

Attachment D: Draft contact materials for FY 2019 Facilities Survey - procedures for contacting Facilities Survey participants and list of contact letters and phone scripts

Schedule for contacting institutions before and during data collection

The data collection for the Facilities Survey is conducted in three stages. The first stage is to recruit institutions and identify the institutional coordinators. For this stage, the institutions are divided into two groups depending on whether the institution president had indicated during the prior survey that he or she wanted to keep the same coordinator for future survey cycles. Presidents of institutions that chose to keep their coordinator (Group 1) are sent letters at the beginning of data collection explaining that the survey materials will be sent to that person. Presidents of all other institutions (Group 2) are contacted about one month prior to data collection and asked to name a coordinator.

- Letter 1 goes to academic presidents who indicated in the past that they are keeping the same institutional survey coordinator. (Group 1)
- Letter 2 goes to academic presidents who did not indicate in the past that they are keeping the same institutional survey coordinator. (Group 2)
- Letter 3 goes to academic presidents at institutions that are new to the survey frame. They are asked to name a new institutional survey coordinator. (Group 2)
- Letter 4 goes to academic presidents at institutions that were non-respondents in the last survey. They are asked to name a new institutional survey coordinator. (Group 2)

The second and third collection stages consist of contacting and maintaining contact with the coordinators. In stage 2, each coordinator is sent survey materials and initial contact is made to ensure that he or she has all the materials and information needed to complete the survey. The third stage involves maintaining contact with the coordinators, monitoring their progress, and assisting them until the survey is completed. A survey Help Desk is available to assist coordinators and other respondents by email and telephone throughout the data collection period

Timeline

Data collection is conducted between October and the following April. Key dates for the data collection activities are listed below. Dates will be similar for the FY 2019 and FY 2021 survey cycles.

September 24 – Group 2: Recruitment packages are sent to the presidents of institutions in Group 2 prior to data collection, which requests participation in the upcoming survey and name a coordinator

- October 10 – Group 2: This is the due date for appointment of the coordinator by the president. If a response is not received by this date, telephone calls to the institution are made to collect the coordinator information. Presidents are informed that we will begin mailing coordinator packages by October 24.
- October 24 – Group 1 and Group 2: Survey materials are sent by email to the coordinators of institutions in both groups. These email invitations request that the coordinator reply to verify receipt.
- November 1 – Group 1 and Group 2: Coordinators who do not reply to the email invitation within one week will be contacted by telephone to verify receipt of the invitation and obtain agreement to participate in the survey.
- December 11 – Group 1 and 2: Coordinators are sent an email reminding them that the survey due date is in one week.
- December 18 – Group 1 and 2: This is the survey due date. Coordinators are called to confirm whether they are participating and to schedule an extension.
- January to March 27 – Group 1 and 2: Non-response follow-up. Since contact has been established with all coordinators, phone calls checking on institutions that have missed their extended deadlines are made using a conversational approach based upon their specific history.
- April 24 – Survey data collection, including data retrieval activities, ends.

Preparation for data collection

Before data collection begins, experienced telephone interviewers are selected and trained for the data collection activities. The interviewers are divided into two groups. Three interviewers are dedicated to staffing the Help Desk. The remaining interviewers conduct calls to identify coordinators, verify package receipt, and prompt for survey non-response. Interviewers from both groups conduct follow-up calls to resolve data inconsistencies and obtain missing data.

A comprehensive interviewer training manual is prepared, including detailed question-by-question specifications for each survey question, a glossary of survey terms, suggested answers to respondent questions, and detailed instructions for each stage of data collection. Interviewer training is conducted to provide the information needed to understand the questionnaire, answer questions, and assist the respondents in completing the survey. Training is provided for each data collection task, including Help Desk operations, president calls, coordinator calls, and data retrieval calls.

Stage 1: Recruitment and follow-up procedures and materials

As discussed previously, there are two data collection groups at this stage. Presidents that had said during a previous survey cycle that they wanted to keep the coordinator in future survey cycles (Group 1) are sent letters explaining that the survey materials will be sent to that coordinator. Presidents of all other institutions (Group 2) are asked to name a coordinator. Prior to FY 2019 cycle, both Group 1 and Group 2 presidents were sent the recruitment packages on the same day. As a new protocol beginning with the FY 2019 survey, recruitment packages to the presidents of institutions in Group 2 will be mailed about a month before data collection begins. The goal will be to identify coordinators early enough so that both Group 1 and Group 2 coordinators can be sent survey packages on the same date. This will give all coordinators, and especially those new to the survey who may need more time, the maximum amount of time to complete the survey.

The role of the coordinator is to serve as the survey contact, identify the best respondents within the institution to complete each part of the survey, ensure that the responses are entered into the web survey, and submit the completed survey. Recruitment packages include the following materials:

- Cover letter on NSF letterhead. Different cover letters are sent to the two data collection groups. Letters for Group 1 identify the most recent survey coordinator. Letters for Group 2 are tailored according to whether the institution participated in the most recent survey. Prior participants receive a letter that identifies the name and title of the most recent survey coordinator.
- Coordinator Identification Form. This form is sent to presidents in Group 2 only and is used to identify coordinators and indicate whether this coordinator should be kept for future survey cycles. Institutions are asked to send the information to Westat by web, email, fax, or mail. The form for institutions that participated in most recent survey listed the contact information for the coordinator.
- A copy of the most recent NSF Facilities Survey InfoBrief. These are short (4-6 pages), analytical papers that accompany survey data releases. One InfoBrief will be included in the FY 2019 survey mailing.

For institutions in Group 2, if there is no response from the president's office by October 10, follow-up calls are made to enlist participation and identify a coordinator. Replacement materials are sent to the institutions as needed, by email, fax, or overnight delivery. Coordinator identification information is collected by web, fax, telephone, and email. The presidents are asked if they want to retain the current survey coordinator for future cycles of the Facilities Survey, with the stipulation that they will be informed at the start of each survey cycle and have an opportunity to change coordinators.

Stage 2: Provide coordinators with survey materials

The purpose of this data collection stage is to send the survey materials to the current coordinators and verify receipt. For institutions in Group 1, coordinator email invitations are sent on October 24. For institutions in Group 2, the completed Coordinator Identification Forms are processed as they are received, and survey packages are emailed to the coordinators as they are identified, starting on October 24. For both groups, the coordinator email includes the following materials:

- An email message with the subject line: Official NSF Survey Request: FY 2019 Survey of Science and Engineering Research Facilities (Study ID:XXXX). The body of the email includes a brief description of the attachments (described below), the URL for the survey website, login credentials, and a request to reply to confirm receipt of the email and ability to meet the due date.
- Cover letter on NSF letterhead. All coordinators receive a letter from NSF. The letter informs them they have been appointed by their president to be the coordinator for the current Facilities Survey.
- Copy of the most recent NSF Facilities Survey InfoBrief.

If no reply is received to the verification request in the initial survey invitation email within one week after the survey materials are emailed, then the coordinator is contacted by telephone. If the coordinator replies to the verification message and indicates that the package was not received, the address is verified and a replacement package is sent.

Stage 3: Encourage response

The last stage of data collection is to conduct follow-up activities as needed to obtain the completed survey. This effort involves contacting coordinators by telephone and email, monitoring their progress on the website, answering their questions, and assisting them as needed.

One week before the due date of December 18, a reminder email message is sent to the coordinator. If the due date passes without a response, nonresponse follow-up is initiated to check on the status of the survey and negotiate a new estimated completion date. The first nonresponse follow-up contact is made by telephone. This follow-up begins after the winter holidays and continues until the survey is completed or until nonresponse follow-up efforts end on March 27. Approximately half of the institutions are included in this nonresponse follow-up effort. Throughout this time period, coordinators are sent reminder emails one week before their new estimated completion dates. Experienced and trained interviewers are each assigned a group of nonrespondent institutions. Interviewers develop a targeted approach for each institution, using the most appropriate combination of telephone and email prompts to fit each institution's situation. Starting about five weeks before nonresponse follow-up ends, reminder letters are sent on NSF letterhead to

nonrespondents on a weekly basis. Each institution receives a nonresponse letter only once. Initially the letters are sent to institutions whose due dates have passed and are nonresponsive to our contacts to (re)negotiate a new date. Two weeks before nonresponse follow-up ends, a letter is sent to the remaining nonrespondents who have yet to receive a letter, to encourage response. Institutions that have a negotiated due date between the final mailing and March 27 are sent a version of the letter that acknowledges this date. The email and telephone Help Desk activities also continue throughout data collection. Special requests from the institutions, such as providing them with their responses to the previous survey, are addressed as needed.

Within two weeks of completing the survey, presidents of academic institutions receive thank you letters from the director of NCSES. Institution coordinators also receive a second thank-you letter, signed by the NSF survey director at the end of data collection

List of contact letters and documents

1. 2019 Letter 1 SameIC-NSF AcadPres: sent to academic presidents who indicated in the past that they are keeping the same institutional survey coordinator.
2. 2019 Letter 2 NeedIC-NSF AcadPres: sent to academic presidents who did not indicate in the past that they are keeping the same institutional survey coordinator.
3. 2019 Letter 3 NeedIC-NSF NEW NP AcadPres: sent to academic presidents at institutions that are new to the survey frame. They are asked to name a new institutional survey coordinator.
4. 2019 Letter 4 NeedIC-NSF Academic NR President: sent to academic presidents at institutions that were non-respondents in the last survey. They are asked to name a new institutional survey coordinator.
5. 2019 NSF IC Letter Email: sent to institutional survey coordinators once they are identified by the academic president.
6. 2019 Coordinator E-mail Invitation: sent to institutional survey coordinators and includes the URL for the survey website, the institution's login ID and passwords, survey due date, and the toll-free number and email address of the Help Desk.
7. Form 1 2019 Coordinator ID Form Participant with merge fields: sent to presidents of returning institutions in Group 2 only and is used to identify coordinators and indicate whether this coordinator should be kept for future survey cycles. Institutions are asked to submit the information by web, fax, or email to Westat. The form for institutions that participated in the most recent survey lists the contact information for the coordinator.
8. Form 2 2019 Coordinator ID Form New NonPart with merge fields: Same as Form 1, except it is sent to presidents of institutions that did not participate in the past cycle and does not refer to a previous cycle coordinator.

9. 2019 NSF draft nonresponse letter (not received): sent to institutional survey coordinators who have not yet responded to the survey.
10. 2019 NSF draft nonresponse letter (comp date): sent to institutional survey coordinators who have worked on the survey, but have not yet submitted their final data after agreeing to an extension.
11. 2019 NSF Letter to Pres thank you with merge fields: a thank you letter sent to academic presidents upon completion of the survey.
12. 2019 NSF Final TY Letter to coordinator with merge fields: a thank you letter sent to institutional survey coordinators upon completion of the survey.
13. 2019 President RIS Final: phone script used by survey contractor to contact the academic president's office to verify receipt of the survey package in cases where the institutional survey coordinator has not yet logged in to the survey.
14. 2019 CoordVerify RIS Final: phone script used by survey contractor to contact institutional survey coordinators to verify receipt of the survey package in cases where the institutional coordinator has not yet logged in to the survey.
15. CoordReminder RIS: phone script used by survey contractor to contact institutional survey coordinators in cases where the coordinator missed the initial deadline and has not yet asked for an extension.
16. Coordinator Jan – March reminder e-mail. This e-mail is sent to coordinators as their extended deadline approaches in the January to March timeframe.



NATIONAL SCIENCE FOUNDATION
2415 EISENHOWER AVENUE
ALEXANDRIA, VIRGINIA 22314

October 22, 2019

«PTITLE» «FNAME» «LNAME»
«ATITLE»
«FULLNAME»
«STREET»
«CITY», «STABR» «ZIP»

Dear «PTITLE» «LNAME»:

I am writing to request your assistance in a matter of considerable importance to research efforts at higher education institutions. At the direction of Congress, the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) is once again collecting information on the status of science and engineering (S&E) research facilities at the nation's colleges and universities. The *FY 2019 Survey of Science and Engineering Research Facilities* is about to begin.

The FY 2019 survey is the eighteenth in the biennial series and will form the basis of public data and statistical tables to be produced and disseminated by NCSES. By providing information on the current status of S&E research facilities in the United States, the survey provides policymakers with important updated information. An information copy of the FY 2019 survey is provided on the survey's website (www.facilitysurvey.org) for your convenience.

While your institution's participation in this survey is voluntary, I am certain that you appreciate the importance of this effort. During the FY 2017 survey, «Contact03_ICsalutation» «Contact03_ICFirst_name» «Contact03_ICLast_name», «Contact03_ICTitle», was identified as the institutional coordinator for FY 2017 and future survey cycles. I would like to thank «Contact03_ICsalutation» «Contact03_ICLast_name», who provided this information on behalf of your institution. Without the cooperation and efforts of your staff, we would not be able to collect this information. We plan to send the complete package of survey materials directly to «Contact03_ICsalutation» «Contact03_ICLast_name» by email on October 24, 2019.

To learn more about the survey, you may wish to review data from previous surveys at www.nsf.gov/statistics/facilities. If you have any questions, please contact Mr. Michael Gibbons of the National Center for Science and Engineering Statistics at (703) 292-4590 (mgibbons@nsf.gov). Thank you for your assistance in this important effort.

Sincerely,

A handwritten signature in cursive script that reads "Emilda B Rivers".

Emilda Rivers
Director
National Center for Science and Engineering Statistics
National Science Foundation

Enclosure: NSF InfoBrief



**NATIONAL SCIENCE
FOUNDATION**
2415 EISENHOWER AVENUE
ALEXANDRIA, VIRGINIA 22314

September 24, 2019

«PTITLE» «FNAME» «LNAME»
«ATITLE»
«FULLNAME»
«STREET»
«CITY», «STABR» «ZIP»

Dear «PTITLE» «LNAME»:

I am writing to request your assistance in a matter of considerable importance to research efforts at higher education institutions. At the direction of Congress, the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) is once again collecting information on the status of science and engineering (S&E) research facilities at the nation's colleges and universities. The *FY 2019 Survey of Science and Engineering Research Facilities* is about to begin.

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While your institution's participation in this survey is voluntary, I am certain that you appreciate the importance of this effort. I ask that you name an appropriate person to coordinate your institution's response. I would like to thank «Contact03_ICsalutation» «Contact03_ICFirst_name» «Contact03_ICLast_name», «Contact03_ICTitle», who was your institution's coordinator for the last survey cycle. Without the cooperation and efforts of your staff, we would not be able to collect this information.

Please return the enclosed Coordinator Identification Form with your coordinator's contact information as instructed on the bottom of the form. We would appreciate your response as soon as possible. A survey representative will contact your office to make sure that you have received this letter if they have not heard from you by October 10, 2019. We plan to send the complete package of survey materials directly to the coordinator you select on October 24, 2019.

To learn more about the survey, you may wish to review data from previous surveys at www.nsf.gov/statistics/facilities. If you have any questions, please contact Mr. Michael Gibbons of the National Center for Science and Engineering Statistics at (703) 292-4590 (mgibbons@nsf.gov). Thank you for your assistance in this important effort.

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A handwritten signature in cursive script that reads "Emilda B. Rivers".

Emilda Rivers
Director
National Center for Science and Engineering Statistics
National Science Foundation

Enclosure: NSF InfoBrief



NATIONAL SCIENCE FOUNDATION
2415 EISENHOWER AVENUE
ALEXANDRIA, VIRGINIA 22314

September 24, 2019

«PTITLE» «FNAME» «LNAME»
«ATITLE»
«FULLNAME»
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While your institution's participation in this survey is voluntary, I am certain that you appreciate the importance of this effort. I ask that you name an appropriate person to coordinate your institution's response. As a coordinator, this individual will collect the responses and submit them on your institution's behalf.

Please return the enclosed Coordinator Identification Form as instructed on the bottom of the form. We would appreciate your response as soon as possible. A survey representative will contact your office to make sure that you have received this letter if they have not heard from you by October 10, 2019. We plan to send the complete package of survey materials directly to the coordinator you select on October 24, 2019.

To learn more about the survey, you may wish to review data from previous surveys at www.nsf.gov/statistics/facilities. If you have any questions, please contact Mr. Michael Gibbons of the National Center for Science and Engineering Statistics at (703) 292-4590 or (mgibbons@nsf.gov). Thank you for your assistance in this important effort.

Sincerely,

A handwritten signature in black ink that reads "Emilda B Rivers".

Emilda Rivers
Director
National Center for Science and Engineering Statistics
National Science Foundation

Enclosures: Coordinator Identification Form
 NSF InfoBrief



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2415 EISENHOWER AVENUE
ALEXANDRIA, VIRGINIA 22314

September 24, 2019

«PTITLE» «FNAME» «LNAME»
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«FULLNAME»
«STREET»
«CITY», «STABR» «ZIP»

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The FY 2019 survey is the eighteenth in the biennial series and will form the basis of public data and statistical tables to be produced and disseminated by NCSES. By providing information on the current status of S&E research facilities in the United States, the survey provides policymakers with important updated information. An information copy of the FY 2019 survey is provided on the survey's website (www.facilitysurvey.org) for your convenience.

I understand that your institution did not take part in the FY 2017 survey. While your participation in this survey is voluntary, I am certain that you appreciate the importance of this effort. I ask that you name an appropriate person to coordinate your institution's response. As a coordinator, this individual will collect the responses and submit them on your institution's behalf.

Please return the enclosed Coordinator Identification Form as instructed on the bottom of the form. We would appreciate your response as soon as possible. A survey representative will contact your office to make sure that you have received this letter if they have not heard from you by October 10, 2019. We plan to send the complete package of survey materials directly to the coordinator you select on October 24, 2019.

To learn more about the survey, you may wish to review data from previous surveys at www.nsf.gov/statistics/facilities. If you have any questions, please contact Mr. Michael Gibbons of the National Center for Science and Engineering Statistics at (703) 292-4590 (mgibbons@nsf.gov). Thank you for your assistance in this important effort.

Sincerely,

A handwritten signature in black ink that reads "Emilda B Rivers".

Emilda Rivers
Director
National Center for Science and Engineering Statistics
National Science Foundation

Enclosures: Coordinator Identification Form
 NSF InfoBrief



NATIONAL SCIENCE FOUNDATION
2415 EISENHOWER AVENUE
ALEXANDRIA, VIRGINIA 22314

October 24, 2017

«Coord SALUTATION» «Coord FNAME» «Coord LNAME»
«Coord TITLE»
«Department»
«FULLNAME»
«STREET»
«CITY», «STABR» «ZIP»

Dear «Coord SALUTATION» «LNAME»:

In response to a request that we made to «Pres SALUTATION» «PresNAME» « Pres MI»«Pres LNAME»«Pres SUFFIX», «Pres TITLE», you were designated to serve as coordinator for the *FY 2019 Survey of Science and Engineering Research Facilities*. Your cooperation is critical, and we request that you provide this information by December 18, 2019.

Based on concerns raised by the academic community, Congress directed the National Science Foundation (NSF) to collect information on the status of science and engineering (S&E) research facilities at research performing academic institutions. By providing information on the current status of S&E research facilities in the United States, the survey provides academic institutions and policy makers with important updated information.

To complete the survey, staff from various offices at your institution might be able to provide information. Please report information for the institution named in the body of the email.

To access the online survey, you should visit the survey website at www.facilitysurvey.org. Once you are at the site, you will be asked to provide your coordinator identification number and password. After logging into the survey, you may enter your FY 2019 responses, view your institution's FY 2017 responses, and submit the data when the survey is completed. Your coordinator identification number and password appear in the body of the email containing this letter.

The most recent InfoBrief on research space, which utilizes FY 2017 data, is attached to the email bearing this letter. For additional information about the survey and historical data, please visit: <http://www.nsf.gov/statistics/srvyfacilities/>.

NSF has contracted with Westat, an independent survey research firm, to conduct the FY 2019 survey. If you have any questions about this request, please contact Diana Crudup at facilitysurvey@westat.com or at 1-888-811-1838.

Sincerely,

A handwritten signature in black ink, appearing to read "Michael T. Gibbons", is placed over a grey rectangular background.

Michael T. Gibbons
Project Officer,
R&D Statistics Program

FY 2019 E-mail Invitation

Subject: Official NSF Survey Request: FY 2019 Survey of Science and Engineering Research Facilities
(Study ID: «INST_ID»)

Please REPLY to this message to let us know that you received this survey invitation and will be serving as the FY 2019 survey coordinator for your institution, as described below.

Dear «Coord SALUTATION» «LNAME»:

As noted in the attached letter from the National Science Foundation, you have been designated by your president or chancellor to serve as coordinator for the *FY 2019 Survey of Science and Engineering Research Facilities*. Your cooperation is critical, and we request that you provide the completed survey by December 18, 2019. This message contains the information needed to complete the survey; you will not receive a survey request by mail.

The attached InfoBrief from the FY 2017 cycle is an example of one of the ways in which survey data are used. A link to past survey data is also provided in the attached letter.

The survey is focused on research facilities and you may need to ask staff from various offices at your institution to provide the information needed to complete the survey. Please report information for the institution named below.

INSTITUTION NAME: «INST_NAME»

To access the online survey, please visit the survey website at www.facilitysurvey.org. Once you are at the site, provide your coordinator identification number and password as follows:

COORDINATOR ID: «INST_ID»

PASSWORD: «PASSWORD»

NSF has contracted with Westat, an independent survey research firm, to conduct the FY 2019 survey. If you have any questions about this request, please contact Diana Crudup at facilitysurvey@westat.com or at 1-888-811-1838.

Sincerely,

Michael T. Gibbons
Project Officer, R&D Statistics Program
National Center for Science and Engineering Statistics
National Science Foundation



National Science Foundation
FY 2019 Survey of Science and Engineering Research Facilities

COORDINATOR IDENTIFICATION FORM

«SMS03_instID»-«ID» — «FULLNAME»

1. Please indicate below your appointment for institutional coordinator for the FY 2019 Survey of Science and Engineering Research Facilities.

Keep the same coordinator for the 2019 survey as in 2017. (Please update contact information below.)

Coordinator	Updated information
«PTITLE» «FNAME» «LNAME»	_____
«ATITLE»	_____
«FULLNAME»	_____
«STREET»	_____
«CITY», «STABR» «ZIP»	_____
«EMAIL»	_____
«PHONE» Ext: «ICEXT»	_____

Appoint a new coordinator for the 2019 survey. (Please provide contact information below.)

Title: (Dr. Mr. Ms.) _____

Name: _____

Position: _____

Department: _____

Address: _____

Building/Box

Street

City/State/Zip

Telephone: _____

Email address: _____

2. Do you want to retain this coordinator for future cycles of the NSF Facilities Survey? *Note that you will always be informed at the beginning of each survey cycle and have an opportunity to appoint a different coordinator.*

Yes No

3. Please indicate the name and title of the person who designated the FY 2019 coordinator:

Name: _____

Title: _____

Please send via web, fax, or email to Westat by November 7, 2019.

Web: www.facilitiesurvey.org/plogin.aspx

Username: « P_INST_ID » Password: «PASSWORD»

Fax: 1-888-811-1839

Email: facilitiesurvey@westat.com

Attn: NSF Facilities Survey

If you have any questions, please telephone 1-888-811-1838.



National Science Foundation
FY 2019 Survey of Science and Engineering Research Facilities
COORDINATOR IDENTIFICATION FORM

<SMS03_instID>-<ID> — <FULLNAME>

1. Please indicate below your appointment for institutional coordinator for the FY 2019 Survey of Science and Engineering Research Facilities.

Title: (Dr. Mr. Ms.)
Name:
Position:
Department:
Address:
Building/Box
Street
City/State/Zip
Telephone:
Email address:

2. Do you want to retain this coordinator for future cycles of the NSF Facilities Survey? Note that you will always be informed at the beginning of each survey cycle and have an opportunity to appoint a different coordinator.

[] Yes [] No

3. Please indicate the name and title of the person who designated the FY 2019 coordinator:

Name:
Title:

Please send via web, fax, or email to Westat by November 7, 2019.
Web: www.facilitysurvey.org/plugin.aspx
Username: <INST_ID> Password: <PASSWORD>
Fax: 1-888-811-1839
Email: facilitysurvey@westat.com
Attn: NSF Facilities Survey
If you have any questions, please telephone 1-888-811-1838.



NATIONAL SCIENCE FOUNDATION
2415 EISENHOWER AVENUE
ALEXANDRIA, VIRGINIA 22314

«Date»

«SALUTATION» «FRST_NAME» «LAST_NAME»
«TITLE»
«INST_NAME»
«ADDRESS_1»
«ADDRESS_2»
«ADDRESS_3»
«CITY», «STATE» «ZIP_CODE»

Dear «SALUTATION» «LAST_NAME»:

Last October, Emilda Rivers, Director of the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF), wrote to «INST_NAME»'s president. This letter asked your institution to participate in the FY 2019 Survey of Science and Engineering Research Facilities. In the FY 2017 survey cycle, 98 percent of eligible institutions participated in the survey. Again this year, the level of cooperation among institutions has been very high and most of the institutions asked to participate in the survey have submitted their responses.

Our records indicate that «P_SALUTATION» «P_FRST_NAME» «P_LAST_NAME», «P_TITLE», appointed you to coordinate your institution's response to the survey. However, at this time, we have not received your institution's survey data. We plan to end data collection soon and would like to include «INST_NAME» in NCSES publications and other materials available online that display the name and data of each participating institution. I am concerned that we may not be able to include your institution's data in the publications. Please let us know if we can assist you in submitting your survey.

NSF has contracted with Westat, an independent survey research firm, to conduct the survey. If you have any questions about this request, please contact Diana Crudup at 1-888-811-1838 or facilitiesurvey@westat.com. Or you may contact me by email (mgibbons@nsf.gov) or by telephone (703-292-4590).

Thank you for your assistance with this important survey.

Sincerely,

A handwritten signature in black ink, appearing to read 'Michael T. Gibbons'.

Michael T. Gibbons
Project Officer
R&D Statistics Program



NATIONAL SCIENCE FOUNDATION
2415 EISENHOWER AVENUE
ALEXANDRIA, VIRGINIA 22314

«Date»

«SALUTATION» «FRST_NAME» «LAST_NAME»
«TITLE»
«INST_NAME»
«ADDRESS_1»
«ADDRESS_2»
«ADDRESS_3»
«CITY», «STATE» «ZIP_CODE»

Dear «SALUTATION» «LAST_NAME»:

Last October, Emilda Rivers, Director of the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation, wrote to «INST_NAME»'s president. This letter asked your institution to participate in the FY 2019 Survey of Science and Engineering Research Facilities. In the FY 2017 survey cycle, 98 percent of eligible institutions participated in the survey. Again this year, the level of cooperation among institutions has been very high and most of the institutions asked to participate in the survey have submitted their responses.

Our records indicate that «P_SALUTATION» «P_FRST_NAME» «P_LAST_NAME», «P_TITLE», appointed you to coordinate your institution's response to the survey. It is my understanding that you are planning to complete the survey by «S_EXP_SUB_DATE». Following each survey cycle, NSF publishes the data resulting from the survey. If we receive your response by this date, we will be able to include «INST_NAME» in NCSES publications and other materials available online that display the name and data of each responding institution. I would like to include your institution's data in the publications and hope that you will be able to send your response very soon.

NSF has contracted with Westat, an independent survey research firm, to conduct the survey. If you have any questions about this request, please contact Diana Crudup at 1-888-811-1838 or facilitiesurvey@westat.com. Or you may contact me by email (mgibbons@nsf.gov) or by telephone (703-292-4590).

Thank you for your assistance with this important survey.

Sincerely,

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Michael T. Gibbons
Project Officer
R&D Statistics Program



**NATIONAL SCIENCE
FOUNDATION**
2415 EISENHOWER AVENUE
ALEXANDRIA, VIRGINIA 22314

«Date»

«P_Salutation» «P_Frst_Name» «P_Last_Name»
«P_Title»
«INST_NAME»
«P_address_1»
«P_address_2»
«P_address_3»
«P_city», «P_state» «P_zip_code»

Dear «P_Salutation» «P_Last_Name»:

The National Center for Science and Engineering Statistics within the National Science Foundation (NSF) wants to thank «INST_NAME» for participating in our FY 2019 Survey of Science and Engineering Research Facilities. The information your institution provided will become part of our longitudinal statistics on the status and condition of science and engineering research facilities in the United States. Since 1986, NSF has provided this information to decision makers in the U.S. Congress and throughout federal and state agencies.

I would especially like to recognize «SALUTATION» «FRST_NAME» «LAST_NAME», «TITLE», who provided this information on behalf of «INST_NAME». Without such cooperation and painstaking hard work, we would not be able to collect this information. The efforts of your staff are critical to understanding our nation's research facilities.

If you would like to access the data from past surveys and other information about the survey, please visit <http://www.nsf.gov/statistics/srvyfacilities/>. If you need further information, please contact Mr. Michael Gibbons of the National Center for Science and Engineering Statistics at (703) 292-4590 or mgibbons@nsf.gov.

Again, thank you for your participation in this important survey.

Sincerely,

A handwritten signature in cursive script that reads "Emilda B. Rivers".

Emilda Rivers
Director
National Center for Science and Engineering Statistics
National Science Foundation

cc: «SALUTATION» «FRST_NAME» «LAST_NAME»
«TITLE»

NATIONAL SCIENCE FOUNDATION
2415 EISENHOWER AVENUE
ALEXANDRIA, VIRGINIA 22314



«Date»

«SALUTATION» «FRST_NAME» «LAST_NAME»
«TITLE»
«DEPARTMENT»
«INST_NAME»
«ADDRESS_1»
«ADDRESS_2»
«ADDRESS_3»
«CITY», «STATE» «ZIP_CODE»

Dear «SALUTATION» «LAST_NAME»,

I wish to thank you for «INST_NAME»'s participation in the FY 2019 Survey of Science and Engineering Research Facilities, sponsored by the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF). Your cooperation contributed substantially to the accuracy and usefulness of the survey results. The Director of NCSES acknowledged your invaluable contribution as survey coordinator in a letter sent to the head of your institution (with a copy to you) approximately two weeks after your submission date.

We are now finalizing the data for release on the NSF website. As part of their preparation of the final data, Westat, the survey contractor, has applied a set of rules to improve the consistency of the data. For example, they used the answers that were provided for some questions to help "fill in" for other questions that were not answered. Because the rules were only used to resolve discrepancies, the majority of data that were originally submitted by the responding institutions were not affected. A list of these rules is attached for your reference. **No further action from your institution is needed.**

You may still access the survey website to print a copy of the questionnaire containing your institution's answers, including any changes to the original responses based on discussions with you or your staff, or due to the application of the attached rules.

Again, I would like to thank you for your role as coordinator for the survey and to thank you and the other institution staff for providing any further clarification of the data if you received a call from Westat. I look forward to working with you again on the FY 2021 survey. If you have any questions, please contact Feven Negga of Westat at 1-800-937-8281 ext. 2335 or fevennegga@westat.com, or you may contact me by email (mgibbons@nsf.gov) or by telephone (703-292-4590).

Sincerely,

A handwritten signature in black ink, appearing to read "Michael T. Gibbons".

Michael T. Gibbons
Project Officer
R&D Statistics Program

RESPONDENT NAME

CALL TO PRESIDENT

CALL INSTITUTION AND ASK FOR THE PERSON NAMED ON THE LABEL. IF NOT AVAILABLE, SPEAK WITH THAT PERSON'S SECRETARY OR ASSISTANT. IF HE/SHE IS NOT AVAILABLE, OBTAIN A TIME TO CALL BACK.

A. VERIFY PACKAGE RECEIPT WITH INITIAL CONTACT

Hello, this is (YOUR NAME) and I'm calling from Westat on behalf of the National Science Foundation. We recently sent (YOU/NAME ON LABEL) a package regarding the FY 2019 Survey of Science and Engineering Research Facilities. This package was delivered by Federal Express on (DATE ON FED EX LIST). The package included a letter requesting that (YOU/NAME ON LABEL) designate a coordinator for this survey.

A1. Was the package received?

Yes 1 (GO TO PART C, PAGE 2)

No or Don't know 2 (GO TO A2)

A2. The Federal Express package was addressed to (READ NAME AND TITLE ON LABEL) and contained a letter from NSF, an InfoBrief with results from the last survey cycle, and a Coordinator Identification Form. Does this sound familiar to you?

YES 1 (GO TO PART C, PAGE 2)

NO 2 (GO TO A3)

A3. The Federal Express records show that the package was signed for by (NAME ON FED EX LIST) on (DATE ON FED EX LIST). Could you please check on the location of the package?

YES 1 (GO TO A4)

NO 2 (GO TO PART B, PAGE 2)

A4. I would like to call back once you have had a chance to check on the package. When is a good time for me to call back?

(RECORD APPOINTMENT IN SMS) (FOR CALL BACK, GO TO A5)

A5. CALL BACK TO DETERMINE IF PACKAGE WAS RECEIVED

Hello. This is (YOUR NAME) from Westat and I'm calling back on behalf of the National Science Foundation about the FY 2019 Survey of Science and Engineering Research Facilities. We talked (THE OTHER DAY/YESTERDAY) and you were going to look for the Fed Ex package delivered on (DATE ON FED EX LIST). Have you been able to locate the package we sent to (NAME ON LABEL)?

YES 1 (GO TO PART C, PAGE 2)

NO 2 (GO TO PART B, PAGE 2)

B. SURVEY PACKAGE NOT RECEIVED

SUGGEST SENDING BY EMAIL OR FAX.

We will *email/fax* the survey materials. May I have your *email address/fax number*?

EMAIL ADDRESS: _____

FAX NUMBER: _____

I will call back (TOMORROW/MONDAY) to make sure you received the materials. When is a good time to call?

(MAKE APPOINTMENT & RECORD ON CALL RECORD.)

FOR PAPER PACKAGE, SEND FED EX.

We will send another package out by Federal Express. May I verify the name and mailing address? (NO PO BOXES FOR FED EX, CAMPUS BOX NUMBERS ARE OKAY.)

(COMPLETE REMAIL REQUEST FORM.)

I will call back in a few days to make sure you received the package. When is a good time to call?

(MAKE APPOINTMENT & RECORD IN SMS.)

ONCE PRESIDENT OFFICE RECEIVES MATERIALS: GO TO PART C FOR ALL CASES

C. SURVEY PACKAGE RECEIVED

(IF TALKING TO PRESIDENT & INSTITUTION RESPONDED LAST CYCLE – GROUP A2):

As our letter indicated, NSF is asking you to appoint a coordinator for the Facilities Survey. The survey collects information on space and costs for science and engineering research facilities. The coordinator will be asked to compile and submit the information for your institution. The coordinator during the last survey cycle was (READ 2017 COORDINATOR NAME FROM CIF). Would you like to appoint the same coordinator or someone else?

(COMPLETE THE COORDINATOR IDENTIFICATION FORM AND END CALL.)

(IF TALKING TO PRESIDENT & INSTITUTION DID NOT RESPOND LAST CYCLE – GROUP A3 or A4):

As our letter indicated, NSF is asking for your participation in the Facilities Survey. We would like you to appoint a coordinator for the study. The survey collects information on space and costs for science and engineering research facilities. The coordinator will be asked to compile and submit the information for your institution. Whom would you like to appoint?

(PROMPT IF NEEDED: Because the survey asks about research facilities, many universities appoint a Director, Dean, or Vice President in the Facilities or Research office.)

(COMPLETE THE COORDINATOR IDENTIFICATION FORM AND END CALL.)

(IF TALKING TO SECRETARY OR ASSISTANT)

Our letter indicated that NSF is asking the president or chancellor to appoint a coordinator for the Facilities Survey. (FOR PARTICIPANTS IN THE LAST CYCLE: The letter also gave the name of the coordinator in the last survey cycle.) Would you please ask the (PRESIDENT/CHANCELLOR) whom

(HE/SHE) wants to appoint and then send the Coordinator Identification Form to Westat by web, email, or fax or call me and I can take the information over the phone? (Would it be better if I spoke directly to the president?)

(MAKE APPT TO CALL BACK SECRETARY/ASSISTANT OR PRESIDENT.)

ANSWER ANY QUESTIONS AND THANK RESPONDENT.

ADDITIONAL COMMENTS:

**FY 2019 SURVEY OF SCIENCE AND ENGINEERING RESEARCH
FACILITIES
CALL TO INSTITUTIONAL COORDINATOR TO VERIFY SURVEY
RECEIPT**

**FY 2019 SURVEY OF SCIENCE AND ENGINEERING RESEARCH FACILITIES
CALL TO INSTITUTIONAL COORDINATOR TO VERIFY SURVEY RECEIPT**

2019 Institutional Coordinator Information

RESPONDENT NAME

2019 2nd Contact Information

RESPONDENT NAME

ADDRESS

EMAIL

PHONE

FAX

CALL INSTITUTION AND ASK FOR THE COORDINATOR NAMED ON THE LABEL. IF HE/SHE IS NOT AVAILABLE, OBTAIN A TIME TO CALL BACK AND RECORD IT IN SMS.

A. VERIFY SURVEY RECEIPT WITH COORDINATOR

THE COORDINATORS SHOULD HAVE RECEIVED A SURVEY INVITATION SENT BY EMAIL (*OCT 24 OR DATE ABOVE*) WITH WEB SURVEY INFORMATION CONTAINING THE ID NUMBER, PASSWORD, & DUE DATE. THIS IS THE SURVEY INVITATION THAT WE ARE TRYING TO VERIFY WAS RECEIVED.

Hello, this is (YOUR NAME) and I'm calling from Westat on behalf of the National Science Foundation. We recently sent (YOU/NAME ON LABEL) an email message asking you to coordinate completion of the FY 2019 Survey of Science and Engineering Research Facilities. This message was sent on (*OCTOBER 24 OR DATE ABOVE*). It included instructions for responding to the survey on the web (including your institution's survey ID number and password) and had two attachments: a letter from Michael Gibbons at NSF and the most recent NSF InfoBrief.

A1. Was the email message received?

YES..... 1 (GO TO PART C, PAGE 2)

NO or Don't know 2 (GO TO A2)

A2. The message was addressed to (READ NAME AND TITLE ON LABEL) and sent to email address: (READ FROM LABEL) on (*OCTOBER 24 OR DATE ABOVE*). It contained two attachments: a cover letter on NSF letterhead signed by Michael Gibbons and the NSF InfoBrief. Does this sound familiar to you?

YES..... 1 (GO TO PART C, PAGE 2)

NO..... 2 (GO TO PART B, PAGE 2)

B. SURVEY REQUEST NOT RECEIVED

B1. SUGGEST SENDING MATERIALS BY EMAIL OR FAX.

We will *email/fax* the survey materials with the web survey ID and password. May I have your *email address/fax number*?

EMAIL ADDRESS: _____

FAX NUMBER: _____

I will call back in a day or so to make sure you received the materials. When is a good time to call?

(MAKE APPOINTMENT & RECORD IN SMS THEN GO TO PART C BELOW.)

B2. FOR PAPER PACKAGE WITH PRINTED INFOBRIEF, SEND FED EX

We will send a package out by Federal Express. May I verify the name and mailing address?

(COMPLETE REMAIL REQUEST FORM - NO PO BOXES FOR FED EX, CAMPUS BOX NUMBERS ARE OKAY)

I will call back in a few days to make sure you received the package. When is a good time to call?

(MAKE APPOINTMENT & RECORD IN SMS THEN GO TO PART C BELOW.)

FOR ALL CASES, GO TO PART C BELOW TO DETERMINE DUE DATE

C. DETERMINE DUE DATE AND ANSWER QUESTIONS

C1. The survey due date printed on the letter and in the email message is (READ DUE DATE). Will it be possible for your institution to meet this due date?

YES 1 (GO TO C3)

NO 2 (GO TO C2)

C2. When do you estimate that your institution will be able to complete the survey?

EXPECTED COMPLETION DATE: _____

IF DATE IS AFTER JANUARY 18, SAY: "This is beyond the time frame we can approve without NSF's permission. We will need to discuss it with NSF and let you know whether or not it is a problem"

C3. Do you have any questions about the survey? (ANSWER QUESTIONS AND RECORD BELOW. WHEN ALL QUESTIONS ANSWERED, THANK R AND END CALL).

RESPONDENT NAME

**FY 2019 SURVEY OF SCIENCE AND ENGINEERING RESEARCH FACILITIES
DUE DATE HAS PASSED REMINDER CALLS**

PLEASE REVIEW THE ACTIVITY LOG FOR EACH CASE BEFORE MAKING THE CALL.

CALL THE PERSON NAMED AS THE COORDINATOR FOR THE STUDY. IF NOT AVAILABLE, OBTAIN CALL BACK INFORMATION.

A. INTRODUCTION (ADAPT AS NEEDED)

- A1.** Hello. My name is (YOUR NAME) and I'm calling about the FY 2019 Survey of Science and Engineering Research Facilities, sponsored by the National Science Foundation. Do you recall the study?

IF THE RESPONDENT RECALLS THE STUDY, **GO TO PART C ON NEXT PAGE**

IF THE RESPONDENT DOES NOT RECALL THE STUDY, ADAPT THE FOLLOWING AS NEEDED:

- A2.** You were appointed as coordinator for the study by your president or director, and we sent survey materials to you by email on (READ DATE FROM THE LABEL). This included a letter from Michael T. Gibbons at NSF and instructions for responding on the web (including your institution's survey ID and password). [You verified receipt of the materials (by MODE ON LABEL)]. Does this sound familiar to you?

IF RESPONDENT HAS THE MATERIALS, **GO TO PART C**

IF RESPONDENT DOES NOT HAVE THE MATERIALS, **GO TO PART B**

B. RESPONDENT DOES NOT HAVE MATERIALS

SUGGEST RESPONDENT TAKE THE LOGIN INFORMATION AND EXPLAIN THEY CAN PRINT A BLANK COPY OF THE FY 2019 SURVEY AND THE COMPLETED FY 2017 SURVEY (IF THE INSTITUTION COMPLETED LAST CYCLE) USING THE SURVEY WEBSITE.

IF THE COORDINATOR WANTS COPIES OF THE MATERIALS, WE CAN EMAIL, FEDEX OR FAX. VERIFY RELEVANT INFORMATION (EMAIL ADDRESS, FEDEX ADDRESS, OR FAX NUMBER). MAKE APPOINTMENT TO CALL BACK TO VERIFY RECEIPT OF MATERIALS.

FOR ALL CASES, **GO TO PART C BELOW** TO DETERMINE DUE DATE

C. ANSWER QUESTIONS AND OBTAIN COMPLETION DATE (ADAPT AS NEEDED)

Your survey was due on [READ THE DUE DATE ON THE LABEL]. I'm calling to check on the status of the survey and to find out whether you have any questions. Do you know the status of the survey?

When do you estimate your institution will be able to complete the survey?

ESTIMATED COMPLETION DATE

C1. IF INSTITUTION REQUESTS DUE DATE LESS THAN ONE MONTH FROM TODAY'S DATE:

It will be fine if you complete the survey by that date. We will update our records with this new due date.

(GO TO C4)

C3. IF INSTITUTION REQUESTS DUE DATE MORE THAN ONE MONTH FROM TODAY'S DATE:

Extensions of this duration require approval from NSF. I will call you back after we have discussed it with the NSF project officer. When would be a good time to call you back?

(GO TO C4)

C4. ANSWER THE RESPONDENT'S QUESTIONS AND RECORD RELEVANT INFORMATION IN THE SMS, INCLUDING THE NEW EXPECTED COMPLETION DATE. WHEN ALL QUESTIONS ARE ANSWERED, THANK RESPONDENT AND END CALL.

16 – Coordinator Jan – March reminder e-mail E-mail text for Facilities Survey deadline reminder. This is sent to coordinators who are approaching their extended deadline during January to March.

E-mail title: Deadline Reminder: NSF FY 2019 Survey of Science and Engineering Research Facilities

E-mail text:

Dear Facilities Survey Coordinator,

Thank you for your help with the NSF FY 2019 Survey of Science and Engineering Research Facilities. If you have any questions or need assistance in completing the survey by [*insert original deadline or extended deadline*], please contact Diana Crudup at 1-888-811-1838. Your participation will help provide Congress and other policymakers with an accurate understanding of our Nation's research capacity. Thank you again for your help.

Sincerely,

Michael T. Gibbons
Project Officer
R&D Statistics Program
National Center for Science and Engineering Statistics
National Science Foundation mgibbons@nsf.gov
(703) 292-4590