

May 12, 2016

### FY 2016 HERD Survey Contact Procedures

Contact	Date	Description	Mode	From
1.	Fri., Oct. 28, 2016	Introduction to survey for institutions new to population <ul style="list-style-type: none"> <li>Letter to president, chancellor, or equivalent</li> <li>Copy sent to respondent</li> </ul>	Letter	Ronda
2.	Tues., Nov. 1, 2016	Pre-launch <ul style="list-style-type: none"> <li>Update respondent name</li> <li>Initial contact verification request</li> </ul>	E-mail	Ronda
3.	Wed., Nov. 9, 2016	Launch <ul style="list-style-type: none"> <li>Introduction to survey</li> <li>URL and institution ID</li> <li>Instructions to reset/create a password</li> </ul>	E-mail	Ronda
4.	Mon., Nov. 14, 2016	Verification reminder 1	E-mail	Ronda
5.	Mon., Nov. 28, 2016	Verification reminder 2	E-mail	Sean
6.	Mon.–Thur., Dec. 5–8, 2016	Verification reminder 3 <ul style="list-style-type: none"> <li>Verify primary and alternate contact</li> <li>Seek information for new POC as needed</li> </ul>	Phone	ICF staff
7.	Mon.. Dec. 5, 2016	Due date reminder 1	E-mail	Sean/ Ronda
8.	Tues., Jan. 3, 2017	Due date reminder 2 <ul style="list-style-type: none"> <li>Postcard</li> </ul>	Mail	
9.	Tues., Jan. 24, 2017	Due date reminder 3	E-mail	Sean
	<b>Tues., Jan. 31, 2017</b>	<b>Survey Deadline</b>		
10.	Thur., Feb. 2, 2017	Nonresponse 1a <ul style="list-style-type: none"> <li>Need response ASAP</li> </ul> Nonresponse 1b <ul style="list-style-type: none"> <li>Reminder of extension</li> </ul>	E-mail	Sean
11.	Mon., Feb. 13 2017	Nonresponse 2 <ul style="list-style-type: none"> <li>Only for institutions without an upcoming expected date of completion</li> <li>Asks for submission by Friday, March 10</li> <li>Explains letters will be sent to senior administrators after that date</li> </ul>	E-mail	Ronda
12.	Mon. –Thur., February 20–23, 2017	Nonresponse 3 <ul style="list-style-type: none"> <li>Only for institutions without an upcoming expected date of completion.</li> <li>Asks for submission by Friday, March 10</li> </ul>	Phone	ICF staff

Contact	Date	Description	Mode	From
		<ul style="list-style-type: none"> <li>Explains letters will be sent to senior administrators after that date</li> </ul>		
13.	Mon., Feb. 27, 2017	Nonresponse 4a <ul style="list-style-type: none"> <li>For institutions that missed a previous extension</li> </ul> Nonresponse 4b <ul style="list-style-type: none"> <li>For institutions with upcoming expected completion dates or no past expected completion dates.</li> </ul>	E-mail	Ronda
	<b>Fri., March 10, 2017</b>	<b>Extended deadline</b>		
14.	Tues., March 14, 2017	Nonresponse 5 <ul style="list-style-type: none"> <li>Letter to senior administrator</li> <li>Copy primary contact</li> </ul>	Fed-Ex	NCSES Director
15.	Mon., March 20, 2017	Nonresponse 6 <ul style="list-style-type: none"> <li>Last e-mail before website closes</li> </ul>	E-mail	Ronda
16.	Mon.–Thur., March 27–30, 2017	Nonresponse 7 <ul style="list-style-type: none"> <li>Phone calls to high priority institutions</li> </ul>	Phone	ICF staff
	Mon., April 3, 2017	Last day new survey submittals accepted		
	Mon., April 24, 2017	Database closes after all surveys review and approved		
<b>Other contacts: Thank you</b>				
17.	Automatic after submission	Survey received, data review in progress	E-mail	Jennifer
18.	Automatic after survey is marked final by data approver	Thank you 1a <ul style="list-style-type: none"> <li>&gt;= \$150K</li> </ul> Thank you 1b <ul style="list-style-type: none"> <li>&lt;\$150K</li> </ul>	E-mail	Ronda
19.	As data is approved	Thank you 2 <ul style="list-style-type: none"> <li>to school senior administrator</li> <li>copy respondent</li> </ul>	Mail	NCSES Director
<b>Other contacts: Data corrections</b>				
20.	As needed	Data quality issues 1	E-mail	Jennifer
21.	2 weeks after first correction e-mail	Data quality issues 2	E-mail	Jennifer
22.	1 week after second correction e-mail	Data quality issues 3	Phone	ICF Staff
23.	As needed	Resubmit thank you	E-mail	Jennifer
<b>Other contacts: Refusal conversion</b>				
24.	After refusal	Refusal conversion 1	Phone	Ronda

<b>Contact</b>	<b>Date</b>	<b>Description</b>	<b>Mode</b>	<b>From</b>
25.	After continued refusal or nonresponse refusal conversion 1	Refusal conversion 2 <ul style="list-style-type: none"> <li>• Letter to senior administrator</li> <li>• Ask for confirmation of refusal</li> <li>• Request partial data</li> <li>• Copy respondent</li> </ul>	Fed-Ex	NCSES Director

## **Details of Data Collection Procedures NSF HERD Survey FY 2016**

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 e-mail, 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.

1. New institution letter: For institutions joining the population for the first time in FY 2016, a special pre-launch letter is sent to the office of the president, chancellor, or equivalent, copying the respondent, letting them know about the survey. [Contact 1: [New institution welcome e-mail](#)] The purpose of this letter is to get buy-in from the senior administrator. If the senior administrator is the designated contact the letter is not sent.
2. Pre-launch e-mail: This e-mail is sent to all institutions, 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 e-mail is typically sent 1 week before survey launch. The goals of this e-mail are to 1) inform the respondent about the upcoming launch e-mail, 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 e-mail addresses prior to survey delivery. In most cases the pre-launch e-mail is sent only once. If the e-mail is returned as undeliverable, the data collection staff attempts to identify a correct address and resend the e-mail. [Contact 2: [Pre-launch](#)]
3. Launch e-mail: This e-mail is sent to all primary contacts currently listed in the database after the web-based data collection system is open. The goals of this e-mail are to 1) provide information for the web-based survey, 2) briefly describe 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 3: [Launch](#)]
4. Verification reminder contacts: Two weeks after the pre-launch e-mail, which is also the initial contact verification request, respondents who have neither contacted data collection staff to verify they are the correct respondent nor logged into the survey are sent a reminder e-mail. This e-mail asks them to respond and confirm or revise contact information. The goal of this e-mail is to confirm that someone has taken responsibility for the survey by listing themselves as the primary contact. If a respondent calls or e-mails data collection staff with a question regarding the survey, they are recorded as verifying they are the correct respondent for the survey. [Contact 4: [Verification reminder 1](#)] Two weeks after the initial verification reminder, a second verification reminder is sent to all who still have not confirmed their contact information. [Contact 5: [Verification reminder 2](#)]

If an institution does not respond to the three initial requests to verify a primary contact, including the pre-launch e-mail, data collection staff 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 6: [Verification reminder 3](#)] The primary contact at each institution is asked to confirm receipt of previous e-mails, 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 attempt to identify and verify an alternative contact.

5. Reminder contacts: Since there are almost 3 months between the launch e-mail and the survey due date, primary contacts are sent occasional reminders. The first reminder contact are sent 7-8 weeks before the announced due date to all institutions who have not submitted final data. Primary contacts who complete the survey for multiple schools will only receive one e-mail. [Contact 7: [Due date reminder 1](#)]

Reminder cards are mailed four weeks before the deadline to the academic institutions that have not submitted final data. Multi-campus respondents are to receive only one reminder card per respondent (not per individual institution). [Contact 8: [Due date reminder 2](#)]

A third reminder is sent approximately 1 week before the deadline. Multi-campus respondents will receive one e-mail. [Contact 9: [Due date reminder 3](#)]

6. Nonresponse contacts: Beginning a few days after the announced survey due date, all institutions that have not submitted final data are contacted about nonresponse. For all nonresponse contacts, multi-campus respondents will only receive one e-mail, tailored to let them know which campuses they have and have not submitted final data for. The following is the general schedule of nonresponse contacts:

- An e-mail is sent 2 business days after the survey deadline to all institutions that have not submitted final data. There are two versions of this e-mail: one to institutions that have been granted an extension and one to all other institutions that have not submitted final data. This e-mail reminds contacts of the missed due date or the extension date and the importance of receiving responses from all institutions. [Contact 10: [Nonresponse 1a](#) and [Nonresponse 1b](#)]
- An e-mail is sent one week later to all institutions that have not submitted final data and do not have an upcoming expected completion date. This e-mail provides a first warning of the letter being sent to the senior administrator. [Contact 11: [Nonresponse 2](#)]
- The following week, data collection staff call the primary contact of institutions that have not submitted final data and have not requested an extension. Contacts are asked if they can respond by March 10 and are reminded about the letters to school administration. [Contact 12: [Nonresponse 3](#)]
- An e-mail is sent one week later to all institutions that have not submitted final data. This e-mail notifies respondents that the university/college administration will be contacted at those institutions that do not submit by March 10. There are two versions of this e-mail:

- one for institutions that missed a recent expected completion date and one for all other institutions. [Contact 13: [Nonresponse 4a](#) and [Nonresponse 4b](#)]
- After the extended deadline has passed, a letter is sent via Fed-Ex 2-day to the administration (e.g., President, Chancellor) of institutions that have not submitted final data. A copy of the letter is sent to the primary contact. [Contact 14: [Nonresponse 5](#)]
  - An e-mail is sent two weeks before the website closes announcing that the survey will close and data will no longer be accepted after that point. [Contact 15: [Nonresponse 6](#)]
  - During the final 2 weeks of data collection, ICF and NSF staff make closing phone calls to 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 16: [Nonresponse 7](#)]
7. Automatic survey receipt and thank-you e-mails: An e-mail 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 e-mail within minutes of submitting data. The purpose of this e-mail 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 17: [Survey received](#)] Once the survey submission is finalized by ICF, a thank-you e-mail is automatically sent. The goals of this e-mail 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 any time, and 4) provide additional information about reports and the public release of data. For those institutions reporting under the \$150K threshold, the thank-you also informs them that they are not eligible for the regular survey population. It would be unusual for an institution in the full HERD survey to submit <\$150K, but we prepare an e-mail anyway. [Contact 18: [Thank you 1a](#) and [Thank you 1b](#)]
8. Thank-you letters to institution administration: A letter is addressed to the senior administrator at each academic institution (e.g., President, Chancellor), and a copy is sent to the primary contact. The letter is signed by the Director of NCSES and sent to institutions that have approved final data. These letters are produced throughout the data collection cycle and mailed within 2 weeks of data being submitted. [Contact 19: [Thank you 2](#)]
9. Data quality issue (DQI) contacts: Institutions that submit data with errors, unexplained or poorly explained trend changes, or unexplained missing data are contacted to resolve DQIs. The first e-mail typically goes out within four weeks of an institution submitting. [Contact 20: [DQI 1](#)] If a response is not received within 2 weeks, a second e-mail is sent. [Contact 21: [DQI 2](#)] If there is no response to a second e-mail, data collection staff begin calling the primary contact until a response is received. [Contact 22: [DQI 3](#)] Once an institution resubmits their corrected survey response, an e-mail is automatically sent thanking them for the response. [[Contact 23: DQI Resubmit thank you](#)]

### **Automated Password E-mails**

Respondents receive guidance on creating or resetting their password in the launch e-mail. Automated e-mails are sent by the web survey system when a respondent requests to have a password reset [[Password reset \(Contact 26\)](#)], when a primary contact designates new alternates in the system [[Designated alternate password set-up \(Contact 27\)](#)], and when a newly designated alternate has set up a password [[Alternate password set-up alert \(Contact 28\)](#)].

## **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: We can grant extensions up to Friday, February 24 without approval from Ronda Britt. Before February 24, all requests for extensions beyond February 24 have to be approved by Ronda. After February 24, we can grant extensions up to March 10. All requests for extensions beyond March 10 have to be approved by Ronda Britt.. After March 10 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.
- 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 is granted to them. If the school requests an extension, they are given until March 10 to submit their survey response.
- Institutions that indicate that they will not be participating in the FY 2016 survey: If a respondent indicates that they will not be participating in the survey, their information is forwarded to Ronda Britt, who calls the respondent to encourage response. [Contact 24: [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 is sent to the school administration confirming the decision not to participate in the survey. [Contact 25: [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 e-mails 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 e-mails and letters are revised to be appropriate for a multi-campus respondent and to avoid sending the respondent many copies of the same letter or e-mail.



**New Institution Welcome (Contact 1)**

**Printed on NSF letterhead delivered via FedEx 2-day**

[[currentdate]]

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

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

The National Science Foundation (NSF) has identified [[instnameletters]] as eligible to participate in the FY 2016 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 2016 in separately accounted for R&D expenditures. Earlier this year we contacted your office and received information confirming your institution's eligibility.

[[firstname]] [[lastname]], [[title]], is currently serving as your institution's coordinator for the FY 2016 survey. The survey deadline is January 31, 2017.

The 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](mailto: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

Cc: [[firstname]] [[lastname]]

**Pre-launch (Contact 2)**

To: Primary contact e-mail

Cc: Other e-mails

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 2016 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 [[instnameletters]].

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:

[[primary\_institution]]

[[addr]]

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

This annual survey is being conducted for NSF by ICF International. If you have any questions regarding this information, please contact survey support toll-free at (866) 936-9376 or send an email to [support@herdsurvey.org](mailto: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 3)

(Before sending the launch email, the Data Collection Staff will email the programming team to open the survey to respondents.)

To: Primary contact e-mail  
Cc: Other e-mails  
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 2016 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. It is completed by over 900 universities and colleges every year. 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. The survey deadline is <b>January 31, 2017</b>.

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)  
Institution name: [[instnamelong]]  
Institution ID: [[inst\_id]]

You may use your password from last year's HERD survey if you have one. <b>If you have forgotten your password or are new to the survey, please click on <em>ID/Password Help</em> on the survey login page to create or reset your password.</b>

If you are no longer the appropriate person to contact, please let us know so we can update our information.

Please note the changes to the FY 2016 survey in the What's New section of the attached PDF (page 2).

- The definitions of R&D and of basic research, applied research, and experimental development have been updated (though still consistent with previous definitions).
- The question regarding foreign-funded R&D has been expanded.
- The question asking about expenditures in basic research, applied research, and experimental development has a new example of the differences between each.
- As mentioned in an e-mail to past survey participants this spring, there have been several revisions to the fields of R&D.

The survey is conducted for NSF by ICF International. If you need to revise contact information or have any questions about the survey website, please contact survey support at (866) 936-9376 or send an email to [support@herdsurvey.org](mailto:support@herdsurvey.org). If you have questions about survey items, please contact me at [rbritt@nsf.gov](mailto: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 4)

(to all institutions who have not yet verified contact information or have not logged into the web survey)

To: Primary contact e-mail

Cc: Other e-mails

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 2016 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 [[instnameletters]].

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:

[[primary\_institution]]

[[addr]]

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

If you have any questions about your participation in the survey, please contact me at [rbritt@nsf.gov](mailto: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 5)**

(to all institutions who have not yet verified contact information or have not logged into the web survey)

To: Primary contact e-mail

Cc: Other e-mails

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 2016 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 [[instnameletters]].

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:

[[primary\_institution]]

[[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](mailto:support@herdsurvey.org)

## **Verification reminder 3 (Contact 6)**

### **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 e-mails and provide the date the most recent e-mail 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 e-mail 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 e-mail 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 7)

To: Primary contact e-mail  
Cc: Other e-mails  
From: NSF Higher Education R&D Survey  
Re: Reminder: NSF Higher Education R&D Survey ([[inst\_id]])

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

Last month we asked for your participation in the National Science Foundation's FY 2016 Higher Education R&D Survey. This is a friendly reminder that the survey deadline is January 31, 2017.

To access the survey for [[instnamelong]]:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)  
Your institution's ID: [[inst\_id]]

If you are new to the survey or have forgotten your password, click on *ID/Password Help* on the survey login page to create/reset your 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](mailto: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](mailto: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 8)**

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

**Design/text for card:**

Look and feel: color, format and text font should be the same as the FY 2015 mailer (see images on next page)

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

Inside left:

Friday, January 31, 2017, 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](http://www.herdsurvey.org)

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

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

Inside right:

Background – calendar showing month of January 2017, with the 31 circled and pointed to.

**Design/text for sticky-note:**

Look and feel: color, format and text font should be the same as the FY 2015 mailer (see images on next page)

**The deadline for the  
FY 2016  
NSF Higher Education  
R&D Survey is:  
  
Friday, January 31, 2017  
  
Login at  
[www.herdsurvey.org](http://www.herdsurvey.org)**

**FY 2015 Mailer**

**Cover Page**



**Inside Page**

Friday, January 29, 2016, 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](http://www.herdsurvey.org)

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

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

*January 2016*

S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

**Sticky-note Insert**

The deadline for the  
FY 2015  
NSF Higher Education  
R&D Survey is:  
  
Friday, January 29, 2016  
  
Login at  
[www.herdsurvey.org](http://www.herdsurvey.org)

**Due date reminder 3 (Contact 9)**

(Sent to institutions that haven't submitted.)

To: Primary contact e-mail

Cc: Other e-mails

From: NSF Higher Education R&D Survey

Re: Due date for NSF Higher Education R&D Survey: January 31, 2017 ([[inst\_id]])

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

We are reminding all survey respondents about the upcoming deadline for the National Science Foundation's FY 2016 Higher Education R&D Survey.

Please respond by Friday, January 31, 2017.

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

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)

Your institution's ID: [[inst\_id]]

If you are new to the survey or have forgotten your password, please click on *ID/Password Help* on the survey login page to create/reset your password.

If you have any questions, please call toll-free at (866) 936-9376 or send an email to [support@herdsurvey.org](mailto: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 10)

(Send to all institutions **except** those who have been granted an extension (See Nonresponse 1b))

To: Primary contact e-mail

Cc: Other e-mails

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 2016 Higher Education R&D Survey. It is important for us to have every institution's current R&D information so that our FY 2016 statistical tables will be complete.

To access the survey for [[instnamelong]]:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)

Your institution's ID: [[inst\_id]]

If you are new to the survey or have forgotten your password, please click on *ID/Password Help* on the survey login page to create/reset your password.

If you have questions or need further information, you may reach me by email at [support@herdsurvey.org](mailto: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 10)**

(Send to all institutions that have been granted an extension)

To: Primary contact e-mail  
Cc: Other e-mails  
From: NSF Higher Education R&D Survey  
Re: NSF Higher Education R&D Survey ([[inst\_id]])

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

Your deadline for the National Science Foundation's FY 2016 Higher Education R&D Survey is extended to [[expecteddate]]. It is important that we receive your response on or before this date. We would very much like to have every institution's current R&D information so that our FY 2016 statistical tables will be complete and comprehensive.

To access the survey for [[instnamelong]]:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)  
Your institution's ID: [[inst\_id]]

If you are new to the survey or have forgotten your password, please click on *ID/Password Help* on the survey login page to create/reset your password.

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

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 11)**

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

To: Primary contact e-mail

Cc: Other e-mails

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 2016 Higher Education R&D Survey. We are asking for all survey responses by Friday, March 10, 2017. After that date, NSF will begin contacting the Presidents and Chancellors of institutions that have not yet responded.

To access the survey for [[instnamelong]]:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)

Your institution's ID: [[inst\_id]]

If you are new to the survey or have forgotten your password, please click on *ID/Password Help* on the survey login page to create/reset your password.

If you have any questions, please contact me at [rbritt@nsf.gov](mailto: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 12)**

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 e-mail 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 10.
4. Ask if they can submit by March 10. Tell them that after March 10 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 e-mail the survey web address and their institution ID if they do not have it. 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.
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 e-mail to [support@herdsurvey.org](mailto: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 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 Higher Education R&D Survey. I just wanted to remind you that the extended due for the survey is March 10th. After March 10th 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 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 13)**

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

To: Primary contact e-mail  
Cc: Other e-mails  
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 2016 Higher Education R&D Survey by [[expecteddate]]. As of today we have not received your response. We would appreciate a response no later than Friday, March 10.

After March 10, 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 [[instnamelong]]:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)  
Your institution's ID: [[inst\_id]]

If you are new to the survey or have forgotten your password, please click on *<em>ID/Password Help</em>* on the survey login page to create/reset your 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](mailto:rbritt@nsf.gov)  
(703) 292-7765

**Nonresponse 4b (Contact 13)**

(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 e-mail  
Cc: Other e-mails  
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 10 for the FY 2016 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 [[instnamelong]]:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)  
Your institution's ID: [[inst\_id]]

If you are new to the survey or have forgotten your password, please click on *<em>ID/Password Help</em>* on the survey login page to create/reset your 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](mailto:rbritt@nsf.gov)  
(703) 292-7765

**Nonresponse 5 (Contact 14)**

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**

[[currentdate]]

[[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 31 to the National Science Foundation's Higher Education Research and Development Survey. We launched the survey on November 9, 2016, and asked for responses by January 31, 2017. 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](mailto: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 15)**

To: Primary contact e-mail

Cc: Other e-mails

From: NSF Higher Education R&D Survey

Re: Final Notice: NSF Higher Education R&D Survey due March 31 ([[inst\_id]])

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

We need your response to the National Science Foundation's FY 2016 Higher Education R&D Survey before the website closes on Friday, March 31. 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 [[instnamelong]]:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)

Your institution's ID: [[inst\_id]]

If you have any questions, please contact me at [rbritt@nsf.gov](mailto: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 16)**

(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 31.
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 31, tell them that they can have until noon the following Monday (April 3) but for time beyond 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 e-mail to [support@herdsurvey.org](mailto: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 e-mail 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 31st. 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 E-mails and Letters

### Survey received (Contact 17)

To: Primary contact e-mail  
Cc: Other e-mails  
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 2016 Higher Education R&D 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](mailto: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 1a (Contact 18)**

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

To: Primary contact e-mail  
Cc: Other e-mails  
From: NSF Higher Education R&D Survey  
Re: Thank You ([[inst\_id]])  
Atth: PDF with final data

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

On behalf of the National Science Foundation (NSF), I want to thank you for participating in the FY 2016 Higher Education Research and Development (HERD) Survey. The detailed information you provided for [[instnameletters]] 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.

For your convenience we have attached a copy of the survey form with your final data. You may also 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](http://www.herdsurvey.org)  
Your institution's ID: [[inst\_id]]

If you have forgotten your password, click on *<em>ID/Password Help</em>* on the survey login page.

To see our NSF publications for previous years of the survey, please visit:  
[www.nsf.gov/statistics/herd/](http://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](mailto: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](mailto:rbritt@nsf.gov)  
(703) 292-7765

**Thank you 1b (Contact 18)**

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

To: Primary contact e-mail  
Cc: Other e-mails  
From: NSF Higher Education R&D Survey  
Re: Thank you ([[inst\_id]])

Dear [firstname] [[lastname]]:

On behalf of the National Science Foundation (NSF), I want to thank you for participating in the FY 2016 Higher Education Research and Development Survey. According to the information you submitted, your institution spent less than \$150,000 on R&D in FY 2016. Because this does not meet the threshold for the survey population, your institution will not be included in the FY 2016 tables showing statistical information by institution.

If you wish to take another look at the FY 2016 survey response for [[instnameletters]], please use the following information:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)  
Your institution's ID: [[inst\_id]]

If you have forgotten your password, click on *<em>ID/Password Help</em>* on the survey login page.

If upon review you discover omissions that would increase your R&D expenditures above the \$150,000 threshold, please contact our survey contractor, ICF International, toll-free at (866) 936-9376 or send an email to [support@herdsurvey.org](mailto:support@herdsurvey.org).

If you have any other questions, please do not hesitate to contact me.

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

**Thank you 2 (Contact 19)**

(to senior administrator of institutions with approved final data)

**Printed on NSF letterhead, in NSF envelopes**

[[currentdate]]

[[adminfirstname]] [[adminmiddlename]] [[adminlastname]]

[[admintitle]]

[[admininstitution]]

[[adminaddr]]

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

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

The National Science Foundation (NSF) thanks [[instnameletters]] for participating in the Higher Education Research and Development Survey. The information your institution provided for FY 2016 will become part of our longitudinal statistics on R&D expenditures in 40 fields. For 45 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 [[instnameletters]]. 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/](http://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](mailto: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\_

### DQI 1 (Contact 20)

To: Primary contact e-mail  
Cc: Other e-mails  
From: NSF Higher Education R&D Survey  
Re: NSF Higher Education R&D Survey ([[inst\_id]])

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

I am reviewing your data for NSF's FY 2016 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 2016. I would like to finalize your survey data by [two weeks after message].

Please go to the survey website to explain or correct data quality issues.

To access the survey for [[instnamelong]]:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)  
Your institution's ID: [[inst\_id]]

If you have forgotten your password, click on *ID/Password Help* on the survey login page.

When you return to the survey, you will see a red flag 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(s) and instructions for correcting or explaining. After you have addressed each issue, 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](mailto: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

## DQI 2 (Contact 21)

To: Primary contact e-mail  
Cc: Other e-mails  
From: NSF Higher Education R&D Survey  
Re: NSF Higher Education R&D Survey ([[inst\_id]])

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

I need your help to clarify or correct [a few items/one item/two items] from your institution's FY 2016 Higher Education R&D Survey. I had previously contacted you about these issues on [date of DQI 1]. I need your response to finalize your institution's FY 2016 survey. I would like to finalize your survey data by [one week from email].

Please go to the survey website to explain or correct data quality issues.

To access the survey for [[instnamelong]]:

Survey website: [www.herdsurvey.org](http://www.herdsurvey.org)  
Your institution's ID: [[inst\_id]]

If you have forgotten your password, click on *ID/Password Help* on the survey login page.

When you return to the survey, you will see a red flag 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(s) and instructions for correcting or explaining. After you have addressed each issue, 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](mailto: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

## DQI 3 (Contact 22)

### In-person

Issues to be highlighted during a phone call to a DQI 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. Thank them for participating in the survey and let them know that we just need to clarify or correct [a few items/one item/two items] in order to finalize their survey.
3. Ask if they received the data quality issues e-mail and if so, when they might be able to respond.
4. If the respondent doesn't know if they got the e-mail or isn't sure when they can respond, and if the issues are easy to explain and the respondent might be able to respond immediately say, "The issue(s) are minor and you might be able to answer them right now. Do mind if I read them to you?" If they say yes, read the questions and record their responses.
5. Offer to resend the last DQI e-mail if the issues are complicated or they can't respond on the phone.
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 e-mail to [support@herdsurvey.org](mailto: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 e-mail 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] asking you to clarify some issues on your institution's FY 2016 survey. We are closing the database soon and cannot finalize your institution until we receive a response. Please respond to the e-mail or give us a call as soon as possible at 866-936-9376. Thank you again for your participation in this year's survey."

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.

**DQI resubmit thank-you (Contact 23)**

To: Primary contact e-mail  
Cc: Other e-mails  
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 resubmission for the FY 2016 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](mailto: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 24)**

(phone call within one week of refusal from NSF)

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 11: 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 10th 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 25)**

(letter sent as need and directed by NSF)

**Printed on NSF letterhead delivered via FedEx 2-day**

[[currentdate]]

[[adminfirstname]] [[adminmiddlename]] [[adminlastname]]

[[admintitle]]

[[admininstitution]]

[[adminaddr]]

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

Dear [[adminsalmutation]] [[adminlastname]]:

The National Science Foundation (NSF) is now conducting the FY 2016 Higher Education R&D Survey. We were informed by [[firstname]] [[lastname]], [[title]], that [[instnameletters]] 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 40 fields of R&D for over 900 institutions (see [www.nsf.gov/statistics/herd/](http://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 2016 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](mailto: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: [[firstname]] [[lastname]]



## **Automated Password-Related E-mails**

### **Password reset (Contact 26)**

To: Survey user requesting password reset  
From: NSF Higher Education R&D Survey  
Re: NSF HERD Survey Password ([[inst\_id]])

You have requested to reset your password for the Higher Education R&D Survey for:  
Institution name: [[instnamelong]]  
Institution ID: [[inst\_id]]

Please use the link below to reset your password. This link will expire in 15 minutes.

[[reset\_link]]

If you need further assistance or did not make a request to reset your password, contact Survey Support at (866) 936-9376, or by email at [support@herdsurvey.org](mailto:support@herdsurvey.org).

### **Designated alternate password set-up (Contact 27)**

To: Newly designated alternate  
From: NSF Higher Education R&D Survey  
Re: NSF HERD Survey Password ([[inst\_id]])

[[designator\_first\_name]] [[designator\_last\_name]] has granted you access to the Higher Education R&D Survey for:

Institution name: [[instnamelong]]  
Institution ID: [[inst\_id]]

Please use the link below to set up your password.

[[reset\_link]]

This link will expire in 7 days, but you can request a new link at any time by clicking on ID/Password Help on the survey login page.

If you need further assistance, please contact Survey Support at (866) 936-9376, or by email at [support@herdsurvey.org](mailto:support@herdsurvey.org).

**Alternate password set-up alert (Contact 28)**

To: Primary contact

From: NSF Higher Education R&D Survey

Re: NSF HERD Survey – new password created ([[inst\_id]])

[[alternate\_first\_name]] [[alternate\_last\_name]] has created a password on the NSF Higher Education R&D Survey for:

Institution name: [[instnamelong]]

Institution ID: [[inst\_id]]

You can add or remove login accounts from the Manage Login Accounts tool on the survey home page. If you need further assistance, please contact Survey Support at (866) 936-9376, or by email at [support@herdsurvey.org](mailto:support@herdsurvey.org).