

## FY 2022 HERD SURVEY CONTACT PROCEDURES

### SUMMARY OF CONTACTS

CONTACT	DATE	DESCRIPTION	MODE	FROM
1	Mon., 31 Oct. 2022	<p>Welcome Letter</p> <ul style="list-style-type: none"> <li>• Sent to institutions added to population based on response to questionnaire</li> <li>• Not sent to new institutions under a system with a veteran respondent</li> <li>• Hard-copy letter to president/chancellor with electronic version to respondent in prelaunch                             <ul style="list-style-type: none"> <li>• Copy of questionnaire</li> </ul> </li> </ul>	USPS 2-day Priority	Michael Gibbons of NCSSES
2	Tues., 1 Nov. 2022	<p>Prelaunch 1a</p> <ul style="list-style-type: none"> <li>• Inform respondent of upcoming launch e-mail</li> <li>• Invite to update respondent contact information</li> <li>• Initial contact verification request</li> </ul> <p>Prelaunch 1b</p> <ul style="list-style-type: none"> <li>• To new institutions</li> <li>• Inform respondent of upcoming launch e-mail</li> <li>• Remind respondent why they are receiving this e-mail</li> <li>• Attach copy of Welcome letter PDF and copy of questionnaire</li> <li>• Invite to update respondent contact information</li> <li>• Initial contact verification request</li> </ul>	E-mail	Carolyn Bennett of ICF
3	Tues., 8 Nov. 2022	<p>Launch</p> <ul style="list-style-type: none"> <li>• Introduction to the survey</li> <li>• URL and institution ID</li> <li>• Instructions to reset or create a password</li> <li>• List of changes from last year</li> <li>• Survey PDF attachment</li> </ul>	E-mail	Michael Gibbons of NCSSES
4	Tues., 15 Nov. 2022	Verification reminder 1	E-mail	Carolyn Bennett of ICF
5	Tues., 29 Nov. 2022	Verification reminder 2	E-mail	Carolyn Bennett of ICF
6	<p>Tues., 6 Dec.–Fri., 9 Dec. 2022</p> <p>Round 2: Mon., 12 Dec.– Fri., 16 Dec. 2022</p>	<p>Verification reminder 3</p> <ul style="list-style-type: none"> <li>• Verify primary contact</li> <li>• Seek information for new point of contact, as needed</li> </ul>	Phone	ICF staff

CONTACT	DATE	DESCRIPTION	MODE	FROM
7	Tues., 6 Dec. 2022	Due date reminder 1 (Test Group A)	USPS	ICF Staff
8	Mon., 9 Jan. 2023	Due date reminder 2	E-mail	Carolyn Bennett of ICF
9	Mon., 23 Jan. 2023	Due date reminder 3a <ul style="list-style-type: none"> <li>Reminder of 31 January deadline</li> </ul> Due date reminder 3b <ul style="list-style-type: none"> <li>Reminder of deadline extension</li> </ul>	E-mail	Carolyn Bennett of ICF
	<b>Tues., 31 January 2023</b>	<b>Announced HERD survey deadline</b>		
10	Mon., 6 Feb. 2023	Nonresponse 1a <ul style="list-style-type: none"> <li>Need response as soon as possible</li> </ul> Nonresponse 1b <ul style="list-style-type: none"> <li>Reminder of deadline extension</li> </ul>	E-mail	Carolyn Bennett of ICF
11	Thurs., 9 Feb. 2023	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 10 March</li> <li>Explains that a letter will be sent to the senior administrator after that date</li> </ul>	E-mail	Michael Gibbons of NCSES
12	Tues., 14 Feb.–Thurs., 16 Feb. 2023	Nonresponse 3 <ul style="list-style-type: none"> <li>Only for institutions without an upcoming expected date of completion</li> <li>Ask for submission by 10 March</li> <li>Explain that a letter will be sent to the senior administrator after that date</li> </ul>	Phone	ICF staff
	Round 2: Tues., 21 Feb.–Thurs., 23 Feb. 2022			
	<b>Fri., 24 Feb. 2023</b>	<b>Extended due date 1</b> <ul style="list-style-type: none"> <li>Offered to institutions that requested an extension before 9 February</li> <li>Offer to institutions that missed a pre-February 9 due date and did not get contact 11 or 12 and may be able to make date</li> </ul>		
13	Mon., 27 Feb. 2023	Nonresponse 4 <ul style="list-style-type: none"> <li>Asks for submission by 10 March</li> <li>Informs of letter to president if date missed</li> </ul> Nonresponse 4a <ul style="list-style-type: none"> <li>For institutions that missed an expected completion date</li> </ul> Nonresponse 4b <ul style="list-style-type: none"> <li>For institutions with an upcoming expected completion date or without a missed expected completion date</li> </ul>	E-mail	Michael Gibbons of NCSES
	<b>Fri., 10 March 2023</b>	<b>Extended survey deadline 2</b>		

CONTACT	DATE	DESCRIPTION	MODE	FROM
14	Tue., 14 Mar. 2023	Nonresponse 5 <ul style="list-style-type: none"> <li>Letter to the senior administrator</li> <li>Asks for submission by 31 March</li> <li>Copy sent to the primary contact</li> </ul>	U.S. Priority Mail	Director of NCSES
15	Tues., 21 Mar. 2023	Nonresponse 6 <ul style="list-style-type: none"> <li>Last e-mail reminder before the survey closes on 7 April</li> </ul>	E-mail	Michael Gibbons of NCSES
16	Mon., 27 Mar.–Wed., 29 Mar. 2023  Round 2: Mon., 3 Apr.–Wed., 5 Apr. 2023	Nonresponse 7 <ul style="list-style-type: none"> <li>Phone calls to high-priority institutions</li> </ul>	Phone	ICF staff
	<b>Fri., 7 April 2023</b>	<b>Final survey deadline</b>		
	<b>Mon., 10 April 2023</b>	<b>Last day that new survey submissions are accepted</b>		
	<b>TBD</b>	<b>Database closes after all surveys are reviewed and approved</b>		
<b>Other Contacts—Thank-You</b>				
17	Automatic after submission	Survey received. Data review is in progress.	E-mail	Jennifer Greer of ICF
18	Automatic after survey is marked as final by data approver	Thank-you 1a <ul style="list-style-type: none"> <li>For institutions with \$150,000 or more in R&amp;D expenditures</li> </ul> Thank-you 1b <ul style="list-style-type: none"> <li>For institutions with less than \$150,000 in R&amp;D expenditures</li> </ul>	E-mail	Michael Gibbons of NCSES
19	As data are approved	Thank-you 2 <ul style="list-style-type: none"> <li>E-mail that includes an Adobe PDF attachment of a thank-you letter from NCSES sent to senior administrator and acknowledged staff copied</li> <li>PDF Letter to the senior administrator acknowledging staff who completed survey.</li> </ul>	E-mail	E-mail: Michael Gibbons of NCSES  PDF: Director of NCSES
<b>Other Contacts—Data Corrections</b>				
20	As needed	Data quality issues 1	E-mail	Jennifer Greer of ICF
21	1 weeks after first data correction e-mail	Data quality issues 2	E-mail	Jennifer Greer of ICF
22	1 week after second data correction e-mail	Data quality issues 3	Phone	ICF staff
23	Automatic after resubmission	Resubmission thank-you	E-mail	Jennifer Greer of ICF
<b>Other Contacts—Refusal Conversion</b>				
24	After refusal	Refusal conversion 1	Phone or E-mail	ICF staff

CONTACT	DATE	DESCRIPTION	MODE	FROM
25	After continued refusal or Refusal conversion 1	Refusal conversion 2 <ul style="list-style-type: none"> <li>• Letter to the senior administrator</li> <li>• Asks for confirmation of refusal</li> <li>• Requests partial data</li> <li>• Copy sent to the respondent</li> </ul>	U.S. Priority Mail	Director of NCSES
<b>Other Contacts—Password Changes</b>				
26	Automatic when requested through the Web survey	Password reset	E-mail	No signature
27	Automatic when requested through the Web survey	Alternate contact password setup	E-mail	No signature
28	Automatic when an alternate contact sets up his or her password	Alternate contact password setup alert	E-mail	No signature

## DETAILED DESCRIPTION OF CONTACTS

There is a typical set of contacts that an institution, usually one designated respondent, receives during a Higher Education Research and Development (HERD) Survey cycle. (Primary contacts have the option of designating other institution staff who should also receive survey communications.) These contacts, including their goals, the timing, and whether multiple versions may be sent, are described below. Each description also includes a link to a sample of the e-mail, letter, or call script for that contact.

**Note:** The contact procedures for the HERD Short Form and Federally Funded Research and Development Center R&D surveys, are described separately. The dates and text are almost identical except when referring to survey name and organization type.

- **Welcome Letter**— This contact is used to welcome newly added institutions to the survey population. However, it is rare to have an institution added to the HERD standard form population that had not previously been part of the Short Form population. The letter is sent via USPS 2-day priority mail to the president, chancellor, or equivalent school administrator. The letter specifies that the institution is being added based on a response to a screener questionnaire, what that response was, and the questionnaire respondent. The letter also briefly discusses the uses of the survey data and provides a URL for the NCSES website for more information. A copy of the current year survey form is NOT enclosed in the envelope. This is different from the Short Form version (see Contact 1—[Welcome Letter](#)).
- **Prelaunch e-mail**— This e-mail is sent to the primary contact currently listed in the database for all institutions that completed the previous year’s survey (see Contact 2—[Prelaunch 1a](#)). Typically, this person is the previous year’s respondent; however, an institution may have changed the designated respondent between survey cycles. This e-mail is usually sent 1 week before survey launch. The goals of the e-mail are to (1) inform the respondent of the upcoming launch e-mail, (2) give the institution an opportunity to change the designated respondent

before the survey information is sent, and (3) give ICF data collection staff an opportunity to identify incorrect e-mail addresses before the survey is delivered.

For the FY 2022 collection, the prelaunch 1b e-mail (see Contact 2—[Prelaunch 1b](#)) is sent to institutions new to the HERD Survey and will (1) inform the respondent of the upcoming launch e-mail, (2) specify that the institution was added to the population based on a response they provided to a screener questionnaire, (3) provide the primary contact with a PDF copy of the Welcome letter sent to the president, chancellor, or equivalent, (4) give the institution an opportunity to change the designated contact before the survey information is sent, and (5) give ICF data collection staff an opportunity to identify incorrect e-mail addresses before the survey is delivered.

In most cases, the prelaunch e-mail is sent only once. If the e-mail is returned as undeliverable, data collection staff attempt to identify the correct address and then resend the e-mail.

- **Launch e-mail**—This e-mail is sent to all primary contacts listed in the database after the Web-based data collection system opens (see Contact 3—[Launch](#)). The goals of the e-mail are to (1) provide information about accessing the Web survey, (2) briefly describe the purpose of the survey, (3) describe any changes to the survey instrument or procedures, (4) list sources of additional information and assistance, and (5) distribute the Adobe Acrobat version of the data collection instrument as an attachment.
- **Verification reminder contacts**—Approximately two weeks after the prelaunch e-mail (which is also the initial contact verification request) is sent, respondents who have not contacted data collection staff to verify that they are the correct respondent or logged in to the survey are sent a reminder e-mail (see Contact 4—[Verification Reminder 1](#)). This e-mail asks them to respond and either confirm or update their contact information. The goal of the e-mail is to confirm that someone has taken responsibility for the survey by listing himself or herself as the primary contact. If a respondent phones or e-mails data collection staff with a question about the survey, the person is recorded as having verified that he or she is the correct respondent for the survey. A second verification reminder is sent to all respondents who still have not confirmed their contact information (see Contact 5—[Verification Reminder 2](#)).

If an institution does not respond to the three initial requests to verify a primary contact (including the prelaunch e-mail), data collection staff begin making phone calls (see Contact 6—[Verification Reminder 3](#)). The goal of the 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. The primary contact at each institution is asked to confirm receipt of the earlier e-mails and either confirm or update their contact information or provide contact information for another respondent.

If a primary contact has not been verified after one round of phone calls (over 1 week), ICF data collection staff will conduct a second round of verification phone calls to attempt to identify and verify an alternative contact.

- **Due date reminder contacts**— Since there is over two months between the launch e-mail and the survey due date, primary contacts are sent occasional reminders.

The first reminder is an e-mail sent 3 weeks before the survey deadline to all institutions that have not submitted final data. (see Contact 8—[Due Date Reminder 2](#)). Primary contacts who complete the survey for multiple campuses will receive only one e-mail.

The second reminder is an e-mail sent approximately 1 week before the survey deadline. There are two versions of this e-mail, one for institutions that have not been granted a deadline extension and one for institutions that have been granted an extension (see Contact 9—[Due Date Reminder 3a](#) and [Due Date Reminder 3b](#)). Primary contacts who complete the survey for multiple campuses will receive only one e-mail.

- **Nonresponse contacts**—Beginning a few days after the announced survey due date, all institutions that have not submitted final data are contacted about nonresponse. Multicampus respondents will receive only one instance of each contact, which will specify which campuses have and have not submitted final data. The schedule of nonresponse contacts is as follows:
  - An e-mail is sent 3 business days after the survey deadline to all institutions that have not submitted final data. There are two versions of this e-mail, one for institutions that have not been granted a deadline extension and one for institutions that have been granted an extension (see Contact 10—[Nonresponse 1a](#) and [Nonresponse 1b](#)). The e-mail reminds contacts of the missed due date or the deadline extension date and of the importance of receiving a response from all institutions.
  - An e-mail is sent approximately a week later to all institutions that have not submitted final data and do not have an upcoming expected completion date (see Contact 11—[Nonresponse 2](#)). The e-mail provides a first warning of the letter that will be sent to the senior administrator if data are not submitted.
  - The following week, data collection staff phone the primary contact of institutions that have not submitted final data and do not have an upcoming expected completion date (see Contact 12—[Nonresponse 3](#)). Respondents are asked whether they can submit the survey by 11 March and are reminded about the letter to senior administrators. Additional phone calls will occur the following week.
  - An e-mail is sent approximately 2 weeks after the first round of phone calls to all institutions that have not submitted final data. There are two versions of this e-mail, one for institutions that missed an expected completion date and one for all other institutions (see Contact 13—[Nonresponse 4a](#) and [Nonresponse 4b](#)). The e-mail informs respondents that their institution’s administration will be contacted if data are not submitted by 11 March.
  - After the extended deadline has passed, a letter is sent via U.S. Priority mail 2-day delivery to the senior administrator (e.g., president, chancellor) of institutions that have not submitted final data, and a copy of the letter is sent to the primary contact (see Contact 14—[Nonresponse 5](#)). An alternate version of this letter (version B) is sent to institutions that were granted an extension until 24 February because their fiscal year matches the calendar year or because they were added to the population after December 2022; version B of the letter acknowledges this later due date.

- Approximately two weeks before the website closes, an e-mail is sent announcing that the survey will be closing and that data will not be accepted after that (see Contact 15—[Nonresponse 6](#)).
- During the final 2 weeks of data collection, ICF and NCSES staff make phone calls to follow up with high-priority institutions, i.e., institutions 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 the survey (see Contact 16—[Nonresponse 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-based survey system after the respondent clicks on the button to submit the survey (see Contact 17—[Survey Received](#)). The primary contact typically receives this e-mail within minutes of submitting data. The purpose of the e-mail is to confirm receipt of the survey and inform the respondent that ICF will review the institution’s response and follow up with any questions. Once the survey submission is finalized by ICF, a thank-you e-mail is automatically sent (see Contact 18—[Thank-You 1a](#) and [Thank-You 1b](#)). The goals of the e-mail are to (1) thank the respondent for participating in the survey, (2) confirm that the data have been reviewed and finalized, (3) remind the respondent that the data can still be reviewed and downloaded at any time, and (4) provide additional information about reports and the public release of data. For those institutions reporting less than \$150,000 in R&D expenditures, the e-mail also informs them that they are not eligible for inclusion in the survey population. (It would be unusual for an institution in the HERD Survey standard form population to report less than \$150,000 in R&D expenditures, but we prepare this e-mail anyway.)
- **Thank-you letters to institution administrators**—A letter, as a PDF, is e-mailed to the senior administrator at each institution (e.g., president, chancellor) (see Contact 19—[Contact 19—Thank-You 2 Email](#), [Thank-You 2 Letter](#)). The letter briefly discusses the history and uses of the survey data, acknowledges personnel at the institution that completed the survey, and provides information on finding survey data on the NSF website. The letter, signed by the Director of NCSES, is sent to institutions that have approved final data. Batches of these letters are sent weekly, beginning in February 2022, and letters are e-mailed within 4 weeks of data approval. The primary contact and other staff identified by the primary contact as contributing to the survey are copied on the e-mail to the president or chancellor.
- **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 is usually sent within 4 weeks of data submission (see Contact 20—[Data Quality Issues 1](#)). If a response is not received after 1 week, a second e-mail is sent (see Contact 21—[Data Quality Issues 2](#)). If there is no response to the second e-mail, data collection staff phone the primary contact until a response is received (see Contact 22—[Data Quality Issues 3](#)). Once an institution resubmits its corrected survey, a thank-you e-mail is automatically sent (see Contact 23—[Resubmission Thank-You](#)).

## Institutions Receiving Special Attention

Throughout the year, institutions are selected for additional or alternative contacts. In most cases, this simply means that the respondent or other institution staff will receive contacts from survey staff in addition to, or in lieu of, the standard contacts described above. Frequently, institutions do not remain on the “special attention” list throughout the data collection; once an issue is resolved, the institution will begin receiving only the standard contacts, along with the rest of the survey population. A list of circumstances that would qualify an institution for special attention is provided below. In some cases, a specific contact has been prepared to address the situation.

- **Previous year unit nonresponder**—Since nonresponse to the survey is low, we are able to conduct tailored follow-ups with institutions that chose not to respond during the previous year’s survey. Before the beginning of each collection, ICF staff review the history for each nonresponding institution (e.g., how many years has it been since they last provided data; how long have they been in the survey population; did they actively refuse to participate last year; what refusal or nonresponse contacts have they received; what reason did they give for not responding). Based on those reviews, ICF makes recommendations to NCSSES for contact strategies for the coming collection. For some institutions that may have only been a unit nonresponder for 1 year due to temporary circumstances (e.g., staff turnover), ICF might recommend sending routine contacts. For some institutions that have not responded for several years and have been nonresponsive to previous contacts, ICF might suggest scheduling a meeting with school administration.
- **Deadline extension requests**—ICF may grant deadline extensions through 10 March 2023 without approval from the NSF project officer. The first suggested extension date will be 24 February, assuming that the institution does not propose an earlier date. A 10 March deadline extension date will be offered only if the respondent insists that an earlier deadline cannot be met. All requests for deadline extensions beyond 10 March must be approved by NCSSES. After 10 March, we will be evaluating our response rate and therefore cannot guarantee an extension beyond that date. Respondents will be assured that they will receive at least 2 weeks’ notice before the survey website closes.
- **Institutions whose fiscal year matches the calendar year or that were late additions to the survey population**—Because these institutions begin gathering their data later, they automatically receive a longer deadline extension. If one of these institutions requests an extension, the institution is given until 24 March to submit the survey.
- **Institutions that indicate that they will not be participating in the survey**—If a respondent indicates that an institution will not be participating in the survey, ICF initiates refusal-conversion efforts via phone or e-mail, whichever seems most appropriate (see Contact 24—[Refusal Conversion 1](#)). Although these contacts are tailored somewhat to the specific institution, the standard approach includes offering a deadline extension, requesting partial data, and informing the respondent that all refusals must be confirmed by the senior administrator.

If the respondent continues to refuse to participate or does not respond to Refusal conversion 1, a letter signed by the Director of NCSSES is sent to the institution’s senior administrator to



confirm the decision not to participate in the survey (see Contact 25—[Refusal Conversion 2](#)). NCSSES must be consulted before this letter is sent.

- **Institutions whose primary contact has left the institution and that have not provided an alternative contact**—Typically, institutions do not remain without an identified primary contact for long, but establishing a new primary contact often involves several phone calls or e-mails from survey staff.
- **One primary contact who responds for several campuses**—Standard contacts are prepared with the assumption that one person is responsible for one institution’s data submission. In some cases, standard e-mails and letters are revised to be appropriate for respondents who complete the survey for multiple campuses to avoid sending those respondents multiple copies of the same e-mail or letter.

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

In most email messages, respondents are directed to the ID/Password Help link on the survey website if they need to create or reset a password. Automated e-mails are sent by the Web-based survey system when a respondent requests that his or her password be reset (see Contact 26—[Reset Password](#)), when a primary contact designates a new alternate contact in the system (see Contact 27—[Alternate Contact Password Setup](#)), and when a newly designated contact sets up his or her password (see Contact 28—[Alternate Contact Password Setup Alert](#)).

## Contact 1—Welcome Letter

- Printed on survey letterhead and sent via U.S. Priority mail 2-day delivery

[date expected to be mailed]

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

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

The National Science Foundation (NSF) has identified your institution as eligible to participate in the FY 2022 Higher Education Research and Development (HERD) Survey. [[instnameletters]] was added to the survey population in [[month screener completed]] when [[firstname]] [[lastname]], [[title]] responded to our screener questionnaire, indicating that the institution had at least \$1,000,000 in separately accounted for R&D expenditures during FY 2022.

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. 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. Close to 900 universities and colleges complete the annual survey. You can learn more about the survey and how that data is used at [www.nsf.gov/statistics/srvyherd/](http://www.nsf.gov/statistics/srvyherd/).

Next week, we will be sending [[firstname]] [[lastname]] an e-mail with information about accessing and completing the web survey. **The survey deadline is January 31, 2023.**

The survey is conducted for the National Center for Science and Engineering Statistics (NCSES) within the NSF by ICF. 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 for your participation in this important effort.

Sincerely,



Michael Gibbons  
Project Officer, Higher Education R&D Survey  
National Center for Science and Engineering Statistics  
National Science Foundation

## Contact 2—Prelaunch 1a

- This version of the prelaunch e-mail is sent to institutions included in the previous year's population.

To: Primary contact e-mail

Cc: Other contacts to receive e-mail

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]]:

Next week, the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) will begin the FY 2022 Higher Education R&D (HERD) Survey. **The survey due date is January 31, 2023.**

I would appreciate very much if you would take a moment to reply and let our survey support 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 survey support know so they 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 the National Center for Science and Engineering Statistics (NCSES) within the NSF by ICF.. 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,

Carolyn Bennett

Data Collection Manager

NSF Higher Education R&D Survey

ICF

## Contact 2—Prelaunch 1b

- This version of the prelaunch e-mail is sent to new institutions and PDF attachments

To: Primary contact e-mail

Cc: Other contacts to receive e-mail

From: NSF Higher Education R&D Survey

Re: Welcome to the NSF Higher Education R&D Survey ([[inst\_id]])

Attachments: Welcome letter PDF

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

Next week, the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) will begin the FY 2022 Higher Education R&D (HERD) Survey. At that time, you will get an e-mail from us with login information for the web survey.

[[instnameletters]] was added to the survey population in [[month screener completed]] when you responded to our screener questionnaire, indicating that the institution had at least \$1,000,000 in separately accounted for R&D expenditures during FY 2022. A copy of the welcome letter sent to [[admintitle]] [[adminlastname]] is attached.

The survey is conducted for NCSES by ICF. If you have any questions about the survey, please contact me toll-free at (866) 936-9376 or send an email to [support@herdsurvey.org](mailto:support@herdsurvey.org). **The survey due date is January 31, 2023**

I would also appreciate very much if you would take a moment to reply to this e-mail and let me know if you are still the appropriate contact person for this survey and if the contact information below is correct.

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

Title: [[title]]

Phone: [[phone]]

Email: [[email]]

Address:

[[primary\_institution]]

[[addr]]

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

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

Sincerely,

Carolyn Bennett

Data Collection Manager

NSF Higher Education R&D Survey

ICF

### Contact 3—Launch

- Before sending the launch e-mail, ICF data collection staff will e-mail the programming team to open the survey to respondents.

To: Primary contact e-mail  
Cc: Other contacts to receive e-mail  
From: NSF Higher Education R&D Survey  
Re: NSF Higher Education R&D Survey ([[inst\_id]])  
Attachment: HERD survey PDF

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

The website is now open for the National Science Foundation's (NSF's) FY 2022 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. Almost 900 universities and colleges complete the survey 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 **January 31, 2023**.

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

If you are no longer the appropriate person to contact, please let survey support know so they can update your information.

The survey is conducted for the National Center for Science and Engineering Statistics (NCSES) within the NSF by ICF. If you need to revise contact information or have any questions about the survey, please contact survey support at (866) 936-9376 or send an email to [support@herdsurvey.org](mailto:support@herdsurvey.org).

Thank you for completing this survey.

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

## Contact 4—Verification Reminder 1

- Sent to all institutions that have not yet verified their contact information or have not logged in to the Web survey

To: Primary contact e-mail

Cc: Other contacts to receive e-mail

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 2022 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 survey support at (866) 936-9376 or send an email to [support@herdsurvey.org](mailto:support@herdsurvey.org).

Sincerely,

Carolyn Bennett

Data Collection Manager

NSF Higher Education R&D Survey

ICF

## Contact 5—Verification Reminder 2

- Sent to all institutions that have not yet verified their contact information or have not logged in to the Web survey

To: Primary contact e-mail

Cc: Other contacts to receive e-mail

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 2022 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,

Carolyn Bennett

Data Collection Manager

NSF Higher Education R&D Survey

ICF

Toll-free number: (866) 936-9376

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

## Contact 6—Verification Reminder 3

- Two rounds of verification phone calls to confirm primary contact or identify new respondent, as needed

### 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. 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 number, 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 Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) 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.



## Contact 7—Due Date Reminder 1 (Test Group A)

- A card, with a sticky note inside, that is 3" x 5" when folded; mailed in a legal envelope bearing the survey return address
- Sent to institutions that have not submitted the survey

### Design/text for card:

Look and feel: color, format and text font should be the same as the FY 2019 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:

Monday, January 31, 2022, 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.hersurvey.org](http://www.hersurvey.org)

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

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

### Inside right:

Background – calendar showing month of January 2022, 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 2019 mailer (see images on next page)

**The deadline for the  
FY 2022  
NSF Higher Education  
R&D Survey is:**

**Tuesday, January 31, 2023**

**Login at  
[www.hersurvey.org](http://www.hersurvey.org)**

## FY 2021 Mailer

### Cover Page



### Inside Page

Monday, January 31, 2022, 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 2022*

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					

A red arrow points to the date 31, which is circled in red.

### Sticky-note Insert

The deadline for the  
FY 2021  
NSF Higher Education  
R&D Survey is:

Monday, January 31, 2022

Login at  
[www.herdsurvey.org](http://www.herdsurvey.org)

## Contact 8—Due Date Reminder 2

- Sent to institutions that have not submitted the survey

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

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

In November we asked for your participation in the National Science Foundation's FY 2022 Higher Education R&D Survey. This is a friendly reminder that the survey deadline is **January 31, 2023**.

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 *<em>ID/Password Help</em>* 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 questions about using the survey website, please call survey support at (866) 936-9376 or send an email to [support@herdsurvey.org](mailto:support@herdsurvey.org).

If you have any questions about the survey items, please contact Michael Gibbons of NSF at [mgibbons@nsf.gov](mailto:mgibbons@nsf.gov) or (703) 292-4590.

Thank you for your time and your participation.

Sincerely,

Carolyn Bennett  
Data Collection Manager  
NSF Higher Education R&D Survey  
ICF

## Contact 9—Due Date Reminder 3a

- Sent to institutions that have not submitted the survey and have not been granted an extension

To: Primary contact e-mail

Cc: Other contacts to receive e-mail

From: NSF Higher Education R&D Survey

Re: Due date for NSF's Higher Education R&D Survey: January 31, 2022 ([[inst\_id]])

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

We are reminding all survey respondents about the upcoming deadline for the National Science Foundation's FY 2022 Higher Education R&D Survey.

Please respond by **Tuesday, January 31, 2023**.

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 *<em>ID/Password Help</em>* 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,

Carolyn Bennett

Data Collection Manager

NSF Higher Education R&D Survey

ICF

## Contact 9—Due Date Reminder 3b

- Sent to institutions that have not submitted the survey and have been granted an extension

To: Primary contact e-mail

Cc: Other contacts to receive e-mail

From: NSF Higher Education R&D Survey

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

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

We are reminding all survey respondents about the upcoming deadline for the National Science Foundation's FY 2022 Higher Education R&D Survey. Your deadline has been extended to **[[expecteddate]]**.

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

Survey website: [www.hersurvey.org](http://www.hersurvey.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.

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

Carolyn Bennett

Data Collection Manager

NSF Higher Education R&D Survey

ICF

## Contact 10—Nonresponse 1a

- Sent to all institutions that have not submitted the survey *except* those that have been granted a deadline extension (see Contact 10—Nonresponse 1b)

To: Primary contact e-mail

Cc: Other contacts to receive e-mail

From: NSF Higher Education R&D Survey

Re: Please reply regarding NSF's 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 2022 Higher Education R&D Survey. It is important for us to have every institution's current R&D information so that our FY 2022 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, e-mail survey support 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,

Carolyn Bennett

Data Collection Manager

NSF Higher Education R&D Survey

ICF

## Contact 10—Nonresponse 1b

- Sent to all institutions that have not submitted the survey and have been granted a deadline extension

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

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

Your deadline for the National Science Foundation's FY 2022 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 2022 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 *<em>ID/Password Help</em>* 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,

Carolyn Bennett  
Data Collection Manager  
NSF Higher Education R&D Survey  
ICF

## Contact 11—Nonresponse 2

- Sent to all institutions that have not submitted the survey *and* do not have an upcoming expected completion date

To: Primary contact e-mail

Cc: Other contacts to receive e-mail

From: NSF Higher Education R&D Survey

Subject: Please reply regarding the NSF's 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 2022 Higher Education R&D Survey. We are asking for all survey responses by **Friday, March 10, 2023**. 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 [mgibbons@nsf.gov](mailto:mgibbons@nsf.gov) or (703) 292-4590.

Thank you very much for your continued participation.

Sincerely,

Michael Gibbons

Project Officer, Higher Education R&D Survey

National Center for Science and Engineering Statistics

National Science Foundation



## Contact 12—Nonresponse 3

- Two rounds of phone calls to the primary contact at all institutions that have not submitted final data *and* do not have an upcoming expected completion 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 Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) 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.

Voicemail Example: “Hello my name is [[survey staff]], and I’m calling on behalf of the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) about the Higher Education R&D Survey. I just wanted to remind you that the extended due for the survey is March 10. After March 10 NSF will be sending letters to the Presidents and 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.

## Contact 13—Nonresponse 4a

- Sent to the primary contact at institutions that missed an expected completion date that was after the survey due date

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

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

Earlier you let us know that you would submit the FY 2022 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 11, 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. We also want to ensure that any decision to decline participation is made at the highest level since institutional nonresponses will be imputed.

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,

Michael Gibbons  
Project Officer, Higher Education R&D Survey  
National Center for Science and Engineering Statistics  
National Science Foundation  
[mgibbons@nsf.gov](mailto:mgibbons@nsf.gov)  
(703) 292-4590

## Contact 13—Nonresponse 4b

- Sent to the primary contact at institutions that have not submitted the survey and have an upcoming expected completion date or never had an expected completion date that was after the survey due date

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

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

We need your survey response by **Friday, March 10** for the FY 2022 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. We also want to ensure that any decision to decline participation is made at the highest level since institutional nonresponses will be imputed.

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,

Michael Gibbons  
Project Officer, Higher Education R&D Survey  
National Center for Science and Engineering Statistics  
National Science Foundation  
[mgibbons@nsf.gov](mailto:mgibbons@nsf.gov)  
(703) 292-4590

## Contact 14—Nonresponse 5

- Printed on survey letterhead and sent via U.S. Priority mail 2-day delivery
- Version A: Sent to institutions that have not submitted final data and did not have a deadline extension because of special circumstances
- Version B: Sent to institutions whose fiscal year matches the calendar year *or* that were late additions to the survey population

[date expected to be mailed]

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

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

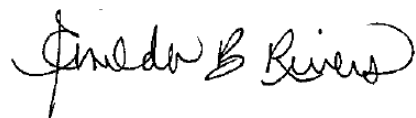
I am writing to let you know we need your institution's response by Friday, 31 March to the National Science Foundation's Higher Education Research and Development Survey. We launched the survey on November 8, 2021 and asked for responses by January 31, 2022. [Version B: February 25, 2022.] Our current 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, Mr. Michael Gibbons, at (703) 292-4590 or [mgibbons@nsf.gov](mailto:mgibbons@nsf.gov).

Thank you for your continuing participation in this annual assessment of our nation's R&D.

Sincerely,



Emilda Rivers  
Director  
National Center for Science and Engineering Statistics

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

## Contact 15—Nonresponse 6

- Sent to all institutions that have not submitted the survey
- The survey's closing date may need to be changed based on when the e-mail is sent. This e-mail is not sent until ICF is sure that we are 2 weeks away from meeting our target response rate.

To: Primary contact e-mail

Cc: Other contacts to receive e-mail

From: NSF Higher Education R&D Survey

Re: Final Notice: NSF's Higher Education R&D Survey due April 11 ([[inst\_id]])

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

We need your response to the National Science Foundation's FY 2022 Higher Education R&D Survey before the website closes on **Tuesday, April 11**. 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, funding agencies, 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 [mgibbons@nsf.gov](mailto:mgibbons@nsf.gov) or (703) 292-4590.

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

Sincerely,

Michael Gibbons

Project Officer, Higher Education R&D Survey

National Center for Science and Engineering Statistics

National Science Foundation

## Contact 16—Nonresponse 7

- Phone calls made 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 Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) regarding the Higher Education Research and Development Survey
2. Remind respondent that the survey web site will close on April 11.
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 April 11, tell them that they can have until noon the following Wednesday (April 12) but for time beyond that they will have to speak to Michael Gibbons.
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 Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) about the Higher Education R&D Survey. I just wanted to remind you that the survey website is closing on Tuesday, April 11. 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.

## Contact 17—Survey Received

To: Primary contact e-mail  
Cc: Other contacts to receive e-mail  
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 2022 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, 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

## Contact 18—Thank-You 1a

- Automatically sent to institutions with \$150,000 or more in total R&D expenditures after the data review is completed and the survey response is marked as approved
- Includes an Adobe PDF version of the survey prefilled with the institution's submitted data

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

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

On behalf of the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF), I want to thank you for participating in the FY 2022 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 *ID/Password Help* 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, toll-free at (866) 936-9376 or send an email to [support@herdsurvey.org](mailto:support@herdsurvey.org).

Sincerely,

Michael Gibbons  
Project Officer, Higher Education R&D Survey  
National Center for Science and Engineering Statistics  
National Science Foundation  
[mgibbons@nsf.gov](mailto:mgibbons@nsf.gov)  
(703) 292-4590



## Contact 18—Thank-You 1b

- Automatically sent to institutions with less than \$150,000 in total R&D expenditures after the data review is completed and the survey response is marked as approved
- Includes an Adobe PDF version of the survey prefilled with the institution's submitted data

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

Dear [firstname] [[lastname]]:

On behalf of the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF), I want to thank you for participating in the FY 2022 Higher Education Research and Development Survey. According to the information you submitted, your institution spent less than \$150,000 on R&D in FY 2022. Because this does not meet the threshold for the survey population, your institution will not be included in the FY 2021 tables showing statistical information by institution. **This also means that you will not be contacted to participate in the FY 2023 survey.**

If you wish to take another look at the FY 2022 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, 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,

Michael Gibbons  
Project Officer, Higher Education R&D Survey  
National Center for Science and Engineering Statistics  
National Science Foundation  
[mgibbons@nsf.gov](mailto:mgibbons@nsf.gov)  
(703) 292-4590

## Contact 19—Thank-You 2 Email

- Sent to president, chancellor, or equivalent at institutions with an Adobe PDF copy of Thank-you Letter attached and respondents copied
- Sent in weekly batches beginning in January

To: [[adminemail]]

Cc: [[email]]

From: NSF Higher Education R&D Survey

Re: NSF's Higher Education R&D Survey Acknowledgment ([[inst\_id]])

Dear [[admintitle]] [[adminlastname]]:

On behalf of the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF), I want to thank [[instnameletters]] for participating in the FY 2022 Higher Education Research and Development Survey. The attached thank-you letter recognizes the personnel at your institution who provided this year's survey response.

If you have any questions, please contact me at (703) 292-4590 or [mgibbons@nsf.gov](mailto:mgibbons@nsf.gov).

Sincerely,

Michael Gibbons

Project Officer, Higher Education R&D Survey

National Center for Science and Engineering Statistics

National Science Foundation

## Contact 19—Thank-You 2 Letter

- On survey letterhead, a letter is sent as a PDF via e-mail
- Addressed to the president, chancellor, or equivalent at institutions with approved final data
- Sent in weekly batches beginning in January
- In the second paragraph, more than one person may be acknowledged if requested by the primary contact.

[date letter will be mailed]

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

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

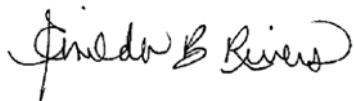
The National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) thanks [[instnameletters]] for participating in the Higher Education Research and Development Survey. The information your institution provided for FY 2021 will become part of our longitudinal statistics on R&D expenditures in 40 fields. For almost 50 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 <https://ncses.nsf.gov/>. You may contact John Jankowski, Director of NCSES'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,



Emilda Rivers  
Director  
National Center for Science and Engineering Statistics  
cc: [[firstname]] [[lastname]]

## Contact 20—Data Quality Issues 1

To: Primary contact e-mail  
Cc: Other contacts to receive e-mail  
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 2021 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 2022. I would like to finalize your survey data by [one week after message].

The survey has been reopened so you can address each issue and make revisions to data if needed. 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.**

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.

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

## Contact 21—Data Quality Issues 2

To: Primary contact e-mail  
Cc: Other contacts to receive e-mail  
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 2022 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 2022 survey. I would like to finalize your survey data by [one week from email].

The survey has been reopened so you can address each issue and revise data if needed. 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.**

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 *<em>ID/Password Help</em>* on the survey login page.

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

## Contact 22—Data Quality Issues 3

### 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 Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) 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 you 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 cannot 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 Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) 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 2022 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.

## Contact 23—Resubmission Thank-You

To: Primary contact e-mail  
Cc: Other contacts to receive e-mail  
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 2022 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

## Contact 24—Refusal Conversion 1

- Phone call or e-mail within 1 week of refusal to participate in the survey
- 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: R&D expenditures by source of funds
  - b. Questions 9 and 11: 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 February 24 from January 16 to February 6
  - c. Use March 10 after February 6
- 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.



## Contact 25—Refusal Conversion 2

- Printed on survey letterhead and sent via U.S. Priority mail 2-day delivery
- Sent as needed, at the direction of NCSES

[date letter will be mailed]

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

[[admintitle]]

[[instnameletters]]

[[adminaddr]]

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

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

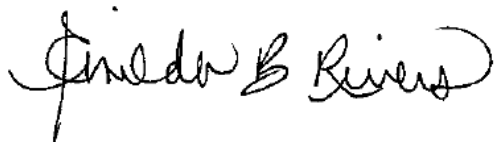
The National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) is now conducting the FY 2022 Higher Education R&D Survey. We were informed by [[firstname]] [[lastname]], [[title]], that [[instnameletters]] will not be participating in this year's data 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 2022 survey responses so we can present the most current data for your institution. Alternatively, we will display imputed data for [[instnameletters]] in the institution level tables. We believe your data or estimates will represent [[instnameletters]] better than our imputation. You may contact Michael Gibbons of my staff at (703) 292-4590 or [mgibbons@nsf.gov](mailto:mgibbons@nsf.gov).

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

Sincerely,



Emilda Rivers  
Director  
National Center for Science and Engineering Statistics

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

## Contact 26—Password Reset

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).

## Contact 27—Alternate Contact Password Setup

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).

## Contact 28—Alternate Contact Password Setup Alert

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]] (respondent's e-mail address) 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 individuals who can create a login account on the *Contact information and login accounts* page on the web survey. If you need further assistance, please contact Survey Support at (866) 936-9376, or by email at [support@herdsurvey.org](mailto:support@herdsurvey.org).