Attachment B Pilot Survey Correspondence

NSF Letterhead

Contact 1: Prenotification Letter

[Date]

[Name]
[Title]
[Name of Nonprofit Organization]
[Address]
[City, State, ZIP Code]

Dear [Dr. /Mr. /Ms.] [Last Name]:

To better understand the important contributions that nonprofit organizations make to society and the economy, the National Science Foundation (NSF) needs your help with a brief survey. In a couple of days, you will receive an e-mail providing a link to a web survey asking about your organization's research activities.

We are conducting this pilot survey with a selected number of nonprofits to test the process of collecting the necessary information prior to the launch of a nationally representative survey in 2017. Please review the other side of this letter for more details on this survey effort. We have also included a brief handout which provides an overview of the topics included in the survey and guidance on what we mean by research activities.

Your invitation to the web survey will be sent in a couple of days from our official survey e-mail address: support@NPRAsurvey.org. The e-mail invitation will be sent to <insert e-mail address>, or you can access the survey now at www.NPRAsurvey.org. Your organization's ID is XXXXXX. We are asking for your survey response by [insert date].

Please contact ICF International, our survey contractor, toll-free at 877-xxx-xxxx or at support@NPRAsurvey.org to let us know any of the following:

- The e-mail address or contact within your organization should be changed.
- Your organization no longer has 501(c) status.
- Your organization is part of a university or other higher education institution.

If you have any questions about the survey, please contact Ronda Britt, Project Officer, National Science Foundation, at rbritt@nsf.gov or 703-292-7765.

Thank you for your participation in this important effort.

Sincerely,

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

NSF Nonprofit Research Activities Survey Frequently Asked Questions

Who is NSF?

The National Science Foundation (NSF) is an independent federal agency created by Congress in 1950 "to promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense..." We have an annual budget of \$7.5 billion (FY 2016), and provide approximately 12,000 new awards each year for research and science and engineering education.

In addition to providing grants for research and science education, NSF houses the National Center for Science and Engineering Statistics (NCSES). NCSES is a federal statistical agency that, by law, serves as a central federal clearinghouse for the collection, interpretation, analysis, and dissemination of objective data on science, engineering, technology, and research and development.

Why is NSF collecting this information?

To fulfill our mission to collect and disseminate information on the U.S. research enterprise, NSF (through NCSES) conducts surveys to measure the national level of research activity across all sectors of the U.S. economy. Currently, we have ongoing surveys of the government, business, and higher education sectors, but we have not conducted a survey of nonprofit organizations since 1997. We need your help to gather more current information.

How was my organization selected?

Your organization was randomly selected to participate in this survey. On the basis of data found in your organization's IRS Form 990 or 990-PF, we grouped your organization with similar nonprofit organizations. We then randomly selected a statistical sample of organizations to represent nonprofit research activities at a national level.

How will the data be used?

The primary purpose of this study is to test the process of collecting the necessary information prior to the launch of a nationally representative survey in 2017. The data you provide for this pilot also will be used to improve our national estimates of nonprofit research spending in our annual publication, *National Patterns of R&D Resources* (http://www.nsf.gov/statistics/natlpatterns/).

Organization-level results of the pilot study will not be published; however, NSF does intend to publish detailed results of the 2017 survey with tables showing research spending and funding for the nonprofit organizations surveyed.



NSF Nonprofit Research Activities Survey

Below you will find a list of topics covered in the NSF Nonprofit Research Activities Survey. The types of information requested are generally available from the following offices within a nonprofit organization:

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

On the reverse side of this sheet is the definition that NSF is using to identify research activities, as well as some general examples of activities that should be included and excluded from your responses.

❖ General Information About Your Organization

- > Total expenses
- > Fiscal year dates
- ➤ Number of Full-Time Equivalent Employees (FTEs)
- Contact information

* Research Performed

- > Financial expenditures on research activities
- > Sources of funding for research activities
- Type of research activities performed
- ➤ Full-time staff working on research activities

Research Funded

- ➤ Amount of funding provided to external organizations for research
- Types of organizations funded
- > Types of research funded
- Source of your research funding

RESEARCH DEFINITION AND GUIDANCE

By research, we mean ...

For the purposes of this survey, research includes research and experimental development. Research and experimental development comprise creative and systematic work to

- increase the stock of knowledge, including knowledge of humankind, culture, and society; OR
- devise new applications of available knowledge (including materials, products, devices, processes, systems, or services).

Research activities must be ...

- **Novel**: projects that advance current knowledge or create new knowledge
- **Creative**: projects based on original concepts and hypotheses
- **Uncertain**: project outcomes are unable to be completely determined at the outset
- **Systematic**: projects are planned and budgeted
- **Transferable/Reproducible**: project methodology and results are transferable/reproducible to other situations and locations

Examples of projects that ...

May meet the criteria for research

- Laboratory or animal studies
- Clinical trials
- Prototype development
- Outcomes research
- Development/measurement of new methods to deliver/measure social service outcomes
- Policy research
- Humanities research
- Research traineeships
- Other experimental studies

Most likely do not meet the criteria for research

- Internal program monitoring or evaluation
- Public service grants or outreach programs
- Education or training programs
- Ouality control testing
- Market research
- Management studies/efficiency surveys
- Literary, artistic, or historical projects, such as films, music, or books and other publications
- Feasibility studies, unless included as part of an overall research project

From: NSF Nonprofit Research Activities Survey Re: NSF Nonprofit Research Activities Pilot Survey

Dear [Dr. /Mr. /Ms.] [Last name]:

Recently, we mailed you a letter inviting you to participate in the National Science Foundation's Pilot Survey of Nonprofit Research Activities.

We are conducting this pilot survey with a selected number of nonprofits to test the process of collecting the necessary information and improve our estimates of nonprofit research spending. We will use the lessons learned from the pilot to make revisions prior to the launch of a nationally representative survey in 2017.

If your organization no longer has 501(c) status or is part of a university or other higher education institution, please contact us at 877-xxx-xxxx or by e-mail at support@NPRAsurvey.org to determine your organization's eligibility to complete this survey.

The survey is currently available online at the website below. Please click on the link below to create your own personal user name and password and access the survey.

Survey website: www.nprasurvey.org
Organization name: [organization name]

Organization ID: [ID]

We have developed a password-secured system to protect your data and allow you to pause and resume the survey at your convenience. Once you have created your password, you may designate up to two other individuals who will be able to create their own passwords to access your organization's survey and assist in its completion.

If you would like someone else within your organization to be the primary contact for this survey for future notifications, please reply to this e-mail with their name and contact information.

The survey deadline is Month dd, 2016.

NSF has contracted with ICF International to conduct the survey. If your organization no longer has 501(c) status, or if you have any questions about the survey, please contact survey support at 877-xxx-xxxx or send an e-mail to support@NPRAsurvey.org.

Thank you for completing the survey.

Sincerely,

From: NSF Nonprofit Research Activities Survey Re: NSF Nonprofit Research Activities Pilot Survey

Dear [Dr. /Mr. /Ms.] [Last name]:

Recently, we mailed you a letter inviting you to participate in the National Science Foundation's Pilot Survey of Nonprofit Research Activities.

We are conducting this pilot survey with a selected number of nonprofits to test the process of finding nonprofit organizations that fund or perform research. We will use the lessons learned from the pilot to make revisions prior to the launch of a nationally representative survey in 2017.

If your organization no longer has 501(c) status or is part of a university or other higher education institution, please contact us at 877-xxx-xxxx or by e-mail at support@NPRAsurvey.org to determine your organization's eligibility to complete this survey.

NSF is seeking participation from a wide range of nonprofit organizations. Whether your organization participates in research or not, use the link below to confirm your contact information and complete the survey. Clicking the link will allow you to create your own personal user name and password and access the survey.

Survey website: www.nprasurvey.org
Organization name: [organization name]

Organization ID: [ID]

We have developed a password-secured system to protect your data and allow you to pause and resume the survey at your convenience. Once you have created your password, you may designate up to two other individuals who will be able to create their own passwords to access your organization's survey and assist in its completion.

If you would like someone else within your organization to be the primary contact for this survey for future notifications, please reply to this e-mail with their name and contact information.

The survey deadline is **Month dd**, 2016.

NSF has contracted with ICF International to conduct the survey. If your organization no longer has 501(c) status, or if you have any questions about the survey, please contact survey support toll-free at 877-xxx-xxxx or send an e-mail to support@NPRAsurvey.org.

Thank you for completing the survey.

Sincerely,

Contact 3a: Reminder 1 [E-mail] Non-responders

To: Primary contact e-mail Cc: Other e-mail contacts

From: NSF Nonprofit Research Activities Survey

Re: Reminder: NSF Nonprofit Research Activities Survey

Dear [Dr. /Mr. /Ms.] [Last name]:

A few weeks ago, we invited you to participate in the National Science Foundation's Nonprofit Research Activities Pilot Survey. Currently, we have ongoing surveys measuring research activities within the government, business, and higher education sectors, but we have not conducted a survey of nonprofit organizations since 1997. We need your help to gather more current information.

We greatly appreciate your efforts to fit the survey response into your busy schedule and respond by the deadline: **Month dd**, **2016**.

To access the survey for [organization]:

Survey website: www.nrpasurvey.org

Your organization's ID: [ID]

Even if your organization does not perform or fund any research activities, please respond to the brief survey so we can remove you from our list.

The survey is being conducted for NSF by ICF International. If you have any questions, please contact ICF International toll-free at 877-xxx-xxxx or send an e-mail to support@NPRAsurvey.org.

Thank you for your time and your participation.

Thank you,

TBD
Data Collection Specialist
NSF Nonprofit Research Activities Survey
ICF International
Toll-free number: 877-xxx-xxx
support@NPRAsurvey.org

Contact 3b: Reminder 1 [E-mail] Reminder to Complete

To: Primary contact e-mail Cc: Other e-mail contacts

From: NSF Nonprofit Research Activities Survey

Re: Reminder: NSF Nonprofit Research Activities Survey

Dear [Dr. /Mr. /Ms.] [Last name]:

A few weeks ago, we invited you to participate in the National Science Foundation's Nonprofit Research Activities Pilot Survey. Currently, we have ongoing surveys measuring research activities within the government, business, and higher education sectors, but we have not conducted a survey of nonprofit organizations since 1997. We need your help to gather more current information.

We recognize your efforts to complete the survey and encourage you to finalize it at your earliest convenience. Please be aware that we need your completed response by **Month dd**, **2016**.

To access the survey for [organization]:

Survey website: www.nrpasurvey.org

Your organization's ID: [ID]

We have developed a password-secured system to protect your data and allow you to pause and resume the survey at your convenience. Once you have created your password, you may designate up to two other individuals who will be able to create their own passwords to access your organization's survey and assist in its completion.

The survey is being conducted for NSF by ICF International. If you have any questions, please contact ICF International toll-free at 877-xxx-xxxx or send an e-mail to support@NPRAsurvey.org.

Thank you for your time and your participation.

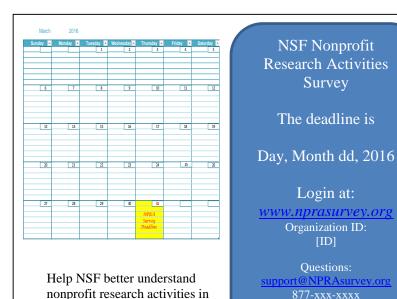
Thank you,

TBD
Data Collection Specialist
NSF Nonprofit Research Activities Survey
ICF International
Toll-free number: 877-xxx-xxx
support@NPRAsurvey.org

Nonprofit Research Activities Survey 530 Gaither Road Suite 500 Rockville, MD 20000

> Primary Contact Name Organization Address1 Address2 City, ST zip





the U.S.

B-9

Contact 5a: Reminder 3 [E-mail] Non-responders

To: Primary contact e-mail

Cc: Other e-mails

From: NSF Nonprofit Research Activities Survey Re: NSF Nonprofit Research Activities Survey

Dear [Dr. /Mr. /Ms.] [Last name]:

Over the last few weeks, we have tried to contact you to offer you the opportunity to participate in the National Science Foundation's Nonprofit Research Activities Pilot Survey. We are interested in the nonprofit sector and specifically in research activities your organization performs and/or funds. **Regardless of whether or not your organization participates in research activities, please respond to the survey.** We request that you submit your responses by **Day, Month dd, 2016**.

You can use the information below to access the survey for your organization:

Survey website: www.nprasurvey.org
Your Organization's ID: [ID]

If you have any questions, please call toll-free at 877-xxx-xxxx or send an e-mail to support@NPRAurvey.org.

Thank you in advance for completing the NPRA Survey.

Sincerely, TBD

Data Collection Specialist
NSF Nonprofit Research Activities Survey
ICF International
Toll-free number: 877-xxx-xxxx
support@NPRAsurvey.org

Contact 5b: Reminder 3 [E-mail] Reminder to Complete

To: Primary contact e-mail

Cc: Other e-mails

From: NSF Nonprofit Research Activities Survey Re: NSF Nonprofit Research Activities Survey

Dear [Dr. /Mr. /Ms.] [Last name]:

Thank you for taking the time to respond to the National Science Foundation's Nonprofit Research Activities Pilot Survey. We are interested in the nonprofit sector and specifically in research activities your organization performs and/or funds. Please submit your survey by **Day, Month dd, 2016**.

You can use the information below to access the survey for your organization:

Survey website: www.nprasurvey.org
Your Organization's ID: [ID]

If you have any questions, please call toll-free at 877-xxx-xxxx or send an e-mail to support@NPRAsurvey.org.

Thank you in advance for completing the NPRA Survey.

Sincerely, TBD

Data Collection Specialist
NSF Nonprofit Research Activities Survey
ICF International
Toll-free number: 877-xxx-xxxx
support@NPRAsurvey.org

To: Primary contact e-mail Cc: Other e-mail contacts

From: NSF Nonprofit Research Activities Survey

Re: Don't forget ... Due date for NSF Nonprofit Research Activities Survey: Month dd, year

Dear [Dr. /Mr. /Ms.] [Last name]:

The deadline for the National Science Foundation's Nonprofit Research Activities Pilot Survey is approaching.

Please respond by Day, Month dd, 2016.

You can use the information below to access the survey for your organization:

Survey website: www.nprasurvey.org

Your organization's ID: [ID]

If you have any questions, please call toll-free at 877-xxx-xxxx or send an e-mail to support@NPRAsurvey.org.

Thank you in advance for completing the Nonprofit Research Activities Pilot Survey. Your information is vital to our ability to develop comprehensive statistics on research expenditures in the U.S.

Sincerely,

Call primary contact at organizations that **have not completed Performance or Funding sections**.

Talking directly to the primary contact

Issues to be highlighted during a telephone call to incomplete from data collection staff:

- 1. Indicate that you are calling on behalf of the National Science Foundation regarding the Nonprofit Research Activities Pilot Survey.
- 2. Point out the latest activity on the survey by someone in their organization. For example: "It looks like you logged on to the survey back in **Month**, but there are a couple of questions that had not been completed. Can you take a few minutes to complete the survey? Do you still have the survey information?"
- 3. Tell the respondent that we are trying to get complete information on some specific question(s) that have not been answered or we have incomplete information.
- 4. Tell the respondent you will e-mail the survey web address and their organization ID if they do not have the information. Be sure to verify the correct e-mail address. Let them know that they will need to set up a new password through the website, if they have forgotten theirs.
- 5. Ask the respondent if he or she has any questions. Let them know they can send an e-mail to support@NPRAsurvey.org or call you toll-free at 877-xxx-xxxx if they have any additional questions.

Leaving a message

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

Voice-mail example: "Hello my name is [survey staff], and I'm calling on behalf of the National Science Foundation about the Nonprofit Research Activities Pilot Survey. We noticed that you have responded to some of the items but have not completed the survey. Please take some time to complete your survey. If you have questions, feel free to call us at 877-xxx-xxxx."

A similar message, with needed revisions, can be left with an administrative assistant or coworker.

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

Call primary contact at organizations that have not logged into the survey.

Talking directly to the primary contact

Issues to be highlighted during a telephone call to primary contact from data collection staff:

- 1. Indicate that you are calling on behalf of the National Science Foundation regarding the Nonprofit Research Activities Pilot Survey.
- 2. Point out that we have tried to contact them to participate in this survey.
 - "We have been trying to contact you about NSF's Nonprofit Research Activities Survey. At this point, we have not heard from you regarding the survey and can you take a few minutes to tell us about your organization and any research activities you are funding or performing?"
- 3. If needed, tell contact: "We are conducting this pilot survey with a selected number of nonprofits to test the process of collecting the necessary information. We will use the lessons learned from the pilot to make revisions prior to the launch of a nationally representative survey in 2017."
- 4. Tell the respondent you will e-mail the survey web address and the ID for his or her organization if the respondent does not have it. Be sure to verify the correct e-mail address.
- 5. Ask the respondent if he or she has any questions and let them know that if they have any questions in the future, they can send an e-mail to support@NPRAsurvey.org or call you toll-free at 877-xxx-xxxx.

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 e-mail referenced, and the action the respondent must take.

Voice-mail example: "Hello my name is [survey staff], and I'm calling on behalf of the National Science Foundation about the Nonprofit Research Activities Pilot Survey. We have been trying to contact you about participating in the survey and hope that you might be willing to complete the survey. Please call us at 877-xxx-xxxx when you have some time to discuss your participation in the survey."

A similar message, with needed revisions, can be left with an administrative assistant or coworker.

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

Cc: Other e-mails

From: NSF Nonprofit Research Activities Survey

Re: Please reply regarding the NSF Nonprofit Research Activities Survey

Dear [Dr. /Mr. /Ms.] [Last name]:

I would greatly appreciate your organization's response to the National Science Foundation's Nonprofit Research Activities Pilot Survey. We are extending the deadline to **Month dd**, **2016** in order for you to complete your response.

To access the survey:

Survey website: www.nprasurvey.org

Your organization's ID: [ID]

If you have any questions, please contact ICF International, the survey administrator, at 877-xxx-xxxx or support@NPRAsurvey.org.

Thank you for your continued participation.

Sincerely,

Ronda Britt
Project Officer, Nonprofit Research Activities Survey
National Center for Science and Engineering Statistics
National Science Foundation
rbritt@nsf.gov

In-person by telephone

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 Nonprofit Research Activities Pilot Survey
- 2. Tell the respondent that we have extended the deadline for the survey until Month dd.
- 3. Ask if they will be able to respond to the survey.
- 4. Ask the respondent if he or she has any questions and refer him or her to the e-mail address (support@nprasurvey.org) or toll-free number 877-xxx-xxxx as needed.

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 e-mail referenced, and the action the respondent needs to take.
 - Voice-mail Example: "Hello my name is [survey staff], and I'm calling on behalf of the National Science Foundation about the Nonprofit Research Activities Pilot Survey. I just wanted to remind you that we have extended the survey deadline to Day, Month dd Year. Please call us at 877-xxx-xxxx 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 coworker.
- 2. During a call cycle, typically a week, only one message should be left, but continue to try to contact respondents at different times of day throughout the cycle.

Cc: Other e-mails

From: NSF Nonprofit Research Activities Survey

Re: NSF Nonprofit Research Activities Survey – Deadline Extended

Dear [Dr. /Mr. /Ms.] [Last name]:

Our records indicate that we are still awaiting a response from your organization to the National Science Foundation's Nonprofit Research Activities Pilot Survey. Because your response is important to us and will represent a number of other nonprofit organizations similar to yours, we have extended the deadline to **Month dd**, **2016** in order for you to complete your response.

To access the survey:

Survey website: www.nprasurvey.org

Your organization's ID: [ID]

If you have any questions or need assistance in completing the survey, please contact ICF International, the survey administrator, at 877-xxx-xxxx or support@NPRAsurvey.org.

Thank you for your continued participation.

Sincerely,

In-person by telephone

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 Nonprofit Research Activities Pilot Survey
- 2. Remind respondent that the survey website will close on Month dd.
- 3. Ask if they will be able to respond to the survey.
- 4. If possible determine if the organization is a research performer or funder by asking these questions:
 - a. Do the staff in your organization conduct research?
 - b. Does your organization provide grants or other funds for research?
 - c. If either of these responses is 'Yes', stress the importance of getting their responses to the questionnaire.
- 5. Ask the respondent if he or she has any questions and refer him or her to the e-mail address (support@nprasurvey.org) or toll-free number 877-xxx-xxxx as needed.

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 e-mail referenced, and the action the respondent needs to take.
 - Voice-mail Example: "Hello my name is [survey staff], and I'm calling on behalf of the National Science Foundation about the Nonprofit Research Activities Pilot Survey. I just wanted to remind you that the survey website is closing on Day, Month dd Year. Please call us at 877-xxx-xxxx 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 coworker.
- 2. During a call cycle, typically a week, only one message should be left, but continue to try to contact respondents at different times of day throughout the cycle.

Cc: Other e-mails

From: NSF Nonprofit Research Activities Survey

Re: 2016 NSF Nonprofit Research Activities Survey – FINAL REMINDER

Dear [Dr. /Mr. /Ms.] [Last name]:

Your response to this survey is very important to our understanding of the nonprofit sector of the economy. We have extended the deadline to receive your response, but we must hear from you by **Month dd**, 2016 in order to include your organization's data. Please remember your organization is representing hundreds of other nonprofit organizations similar to yours in size and scope. I would greatly appreciate your organization's response to the National Science Foundation's Nonprofit Research Activities Pilot Survey.

To access the survey:

Survey website: www.nprasurvey.org

Your organization's ID: [ID]

If you have any questions, please contact ICF International, the survey administrator, at 877-xxx-xxxx or support@NPRAsurvey.org.

Thank you for your time and participation.

Sincerely,

To: Primary contact e-mail Cc: Other e-mail contacts

From: NSF Nonprofit Research Activities Survey Re: Nonprofit Research Activities Survey Received!

Dear [Dr. /Mr. /Ms.] [Last name]:

We have received your organization's submission for the National Science Foundation's (NSF) Nonprofit Research Activities Pilot Survey. Thank you very much for your help with this effort!

We will contact you if our data collection team needs to follow up with any questions in the next few weeks. If you have any questions or need further information, you may reach me by e-mail at support@NPRAsurvey.org or call our toll-free number at 877-xxx-xxxx.

Sincerely,

TBD
Data Collection Specialist
NSF Nonprofit Research Activities Survey
ICF International
Toll-free number: 877-xxx-xxx
support@NPRAsurvey.org

Printed on NSF letterhead, in NSF envelopes

[Month, Day, Year]

[First name] [Last name]
[Title]
[Organization]
[Address]
[City], [State] [ZIP code]

Dear [Dr. /Mr. /Ms.] [Last name]:

The National Science Foundation (NSF) thanks [organization] for participating in the Nonprofit Research Activities Pilot Survey. The information your organization provided for FY 2015 helped us test the process of collecting the necessary information from nonprofits organizations via a web survey. This data will also be used to improve our national estimates of nonprofit research spending in our annual publication, *National Patterns of R&D Resources*. I would especially like to recognize [first name] [last name], [title], who provided your survey response.

If you are interested in commenting on the survey or would like to discuss it further, please contact our survey administrator ICF International via e-mail at support@NPRAsurvey.com. Again, thank you for your participation.

Sincerely,

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