is finalized.

Thank you very much for your help with this effort. If you have any questions or need further information, you may reach me by email at support@herdsurvey.org or call toll-free at (866) 936-9376.

Sincerely,
Jennifer Greer
Data Quality Manager
NSF Higher Education R&D Survey
ICF International

Refusal conversions

Refusal conversion 1 (Contact 23)

(phone call within one week of refusal from Ronda Britt)

1. Ask which items seem to be the most burdensome. Explain that we will need to impute the totals for them since they were found to qualify for the survey, so any partial data would be preferable. Main questions we need answered in order of preference:
 - a. Question 1: Separately budgeted R&D expenditures by source of funds
 - b. Questions 9 and 12: Separately budgeted R&D expenditures by field and source of funds
2. If respondent changes mind about refusal, set up date for survey deadline
 - a. Use actual survey deadline if more than two weeks in future
 - b. Use March 7th after deadline
3. If still a total refusal, explain that we will need to confirm this decision with their senior administrator's office.
4. Thank respondent and say that we hope next year will work out better for their institution's response.

Refusal conversion 2 (Contact 24)

(letter sent as need and directed by Ms. Britt)

Printed on NSF letterhead delivered via FedEx 2-day

[Date]

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

Dear [[adminsallutation]] [[adminlastname]]:

The National Science Foundation (NSF) is now conducting the FY 2013 Higher Education R&D Survey. We were informed by [[firstname]] [[lastname]], [[title]], that [[institution name]] will not be participating in this year's data collection. While participation in this survey is voluntary, we wanted to confirm this decision with you before proceeding without your institution's information.

NSF's annual Higher Education R&D Survey is a unique source for longitudinal statistics on research spending at our nation's universities and colleges. The NSF website provides detailed tables, reports, and databases using this information. The statistical tables show spending in each of 36 fields of R&D for over 900 institutions (see www.nsf.gov/statistics/herd/). Since 1972, federal, state, and academic decision makers have depended on NSF's academic R&D information to be complete, accurate, and timely. In addition, many institutions use our statistics for comparisons with other universities and colleges.

Please let us know if you can provide some or all of the FY 2013 survey responses so we can present the most current data for your institution. You may contact Ronda Britt of my staff at (703) 292-7765 or rbritt@nsf.gov.

Thank you for your continuing support of NSF's statistical information.

Sincerely,

John R. Gawalt
Director
National Center for Science and Engineering Statistics

Cc: Respondent

New Institution Welcome (Contact 25)

To: Institution President
Cc: Primary contact email
From: NSF Higher Education R&D Survey
Re: NSF Higher Education R&D Survey ([[inst_id]])

Dear [[title]] [[lastname]]:

The National Science Foundation (NSF) has identified [institution name] as eligible to participate in the FY 2013 Higher Education Research and Development Survey.

Your institution is now one of nearly 1,000 institutions that NSF surveys annually to collect information on our nation's academic research expenditures. The survey is the primary source of information on research and development expenditures at higher education institutions in the United States and outlying areas.

Institutions are included in the survey if: (1) the institution grants a bachelor's or higher level degree, and (2) the institution had at least \$150,000 during FY 2013 in separately accounted for R&D expenditures. Earlier this year we contacted your office and received information confirming our institution's eligibility.

[Name of respondent] of your staff is currently serving as your institution's coordinator for the FY 2013 survey. The survey deadline is January 31, 2014.

The FY 2013 survey is conducted for NSF by ICF International. If you have questions about your institution's participation in this survey please contact me at rbritt@nsf.gov or (703) 292-7765.

Thank you for your participation in this important effort.

Sincerely,
Ronda Britt
Project Officer, Higher Education R&D Survey
National Center for Science and Engineering Statistics
National Science Foundation