

FY 2022 HERD Survey Population Screening Plan and Schedule

For the FY 2022 cycle of the Higher Education Research and Development (HERD) Survey, the National Science Foundation will again field two versions of the survey: a version for institutions expending \$1 million or more for research and development (R&D) and a shorter version for institutions spending between \$150,000 and \$999,999 for R&D. This document outlines the specifics for how each population will be defined and identified.

Defining the Populations

For both the FY 2022 HERD and the HERD Short Form surveys, the population is made up of public and private nonprofit academic institutions in the United States that offer an accredited bachelor's degree or higher and are headed by a president, chancellor or equivalent. The population for the HERD survey includes those institutions that expended \$1 million or more for R&D in FY 2020. The population for the HERD Short Form is institutions that spent at least \$150,000 but less than \$1 million for R&D in FY 2021.

Frame Construction

We will compile a list of institutions that includes all institutions in the FY 2021 HERD Survey population or population review, all public or private nonprofit institutions in the Integrated Postsecondary Education Data System (IPEDS) that grant bachelor or higher degrees, and all institutions included in the Higher Education Publication (HEP) *Higher Education Directory* that are public or private nonprofit and grant bachelor's degrees or higher. Specific guidelines for downloading IPEDS data from the Department of Education website will be followed. A list of all accredited, degree-granting institutions in the United States will be purchased from HEP. Included in the data obtained from IPEDS and HEP will be research expenditures, information about highest degree offered, type of control (e.g., public, private), title of the senior administrator, whether the institution is part of a system, and institution's city and state. Data files from all stages of frame construction will be stored for quality control reviews. The majority of the frame will be a subset of institutions included in the list. The frame will include:

- 1) All institutions with \$1 million or more in total R&D on the FY 2020 HERD Survey. These institutions will be included in the population for the FY 2022 HERD survey without additional review.
- 2) All institutions with \$150,000 or more but less than \$1 million in total R&D on the FY 2021 HERD Survey. These institutions will be included in the population for the FY 2021 HERD Short Form Survey without additional review.
- 3) Institutions reporting greater than \$0 for research on the 2020 IPEDS finance survey¹.

¹ The IPEDS Survey collects expenses by function and by accounting standards (Financial Accounting Standards Board (FASB) and Governmental Accounting Standards Board (GASB)). Current-year total expenses for research from the FASB and GASB versions of the survey will be used. Data from the 2020 IPEDS Finance survey is the most recent data available.

- 4) Institutions that did not report expenditures to IPEDS but, based on their name, location, administration, and system membership, appear to be a branch of an institution already included in the frame.
- 5) U.S. Service institutions

Institutions reporting less than \$150,000 in R&D expenditures on the FY 2021 HERD Survey will be excluded from the frame. These institutions have already indicated that they do not meet the population criteria. In addition, institutions that estimated during last year's population review that they would have less than \$150,000 in R&D expenditures for FY 2021 will also be excluded from the frame. If an institution is part of a multicampus university, we will review the administrative structure to determine which campuses should be considered individual reporting units. The system and administration information available in HEP, IPEDS and the HERD Survey will inform much of this decision making, but we will also review institution websites and contact institutions as needed. We will also exclude those that are surveyed but inactive.

Research Institutions

Within the frame we want to capture two types of research institutions that may be missed under other frame criteria – 1) research institutions that are not typically considered universities or colleges but do house a program for granting advanced degrees and 2) research institutions that are part of a university system, are not degree-granting institutions, and do not fall under the financial management of one of the degree-granting campuses. Our approach to these types of research institutions is described below:

- Research institutions that house a graduate degree program will be identified by reviewing the list of accredited doctoral degree-granting institutions that are included in the list described above but did not report research expenditures to IPEDS and are not already included in the frame based on other criteria. We will review the websites of these institutions for indications that they are performing research.
- Identifying research institutions within a university system that are not already included in the survey data of a current HERD Survey institution is a little more difficult. These institutions are not separately accredited and do not appear in HEP files or IPEDS. ICF data collection staff will review the websites of all state-level university systems and attempt to identify research centers that are managed separately from an academic campus.

Population Review Questionnaire

All institutions that are included in the frame and are not already considered part of the survey population (see items 1 and 2 in the Frame Construction section) will be screened for inclusion in survey population. A draft of the FY 2022 population review questionnaire is included in Appendix A. Inclusion in the FY 2022 survey population will be based upon responses to questions about FY 2021 and FY 2022 expenditures, unless those values are unavailable, in which case, FY 2021 expenditures will be used.

Population Review Procedures

We propose two types of procedures for the population review. For typical, stand-alone degree-granting institutions, we propose to follow a standard set of procedures with form e-mail and letters, which is described below. For institutions where we need to determine whether the institution meets our criteria for inclusion in the population as a unit separate from a parent institution, the population review will be conducted through individualized e-mails and phone calls completed by experienced HERD Survey data collection staff and directed by the project director.

Appendix B includes a proposed schedule and contacts for the standard FY 2022 population review. If an institution responded to the questionnaire last year and the respondent was not the president, chancellor or equivalent, we will go directly to that respondent again this year to request information. These contacts are labeled as version 1 in latter sections. If the institution is new to the frame this year, was a nonrespondent to the population review last year, or the president was the respondent, then we will contact the senior administrator's office. These contacts are labeled as version 2 in latter sections. Version 1 and version 2 are identical except for the recipient. A third set of contacts (version 3) will be sent to institutions where an e-mail for the president, chancellor or equivalent cannot be found. Again, this version is very similar to others except it is formatted as a letter with a hard copy version of the survey enclosed and the time between contacts is longer to allow extra time for mail delivery. We expect the group of institutions without identifiable e-mail addresses to be very small. During FY 2021, all institutions were sent an e-mail with a population review questionnaire attached.


After two e-mails, we will contact institutions during three rounds of phone calls. During the second and third round of phone call, we will be looking for alternate contacts at all institutions. Aftercalls, we will send a reminder via 2-day priority mail to all institutions that have not completed the questionnaire. The package will include a letter, a hard copy version of the questionnaire, and a postage-paid return envelope.

After a response to the population review questionnaire is received and processed, an automated thank-you e-mail will be sent to the school president or chancellor. The e-mail will indicate whether the institution will be included in the FY 2022 survey population and will be copied to the point of contact included in the questionnaire response. If eligible to participate in the HERD survey, the e-mail also will serve as notification of the survey launch in November. Before prelaunch of the HERD Survey, a welcome letter including a copy of the survey PDF will be sent to institutions new to the survey. The letter will be sent by 2-day priority mail to the office of the president, chancellor, or equivalent, with a copy sent to the designated respondent. This letter will be described in detail in the HERD data collection plan.

Once ICF believes that no additional institutions will be responding to the population review, we will send NCSSES a list of institutions that refused to participate in the population review or did

not respond. NCSES can then decide which institutions should be included in the FY 2022 population.

Appendix A Population Review Screener



FORM APPROVED
OMB No. 3145-0100
Expiration Date: XX/XX/XXXX

NATIONAL SCIENCE FOUNDATION
ALEXANDRIA, VA 22314

HIGHER EDUCATION RESEARCH AND DEVELOPMENT SURVEY

Population Review Questionnaire

Your institution's inclusion in the FY 2022 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 2021, 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 <i>includes</i> :	R&D does <i>not</i> include:
<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 2021?

Less than \$150,000 ☐

\$150,000 to \$999,999 ☐

\$1,000,000 or more ☐

Question 3. During your Institution's FY 2022, 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 2022? If final FY 2021 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 2022 Higher Education Research and Development (HERD) Survey, whom should we contact about the above information?

Name	<input type="text"/>
Title	<input type="text"/>
Institution name	<input type="text"/>
Department/office	<input type="text"/>
Mailing address (line 1)	<input type="text"/>
Mailing address (line 2)	<input type="text"/>
City, state, and ZIP code	<input type="text"/>
Phone number	<input type="text"/>
E-mail address	<input type="text"/>

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	Monday, 8 August 2022	Questionnaires launch email/letter <ul style="list-style-type: none"> • Questionnaire PDF attached • August 15 due date • Version 1 to primary contact from last year • Version 2 to senior administrator • Version 3 to senior administrator where no e-mail can be found <ul style="list-style-type: none"> ○ U.S. priority mail ○ printed questionnaire ○ postage paid envelope ○ August 22 due date 	Email or Priority Mail	Michael Gibbons of NCSES
2	Monday, 16 August 2022	Nonresponse reminder 1 <ul style="list-style-type: none"> • Screener PDF attached • August 22 due date • Version 1 to primary contact from last year • Version 2 senior administrator 	Email	Michael Gibbons of NCSES
3	Tuesday, 23 August - Thursday, 25 August 2022	Nonresponse reminder 2 <ul style="list-style-type: none"> • Version 1 for calls to primary contact from last year • Version 2 for calls to senior administrator • Response needed within 1 week of calls • Response by September 2 	Phone	ICF staff
4	Tuesday, 6 September - Friday, 9 September 2022 And Monday, 19 September - Friday, 23 September 2022	Nonresponse reminder 3 and 4 <ul style="list-style-type: none"> • Call alternate respondents or identify new contact • Response needed within 1 week of calls • Response by September 16 or September 30 	Phone	ICF staff
5	Tuesday, 4 October 2022	Nonresponse reminder 5 <ul style="list-style-type: none"> • Screener enclosed • Postage paid envelope • October 21 due date 	Priority Mail	Michael Gibbons of NCSES
Post Response Contacts for Eligible Institutions				
6	As completed	Thank you for eligible institutions <ul style="list-style-type: none"> • 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

Contact	Date	Description/Message	Mode	From
Post Response Contacts for Ineligible Institutions				
7	As completed	Thank you for ineligible institutions under threshold <ul style="list-style-type: none"> 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

Contact 1, version 1

Population Questionnaire 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 **Monday, August 15, 2022**. 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.

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

Contact 1, version 2

Population Questionnaire 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 [[adminsallutation]] [[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.

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 **Monday, August 15, 2022**. 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.

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

Contact 1, version 3

Population Questionnaire 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 [[adminsallutation]] [[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 **Monday, August 22, 2022**. 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,

A handwritten signature in black ink, appearing to read "Michael Gibbons", is placed over a rectangular area with a light gray, textured background.

Michael Gibbons
National Center for Science and Engineering Statistics
National Science Foundation

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 **Monday, August 22, 2022**. 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.

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

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 **Monday, August 22, 2022**. 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.

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

Contact 3, version 1

Nonresponse Reminder 2

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 Nonresponse Reminder questionnaire e-mail/letter.
3. If the contact does not have a copy of the e-mail, verify their e-mail address, and resend the e-mail.
4. 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.
5. Inform the contact that NSF needs a response by
 - **September 2 (nonresponse reminder 2)**
6. Ask if the questionnaire was forwarded to another office and if they can follow up on the status of the institution's response.
7. 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.

Leaving a message

1. If the primary contact'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 XXXX). 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 week-long cycle.

Contact 3, version 2

Nonresponse Reminder 2

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 2 (nonresponse reminder 2)**
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 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 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 week-long cycle.

Contacts 3 and 4, version 1

Nonresponse Reminder 3 and 4

Call the office of an alternate contact identified on the institution's HERD event log screen from a previous year or individuals identified on the institution's website for each institution that has not responded to the questionnaire.

In-person

Issues to be highlighted during a phone call to identify a new contact 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, which was sent to XXX on XXXX.
2. Explain the purpose of the survey and content of questionnaire. Ask if they would be the appropriate person to respond or is there someone, they suggest we contact.
 - If yes, confirm e-mail address and phone number and send contact 1 with revised due date and PDF questionnaire.
3. Inform the contact that NSF needs a response by
 - **September 16 (nonresponse reminder 3)**
 - **September 30 (nonresponse reminder 4)**

Leaving a message

1. If the alternate contact's office cannot be reached, leave a voicemail identifying yourself and the survey, the purpose of the call, and the action the alternate contact 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. I have been trying to reach XXX to answer five questions about your institution's research and development expenditures. Please call us at 866-936-9376 and I will be happy to answer any questions you have about the questionnaire or our request."

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 week-long cycle.

Contact 5

Nonresponse Reminder 5

- 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 21, 2022**. 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

Contact 6, 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 [[adminsallutation]] [[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 2021 and FY 2022 R&D expenditures, your institution will be included in the FY 2022 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.

Michael Gibbons
Project Officer
Higher Education Research and Development Survey
National Center for Science and Engineering Statistics
National Science Foundation

Contact 6, version 2

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

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. Based on the information you provided about FY 2021 and FY 2022 R&D expenditures, your institution is now included in the FY 2021 survey. Before the survey opens, our survey contractor, ICF, will send a copy of the survey to [[firstname]] [[lastname]]. Information on accessing the survey website will be sent one week before the survey begins for all institutions in November. The survey deadline is January 31, 2023.

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,

A handwritten signature in black ink, appearing to read "Michael Gibbons", is placed over a rectangular area with a light gray, textured background.

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

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 2021 and FY 2022 R&D expenditures, your institution will not be included in the FY 2022 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.

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

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 [[adminsalmutation]] [[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 2021 and FY 2022 R&D expenditures, your institution will not be included in the FY 2022 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

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