Appendix A Population Review Screener



FORM APPROVED OMB No. 3145-0100 Expiration Date: 08/31/2022

NATIONAL SCIENCE FOUNDATION

ALEXANDRIA, VA 22314

HIGHER EDUCATION RESEARCH AND DEVELOPMENT SURVEY Population Review Questionnaire

Your institution's inclusion in the FY 2020 Higher Education Research and Development (HERD) Survey will be based on your responses to the following five questions.

Question 1. During your institution's FY 2019, did your institution have any R&D expenditures? (Please see definitions below.)			
Yes	□ →	Go to Question 2.	
No	□ →	Go to Question 3.	

Research and development (R&D) is creative and systematic work undertaken in order to increase the stock of knowledge — including knowledge of humankind, culture, and society — and to devise new applications of available knowledge.

R&D expenditures

Include all expenditures for R&D activities from your institution's current operating funds that are separately accounted for. For purposes of this survey, R&D includes expenditures for organized research as defined by 2 CFR Part 200 Appendix III and expenditures from funds designated for research.

R&D includes:

- Sponsored research (federal and nonfederal)
- University research (institutional funds that are separately budgeted for individual R&D projects)
- Startup, bridge, or seed funding provided to researchers within your institution
- Other departmental funds designated for research
- Recovered and unrecovered indirect costs
- Equipment purchased from R&D project accounts
- R&D funds passed through to a subrecipient organization, educational or other
- Clinical trials, Phases I, II, or III
- Research training grants funding work on organized research projects
- Tuition remission provided to students working on research

R&D does not include:

- · Public service grants or outreach programs
- Curriculum development (unless included as part of an overall research project)
- R&D conducted by university faculty or staff at outside institutions that is not accounted for in your financial records.
- Estimates of the proportion of time budgeted for instruction that is spent on research
- Capital projects (i.e., construction or renovation of research facilities)
- · Non-research training grants
- Unrecovered indirect costs that exceed your institution's federally negotiated Facilities and Administrative (F&A) rate

(Questions continue on page 2)

Question 2. What were your institution's total expenditures for R&D in FY 2019?				
Less than \$150,000				
\$150,000 to \$999,999				
\$1,000,000 or more				
Question 3. During your institution's FY 2020, did your institution have any, or do you expect to have any, R&D expenditures?				
Yes ☐ → Go to Question 4.				
No ☐ → Go to Question 5.				
Question 4. What were your institution's total expenditures for R&D in FY 2020? If final FY 2020 expenditures are not yet available, please estimate.				
Less than \$150,000				
\$150,000 to \$999,999				
\$1,000,000 or more				
Question 5. If your institution is included in the FY 2020 Higher Education Research and Development (HERD) Survey, whom should we contact about the above information?				
Name				
Title				
Institution name				
Department/office				
Mailing address (line 1)				
Mailing address (line 2)				
City, state, and ZIP code				
Phone number				
E-mail address				
Thank you for completing this questionnaire.				
If you have any questions, please contact ICF at support@herdsurvey.org or (866) 936-9376.				

Appendix B Collection Schedule and Contacts

Contact	Date	Description/Message	Mode	From
1	Tuesday, 25 August 2020	Screener launch email	Email or Priority Mail	Michael Gibbons of NCSES
2	Tuesday, 8 September 2020	Nonresponse reminder 1	Email	Michael Gibbons of NCSES
3	Monday, 14 September - Thursday, 17 September 2020 And Thursday, 24 September - Tuesday, 29 September 2020	 Nonresponse reminder 2 and 3 Version 1 for calls to primary contact from last year Version 2 for calls to senior administrator Response needed within 1 week of calls 	Phone	ICF staff
4	Monday, 5 October 2020	Nonresponse reminder 4	Priority Mail	Michael Gibbons of NCSES
	I	Post Response Contacts for Eligible Institutions		
5	As completed	 Thank you for eligible institutions Version 1 email to senior administrator copying designated point of contact Version 2 letter to senior administrator with copy sent to designated point of contact 	Email or Letter	Michael Gibbons of NCSES
6	Within 2-weeks of submission	 Welcome letter to new institutions Sent to senior leadership at institution Copy of letter sent to respondent 	Priority Mail	Michael Gibbons of NCSES
	P	ost Response Contacts for Ineligible Institutions		

Contact	Date	Description/Message	Mode	From
7	As completed	Thank you for ineligible institutions under	Email or	Michael
		threshold	Letter	Gibbons of
		 Version 1 email to senior administrator 		NCSES
		copying designated point of contact		
		• Version 2 letter to senior administrator with		
		copy sent to designated point of contact		

Contact 1, version 1

Population Screener Launch Email

To: [[email]]

From: NSF Higher Education R&D Survey

Re: NSF Higher Education R&D Review ([[inst_id]])

Attachment: HERD survey questionnaire PDF

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

I am writing to request your assistance in helping the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) measure nationwide spending on research and development (R&D) at colleges and universities. By answering five short questions (see attached questionnaire), you will help us update our list of institutions for NSF's Higher Education Research and Development (HERD) Survey. Even if your institution has no R&D, it is still very important that we hear from you so we can remove your institution from our list.

To complete the questionnaire please 1) enter your responses into the attached file, 2) save it to your desktop, 3) reply to this e-mail and attach your saved questionnaire.

The NSF HERD Survey is an annual survey of U.S. institutions with annual R&D expenditures of \$150,000 or more. It covers nonprofit institutions that offer an accredited bachelor's or higher degree. NSF is the federal agency responsible for compiling and reporting the total amount spent on R&D within the United States from all sources of funding, both private and public. The published statistics from our surveys are used to show the contribution of U.S. academic institutions to research. Your assistance will help us make sure that our list of institutions performing R&D is complete and accurate. Institutions are often included in this review because they reported having research expenses in their previous year's IPEDS report, which indicates they may qualify to participate in the upcoming HERD survey.

I would appreciate very much if you could return your response via e-mail by **Friday**, **September 4**, **2020**. If you have any questions, please contact our survey contractor, ICF, at support@herdsurvey.org or call toll-free 866-936-9376.

Thank you for your help with this national effort.

Contact 1, version 2

Population Screener Launch Email

To: [[adminemail]]

From: NSF Higher Education R&D Survey

Re: NSF Higher Education R&D Review ([[inst_id]])

Attachment: HERD survey questionnaire PDF

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

I am writing to request your assistance in helping the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) measure nationwide spending on research and development (R&D) at colleges and universities. By answering five short questions (see attached questionnaire), you will help us update our list of institutions for NSF's Higher Education Research and Development (HERD) Survey. Even if your institution has no R&D, it is still very important that we hear from you so we can remove your institution from our list.

To complete the questionnaire please 1) enter your responses into the attached file, 2) save it to your desktop, 3) reply to this e-mail and attach your saved questionnaire.

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I would appreciate very much if you could return your response via e-mail by **Friday**, **September 4**, **2020**. If you have any questions, please contact our survey contractor, ICF, at support@herdsurvey.org or call toll-free 866-936-9376.

Thank you for your help with this national effort.

Contact 1, version 3

Population Screener Launch Letter

• On HERD letterhead and sent to president or chancellor; Hard-copy of screener and postage paid envelope included. Sent via 2-day priority mail

[[currentdate]]

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

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

I am writing to request your assistance in helping the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) measure nationwide spending on research and development (R&D) at colleges and universities. By answering five short questions (see enclosed questionnaire), you will help us update our list of institutions for NSF's Higher Education Research and Development (HERD) Survey. Even if your institution has no R&D, it is still very important that we hear from you so we can remove your institution from our list.

The NSF HERD Survey is an annual survey of U.S. institutions with annual R&D expenditures of \$150,000 or more. It covers nonprofit institutions that offer an accredited bachelor's or higher degree. NSF is the federal agency responsible for compiling and reporting the total amount spent on R&D within the United States from all sources of funding, both private and public. The published statistics from our surveys are used to show the contribution of U.S. academic institutions for research. Your assistance will help us make sure that our list of institutions performing R&D is complete and accurate. Institutions are often included in this review because they reported having research expenses in their previous year's IPEDS report, which indicates they may qualify to participate in the upcoming HERD survey.

I would appreciate very much if you could respond by **Friday**, **September 11**, **2020**. Please return the enclosed questionnaire in the postage-paid return envelope or fax it to 866-936-9376.

If you have any questions, please contact our survey contractor, ICF, at support@herdsurvey.org or call toll-free 866-936-9376.

Thank you for your help with this national effort.

Sincerely,

Michael Gibbons

National Center for Science and Engineering Statistics

National Science Foundation

MI TAMos

Contact 2, version 1

Nonresponse Reminder 1

To: [[email]]

From: NSF Higher Education R&D Survey

Re: NSF Higher Education R&D Review ([[inst id]])

Attachment: HERD survey questionnaire PDF

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

We need your response as soon as possible to a short set of questions for the Higher Education Research and Development Survey conducted by the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF). Please complete and return the attached PDF questionnaire. We would very much like to have your institution's information so that our coverage of academic institutions will be complete.

I would appreciate very much if you could return your response via e-mail by **Friday**, **September 11**, **2020**. Even if your institution had no R&D expenditures, we still need to hear from you. NSF is the federal agency responsible for estimating the total amount spent on R&D within the U.S. Your institution's response helps us provide complete and accurate national statistics.

To complete the questionnaire please 1) enter your responses into the attached file, 2) save it to your desktop, 3) reply to this e-mail and attach your saved questionnaire.

If you have any questions, please contact our survey contractor, ICF, at support@herdsurvey.org or call toll-free 866-936-9376.

Thank you for your help with this national effort.

Contact 2, version 2

Nonresponse Reminder 1

To: [[adminemail]]

From: NSF Higher Education R&D Survey

Re: NSF Higher Education R&D Review ([[inst id]])

Attachment: HERD survey questionnaire PDF

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

We need your response as soon as possible to a short set of questions for the Higher Education Research and Development Survey conducted by the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF). Please complete and return the attached PDF questionnaire. We would very much like to have your institution's information so that our coverage of academic institutions will be complete.

I would appreciate very much if you could return your response via e-mail by **Friday**, **September 11**, **2020**. Even if your institution had no R&D expenditures, we still need to hear from you. NSF is the federal agency responsible for estimating the total amount spent on R&D within the U.S. Your institution's response helps us provide complete and accurate national statistics.

To complete the questionnaire please 1) enter your responses into the attached file, 2) save it to your desktop, 3) reply to this e-mail and attach your saved questionnaire.

If you have any questions, please contact our survey contractor, ICF, at support@herdsurvey.org or call toll-free 866-936-9376.

Thank you for your help with this national effort.

Contact 3, version 1

Nonresponse Reminder 2 and 3

Call the office of the primary contact at each institution that has not responded to the questionnaire.

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 questionnaire.
- 2. Confirm receipt of the Questionnaire Nonresponse e-mail/letter
 - If the contact does not have a copy of the e-mail, verify their e-mail address and resend the e-mail.
 - If the letter was not received ask if there is an e-mail we can send the letter to expedite the process. If not then confirm the mailing address and resend the letter with attached population review questionnaire or ask if they could answer the questions via phone.
- 3. Inform the contact that NSF needs a response by
 - September 23 (nonresponse reminder 2)
 - October2 (nonresponse reminder 3)
- 4. Ask if the questionnaire was forwarded to another office and if they can follow up on the status of the institution's response.
- 5. If the contact indicates that they know they do or do not have expenditures, you can take a response over the phone. Just confirm that they are thinking about externally and internally sponsored R&D in all field of study including non-science and engineering fields.
- 6. Ask the respondent if he/she has any questions and let them know that if they have any questions in the future, they can send an email to support@herdsurvey.org or call you toll free at 866-936-9376.

Leaving a message

1. If the primary contact's office cannot be reached leave a voice mail identifying yourself and the survey, the purpose of the call, the date of the e-mail/letter 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 questionnaire. Please call us at 866-936-9376 and let us know when you will be able to complete the brief five question survey that was e-mailed to you on XXXX (or that was mailed to you on XXX). 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 coworker.

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 week-long cycle.

Contact 3, version 2

Nonresponse Reminder 2 and 3

Call the office of the senior administrator at each institution that has not responded to the questionnaire.

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 questionnaire.
- 2. Confirm receipt of the questionnaire Nonresponse e-mail/letter. You do not speak directly to the president/chancellor. You can speak to their assistant or whoever answers the phone (e.g., "I'm trying to confirm whether Dr. Jones received a short survey we sent to her on ...")
 - If the contact does not have a copy of the e-mail, verify their e-mail address and resend the e-mail.
 - If the letter was not received ask if there is an e-mail we can send the letter to expedite the process. If not then confirm the mailing address and resend the letter with attached population review questionnaire or ask if they could answer the questions via phone.
 - You can also use this as an opportunity to ask if there is someone else the survey should be sent to.
- 3. Inform the contact that NSF needs a response by
 - September 23 (nonresponse reminder 2)
 - October2 (nonresponse reminder 3)
- 4. Ask if the questionnaire was forwarded to another office and if they can follow up on the status of the institutions response.
- 5. If the contact indicates that they know they do or do not have expenditures, you can take a response over the phone. Just confirm that they are thinking about externally and internally sponsored R&D in all field of study including non-science and engineering fields.
- 6. Ask the respondent if he/she has any questions and let them know that if they have any questions in the future, they can send an email to support@herdsurvey.org or call you toll free at 866-936-9376.

Leaving a message

1. If the senior administrator's office cannot be reached leave a voicemail identifying yourself and the survey, the purpose of the call, the date of the e-mail/letter 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 questionnaire. Please call us at 866-936-9376 and let us know when you will be able to complete the brief five question survey that

was e-mailed to you on XXXX (or that was mailed to you on XXX). . 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 coworker.

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 week-long cycle.

Contact 4

Nonresponse Reminder 6

• On HERD letterhead and sent to president or chancellor; Hard-copy of screener and postage paid envelope included. Sent via 2-day priority mail

[[currentdate]]

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

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

I am writing to request your assistance in helping the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) measure nationwide spending on research and development (R&D) at colleges and universities. By answering five short questions (see enclosed questionnaire), you will help us update our list of institutions for NSF's Higher Education Research and Development (HERD) Survey. Even if your institution has no R&D, it is still very important that we hear from you so we can remove your institution from our list.

The NSF HERD Survey is an annual survey of U.S. institutions with annual R&D expenditures of \$150,000 or more. It covers nonprofit institutions that offer an accredited bachelor's or higher degree. NSF is the federal agency responsible for compiling and reporting the total amount spent on R&D within the United States from all sources of funding, both private and public. The published statistics from our surveys are used to show the contribution of U.S. academic institutions for research. Your assistance will help us make sure that our list of institutions performing R&D is complete and accurate. Institutions are often included in this review because they reported having research expenses in their previous year's IPEDS report, which indicates they may qualify to participate in the upcoming HERD survey.

I would appreciate very much if you could respond by **Friday**, **October 16**, **2020**. Please return the enclosed questionnaire in the postage-paid return envelope or scan and return to support@herdsurvey.org.

If you have any questions, please contact our survey contractor, ICF, at support@herdsurvey.org or call toll-free 866-936-9376.

Thank you for your help with this national effort.

Sincerely,

Michael Gibbons

National Center for Science and Engineering Statistics

National Science Foundation

MI TAMos

Contact 5, version 1

Thank you to Eligible Institutions (Institutions reporting \$150,000 or more)

To: [[adminemail]]

CC: Designated contact (if provided)

From: NSF Higher Education R&D Survey

Re: NSF Higher Education R&D Review ([[inst id]])

Dear [[adminsalutation]] [[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 institution update for the Higher Education Research and Development (HERD) Survey. Based on the information provided about FY 2019 and FY 2020 R&D expenditures, your institution will be included in the FY 2020 HERD Survey. We will send [[firstname]] [[lastname]] information on accessing the survey website when the survey begins for all institutions in November.

If you have questions in the meantime, please do not hesitate to contact me at mgibbons@nsf.gov or 703-292-4590.

Thank you very much for your help with this effort.

Contact 5, version 2

Thank You to Eligible Institutions (Institutions reporting \$150,000 or more)

On HERD Letterhead

[[currentdate]]
[[adminfirstname]] [[adminmiddlename]] [[adminlastname]]
[[admintitle]]
[[instnameletters]]
[[adminaddr]]

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

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

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 institution update for the Higher Education Research and Development Survey. Based on the information you provided about FY 2019 and FY 2020 R&D expenditures, your institution is now included in the FY 2020 survey. Our survey contractor, ICF, will send [[firstname]] [[lastname]] information on accessing the survey website when the survey begins for all institutions in November.

If you have any questions, please contact our survey contractor, ICF, at support@herdsurvey.org or call toll-free 866-936-9376.

Thank you for your help with this national effort.

Sincerely,

Michael Gibbons Project Officer

Higher Education R&D Survey

National Center for Science and Engineering Statistics

National Science Foundation

MI The Mon

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

Contact 6-Welcome letter

- Printed on HERD letterhead and sent via 2-day priority mail
- Not sent to institutions for which the president/chancellor is the designated contact

[[currentdate]]

[[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) has identified [[instnameletters]] as eligible to participate in the FY 2020 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. 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 2019 or FY 2020 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 2020 survey. The survey will begin in early November and the survey deadline is January 29, 2021.

The survey is conducted for NSF by ICF. If you have questions about your institution's participation in this survey, please contact me at mgibbons@nsf.gov or (703) 292-4590.

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

MI The May

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

Contact 7, version 1

Thank You E-mail for ineligible institutions (Institutions reporting less than \$150,000)

To: [[adminemail]]

CC: Designated contact (if provided)

From: NSF Higher Education R&D Survey

Re: NSF Higher Education R&D Review ([[inst id]])

Dear [[adminsalutation]] [[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 institution update for the Higher Education Research and Development Survey. We appreciate your help in providing current information on your institution's R&D activity. Based on the information you provided about FY 2019 and FY 2020 R&D expenditures, your institution will not be included in the FY 2020 Higher Education R&D Survey.

If you have questions please contact me at mgibbons@nsf.gov, or call me at 703-292-4590. Thank you again for your cooperation in providing this important information.

Contact 7, version 2

Thank You Letter for ineligible institutions (Institutions reporting less than \$150,000)

On HERD Letterhead

[[currentdate]]

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

[[instnameletters]]

[[adminaddr]]

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

Dear [[adminsalutation]] [[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 institution update for the Higher Education Research and Development Survey. We appreciate the update on the current status of your institution's R&D activity. Based on the information you provided about FY 2019 and FY 2020 R&D expenditures, your institution will not be included in the FY 2020 survey.

If you have questions please contact me at mgibbons@nsf.gov, or call me at 703-292-4590.

Thank you for your help with this national effort.

Sincerely,

Michael Gibbons

Project Officer

Higher Education R&D Survey

National Center for Science and Engineering Statistics

National Science Foundation

MI TRMos

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