

Survey Process Description

This document provides a complete report of the process of conducting the survey, "Survey on how one's policy views evolve," which was conducted in the Spring of 2003.

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For a numerical breakdown of survey activities and responses, see Survey Control Overview Table.

For an interpretive analysis of how well Ms. Perry's control ensured against possible rigging, see Daniel Klein's Survey Procedure Statement and Analysis.

The description of activities is chronological.

- I. In early 2003, Professor Klein approached Donna Perry, sharing a draft of the survey and asking whether the Dean's Office would be willing to act as Controller for the survey. Klein's stated reasons for wanting independent control of the survey were the same as those that appear at the outset of the accompanying document, "Daniel Klein's Survey Procedure Statement and Analysis." Klein's relationship with the Dean's office personnel—in particular, Ms. Perry—has always been purely and narrowly professional. There has never been any intellectual relationship there. Perry agreed to assist Klein, for the sake of supporting a faculty member's research.
- II. **Obtaining and handling of mailing lists and mailing labels.** Klein ordered the mailing lists from the six professional associations shown below.

When the lists arrived by post, he turned the unopened packages over to Perry. In the three cases in which the list was obtained by email (the A.H.A, the A.P.S.A., and the A.S.P.L.P),¹ he forwarded the entire message from the association, which had the list as an attachment to the forwarded message. Perry was in control of the mailing lists at all times.

- a. American Anthropological Association (referred to as Anth)
- b. American Economics Association (referred to as Econ)
- c. American Historical Association (referred to as Hist)
- d. American Society for Political and Legal Philosophy (referred to as Phil)
- e. American Political Science Association (referred to as Pol Sci)
- f. American Sociological Association (referred to as Soc)

Ms. Perry photocopied/reproduced the mailing labels so that we had the addresses to affix to the follow-up thank you/reminder postcard that was sent to every survey recipient.

III. Six sets of surveys. There were six sets of surveys produced and sent out. The number of surveys were as follows:

- a. Anth, 1000
- b. Econ, 1000
- c. Hist, 1000
- d. Phil, 1000 produced, only 486 sent out
- e. Pol Sci, 1000
- f. Soc, 1000

Regarding the number of Phil surveys: Klein sought to purchase a list of 1000 names from the American Philosophical Society. The organization indicated that it would be able to fill the order, but then delayed in giving a final answer. Klein produced 1000 Phil surveys in anticipation of the order coming through. Finally, the Executive Director of the A.P.A. declined to sell the list, not because of the nature of the survey, but simply because members are sensitive about any material sent to them using the A.P.A. list. With 1000 Phil packets produced, Klein then sought an alternative and procured the mailing list of the American Society for Political and Legal Philosophy. That Society had 486 members, so only 486 Phil surveys were in fact utilized.²

¹ Klein sought to obtain the list in electronic form to facilitate the creation of a second set of labels, to be applied to the follow-up postcard sent to every survey recipient.

² As the pre-packaged cover-letter spoke of the survey being sent to six professional Associations and listed among them the A.P.A., we affixed onto the seal of the envelopes sent to Phil addressees a small sticker saying:

Please note the following corrections to the coverletter enclosed:

The surveys of the six sets were identical except that in the upper right corner of the first page, each the Anth survey had a coding format:

Anth _____

And respectively for each set. Apart from that set indicator in the upper right corner of the first page, all the surveys were identical.

IV. Numbering of the surveys. The surveys were produced by the local copy shop that does course readers for the university.³ Then, under Klein's direction, Bahaa Seireg, a Santa Clara University student, individually numbered in blue ink pen, each survey, as follows: for the 1000 Anth surveys, the numbering went from 001 to 1000. The same was done for each of the six sets of surveys.

ID method in final dataset: Later, at the data entry stage, the survey with, say, ID Anth 333 was assigned the ID number 1333. Here, the left-most digit corresponds to the discipline: 1 for Anth, 2 for Econ, 3 for Hist, 4 for Phil, 5 for Pol Sci, and 6 for Soc.

V. Packing, sealing, and furnishing of non-addressed 9x12 envelopes to Ms. Perry. After Seireg numbered the surveys, he brought them back to the copy shop. The copy shop staff then assembled the mailing packets. Into each envelope went: (1) The cover-letter from Donna Perry, (2) an ID-numbered survey, (3) a self-addressed, business-reply envelope addressed to Donna Perry at the Dean's Office. Klein gathered up the packed envelopes and transported them in his car to Donna Perry's office. She then had what was supposed to be 6000 sealed, not-yet-addressed envelopes. The envelopes were indistinguishable except that they were separated into boxes marked Anth, Econ, Hist, Phil, Pol Sci, or Soc. The envelopes in, say, the Anth boxes were not kept in order of the ID numbers. There was no attempt to match ID numbers to addressees. The survey was entirely anonymous (unless the respondent furnished his or her identity in filling out the survey). The materials held in Ms. Perry's office suite were secure at all times.

VI. Addressing the envelopes. The affixing of the mailing labels—with the labels from the American Anthropological Association going onto envelopes in the Anth boxes, etc.—was done in Ms. Perry office suite and always with the direct involvement of Ms. Perry or one of her staff (either Ellen Peterson or Gina Gatto). Klein and his student assistant Seireg sometimes assisted in the task, but the job was always done as follows: One person peeled off the

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- 1) Your address was obtained from the American Society for Political and Legal Philosophy (not the American Philosophical Association).
 - 2) The survey return date is revised to April 14.

³ Copy-Craft, 341 Lafayette St. #103, Santa Clara, CA 95050; tel 408-247-4692; email copycraft@hotmail.com; the owner (and person with whom Klein dealt on the job) is Swati Negi.

label and other(s) shuffled the envelopes to receive placement of the label. That is, it was a factory team production with the direct and full involvement of Ms. Perry or her colleagues. There was full awareness that the job of the Dean's office person was to monitor activity to ensure that only the labels taken from the official list were to be placed onto the envelopes.

VII. Envelope short-fall. In affixing the mailing labels to the envelopes, there was in all six cases a shortfall of envelopes, as follows:

Anth:	7
Econ:	4
Hist:	15
Phil:	8
PolSci:	15
Soc:	20

Total number of shortfalls: 69

Thus, for example, it was found that there were only 993 Anth envelopes, not 1000. This is clearly an imperfection in the Survey control process. Assuming a deceptive Professor Klein, one could imagine that in transporting the sealed envelopes to Ms. Perry he diverted 7 of the Anth envelopes, and filled them out (and sent them in) with responses that would serve his own ideological purposes:

What we believe happened: We believe that, in numbering the surveys, Bahaa Seireg systematically erred in the direction of skipping numbers. Subsequent investigation found two testimonies, confirmed by Ms. Perry, supporting this explanation: (1) Seireg himself reported that for every set of surveys he had surplus surveys once he finished the numbering; (2) the copy shop staff reported that in stuffing the envelopes they noticed skips in the numbering, sometimes skipping ten at time (thus, for example, survey Anth 459 being followed by Anth 470). The copy shop staff reported that when they noticed a skip, they corrected the error by producing the skipped surveys and numbering them accordingly.

How the short-falls were handled: Using the example Anth: We made up 7 more Anth surveys, giving each a novel ID number,⁴ and packing up a

⁴ What was actually written on the first of the seven such Anth surveys was this:

Anth mis 1 of 7

("mis" stands for mishap). In the final version of the data, the ID would be (if survey had been returned—it wasn't) changed to 1000.01. Here, the left-most digit corresponds to the discipline: 1 for Anth, 2 for Econ, 3 for Hist, 4 for Phil, 5 for Pol Sci, and 6 for Soc. The digits to the right of the decimal point correspond to the "mis" number. Thus, for example, the Anth mis 3 of 7 survey was in fact returned, and in the dataset it has the novel ID number 1000.03. Among the "mis" surveys

complete packet (enclosing also the cover-letter and return envelope). Perry then affixed each of the 7 leftover Anth mailing labels to a newly made packet. [For Phil, because 1000 envelopes were prepared but only 486 were to be mailed out, Perry did not have to produce any new surveys or use any novel ID numbers.]

VIII. Sending out the follow-up postcard. The follow-up postcard was sent to all 6486 addressees. Professor Klein handled the production, addressing, and mailing of the postcards; this was not a controlled activity.

IX. Receiving and processing the surveys. Again, the business reply envelopes were addressed to

OFFICE OF THE DEAN, ATTN: DONNA PERRY

All surveys flowed directly into Ms. Perry's office. Under her supervision all the surveys were *processed*—that is, received, stored, handled, checked-off on check-sheet, copied, and filed by ID number. Only once the processing was complete did she turn the original completed surveys over to Klein.

Minor irregularities in processing: There were only minor irregularities in processing. For example, there were two cases of duplicate ID numbers, one cases of no ID number, three cases in which the respondent either scribbled out or tore off the ID number. These cases are fully identified, document and described in the three accompanying documents: (1) "Survey control overview table," (2) "Daniel Klein's Survey Procedure Statement and Analysis," and (3) "Irregulars Binder Manifest." These irregularities are few in number or inconsequential, and are amenable to investigation (that is, one could explore whether the surveys with duplicate-ID surveys are filled out in such a way that would advance Klein's supposed ideological purposes). Also reported in those documents are the number of Postal Returns, communications about the addressee being on leave, and so on.

X. Irregular materials, email communications. Respondents sometimes enclosed materials other than a completed survey, such as off-prints of their own work, their curriculum vitae, notes explaining that they are unable to do the survey, and so on. All these materials were gathered and stored in a large black loose-leaf binder called the Irregulars binder. Note: In the matter of blank returned surveys, there was irregularity in the processing procedure: some blank surveys were processed, others were simply put into the Irregulars binder (and not processed). The Survey Control Overview Table separately tallies both sorts of blanks.

that were returned, the one with the highest ID number is the Soc mis 17 of 20, which is in the dataset with novel ID number 6000.17.

Email communications, postcard notes, etc. Ms. Perry received a number of communications by email, by phone, and scribbled on the follow-up postcard. These messages sometimes reported that the survey did not reach the addressee. These cases are counted in the Survey Control Overview Table. (These cases are relevant to determining the “denominator” in figuring the survey response rate.)

- XI. Postal Returns.** Forty-four (44) envelopes containing the survey were returned by the Postal Service. Ms. Perry placed these into a separate large blue loose-leaf.
- XII. Data entry.** Once processed, the original completed surveys were turned over to Klein. He hired students to enter the data into an Excel spreadsheet.
- XIII. Final clean-up and adjustments.** In matching the spreadsheet with Ms. Perry check-sheet, there were two kinds of mismatches:
- a. Perry’s check-sheet showed a survey that was not in the set turned over to Klein; there were six such cases.⁵ When Perry checked her files, she in fact did not have these either, so these were simply cases in which the wrong number was checked off on the check-sheet.
 - b. Klein had a survey that was not checked-off on Perry’s check-sheet; there were 15 such cases,⁶ and in 14 of the cases, upon checking her set of copies, Perry found that the survey present, meaning that the survey was fully processed except that the receiver neglected to check off the ID number on the check-sheet. One survey (ID 3175) was not in Perry’s files; so that one survey was retroactively process (that is, Klein made a copy of the survey and Perry added the copy to her files).

In addition, one survey that was not processed and instead placed by Perry’s people into the Irregulars binder has been retroactively processed. The respondent tore off the entire coding. On the basis of the answer to Q39 (discipline of the PhD), Klein has assigned this survey to the Pol Sci set and has assigned the novel ID number 5999.2. A copy of the survey has been added to Perry’s files.

- XIV. Rechecking the Excel dataset list of survey ID numbers, the Survey Control Overview Table, and the Irregulars Binder Manifest.** Together we sat down and reviewed the three documents just stated. Ms. Perry has

⁵ On Perry’s check-sheet, ID numbers 3581, 2126, 2255, 4192, and 2787.

⁶ ID numbers 2226, 2238, 2242, 2248, 2254, 2320, 3175, 3428, 4196, 4245, 5004, 5073, 5122, 5496, 5597, and 5722.

initialed every item that she reviewed and confirmed.

- XV.** Ms. Perry's role as Survey Controller includes the securing of a complete set of copies of all the filled-out surveys returned to her office. The files are locked away in a secure storage area, and only she has the key. Once Klein makes the survey dataset publicly available, anyone will be able to request Ms. Perry to spot-check the accuracy of the dataset against her set of complete files. To fulfill such a request, Ms. Perry will require that the requester make a payment of \$15/hr worked to the Leavey School of Business, Santa Clara University. (To arrange such a request, contact Ms. Perry at dperry@scu.edu.) She or her successor will continue to secure the files and offer this data checking service until at least 1 May 2013.