

Appendix A: Contact Protocol

Instructions for contacting institutions to test 2017 Facilities Survey draft revisions:

- 1) Send an e-mail to select respondents to introduce the topic and recruit them.

Initial e-mail contact to survey coordinator (or the best person to contact identified by coordinator):

Dear <Respondent>,

Thank you for participating in the FY 2015 Survey of Science and Engineering Research Facilities (Facilities Survey). The Facilities Survey is conducted every two years. Before each cycle, we examine the survey content for needed changes based on the evolving nature of research activities in the science and engineering fields. As such, we are contacting a select number of universities to request feedback on revised survey content.

We will be contacting you shortly to schedule a call lasting 20-25 minutes. If you are not the correct person to contact about the revisions, we would like your help in identifying the correct person(s). For your reference, attached is a copy of the changes proposed for the upcoming FY 2017 survey. On the first page are instructions asking you to review and/or complete items prior to the phone call. These instructions ask you to refer to your institution's FY 2015 Facilities Survey responses. If you don't have a copy of your completed 2015 survey, we will be glad to provide a copy upon request. Your review and response to these questions could take up to 40 minutes depending on your 2015 survey responses.

The results of this voluntary discussion will only be used to improve the survey questions. You will be called by <INSERT NAME> from Westat, the firm contracted to collect these data on behalf of NSF, in a few days to ensure you received this email. You can also contact <INSERT NAME> from Westat to schedule a call with our team. I am also available to address any of your questions.

Your feedback is extremely important and it will help NSF ensure the usefulness and reliability of the Facilities Survey data. We look forward to talking with you soon.

Best regards,

Michael T. Gibbons
Project Officer
Survey of Science and Engineering Research Facilities
National Center for Science and Engineering Statistics

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- 2) Follow up with phone calls after 1-2 days of sending email to schedule the call.
- If they are not the appropriate person to answer the questions about the revised content, then identify the appropriate contact person(s) and forward the original email with an explanation that they have been identified by “ -----“ to assist with this task.
 - If they forward the email to the appropriate contact person(s), you may have to find the alternate contact’s phone number (via internet, by calling the institution’s main operator, etc.) to conduct the follow up phone call.
 - Ask respondent to identify 2-3 dates/times when they are available to participate.

Follow-up phone call script:

May I please speak to [E-MAIL RECIPIENT]? Hello, my name is [RECRUITER NAME]. I am calling from Westat, a survey contractor for the National Science Foundation. We sent an e-mail to [E-MAIL RECIPIENT] on [DATE].

Did you receive this e-mail?

As mentioned in the e-mail, the National Science Foundation is currently planning a review of potential changes to its Survey of Science and Engineering Research Facilities (Facilities Survey). <INSTITUTION NAME> is a regular participant in this biennial survey.

Are you the person most knowledgeable about research space for science and engineering?

A. [IF NO, THEY ARE NOT THE APPROPRIATE PERSON (REGARDLESS OF WHETHER THEY RECEIVED THE EMAIL OR NOT)]
Could you please identify the appropriate contact person? Thank you. We appreciate your help.
[FORWARD ORIGINAL EMAIL TO ALTERNATE CONTACT AS NOTED ABOVE, UNLESS RESPONDENT OFFERS TO MAKE INITIAL CONTACT]

B. [IF YES, APPROPRIATE PERSON BUT THEY DIDN’T GET THE E-MAIL]
I will send you the email that explains our request and provides the proposed survey revisions. May I [have/verify] your email address?
We would like to set up a voluntary telephone call to discuss your feedback on the proposed revisions to the survey. If you’re willing to do that, we can give you time to review the e-mail and materials. You can then contact us with 2-3 dates and times that you are available to participate.

[THANK THEM FOR TAKING THE TIME TO RESPOND AND EXPLAIN WE WILL FOLLOW UP IN A FEW DAYS IF WE HAVE NOT HEARD BACK FROM THEM]

C. [IF YES, THEY ARE THE APPROPRIATE PERSON AND DID RECEIVE THE EMAIL]

Did you have time to read the e-mail?

[IF NO] We would like to set up a voluntary telephone call to discuss your feedback on the proposed revisions to the research definition, new content on shared research space, and the definition of project start date for new construction. If you're willing to do that, we can give you time to review the e-mail and materials. You can then contact us with 2-3 dates and times that you are available to participate.

[THANK THEM FOR TAKING THE TIME TO RESPOND AND EXPLAIN WE WILL FOLLOW UP IN A FEW DAYS IF WE HAVE NOT HEARD BACK FROM THEM]

[IF YES] Would you be willing to participate in a voluntary 20-25-minute telephone discussion?

[IF WILLING TO PARTICIPATE, SCHEDULE APPOINTMENT OR ASK THEM TO CALL/E-MAIL 2-3 DATES AND TIMES WHEN THEY ARE AVAILABLE. THANK THEM FOR TAKING THE TIME TO HELP US IMPROVE OUR SURVEY.]

- 3) Check to see if the requested dates/times fit the schedule. If open, send a meeting request.
- 4) [REMINDER] Please remember to review and complete items in the attachment before the phone call. This may take 20-40 minutes, depending on your institution's responses.
- 5) Once the meeting request is accepted, email the respondent the following information:
 - The confirmed date/time/place of telephone discussion
 - The toll-free number and passcode for them to call
 - Their 2015 survey (if requested)

Confirmation e-mail to finalize call details

Dear <Respondent>,

This email serves as confirmation of our call to discuss the potential changes to the National Science Foundation's (NSF) Survey of Science and Engineering Research Facilities.

Date and Time: <DATE>, 2017 <TIME> a.m. /p.m. (Respondent time zone)
Toll-Free Number: <Number and Passcode>

Please call the toll-free conference line at the time listed above. You will be prompted to enter the passcode, which will connect you to the call.

Before our phone call, please review and complete the attached document, which outlines the proposed changes for the upcoming survey. You will need a copy of your responses from 2015. If you don't have a copy of your completed 2015 survey, we will be glad to provide a copy upon request.

Also, at the beginning of the call, we will read the statement below and ask for your verbal consent to record the discussion. If for any reason you need to reschedule, please contact <Recruiter's name> by telephone at <number> or by e-mail <insert email address> as soon as possible.

IMPORTANT NOTICE: This discussion is voluntary, so you may end it at any time and you are not obligated to answer any questions. We will prepare a summary of all of our discussions. It would be very helpful if we could audio record this discussion to ensure we have accurate notes. The names and content of this discussion, including the audio recording, will only be used for internal analysis and questionnaire development by the NSF survey staff and the NSF survey contractor.

This study is authorized by law (42 U.S.C. 1862 Section 3.a.6.). The OMB control number for this study is 3145-0174.

Thank you for your time and we look forward to speaking with you.

<Name>

NSF Survey of Science and Engineering Research Facilities Project Team

Westat

<Work telephone number>