# **Guidelines for Using Mailed Questionnaires**

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This document presents a set of guidelines for designing and administering mailed questionnaires. Its purpose is to help you anticipate the steps involved and to plan for the time, staff support, and materials you'll need. We suggest you read all the way through these guidelines before starting your project, because some steps, such as using printed questionnaires or franked postcards (for follow-ups), may require considerable lead time.

This document is a "how-to" manual and assumes you've decided a mailed questionnaire is the best method for getting the information you need. That decision should be made carefully, with full recognition of the limitations as well as the advantages of questionnaires (for a discussion of limitations and advantages, see GAO, Developing and Using Questionnaires, 1986). Although questionnaires can reach many subjects at a relatively low cost compared to other methods, they are limited to the words on paper. That is why books on questionnaire design put so much emphasis on the wording of questions. Each word you choose stimulates a thought or picture in the mind of the reader. The more precise the word, generally, the more narrow the picture in the mind of the reader.

Where it is hard to find precise words, questionnaires may not be a very good instrument for your study. If your subject matter is complex or volatile or unfamiliar, for example, you should think about whether a questionnaire can obtain the information you need. Remember , too, that some respondents may have no background or knowledge of the subject beyond what the questionnaire provides. In some instances, then, you may want to consider other techniques such as face-to-face or telephone interviews. When designing your study, you should also make sure those who've asked you to use a questionnaire understand the limitations of the method and the information it will obtain.

But for now we're assuming you've satisfied yourself on those issues and you need some guidance on how to conduct a survey using mailed questionnaires. We've found it useful to think of a survey as having four core activities: design, administration of the questionnaire, preparation of the data set, and data analysis. Therefore, we've organized the guidelines according to these four activities. Most research projects also include a fifth step , preparing a written report. We suggest you start your planning for the survey by determining the approximate date by which you must submit this report. You can then determine when each of the prior steps should occur. Below we list the primary steps in conducting a survey, grouped into four stages.

#### I. Designing the Survey

Selecting the Survey Recipients Designing the Questionnaire Designing the Cover Letter Pretesting the Questionnaire Producing the Final Questionnaire Constructing the Database

#### **II.** Administering the Questionnaire

Creating a Paper Flow System Sending Out an Initial Mailing Sending Out Follow-up Mailings Logging in the Questionnaires

#### **III. Preparing the Data For Analysis**

Pre-coding the Data Entering the Data and Resolving Data Entry Errors

#### IV. Analyzing the Data

We believe each survey project will inevitably have to address each of these steps, but we also realize that the amount of attention each step requires will vary greatly by the size and complexity of the project. A survey of 25 respondents with no planned follow-ups, for example, will require little in the way of logging in or paper flow management, whereas a project with 500 - or even 100 - respondents demands careful attention to both. Likewise, a survey conducted at a single point in time has different requirements than a survey that is carried out over a period of months or years. We hope these guidelines are flexible enough to accommodate most types of projects, yet detailed enough to help you manage your project with a minimum of hassle. We hope, too, that you will feel free to call on the expertise and experiences of those in the division who have been down this path before.

# I. Designing the Survey

In planning a mailed questionnaire you will face the following four tasks at the outset: (1) selecting those who are to receive the questionnaire, (2) designing the questionnaire, (3) writing a cover letter to accompany the questionnaire, and (4) creating a database for coding returned questionnaire information. For most surveys, you should take on a fifth task as well — that of pretesting the questionnaire and the database. Attachment 4 provides a checklist to help you see at a glance the kinds of decisions you will need to make.

# **Selecting the Survey Recipients**

The decision about who to survey will largely be determined by the purpose of the research. The decision about "how many" individuals to survey, however, is a separate decision, and it is one that should be made with an appreciation for its possible impact on other division projects. Consider surveying a *sample* of the target population rather than the population itself, if a sample will meet the needs of your research. The problem with surveying the entire *population* is that judges and court staff are called on to complete an increasing number of questionnaires, by this division as well as other divisions of the FJC, the AO, the Sentencing Commission, and *ad hoc* task force groups such as the Federal Courts Study Committee. Because we put their cooperation at risk by "going to the well" too often, the division and its contractors have an obligation to think carefully about the "how many" question.

Regardless of whether the study relies on a sample or the full population, ask yourself whether you will need to involve other staff members in this stage of the project. If you are doing a large or medium-sized mailing, for example, you will almost certainly need assistance in compiling the list of questionnaire recipients. Below are several questions to help you decide what kind of assistance you need.

If you are surveying:

- *Judicial officers*. Will you be able to pull the names from the court directory yourself? Who will prepare mailing labels if these are used? Will you include judicial officers such as senior judges and part-time magistrate judges in your mailing?
- *Attorneys*. Will names come from case information or from more general lists? Choices made about the population will affect not only what you can say about "representativeness" but also the resources you will need for pulling your sample.
  - If attorney names come from cases (usually terminated cases), will you identify the relevant cases with the IDB and can you pull the cases from the database yourself? Who will then contact courts for docket sheets so names can be retrieved? How much time will the courts need to copy the docket sheets? Will you need help if the names are transmitted electronically?
  - If attorney names come from bar lists, will support staff be available to assist you in pulling them?
- *Court staff or litigants*. How will you get the names of these individuals, and have you built in sufficient time to obtain their names?

• *A sample (versus the population)*. How many cases will you sample? Will a power analysis be conducted, and if so, who will do it.

#### **Designing the Questionnaire**

Entire books have been written about designing questionnaires, and here we can convey only a limited amount of information about their design. In the attached **Rules of Thumb for Designing and Administering Mailed Questionnaires** (Attachment 1) you will find advice on how to create a questionnaire that solicits the information you want with a minimum of intrusion on your respondents. This attachment also provides the reference for the essential texts in the field of survey design and administration.

You will also find example questionnaires, all produced at the Center, in a file of questionnaires maintained on the FJC Server. In the "Questionnaire" folder you will find a folder for each division and General Administration, as well as a folder for comments staff member may wish to make on this document or their experiences with surveys. After you've completed your questionnaire, deposit it in the appropriate folder on the server. Please include a copy of your cover letter.

Most of your energies in designing the questionnaire will be focused on the form and substance of individual questions, but you will also want to give attention to the questionnaire's layout. Insufficient care in this area can affect the quality of your data by interfering with the task of both the respondent and the data entry staff. Pat Lombard, Carol Witcher, or Donna Stienstra can consult with you about layout in the early stages of designing your questionnaire. A sample of some of the points they might expect to bring to your attention appear on the next page.

- For greater accuracy, align response categories vertically, rather than horizontally.
- For the same reason, precede response categories with a code, such as a number or letter, that the data entry people can enter into the computer. If you use only boxes or lines, you will have to pre-code all responses or rely on the data entry staff to decide what to enter.
- Avoid placing questions that call for written comments at the bottom of the page, as they are easily overlooked by respondents and data entry staff.
- Be aware that written comments are a significant data entry challenge.
- Seriously consider using a booklet format for the questionnaire. It is convenient to use and more professional in appearance. The front of the booklet, which serves as a cover sheet, can carry the Center's seal or some other appropriate logo.
- If your data will be entered into the computer by the division's data entry staff, place three boxes at the end of the questionnaire (see **Creating a Paper Flow System**). One box contains a unique respondent identifier that is filled in before the survey is mailed; this code is essential if you promise respondents confidentiality and plan to do follow-ups, and it is desirable, in any case, because short ID codes are easier than

text data to manipulate. The other two boxes are filled in by data entry staff as the questionnaires are processed through data entry and verification.

In addition, you should include the name(s) of the project's contact person(s), the FJC's address, and an expected return date on the last page of the questionnaire. Give recipients no more than three weeks to return the questionnaire; it will be forgotten if you give too much time.

For some inquiries, a very short questionnaire might be appropriate. The division has surveyed judges using a two-question post card and has surveyed attorneys using a onepage, pre-addressed fold-up-and-mail-back questionnaire. For longer questionnaires, a printed, booklet format is likely to convey greater legitimacy than a stapled sheaf of paper. In making decisions about the form of your questionnaire, you will, of course, be balancing many considerations, such as the nature of your recipient population, the number of questionnaires needed, and the material and labor costs of producing and mailing the questionnaires.

#### Designing the Cover Letter

The cover letter is an integral part of the questionnaire; an effective one converts the questionnaire *recipient* into a questionnaire *respondent*. It should tell the recipient what the study is about and persuade him or her of the importance of taking time to complete it. This is most easily done by showing how the results may affect important interests of the recipient (though extravagant claims may harm response).

The cover letter should also disclose how the data will be used, anticipate questions a potential respondent might have, tell the respondent what to do if questions arise, and indicate an expected return date. It must also explain the purpose of any ID code that appears on the questionnaire, particularly if respondents are promised confidentiality (see discussion of recipient identifiers, pp. 7-8). You should also consider offering the recipient a copy of your final report, where such distribution is appropriate and feasible.

Your letter should do all of this, if possible, in a single page. In the **Rules of Thumb for Designing and Administering Mailed Questionnaires** (Attachment 1), you will find advice on the form and content of a cover letter. You can find example cover letters in the divisional folders in the "Questionnaire" folder maintained on the FJC Server. Please place your cover letter in the appropriate divisional folder when completed.

One of the decisions you will make about your cover letter is whether to personalize it. There is research showing that letters with individual inside addresses produce a better response rate than general cover letters. You can produce such letters by merging a list of names and addresses with a letter template. However, you may also be able to achieve a sufficient response rate without a personalized cover letter if the topic of your study has substantial salience for the respondents.

Whether you use a general or personalized cover letter, consider using some additional measures to motivate recipients to return the questionnaire. Who signs the cover letter, for example, can make a difference in the return rate, so a survey of district court attorneys might be introduced by a cover letter signed by the court's chief judge. Another possibility is to choose particular stationery. In some instances, for example, you may decide to print your cover letter on FJC stationery listing the members of the Center's Board.

If you decide to use a personalized letter in a medium or large survey and need assistance from other staff members, you should allow sufficient lead time to accommodate their schedules. Producing the letters, for example, will require: (1) merging the cover letter with names and addresses of recipients and (2) creating a unique respondent identifier to link database information (see **Constructing the Database**). Additional time and labor will be needed at the mail-out stage if staff members have to match the letters to both outgoing envelopes and follow-up codes on the questionnaires. An alternative is to use a merge program John Shapard designed to print personalized cover letters that can be used with window envelopes. The two approaches are described in Section II, **Administering the Questionnaire**.

### Pretesting the Questionnaire

*Why pretest?* The purpose of pretesting is to discover unexpected problems with the questionnaire before you send it to the true survey participants. All research questionnaires should be pretested. In the pretest, you administer the questionnaire to a selected group of people in much the same way as you would administer the real questionnaire. You should give the pretest participants the same instructions as you would give actual participants. In addition, however, you should tell them that they are participating in a pretest and request their critical analysis of the questionnaire. You may want to be more specific, asking them to comment on such things as the wording and order of questions, the completeness or redundancy of the questionnaire, the adequacy of response categories, and the clarity of instructions.

Who should participate in the pretest? You should systematically select people to participate in the pretest who will help resolve any questions you have about the adequacy of the questionnaire and who will help to identify problems you may not have foreseen. For example, if you think a sub-group of the true recipients (e.g., newly appointed judges or senior judges) may have difficulty completing the questionnaires, you should include some members of that group in the pretest. Similarly, if you are unsure whether the survey is substantively accurate and complete, you should include someone with substantial expertise and interest in the subject matter of the questionnaire.

Generally speaking, most of the pretest participants should be from the same population as the true survey recipients.

Should the pretest data be entered into a data set? If possible, enter the data obtained from the pretest into an electronic database just as you would the actual data. This will help identify any problems that exist with the data entry program, and analysis of the data will help you identify possible problems with the questionnaire, such as questions where the responses fall into only one or two response categories.

*Will the pretest participants complete the final questionnaire?* A final question you have to consider is whether the pretest participants will be asked to complete the final questionnaire. That is, will they be asked to participate in the actual survey? If you are sending the final questionnaire to an entire population rather than to a sample, the answer is usually "yes" for those pretest participants who are members of the surveyed population. If you are sending the questionnaire to just a sample, the answer is generally, no" since you will have a sufficient number of representative respondents left in your population even if you eliminate the pretest sample. If you do include pretest participants in the actual survey, you probably want to send the final questionnaire with a special cover letter thanking them for participating in the pretest, telling them that the questionnaire has been revised according to comments received, and asking them to complete the final version.

### **Producing the Final Questionnaire**

There are four ways to produce copies of the final questionnaire: (1) ask Naomi to make arrangements with a printer; (2) arrange for Trudy Froh to make the copies; (3) make the copies on the division's copier; or (4) use a merge program to print pre-coded questionnaires and cover letters (described in Section II). The way you choose to produce the copies depends on such things as the questionnaire form (i.e., whether it's a booklet), the purpose of the survey, the number of copies you need, the length of the questionnaire, and your time schedule.

If you need more than just a few copies, you should use the division copy machine only as a last resort. If you want a booklet questionnaire - i.e., folded and stapled on the spine, which is generally the preferred style - you may need to use a professional printer, which you should coordinate with Naomi early in the process to make sure you allow enough time. (Stapled booklets can also be made in the Center, but they require some handwork for trimming edges and therefore probably should be made by a professional printer if a sizable number of copies are needed.) If Trudy is going to make the copies, call her at least two weeks before you need the copies. She will tell you when she needs the original questionnaire to meet your deadline. If you have the questionnaires done by a printer, you should have all your copies made at the same time to keep costs down (the major cost of printing is the set-up, not the printing). For surveys to judges and court personnel, we generally have a 50% response rate before the second follow-up. Thus, you should estimate about half again as many questionnaires for the follow-up as were sent initially.

#### **Constructing the Database**

Well before you send out the first questionnaire you should begin the process of constructing the computer databases you will need to administer the survey and to process your data. Some considerations to guide your database design decisions are set out below. Pat Lombard can provide more details about each one. Pat can also design your databases for you, as we describe after addressing the questions below.

*To analyze your data, which computer system (i.e., MAC, VAX, PC, UNIX) and which statistical programs (e.g., SAS, SPSS) will you use?* If you plan to have Pat design your database, you should be aware that your choices about computers and statistical packages will determine how much time Pat needs to spend on your project. Therefore, you should work with her in making these decisions. You may, for example, want to chose a data entry utility that works on the computer you will use to analyze the data, thus avoiding the need to convert from one machine to another. However, this is not always practical or necessary. For projects that include many questionnaires (e.g., over 50) it may be better to choose the data entry utility and a data entry design that will optimize the data entry process, even if doing so means converting the data before it can be analyzed. This would require that the data be processed later into the correct analysis format, but typically the time required to write the post-processing program and to work through the conversion steps is not as great as the time lost if a less than optimum data entry design is used.

**Do the recipient identifiers need to be kept confidential?** Often a unique numeric identifier is associated with each questionnaire and is used to link information about a particular questionnaire among several data sets. If confidentiality of the recipient is important, the numeric code is the only identification printed on a questionnaire. The numeric identifiers must be generated so it is not possible (or at least not easy) to determine the recipient's name from the identifier. For example, identifiers based on an alphabetical sort of judges' last names would be easy to decipher, particularly if all judges, rather than a sample, were surveyed, whereas a randomly generated list would be more difficult to decipher.

If you want to do recipient-specific follow-up mailings, the cross-reference between identifier and recipient name cannot be totally obliterated, but this list can be protected so that only certain project staff have access to the information. Logging in and data entry can be done without the staff involved knowing the identity of the respondent. This is not true, however, if staff members must work from a cross-reference list of names to ensure that the survey with the correct ID code goes into the correct envelope.

If you are promising confidentiality, yet using a numeric identifier on the questionnaire, your cover letter should note the identifier and its purpose. Do not say the code is for "follow-up purposes only" if it is being used to link back to data that will be pulled from the court directory or other data bases, such as district identification, judge type, or year of appointment. Your credibility with your respondents - and the Center's - will be tarnished if your subsequent report provides analyses using data that appears to have been gotten surreptitiously. You should either be clear in your cover letter about other data sources and the use of the identifier to access them. Or you should ask for all pertinent information, such as district and appointment date, in the questionnaire.

*How will survey comments be handled?* Long, free-form comments, whether solicited or not, are difficult to include in the same data record as the numeric or short text responses. Typically the free-form comments are entered into a separate data record and linked back to the main survey record. Comments require other special considerations with regard to data entry and data analysis. For example, what data entry utility is best suited for entering comments? Will comments be verified? Is it important to flag the existence of a comment in the main questionnaire record? Does time permit entry of long comments? Will comments be analyzed for their content and recoded into specific categories? What data analysis package is best suited for analysis of comments?

Who will enter and verify the data? The data entry utility used often depends on who enters the data. Pat can provide information about the available data entry utility options. For surveys that will be handled by the data entry staff, be sure to discuss data entry arrangements with Carol W. For smaller surveys, you may do the data entry yourself or may ask a staff assistant or student to do it for you. For some projects, external data entry (i.e., by an outside data entry contractor) may also be an option. If you do your own data entry, you will need to determine how to verify the accuracy of your data. For work done by the data entry staff, the norm is two separate entries of all survey responses (but not necessarily survey comments), with a subsequent comparison of the two data files to check for errors.

*Will interim analyses be necessary?* If you want to examine or begin analyzing your data when only a portion of the questionnaires have been returned, a more customized and integrated data entry and analysis approach may be necessary. To conduct interim analyses, the simple data entry sequence of full data entry, full verify, reconciliation and correction, and post-processing must be interrupted. Often this requires that you choose a data entry utility that handles concurrent data entry and verification and that is part of or extremely compatible with the analysis utility.

The actual construction of your database consists of several different design and processing tasks, which are listed on the next page:

- creating a list of survey recipients, each with a unique identifier
- creating the key and logging-in databases
- selecting the software that will be used to do the data entry (i.e., the data entry utility)
- designing the database into which the data will initially be entered
- writing the programs that control the data entry process (e.g., that reproduce the questionnaire as a form on the screen and that format the output)
- · selecting the software package that will be used to do the analysis
- designing the database to be used for the analysis
- writing any necessary post-processing programs (e.g. that convert the data from the data entry format to the analysis format)
- writing the data description and setup programs for the data analysis utility

These tasks are interrelated and the choices made depend on the specifics of the survey and the demands of the analysis. Although not all of these tasks will actually need to be implemented for all projects or at this stage (e.g., the setup programs for the data analysis can be done later), you do need to be aware early in the design phase of the ways in which choices in these areas affect each other.

You may want to do many or all of the above tasks yourself or you may choose to ask Pat, George, or Carol W. to assist you. In either case, you need to arrange for the necessary computer resources (e.g., project space on the VAX) and, if you do need assistance for some tasks from other staff, you should contact them early enough to allow them to integrate your project into their schedules.

A word about the key. If you work with Pat, George, or Carol in designing your database, each piece of it will be built around a core database (the "key") that contains the name of each recipient, a unique identifier for that recipient that has been specially generated for your sample (the "survey ID"), and that recipient's permanent identifier in the court directory if the sample has been drawn from that source. Through this key database, survey data and logging-in information that are identified only by survey ID can be linked back to the recipient's name and other court directory information (e.g., address, court, status). The key database is essential for maintaining confidentiality of your data while permitting you to conduct follow-ups.

A word about the court directory. If your sample is drawn from the population of judges or court personnel, the court directory is an obvious source for production of mailing labels and personalized cover letters. Although the court directory is available on each individual's MacIntosh, the VAX computer is a better tool for producing cover letters and labels. Only in the VAX can the names and addresses of the recipients be arranged in the same order as the randomly scrambled order of the sample. It is essential

to maintain this ordering of names if questionnaires are mailed out using the first of the two mail-out approaches described in Section II.

A word about the logging-in database. Logging in the questionnaires is a critical step in administering the survey. The logging-in data file, whether on paper or computerized, provides a method for recording each important date in the administration of the questionnaire: the date of the initial mailing, the date a questionnaire was returned, and the dates of follow-ups. The data file can also provide a method for noting responses other than a completed questionnaire — e.g., undeliverable mail or a phone call saying the respondent is unwilling to participate. If you wish, the logging-in file can also provide a standard way of keeping track of phone calls or other inquiries from recipients regarding the survey.

Logging in is essential for identifying recipients to whom reminders or thank-yous should be sent and as a cross-check against the data entry files to insure that all returned surveys have been entered. Equally important, the information in the logging-in database will permit you to calculate a true response rate.

Logging in can be implemented very simply by using check marks on a paper list of names or ID codes, or it can be computerized and the logging-in file can be linked to the original respondent list and to the entered data. You can talk with Pat L. about creating a logging-in database.

# II. Administering the Questionnaire

You now have a final version of your questionnaire, a cover letter, and the databases necessary for processing your data. What next?

## Creating a Paper Flow System to Keep Track of the Questionnaires

Keeping track of the questionnaires is essential, especially if your survey is large, if you intend to do follow-ups, or if a number of people will be handling the questionnaires. Therefore, before you send out your questionnaire, you should create a paper flow system for tracking the questionnaires as they are processed in the division.

However simple or complex your paper flow system is, it should permit you to keep track of the questionnaires as they move through five core activities, each of which we address more fully below (see Sending Out the Initial Mailing, Sending Out Follow-up Mailings, Logging In the Questionnaires, and Entering the Data and Resolving Data Errors). More specifically, your paper flow system should allow you to determine with ease:

- when the original questionnaire and cover letter were sent,
- whether a questionnaire has been returned and when,
- which recipients should be sent a follow-up mailing,

- when any follow-up mailings were sent
- whether a questionnaire is returned in response to the follow-up and when,
- whether the mailing produced a response that was something other than the return of the questionnaire (e.g., a judge's law clerk notifies you that the judge is unable to complete the form because of illness, in which case you don't want to send a follow-up mailing),
- where any given questionnaire is currently located,
- who last handled it,
- whether it has passed through a particular stage of data processing, and
- whether there were problems with the data, what the problems were, and how they were resolved.

We suggest two simple but effective devices for managing the paper flow: three boxes on the back cover of the questionnaire and the logging-in database.

**The Three Boxes**. Attachment 2 provides an example of the back cover of a questionnaire using three boxes for tracking the questionnaire. The recipient's survey ID number is placed in the first box on the back of the questionnaire. The first data entry person will place her or his initials in the second box when data entry has been completed. The data verifier will place her or his initials in the third box when the data have been entered a second time. Carol W. has found this system very helpful in keeping track of paper during the data entry process.

The Logging-In Database. As we described above (Constructing the Database), the logging-in database provides a method for keeping track of questionnaire returns, follow-ups, and respondent questions. This database can be constructed with as many fields as you need to record critical dates and other information for individual questionnaires. We discuss the use of this database below (see Logging In the Questionnaires).

## Sending Out the Initial Mailing

Two basic approaches have been used in the Research Division to mail out questionnaires. The first one described below is used more frequently, but both have advantages and disadvantages. And neither is mutually exclusive - you can use some parts from one and some from the other. However, whichever approach you use to mail out your questionnaire, you will want to record in your logging-in database the initial mail-out date because this date triggers your follow-up events.

Also, whichever approach you use, remember to ask Naomi or a staff assistant to notify the mail room staff when you are planning to send out a large mailing. Such mailings should be placed in mail bags, which Naomi or a staff assistant can request from the mail room. When planning your mailing, you may want to check with Naomi for the time the last daily mail run is made.

#### Approach #1

Most of the division's questionnaires have been mailed out using an "assembly line" - that is, a small group of staff members who write the identifier on the questionnaires; collate the cover letter, questionnaire, and return envelope; and then stuff these in the mailing envelope. This approach is generally necessary when a booklet questionnaire is used. It is also an efficient approach when a large number of questionnaires are mailed in a single mailing.

To carry out the initial mailing of the questionnaires, you should make sure - well before the date of the mailing - that the necessary materials and help from the support staff will be available.

The materials you will need to assemble are listed below. Attachment 4 provides a checklist of all the items you will need on the day you mail out the questionnaire.

- *Questionnaires*. If you are planning to send follow-up letters, you will need to mark each questionnaire, either beforehand or at the time of mailing, with the recipient's name or a unique identification code, or both (depending on whether you are promising confidentiality).
- *Key List.* If you are using identification codes, you will need a printout from the key database (see **Constructing the Database**) that lists the unique survey ID, the recipient's name, and any other information that is important to your mailing (e.g., if the status of the recipient -- district vs. circuit judge -- determines which version of a survey is sent, then status should be on the key list). The entries on the key list should match the order of questionnaires, labels, and personalized cover letters (e.g., in ascending order by survey ID). This list is essential for ensuring that the correct questionnaire is inserted in each envelope. As each envelope is stuffed, check off the corresponding name or identifier on the key list.
- *Cover Letters.* Make sure you have a sufficient number of copies of your signed cover letter.
- *Mailing Envelopes.* The envelopes should be large enough to hold the questionnaire, the cover letter, and a return envelope. If the budget allows, use large envelopes so the questionnaire and cover letter will not have to be folded.
- *Return Envelopes.* The return envelopes should be pre-addressed and marked with the project's name. Consider using an individual staff member's name as well, to assist

the Center's mail room staff in sorting the mail. You can use the MAC to generate labels printed with the project's name and the Center's address and then place these on the return envelopes. Naomi has generated such labels for several projects.

You may need help from staff assistants or research assistants to mark questionnaires with identification codes or recipients' names, to place labels on return envelopes, and to stuff envelopes. If you are using follow-up codes and/or individualized cover letters, it will take three to four people to stuff the envelopes: one to read the identification codes or names and the others to form an assembly line for stuffing corresponding pieces of paper into the correct envelope.

Because it is critical to match materials correctly with envelopes, allow sufficient time to stuff the envelopes with care, and if you've delegated responsibility for stuffing the envelopes to staff assistants or research assistants, be sure they understand your system of matching materials with envelopes and appreciate its importance to the integrity of the survey.

If you use this approach, you should meet early in the process with Naomi to make sure the necessary materials and personnel will be available at the time of the mailing.

#### Approach # 2

Another approach is a more automated one John Shapard has developed. Both cover letters and questionnaires are produced together using a word processor merge operation, with unique identification numbers printed on each questionnaire and with the cover letter formatted for use in a window envelope. This approach provides pre-assembled packages that can be stuffed, without any assembly work, into envelopes and mailed. Because the cover letter and questionnaire are printed together and because the address shows through the window in the envelope, you will not have to assemble and match several items. Another advantage of this approach is that the letters or questionnaires can be customized in useful ways, such as by identifying a particular court or case to which the questionnaire refers.

Note that each questionnaire produced by this approach is unique and must come off one of the division's printers. Thus, this approach is not especially practical if a large number of questionnaires must be produced in a short time. On the other hand, it can be very efficient if your project is smaller or requires intermittent production of small batches of questionnaires. Although the cost of individually printed questionnaires is greater than the cost of photocopies (by something like 2 cents per page), the cost may be offset by the savings in assembly line labor.

This approach cannot be used with a questionnaire format that we cannot readily produce on our printers, such as stapled booklets. If you prefer booklets, you can still use

the cover letter and window envelope aspects of this approach, but you will have to handcode the questionnaires and match them to the personalized cover letters at the time of the mail-out. In weighing the two approaches, you should also consider the advantages and disadvantages of a window envelope versus an envelope with a label on it. Neither is as personalized as we would desire. Staff members differ as to which they think looks more impersonal.

# Sending Out Follow-Up Mailings

The best predictor of response rate, after salience of the questionnaire, is the number of follow-up mailings. We suggest you do two follow-up mailings: first, a post card for a light but explicit reminder, then a second cover letter and questionnaire. You may want to do a third follow-up mailing if your response rate still remains unacceptably low.

*First follow-up.* Mail a post card to each initial recipient of the questionnaire, timing it to arrive about the date the questionnaire should be returned. The post card will contain some variation of the message, "Two weeks ago we sent you a questionnaire on .... If you've already responded, thanks. If you haven't, we hope you will soon." (See Attachment 3 for a sample postcard.) Trudy can order franked post cards with the message preprinted or blank franked postcards on which you can have a message printed. You should allow six weeks for your order to be filled. Alternatively, you can have the post cards cut, printed, and metered by a printer, which takes less time but may cost more; check with Naomi for these arrangements. You can also print the post cards in the division, but this is a time-consuming and unrewarding task, as someone must feed the post cards through the printer one at a time. You will want to avoid printing post cards here, unless you are sending only a few or are under time constraints. Remember that whichever method you choose you will need to generate - or ask Pat L. to generate - address labels for the post cards.

*Second follow-up.* After people have had time to respond to the post card, but generally no later than two weeks after they would have received it, send a new cover letter and a second copy of the questionnaire to non-respondents only. The cover letter should emphasize the importance of the survey and of each recipient's response. In preparing for the second follow-up, follow the guidelines for the initial mailing.

*Thank you letters.* Finally, when you reach the cut-off date for accepting questionnaires, send a thank you letter to all those who responded.

## Logging In the Questionnaires

You should determine who will log in your questionnaires (research, staff, or data entry assistants) and you should meet with them to discuss their responsibilities. For example, make sure they know where to find the questionnaires that have arrived (have the staff

assistants place them in a designated box), where to find the database, what your project schedule is, and so on. They will log in the questionnaires under Carol W's supervision.

# III. Preparing the Data for Analysis

### Pre-coding the Data

Some of the responses on the returned questionnaires will need to be interpreted and recoded. We suggest someone familiar with the issues and language (if there are written comments) of your study go through each questionnaire between logging in and data entry and make the necessary corrections. Because there should be uniformity in judgment calls, decisions, and coding regarding the problematic responses, we suggest you limit this task to a small number of people.

Who does the pre-coding depends in part on the complexity of the questionnaire, but this person should catch — and correct if possible — response errors on each questionnaire. As the pre-coder goes through the questionnaire, he or she should recode each unclear response to an agreed upon code (e.g., 888 for an indecipherable response, 999 for no response). This step should be carried out before - and separate from - the data entry process to ensure greater accuracy for both tasks and greater efficiency during the data entry task.

#### Entering the Data and Resolving Data Entry Errors

After pre-coding, information from the questionnaires are entered into a computerized data set. Because the division places substantial importance on accuracy, all data are verified, usually by "double keying" the data. That is, one person will enter the data into one data file and a different person will enter the data into a second data file. The two data files are then compared, discrepancies between the two are resolved and corrected, and another comparison of the data sets is generated.

Depending on the nature of your data, the data verification method may vary. For example, double keying cannot effectively or efficiently be performed on numerous or extensive text entries (e.g., comments by survey respondents). These entries are usually visually proofed for content and errors. You or someone familiar with the language of the project will very likely have to do this checking.

Whatever method is used, the result of the comparison is a printout that identifies the differences between the two data files. Someone, such as a research assistant, must then consult the original questionnaire to determine the correct response. Once all of the necessary corrections have been made, a comparison is run again and the differences

printout is reviewed once again to make sure that all of the expected changes are reflected and that no new errors were introduced.

Other reconciliation techniques also are possible, such as a visual comparison, but this is very difficult for long or numerous surveys. Some data entry utilities allow the data verifier (i.e., the second data entry person) to identify and correct discrepancies immediately during the second input of the data. This is a much more efficient approach but it requires a more sophisticated data entry utility and program. It also requires that the data verifier be someone who is capable of and authorized to decide which response is correct.

# III. Analyzing the Data

If you wish to have assistance with your data analysis, you should talk well in advance with Scott, Pat, or George about their availability. You should talk with Jim E. if you need student help or Bill if you need to work with another member of the research staff.

# **Two Postscripts**

1. This document will be revised as we accumulate experience conducting surveys. Please register your comments in the folder provided on the FJC Server (see the "Guideline Comments" folder within the "Questionnaire" folder).

2. As surveys are more frequently used, we've become concerned about the burden this places on our respondents, with the attendant risks of generating ill-will and reducing compliance. Please consider whether you can use a sample rather than the full population; whether data already collected by others might be adequate; or whether you might add your questions to a survey already underway in the division. To keep track of the nature and number of questionnaires sent out, the Center's director has asked that a copy of all questionnaires be given to Donna Stienstra. When you have completed a questionnaire and placed it in the appropriate divisional folder inside the "Questionnaire" folder on the FJC Server, please send Donna an E-mail message so she knows a new questionnaire has been sent out.

# Rules of Thumb for Designing and Administering Mailed Questionnaires

The purpose of these rules of thumb is to improve the rate of response to mailed questionnaires and to enhance the accuracy of the data obtained. This attachment covers four topics: questionnaire format, question design, the cover letter, and administration of a questionnaire. The rules are based on the experience of the staff in the Research Division at the Federal Judicial Center and on two essential publications on questionnaire design:

Don Dillman, Mail and Telephone Surveys, Wiley and Sons, Inc. (1978) Jean Converse and Stanley Presser, Survey Questions: Handcrafting the Standardized Questionnaire, Sage Publications (1986)

A mailed questionnaire is much more likely to be completed and returned if it makes sense and is friendly and easy to use. The rules of thumb listed below have these goals in mind. They were originally developed for general population surveys, but most appear to be applicable to specialized audiences as well (e.g., judges and attorneys). Unlike general audiences, however, specialized audiences will probably tolerate more complex questions and response categories.

Although the wording of individual questions is extremely important, the layout of the questionnaire, the cover letter, and the administration of the survey are all important to the outcome of your project. We hope these brief guidelines will help you complete each step successfully.

# **Designing the Questions**

- Questions may be open-ended or closed. An open-ended question is followed by a space where the respondent may write an answer in his or her own words. A closed question lists a set of options - or response categories - and invites the respondent to select one or more of these options. Keep open-ended questions to a minimum. They are burdensome for the respondent and thus are likely to reduce response rate. They are also difficult to code and analyze.
- 2. Each response category for a question should have a code. For example, a set of response categories might be numbered 1, 2, 3, and 4, as in the examples at #3. Numbers or letters should be used, never simply a line or a box, as lines or boxes cannot be entered into the computer. If you use lines or boxes alone, you will either have to code the questionnaires when they are returned, or you will have to depend on the data entry staff to translate the responses into numbers. The first will take a lot of your time, the second invites error.
- Response categories should always be listed vertically, never horizontally. Respondents are too likely to mark the wrong choice when categories are presented horizontally, as below.

Poor:

[] 1 Very satisfied [] 2 Somewhat satisfied [] 3 Somewhat dissatisfied [] 4 Very dissatisfied

A vertical list, like the one below, will increase accuracy and also leaves more white space on the page, which enhances the overall appearance of the questionnaire. Listing the responses on the right is helpful to data entry staff - and also maximizes the white space.

Better:

- []<sub>1</sub> Very satisfied
- []<sub>2</sub> Somewhat satisfied
- [] 3 Somewhat dissatisfied
- [] 4 Very dissatisfied

4. Make sure the response categories are balanced. The first example below is not balanced and is likely to produce a higher approval rate than the second example.

Unbalanced:	[] 1 Very much approve	Balanced:	[] 1 Very much approve
	[ ] 2 Somewhat approve		[ ] <sub>2</sub> Somewhat approve
	[] 3 Disapprove		[] 3 Somewhat disapprove
			[ ] <sub>4</sub> Very much disapprove

- 5. Make sure the response categories are mutually exclusive. For example, the set of response categories "1-2 years," "2-3 years," and "3-4 years" is not a mutually exclusive set. A respondent who wants to answer "2 years" will not know which category to check.
- 6. To the extent possible, use consistent response codes throughout the questionnaire. If "no" is represented by "1" and "yes" by "2", try to retain this usage throughout the questionnaire.
- 7. Make questions as specific as possible. For example, avoid the following vague question. It will produce a high number of "yes" responses because nearly everyone will have experienced delay in some case for some reason, and it will, therefore, overstate the extent of delay.
  - Poor: Have you ever experienced delay in this court?

[	] 1	No
[	] 2	Yes

A more precise way to ask this question is to use a questionnaire that focuses on a particular case, which would permit the question below. The combination of all respondents' answers to this question will give an accurate picture of disposition time if a representative sample has been chosen.

Better: Was this case brought to termination

- []1 Too quickly
- [] 2 In a reasonable amount of time
- [] 3 Too slowly

Even if your questionnaire is not case-specific, you can still improve the question by asking about the respondent's most recent case, as below:

Better: In your most recent closed case in this court, was the case brought to termination

- []1 Too quickly
- [] 2 In a reasonable amount of time
- [] 3 Too slowly
- 8. Response categories should be ordered so they work against your hypothesis. That is, if you hypothesize that most attorneys believe disposition time is too long, your response categories should start with the disconfirming choice that disposition time is "too short" and end with the choice you expect to be most frequent that disposition time is "too long." For an example, see the ordering of the response categories at #7 above.
- 9. Don't ask double-barreled questions. For example, respondents who think only cost is a problem will not be able to answer the following question:

Poor: Did you experience excessive cost and unnecessary delay in this case?

[	] 1	No
[	] 2	Yes

You should, instead, write two questions, one asking about cost, the other about delay:

Better: Were the overall litigation costs in this case too high?

[]1	No
[]2	Yes

Was the time to disposition in this case too long?

[	] 1	No
[	] 2	Yes

- 10. Consider whether you should provide a "no opinion" or "don't know" option. Some respondents may have given little thought to an issue or may have too little experience to answer a question. They should be given a response choice that lets them answer correctly, as in the examples at #10 above. Where respondents can be expected to have an answer, a "no opinion" or "don't know" choice is less necessary, as in the examples at #9 above.
- 11. Avoid a long series of questions with the same response categories or same format e.g., a long set of satisfied/dissatisfied or approve/disapprove statements. Such repetition can bore the respondent and can result in response bias and error.
- 12. Avoid agree/disagree statements. Respondents have a tendency to agree with these statements regardless of their substantive content, especially if the questionnaire consists of a long series of such questions. Instead, use forced-choice questions, which make respondents think more carefully about their choices.

Poor: A local rule setting a cap on contingency fees would lower the cost of litigation.

- []<sub>1</sub> Strongly agree
- [] 2 Somewhat agree
- [] 3 Somewhat disagree
- []<sub>4</sub> Strongly disagree
- [] 5 No opinion
- Better: Do you believe a local rule setting a cap on contingency fees would lower litigation costs, or do you believe adoption of a cap would increase litigation costs?
  - [] 1 A cap would increase litigation costs
  - [] 2 A cap would decrease litigation costs
  - [] 3 A cap would not affect litigation costs
  - [] 4 No opinion
- 13. If you need to use an open-ended question, make it as pointed as possible, so all respondents are focusing on the same issue. For example, the first question below will prompt less useful responses than the second one.
  - Poor: Please comment on the mediation program in this court.
  - Better: What were the three most significant disadvantages, if any, in having your case mediated in the court-annexed mediation program in this district?

- 14. Examine each question carefully for bias. For example, words that carry emotional weight may prompt respondents to answer more negatively or positively than would a more neutral word. In the court setting, a list of words likely to bias respondents would include "caseload crisis," "excessive cost," and "discovery abuse." Seek substitutes for these words. For example, instead of asking about "discovery abuse" ask about specific discovery events or practices, such as taking depositions and so on.
- 15. Use words with clear, everyday meanings. Avoid sophisticated words when simple words will do.
- 16. Use indicators of emphasis (e.g., underlines) sparingly. When you must emphasize a word or phrase, use the most visible graphics, such as underline or bold.
- 17. If instructions for selecting response categories are necessary e.g., "circle one" or "circle all that apply" insert them in each question rather than giving a general instruction at the top of the questionnaire. Rarely does a single instruction apply to all questions. Unless there is absolutely no ambiguity about how a response is to be chosen, include an instruction for each question.

# **Designing the Questionnaire Format**

- 1. The questionnaire should be well-organized. It should have a logic to it and should not skip around from subject to subject. Group together all questions on one subject and use topic headings to set off each subject.
- 2. Guide the respondent through the questionnaire. Use sentences to introduce shifts in topic or to explain complex response categories.
- 3. If you think some of those who receive the questionnaire may not be the correct recipients e.g., the questionnaire was sent to the attorney listed on the docket sheet but a different attorney may have attended the mediation session being evaluated you should begin with a question that screens out inappropriate respondents. In the example just cited, you should ask the recipient to write the correct name and address in a space provided on the questionnaire and to return the questionnaire to you so you can send it to the correct attorney.
- 4. Other than the screener question, always start the questionnaire with a question that is clearly related to the subject matter of the inquiry, interesting, easy to answer, and applies to all respondents. Such a question will pull respondents into the questionnaire, while its opposite is likely to repel them.

- 5. Place sensitive or demanding questions near the end, where they will encountered after the respondent has made an investment in the questionnaire. The demographic questions e.g., type of legal specialty, years spent in current job, name of district should come as the last set.
- 6. The final question should provide respondents an opportunity to comment, for example: "If you have anything you would like to add regarding these issues, please use the space below" (or the reverse side, etc.).
- 7. End the questionnaire with a thank you and instructions: name and address of the person to send it back to; date for response; name and phone number to call if there are questions. You may also, if appropriate, provide an opportunity, such as a box to check, by which the respondent can let you know they would like to see the survey results (such as the final report).
- 8. The questionnaire should be visually friendly and easy. It should be open in appearance, with plenty of white space. As noted above at #3 in *Designing the Questions*, a vertical listing of the response categories enhances openness. You should minimize the use of boxes and vertical or horizontal lines, which make a questionnaire cluttered and forbidding.
- 9. Number every question, so respondents will not accidentally skip a question.
- 10. Try not to place questions calling for written comments at the bottom of a page. In this position, they are easily overlooked by respondents and by data entry staff.
- 11. When the text of a question takes more than one line, indent the additional lines so the question number stands out. This will reduce the number of questions missed by respondents.
- 12. The text of a question should not break between pages. Nor should response categories run from one page to the next. Both make it considerably more difficult for the respondent to choose the right answer and for the data entry staff to enter the data accurately.
- 13. If possible, produce the questionnaire in booklet format rather than stapled sheets. Use of a booklet, with a cover page, is more professional in appearance. Consider using a graphic on the booklet. Subsequent use of the graphic in follow-up mailings will increase recognition and response rate.

- 14. Insert the questionnaire title and a page number on each page (e.g., through headers or footers). Page numbers are especially important if respondents are told to go to a specific page.
- 15. A long questionnaire is forbidding, but research shows that response rate is not affected until a questionnaire reaches 11 or 12 pages as long as the topic is important to the respondents. In any case, it is always wise to make the questionnaire as short as possible and to ask only questions that are essential to your project.

# **Designing the Cover Letter**

- 1. The cover letter is an essential part of your questionnaire and should be composed with care. It should contain several pieces of information, all in a single page if at all possible. Listed below are the critical elements of a cover letter, presented in the order in which they should appear in the letter:
  - The cover letter should begin by telling the recipient very briefly what the study is about and why it is important that they take time to complete it. Show how the results of the study may affect the respondent personally e.g., the results may influence the court's decisions about local rule changes.
  - It should then tell the recipients why it is important that *they* complete the questionnaire. For example, you might note that only a small sample is being surveyed and thus *each* response is essential.
  - Next the cover letter should make a promise of anonymity *if anonymity will be kept*. If an ID code is used, on the questionnaire the letter should explain the purpose of the code i.e., that it is for follow-up purposes only. The meaning of anonymity and the use of ID codes are discussed below in *Questionnaire Administration*; see #2 and #3, respectively.
  - Finally, the cover letter should tell the respondent who to contact if questions arise.
- 2. Decide whether the cover letter will be a personal letter or a form letter. Letters that are addressed to a particular person and that are signed are believed to produce a better response rate, but they require more preparation time. Also, if personal letters have to be matched with coded questionnaires, use of personal letters may make the mailing procedure more complicated.

3. Consider carefully whose signature should be at the bottom of the cover letter. Using the signature of someone who is viewed with respect by the recipients will very likely increase the response rate. This person may be the district court chief judge, the clerk of court, or the chair of a local bar group or committee.

# **Questionnaire Administration**

- 1. If at all possible, pretest your questionnaire on a small group of subjects who are similar to those who will receive the questionnaire. That is, if the questionnaire is being sent to attorneys, pretest it on some attorneys. This will help you identify problematic questions and permit you to revise the questionnaire before using it.
- 2. You should decide at the outset of your project whether you will promise your respondents anonymity. True confidentiality is usually not possible if you intend to report the results of your study or if you intend to use quotes from your respondents. You can only promise that no attribution will be made and that the study results will be reported in such a way that no individual respondent can be identified. Do not promise confidentiality or anonymity if you cannot keep the promise.
- 3. If you plan to do follow-up mailings or you wish for other reasons to keep track of which questionnaires have been returned, you need to know who has returned each questionnaire. If you have promised anonymity, it is best not to ask for a name on the questionnaire. Consider using a small box, placed at the end of a questionnaire, in which you can print a unique numeric ID code for each person in the sample. As the questionnaires are returned you can mark off each number on a list, which will permit you to send follows only to those who have not responded.
- 4. If you use personalized cover letters and questionnaires with ID codes or names on them, take care that these correspond with each other and with the mail-out envelope.
- 5. Give recipients no more than three weeks to respond to the initial mailing; the questionnaire will be forgotten if you give too much time. Avoid sending questionnaires near holidays or times when many of your recipients are likely to be on vacation. Include a stamped, self-addressed return envelope in the mailing.
- 6. Follow-up mailings significantly increase the response rate. You should do at least two follow-ups, the first a simple reminder, the second another copy of the questionnaire.
  - Time the first follow-up reminder to arrive shortly after the questionnaire is due to be returned. We suggest using a postcard for this follow-up. It can be sent to

everyone, saying simply "Two weeks ago we sent you a questionnaire about .... If you have already returned the questionnaire, thank you very much. If you have not, we hope you will respond soon." If you need to have the postcards professionally printed, you will need some lead time.

- The second follow-up should include a new cover letter, a second copy of the questionnaire, and another return envelope. It should be mailed about two weeks after the postcard to those who have not yet responded.
- 7. If the questionnaire is asking attorneys or litigants for their views about a particular court, have them return the questionnaire to an office or person not affiliated with the court. Attorneys and litigants will be less likely to return the questionnaire if they think their responses might be seen by members of the court.
- 8. If your survey is of court staff, try not to send questionnaires to them through supervisors. This diminishes the staff members' importance and makes it difficult for you to know who has received the questionnaire and thus what type of response rate you are getting. If you must send the questionnaire through supervisors, do not have the questionnaires returned through the supervisors. The responses to your questions are likely to be more candid if staff can return the questionnaires directly to you.

# **Example Back Cover of Questionnaire**





# **Example Post Card for First Follow-up**

**Message Side** 



### **Address Side**

Rule 11 Project Research Division Federal Judicial Center 1520 H Street, N.W. Washington, D.C. 20005 (FTS or 202) 633-6341

# Checklist of Principal Decisions to be Made in Designing and Administering a Mailed Questionnaire

Conducting a survey requires many decisions. Most of the principal ones are listed below. The list is roughly chronological, but many of these tasks are overlapping and you'll find yourself making decisions on a range of matters simultaneously. The purpose of this list, like this document, is to help you map out all the steps you'll need to plan for.

### I. SURVEY DESIGN

Determine the scope: Sample or population (p. 3 in text)

Identify the recipients and get their addresses (pp. 3-4)

Design the questionnaire (pp. 4-5, Attachment 1)

Design the cover letter and decide who will sign it (pp. 5-6)

Pretest the questionnaire and revise it (pp. 6-7)

Print the questionnaires (pp. 7-8)

Determine which databases you will need and construct them (pp. 8-11)

## **II. QUESTIONNAIRE ADMINISTRATION**

Set up a paper-flow system to keep track of the questionnaires as they're mailed out and returned (pp. 11-12)

Plan for the initial and follow-up mailings of the questionnaire; marshal materials and staff assistance (pp. 12-15)

Plan for logging in the questionnaires (pp. 15-16)

### **III. PREPARATION OF DATA**

Determine who will examine and pre-code the questionnaires as they come in (p. 16)

Determine who will enter the data and who will carry out data cleaning (pp. 16-17)

**IV. DATA ANALYSIS:** Determine who will assist you (pp. 17)

# Checklist for Mailing Out Questionnaires (Using the Assembly Line Method)

On the day you mail the questionnaires, you will need a number of items in order to send them out properly. You should prepare these items ahead of time, as well as garner the necessary staff resources. This checklist may help you prepare for the mailings.

### The Initial Mailing (see pp. 12-15 in the text)

- [] Questionnaires
- [] The Key i.e., the list of recipient names and ID numbers
- [] Pens for marking recipients' unique ID on each questionnaire
- [] Mailing label for each recipient
- [] Copies of the cover letter
- [] Mailing envelopes
- [] Return envelopes with FJC address, project name, and staff name on them
- [] Mailbags or other arrangements for mailing
- [] Equipment to seal the envelopes

## First Follow-Up Mailing (see p. 15 in text)

- [] Pre-printed postcards
- [] Mailing label for each recipient

## Second Follow-Up Mailing (see p. 15 in text)

- [] Questionnaires (sufficient number for only the recipients who didn't respond to the original mailing or first follow-up)
- [] New Key (only recipients who haven't yet responded)
- [] Pens for marking recipients' unique ID on each questionnaire
- [] Mailing label for each recipient
- [] New cover letter
- [] Mailing envelopes
- [] Return envelopes with FJC address, project name, and staff name on them
- [] Mailbags or other arrangements for mailing
- [] Equipment to seal the envelopes