

SURVEY TOOLKIT

A Reference for Non-Academic Research, Needs Assessment, Evaluation and Quality Improvement Surveys

Institutional Analysis and Planning

University of Waterloo

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Table of Contents

- Introduction..... 1
- 1. Identifying information needs and requirements 1
- 2. Waterloo’s existing survey data 1
 - 2.1 Other Approaches to Gathering Student Information 2
- 3. Planning a survey..... 2
 - 3.1 Ethics review 2
 - 3.2 Privacy and confidentiality 3
 - 3.3 Identifying the survey population 3
- 4. Contact protocol and communications plan 4
 - 4.1 Survey contact information..... 4
 - 4.2 Survey contact plan..... 5
 - a) Invitation and reminder letters 5
 - b) Survey Incentives 6
 - 4.3 Survey Communications Plan 6
- 5. Developing a survey tool..... 7
 - 5.1 Survey Review 7
 - 5.2 Online survey tools..... 7
 - 5.3 Survey timing and co-ordination 8
- 6. Survey analysis..... 8
- 7. Survey repository 9
- 8. Key contacts..... 9
- Appendix A: IAP Survey Overview Sheet..... 13
- Appendix B: Guidelines for Administering Incentives to Survey Participants 15
- Appendix C: Survey Administration Checklist..... 22
- Appendix D: Invitation and Reminder Letter Templates..... 24
- Appendix E: Survey Website 35
- Appendix F: Sample Survey Privacy Policy 39
- Appendix G: Survey Administration Process Flow-Chart..... 40

Introduction

This Survey Toolkit is a guide to support groups or individuals interested in conducting a survey of University of Waterloo stakeholders (e.g., students, faculty, staff, alumni, etc.). Surveys can help inform a variety of evaluative questions. This toolkit includes information about how to plan and implement surveys, existing survey data that are available, survey development tips outlining best practices in survey administration, and design and support materials developed by Institutional Analysis and Planning (IAP) in collaboration with the Graduate Student and Postdoctoral Affairs Office, the Associate Vice President, Academic, and the Survey Advisory Group.

For more information about survey coordination, contact [IAP](#).

1. Identifying information needs and requirements

Understand information needs and legal, privacy, and ethical requirements.

The most important step is to clearly identify what information you need about stakeholder experiences. A clearly defined set of objectives will identify what information is required, from what audiences and for which specific periods of time. Using these objectives, University staff can develop a plan to access information either through Waterloo's existing institutional survey data or to develop a new survey specifically designed for that information purpose.

There are important implications associated with using survey data, and with conducting a survey. Understanding these issues early in the process will ensure that survey information gathered and used is in full compliance with all required legislation and policies. Contact [IAP](#) early in the process to reduce potential problems and concerns. IAP can assist project leads and ensure they are in compliance with all required legislation and policies.

The [Office of Research Ethics](#) should be consulted for all research surveys and projects. Different procedures apply for non-academic research, needs assessment, evaluation and quality improvement surveys than for research surveys. Consult this [decision tree](#) to determine if your project is considered research and requires ethics review as defined by the Office of Research Ethics (ORE).

More detailed information about ethics requirements is included in [Section 3.1](#).

2. Waterloo's existing survey data

Review Waterloo's existing survey data to determine if the data you need are already available. See [Appendix A: Survey Overview Sheet](#).

The University of Waterloo implements surveys with university stakeholders (students, faculty, staff, and alumni) on a broad spectrum of issues. Within the University, IAP is responsible for administering campus-wide surveys, with results typically available by Faculty and department / program. Many of these surveys are part of national survey consortiums where the same survey is administered across numerous institutions in Canada. Surveys implemented by the University may be conducted with current students (undergraduate and graduate) or staff, faculty members or alumni. Typically, these surveys collect participant information about satisfaction with their program and university resources, overall experience at the University, other post-secondary education experiences, and post-graduation employment and income.

As an example, this survey data can be useful for Faculties and departments interested in understanding levels of satisfaction and experiences with programs and services. Once academic support units, Faculties and departments / programs identify the information they need, they can review IAP's survey and data repositories to determine if existing surveys include the type of information that is needed. IAP can identify the specific data that are available, and at what level (Faculty or department / program), and whether the size of the sample (the number of survey respondents) is large enough for effective analysis. If these existing data meet the department / program or Faculty's information needs, and if the sample size is large enough, IAP will prepare a data report based on the department / program or Faculty's needs.

Is a unique survey needed?

The IAP office administers campus-wide surveys to undergraduate, graduates and alumni.

Contact IAP before you conduct your survey to see if there are already data available for the information you need.

For more information about IAP's surveys, [see Appendix A](#).

For more information about the availability of survey data, contact [IAP](#).

2.1 Other Approaches to Gathering Student Information

There are other ways to gather information from university stakeholders, such as analysis of administrative data, review of previous surveys and literature, or collecting new data using other techniques, such as focus groups, interviews, community forums, etc. For example, focus groups, interviews and community forums can also be used to examine issues with selected groups of participants. A community forum can explore a broad range of opinions from various stakeholders, while focus groups can be used effectively to probe more deeply into what a specific group is thinking about specific issues.

3. Planning a survey

A robust survey plan maximizes survey response, meets legal requirements and uses best practices in ethical conduct.

Conducting a student or alumni survey requires careful planning. IAP may be involved in the initial stages of survey development. The nature of the information required will determine the type of survey implemented, and the questions asked.

This section outlines steps for developing a survey plan. It also describes important legislation relevant to surveys and how to comply with the legislation. In [Section 5](#), information about developing a survey tool and coordinating survey implementation is available. Surveys developed by other units that differ from what is covered in these materials should be forwarded to IAP for review.

Developing & administering a survey

Included in the appendices section are survey materials that have been developed based on best practices in survey design.

A **Survey Administration Checklist** in [Appendix C](#) will guide departments through the survey administration process.

3.1 Ethics review

Information gathering processes like surveys, focus groups or interviews require careful planning to protect the interests of individuals or groups participating in the activity. A survey

that is used for non-academic research, to assess programming needs, evaluate programs or initiatives, or for quality improvement, does not require a research ethics review but must still be conducted in a way which protects the interests of those being surveyed. Survey activities must also offer potential participants an opportunity to decline participation without penalty. This means that all information gathering activities, including surveys, must ensure:

- that potential participants provide free and informed consent,
- that participation in surveys is voluntary, and
- that there is no undue influence exerted on potential participants to take part in the survey.

For more information on these basic ethical principles, contact Waterloo's [Office of Research Ethics](#) and visit their [webpage](#) with information about conducting surveys with students.

3.2 Privacy and confidentiality

Privacy and confidentiality are critical to the implementation and management of a survey and its data. Survey and other research projects strive to minimize the use of personal, identifiable information about the participants. When the potential for identification exists, the projects need to specify how data, such as contact information, or information that potentially links survey data to individuals, will be handled. It is important to make sure that data that might contain identifiable information are transferred and carefully stored on an encrypted, password protected, secured network drive (electronic), or in a locked cabinet (paper resources). For some projects, confidentiality agreements and data sharing agreements may also be required to ensure secure and appropriate handling of data. Consult [IAP](#) for more information.

Policies & Guidelines

Waterloo's Office of Research Ethics has a [number of resources](#) that can be helpful when conducting surveys.

[Policy 46](#) on information management and security outlines requirements for data access, storage, and handling.

University units that are interested in conducting surveys need to assign a primary data custodian to the project. The number of individuals with access to contact information and record-level survey data should be limited to further minimize the risk of a privacy breach. In addition, IP address tracking should be disabled in the survey tool being used. University units must also have a data storage and disposal plan in place and follow the data handling standards of practice outlined in the University of Waterloo's [Policy 46](#).

Each survey project should develop a privacy and confidentiality statement that identifies how data will be handled, and is consistent with the University's own privacy and confidentiality policy. A sample policy statement is provided in [Appendix F](#).

3.3 Identifying the survey population

It is important to identify the population that will provide appropriate information. University units might select current students, past students (alumni) or both of a Faculty, department or program, or specific groups using particular services or resources, depending on the type of information needed.

Once the population is determined (e.g., current students within Faculty A, or students using services B and C), the next step is to decide how many responses are needed to get reliable information. Determining the size of the sample required is based on a number of factors, including these five:

- total target population,
- potential margin of error that can be tolerated in the survey,
- level of confidence that is desired,
- anticipated response rate to the survey, and
- how the information derived from the survey will be used, including the demographic breakdowns required.

Although sample size calculators exist online (see this [sample size calculator](#) as an example), most assume a simple random sample, but this may not be appropriate for all projects. Consult a statistician, or work with an on-campus fee-for-service resource such as the University of Waterloo's Statistics Consulting Service, or the Survey Research Centre to determine the required sample size and the number of contacts within the total target population that are needed to achieve meaningful results. If the overall population in the selected survey target is small to begin with, it may be necessary to send survey invitations to the entire population to achieve precise estimates.

Once the size of the survey sample is identified, and the number of individuals required to achieve that sample is generated, the list of potential respondents can be developed. This can either be a simple random sample, or a stratified random sample. A stratified sample is generated based on a series of characteristics, usually demographics (age, gender, ethnicity, year of study, co-op or non-co-op) to ensure representativeness of the sample with respect to the overall population.

Contact [IAP](#) for more information about survey design.

4. Contact protocol and communications plan

A stronger survey response rate will facilitate more robust survey results.

Maximizing how many potential respondents receive the survey invitation and choose to participate in the survey is vital for an effective survey. This survey contact protocol is important to maximize survey responses, but also to ensure that the survey results are methodologically sound and obtained ethically and legally. The contact protocol outlines:

- survey contact information,
- survey contact plan, and
- survey communications plan.

For the purpose of this toolkit, it is assumed that the survey will be conducted via a web survey or email. Telephone surveys require considerably more resources to implement as do mail-in surveys or in-person surveys. For more information about these survey types, contact [IAP](#).

4.1 Survey contact information

The survey contact information includes the names and contact information (emails) of the individuals targeted to complete the survey. Contact information for current graduate and undergraduate students is available through Graduate Students and Postdoctoral Affairs office (graduates) and Registrar's Office (undergraduates), respectively. Contact information for alumni in the Faculty can be gathered through the Faculty's alumni officer. Information on staff or faculty can be requested from Human Resources.

Efforts should be made to ensure that the contact list and contact information (email addresses) are as accurate as possible (e.g., by coordinating with the units above). The fewer the number

of incorrect contact emails, the higher the potential response rate. All survey contact information must be treated with a high degree of confidentiality and in accordance with the University's Information Security Policy ([Policy 46](#)).

Some types of email contact (e.g., surveys offering incentives) are subject to *Canada's Anti-Spamming legislation, the Personal Information Protection and Electronic Documents Act, the Criminal Code of Canada and the Competition Act*, and must follow a specific set of procedures. Updated information is available through [IAP](#).

4.2 Survey contact plan

The survey contact plan defines how often the target population will be reached, and through which means. It also identifies any incentives that will be offered for survey participation. A survey website can [build awareness](#) among a broad population and lend legitimacy to the survey activities (see [Section 4.3](#), Survey Communications Plan). The survey website can also act as a central landing site and include hyperlinks to the survey, invitation, reminder letters and further information as required. See [Appendix D](#) for sample invitation and reminder letters and [Appendix E](#) for a sample website.

a) Invitation and reminder letters

Invitation letters and reminders that are appealing to the target audience encourage survey participation, but should not use language that could be seen as coercive or influential.

Who sends the email, how it is sent, and the content of the subject line, are all important to reaching the intended recipient. It's also important that the emailed information is actually opened by recipients and not deleted prior to opening it. Electronic information must be formatted in a way that avoids spam filters. This can be done by avoiding words and formats including symbols (like dollar signs "\$") or using all uppercase letters (e.g., all uppercase letters, "all caps").

To increase the chance that survey respondents will open the email, rather than delete it, the correspondence should come from an individual that respondents will recognize and be of personal importance to them. It will also make the correspondence more personable and legitimate. As an example, the target population may be more familiar with the Department Chair, or Associate Dean, Undergraduate than the Dean or President.

Once the recipient opens the email, the body of the invitation letter should communicate the purpose and importance of completing the survey, the estimated time it takes to complete the survey, when the survey closes, and [incentives](#) offered, if any (see [Appendix B](#) on incentives). Communication to potential participants must include a privacy statement, as well as information about how the survey results will be used, shared, and kept confidential. An "opt-out" mechanism is also required for respondents who do not want to complete the survey. If you plan to offer an incentive to respondents, there can be additional legal requirements that must be considered (e.g., [CASL legislation](#)).

Creating impactful communications

Communications should include an eye-catching subject line or title. Including information about how previous results were used are more impactful communications that can contribute to higher response rates.

A robust invitation plan includes an initial invitation letter (first contact) followed by two or more additional reminders. Too many reminders, scheduled too quickly, can place stress on survey participants and should be avoided. Check with the Student Success Office about [more information for best practices](#) when contacting students. Various resources¹ may also be consulted on the recommended number of reminders and the timing of each.

To assist with developing the invitation and reminders, sample materials containing standard messaging that meet with current legislation standards are included in [Appendix D](#). For more assistance with drafting an invitation and reminder, contact [IAP](#).

b) Survey Incentives

Offering incentives to complete surveys, such as a draw or a form of remuneration (e.g., offering respondents a gift certificate for \$5), can sometimes help to increase response rates. The decision to offer an incentive must be made early in the planning process because the offer must be included in the invitation letter and all other communication with potential respondents. There are also important legal and administrative requirements to offering incentives (see [Appendix B](#)). Early planning is necessary to appropriately plan and implement incentives.

Incentives should be relevant to the target audience and of value to them. Typically incentives are either remuneration: low-cost items provided to all participants as tokens of appreciation for their effort (e.g., gift cards for a local coffee shop or promotional items like pens or keychains), or an incentive such as a prize draw among all potential survey respondents for a larger prize (e.g., an opportunity to win a tablet or cash cards). There are tax implications for some incentives, depending on the survey respondents, how the incentive is awarded, and value and type of incentive. For more information about administering incentives at Waterloo, see [Appendix B](#) or contact [IAP](#).

Prior to implementing an incentive plan, it is important to have a plan for how the incentives will be distributed, and what to do if the incentive is not picked up, or able to be delivered.

4.3 Survey Communications Plan

Survey administrators should also develop promotional activities or a plan to increase awareness about the survey and incentives for participation among the survey target audience. A variety of promotion strategies that are targeted to your particular survey audience can increase awareness about the survey, enhance legitimacy and generate interest in participating in the survey. The Student Success Office (SSO) can help provide [more information about best promotional and communication practices](#) for the Waterloo community. Examples of promotion strategies include:

- a website,
- posters,
- digital displays,

¹ For example: Dillman, D., Smyth, J.D. & Christian, L.M. (2014) Internet, Mail and Mixed-Mode Surveys: The Tailored Design Method, 4th edition. John Wiley: Hoboken, NJ

- social media, and
- newsletters.

[Appendix E](#) provides a sample survey website.

5. Developing a survey tool

Approved survey questions and online survey tools facilitate effective survey questionnaire development.

Developing a survey tool is a meticulous process. The most important aspect will be to develop a robust questionnaire (including response categories) that addresses information needs, while not overburdening respondents, and that can be analyzed effectively. It is useful to develop an analysis plan at the same time as the survey is developed, to ensure that the survey will fulfill information needs. See more information about conducting [research with human participants](#). IAP has created a standard survey instrument for Academic Program Review processes, one for student audiences and a second for alumni audiences. This is an approved tool for use with Academic Program Reviews.

Survey Tool Balancing Act

Developing a robust questionnaire and response categories is a balancing act between identified information needs and working to not overburden respondents. Careful thought about how the survey results will be used, including an analysis plan, will help ensure that essential information is gathered.

5.1 Survey Review

Waterloo has drafted an institutional policy for survey administration on campus. This policy requires that IAP review University surveys that are administered campus wide (at the Faculty level, or above), and that are undertaken for non-academic research purposes² (needs assessments, evaluation, quality improvement, etc.). The policy is intended to ensure effective coordination of university surveys and to maximize the benefits from implementing surveys. This includes considering how to avoid survey scheduling conflicts (to avoid survey burnout among the population), maximize response rates, ensure that privacy and confidentiality of survey participants are maintained, minimize the collection of duplicate information, and promote good methodology and design. IAP will review other surveys upon request and as resources permit.

Surveys undertaken for the purposes of research will require additional review by the Office of Research Ethics. Review may be through one of the University of Waterloo Research Ethics Committees or by delegated review. Contact [IAP](#) to determine what type survey review is required.

How do I develop my survey?

Survey questions must be reviewed by IAP prior to implementation.

For more information, contact [IAP](#).

5.2 Online survey tools

There are a number of online survey software tools available that can be used to collect and analyze survey data. Examples include Survey Monkey, FluidSurveys, Qualtrics, and

² Includes all non-academic research surveys as defined in the Tri-Council Policy Statement (TCPS2) as quality assurance or assessment, administrative, program review and evaluation surveys.

LimeSurveys; and all offer a free basic user account. Google Forms also has a survey tool. IAP does not endorse any specific software or service.

In 2016 Waterloo's Information Systems and Technology (IST) purchased a professional user account with Qualtrics. It will be rolled out to staff, graduate students, and faculty by the end of 2017. A paid advanced (professional) user account offers more sophisticated software services.

Once the survey is developed in the program, users can send a link to the survey embedded in the email invitations through the survey tool itself, or the link can be exported to another email program. When using online survey tools, best practice is to advise survey participants of the possibility of a privacy breach (for examples, see [Appendix D](#)). Qualtrics support resources can be found on the [IST Services Webpage](#).

For larger projects, University units may want to access external vendors or the [Survey Research Centre](#) (SRC), an on-campus survey provider. SRC is a fee-for-service survey provider which can offer support for the technical aspects of administering surveys. SRC helps to program and deploy surveys, invitations, and reminder letters and can also assist with survey analysis.

5.3 Survey timing and co-ordination

Waterloo is a large institution and many Faculties, departments and campus groups send surveys to similar populations during the course of the year. It is important to coordinate survey implementation timelines to limit the survey burden on respondents and optimize the response rate, regardless of the purpose of the survey (e.g., research or other). IAP maintains a University-wide survey schedule of surveys that are administered to the University population (Faculty / program students, faculty, staff or alumni). Consulting with IAP's survey schedule can help avoid overwhelming the target populations with survey requests. Contact [IAP](#) for more information about survey coordination.

6. Survey analysis

Turning survey data into usable information

Data analysis is how the data that are collected through the survey are transformed into useful information to inform program and course development and management. If existing survey data can fill the University unit's information needs, then IAP will provide a survey report with the required information needed for analysis.

If a University unit or group intends to conduct its own survey, then a researcher or data analyst may need to be hired or consulted to help analyse survey data. The data analysis process involves:

- a) *Determining if the results are reflective of the target population.* After the survey is completed, it is important to compare the actual respondents to the survey sample that was randomized or selected. If the respondent data are similar in characteristics to those of the entire population from which the sample was generated, the survey results can be considered to be representative of the overall population. If they are not, weighting the data can be helpful.
- b) *Determining if the survey respondent size is large or robust enough for analysis.* In large or moderately large populations it is the number of survey respondents that will determine the confidence level of the results. There are several different approaches

to determining confidence levels for survey results. Once the confidence level is understood, a decision on how the results can be used will follow.

- c) *Conducting analyses and reporting the data.* The main objective of data analysis is to clean, evaluate, and organize data to develop usable information. The survey objectives developed initially will inform the types of analyses conducted. Throughout the analysis process, data confidentiality must be maintained. For example, when fewer than five responses have been obtained in a specific cell or category, results for that cell should be suppressed, or aggregated with other responses to a size larger than five, to protect the confidentiality of respondents and the integrity of the data.³
- d) *Ensuring that results are interpreted accurately and articulated clearly in the resulting reports.* Once the report has been developed, data analysts check and review the data and how it has been reported to ensure it is correct and reported properly.

If additional assistance with survey design and analysis is required, contact [IAP](#) or the [Survey Research Centre](#).

7. Survey repository

Building survey resources at Waterloo

The University of Waterloo is in the process of compiling a survey repository which can contain copies of survey instruments, as well as any reports of survey results (for example, executive summaries for surveys done at the faculty level and above). Once survey development and analysis has been completed, survey tools, analysis and reports can be forwarded to IAP for inclusion in the institutional survey repository.

8. Key contacts

This list below identifies key offices, office emails and extension numbers for units involved in various aspects of survey development and administration.

Unit Name	Responsibility	Contact	Extension
Institutional Analysis and Planning	<ul style="list-style-type: none"> • Survey coordination and consultation • Institutional surveys • Survey analysis • Institutional survey administration • Graduate Department Reviews • Undergraduate Department Reviews 	Jana Carson	38611
		Rohem Adagbon	31357

³ For additional data quality guidelines, the reader is referred to Statistics Canada's Quality Guidelines: Statistics Canada. 2009. Statistics Canada Quality Guidelines. Statistics Canada Catalogue no. 12-539-X. Ottawa, Ontario. <http://www5.statcan.gc.ca/olc-cel/olc.action?objId=12-539-X&objType=2&lang=en&limit=0>.

Unit Name	Responsibility	Contact	Extension
Office of Research Ethics	<ul style="list-style-type: none"> • Research ethics 	https://uwaterloo.ca/research/office-research-ethics/research-human-participants/need-help	
Centre for Teaching Excellence (CTE)	<ul style="list-style-type: none"> • Instrument design assistance for cyclical reviews and other program improvement initiatives • Educational research project design 	Veronica Brown Crystal Tse (educational research)	31096 31240
Secretariat	<ul style="list-style-type: none"> • CASL, draw incentives 	Nadia Singh	32225
Finance	<ul style="list-style-type: none"> • Remuneration/honorariums 		
Registrar	<ul style="list-style-type: none"> • Undergraduate student populations 	Link to instruction pages for contacting potential student respondents. CAS authenticated site (requires WatIAM credentials)	
Graduate Students and Postdoctoral Affairs Office (GSPA)	<ul style="list-style-type: none"> • Graduate populations 		
Student Success Office (SSO)	<ul style="list-style-type: none"> • Student promotions and communications 		
Faculty Alumni Officers	<ul style="list-style-type: none"> • Alumni populations 		
Statistical Consulting and Collaborative Research Unit	<ul style="list-style-type: none"> • Statistical analysis and interpreting results 		
Survey Research Centre (SRC)	<ul style="list-style-type: none"> • Survey design • Survey administration 	Sharon McConnell Arianne Manary	38964

Appendix A: IAP Survey Overview Sheet

Survey	Description	Survey Topics	Target Population	Level of Analysis
CGPSS	The Canadian Graduate and Professional Student Survey (CGPSS) collects information about the quality of graduate programs as assessed by current Waterloo graduate and professional students.	<ul style="list-style-type: none"> •Quality/ Satisfaction: student experience, faculty interactions, education, program, coursework, advisor and research process university resources, student life •Skill growth and development •Financial support and university resources •Student demographics 	<p><u>Current Graduate and Professional Students</u> Master's & Doctoral students</p> <p>Conducted every three years</p>	<ul style="list-style-type: none"> •Program / Faculty, •Student characteristics¹ •Master's/ Doctoral, •UW / ON / Canada
CUSC	The Canadian University Survey Consortium (CUSC) manages three surveys, two of which Waterloo administers: first-year and graduating-year students. The survey collects information about current undergraduate students' experience at university.	<ul style="list-style-type: none"> •Student demographics •Involvement in academic and extra-curricular activities •Learning, skills growth, and development •Satisfaction with education, program, services, and university overall •Financing and debt •Future education and employment •Motivations for attending university 	<p><u>Current Undergraduates</u> First-year & graduating-year students</p> <p>Conducted every three years</p>	<ul style="list-style-type: none"> •Program / Faculty •Student Characteristics¹ •UW / U15 / ON / Canada
MAESD OUGS (KPI)	The Ministry of Advanced Education and Skills Development (MAESD) Ontario University Graduate Survey (OUGS) collects employment and related income data of undergraduate students six months and two years after graduation.	<ul style="list-style-type: none"> •Current employment and education status •Employment rate •Income •Relevance of work to skills developed at university and program of study •NOC and NAICS industries 	<p><u>Alumni</u> Two years out (graduated from undergraduate programs)</p> <p>Conducted annually</p>	<ul style="list-style-type: none"> •Program / Faculty •Canadian / International •Co-op / non-co-op •UW / ON
NGOS	The National Five Year Out Baccalaureate Graduate Outcomes Survey (NGOs) collects information to understand post-graduation experiences of Waterloo undergraduates five years after graduation.	<ul style="list-style-type: none"> •Current employment and education situation •Debt and income ranges •Relevance of occupations to academic program •NOC and NAICS industries' categorization •Career transition and growth •Social engagement and contributions •Reflections on the value of their experience at Waterloo 	<p><u>Alumni</u> <u>Five years out</u> (graduated from undergraduate programs)</p> <p>Conducted once. <i>There are currently no plans to administer this survey again.</i></p>	<ul style="list-style-type: none"> •Program/ Faculty •Student characteristics¹ •UW / ON / Canada
NSSE	The National Survey of Student Engagement (NSSE) collects information about the degree of student engagement in academics and other activities at the university which have been linked to positive educational outcomes and overall student success.	<ul style="list-style-type: none"> •Level of student engagement in academics and extra-curricular activities •Student learning strategies •Quality of educational experiences and faculty teaching practices •Interactions with key people at the institution •Overall perceptions and satisfaction with the institution's learning environment 	<p><u>Current Undergraduates</u> First-year & graduating-year students</p> <p>Conducted every three years</p>	<ul style="list-style-type: none"> •Program/ Faculty •Student characteristics¹ •UW / U15/ ON / Canada
ISB	The International Student Barometer (ISB) survey collects information about the international student experience. <i>There are currently no plans to administer this survey again.</i>	<ul style="list-style-type: none"> •International student experience •Pre-arrival support •Financial support •Assessment of financial support, learning and living experience, Waterloo programs / services, overall education •Motivations for attending Waterloo •Future plans / career support 	<p><u>Current Graduates & Undergraduates</u></p> <p>Conducted every two years (<i>to be confirmed</i>)</p>	<ul style="list-style-type: none"> •Program / Faculty Undergraduate/ Graduates •UW / Canada / International

Survey	Description	Survey Topics	Target Population	Level of Analysis
NCHA II	The National College Health Assessment II (NCHA-II) collects data about students' habits, behaviors, and perceptions on prevalent health topics.	<ul style="list-style-type: none"> •Health, health education and safety •Alcohol, tobacco and drugs •Sex behavior and contraception •Weight, nutrition, and exercise •Mental and physical health •Impediments to academic performance •Student demographics 	<u>Current Graduates & Undergraduates</u> Conducted every three years	<ul style="list-style-type: none"> •Program/faculty •Student-reported characteristics²
¹ Student characteristics provided by the University often include: year of study, Canadian / International; full-time / part-time; Faculty; Co-op / Non-co-op. ² Student characteristics as reported by respondents.				
See IAP's survey repository or the IAP website for survey instruments.				

DRAFT

Appendix B: Guidelines for Administering Incentives to Survey Participants

Guidelines for administering incentives to survey participants

Offering an incentive can help increase response rates if used appropriately. When choosing an incentive, researchers need to consider their budget, how the incentive will be delivered and what incentive will be most salient to the target audience. An incentive that the target audience finds attractive serves to encourage survey participation and subsequently, increase response rates.

Incentives can be offered to all survey participants that complete the survey or in the form of a draw (a chance to win a prize). Usually, incentives offered to all survey participants that complete the survey are smaller in value such as gift certificates, small monetary gifts, whereas those offered in the form of a draw are of high monetary value, for example a chance to win a cash prize of \$500 or an iPad. There can be tax implications for survey participants who receive an incentive. This is based on the amount of the incentive, how it is distributed (through a random draw or available to all) and to whom it is distributed. The following table outlines the parameters for awarding incentives, actions required by survey administrators and tax implications, where applicable:

Table 1: Survey Participants, Type of Incentive and Requirements

		Survey Participants <i>* may include employees</i>		Survey Participants are Exclusively Employees	
		Incentive, All	Incentive, Random Draw	Incentive, All	Incentive, Random Draw
Tangible Item <\$50 (nominal value)		No tax reporting required	No tax reporting required	No tax reporting required	No tax reporting required
Tangible item value ≥\$50	<i>Participant</i>	Not applicable	No tax reporting required	Not applicable	Taxable income; Sign Gift Reporting Form
	<i>Researcher / Survey Team</i>	Not applicable	No tax reporting required	Not applicable	Complete Casual / Additional Pay Request Form from Human Resources (to reimburse researcher) and Gift Reporting Form

Cash or near cash <\$50 (nominal value)	<i>Participant</i>	Taxable income; Participant may complete Acknowledgement of Receipt of Remuneration and Self-Declared Income Form	No tax reporting required	Taxable income; Cash to be disbursed through Payroll, Personal Information Release Form and sign Gift Reporting Form	Taxable income; Cash to be disbursed through Payroll, Personal Information Release Form and sign Gift Reporting Form
	<i>Researcher /Survey Team</i>	Researchers must inform participants that the income is taxable or ask participants to complete the Acknowledgement of Receipt of Remuneration and Self-Declared Income form		Complete Request Advance and Advance Settlement Form OR Request for Reimbursement Form	Complete Request Advance and Advance Settlement Form OR Request for Reimbursement Form
Cash or near-cash, value ≥\$50	<i>Participant</i>	Not applicable	No tax reporting required	Not applicable	Taxable income; Cash to be disbursed through Payroll, Personal Information Release Form and sign Gift Reporting Form
	<i>Researcher / Survey Team</i>	Not applicable			Complete Casual / Additional Pay Request Form

Notes:

While graduate students, undergraduate students and alumni may be employed by the University, they are not exclusively employees. Surveys aimed at students may or may not include University employees. All surveys aimed at University employees include *only* students who are also employed at the University.

If you decide to offer an incentive in the form of a draw, the following are elements to consider in order to meet legal requirements.

1. The [Personal Information Protection and Electronic Documents Act](#) requires the informed consent of the individual to whom the collected information pertains. This informed consent must identify what information will be collected or accessed and what that information will be used for. The collection must be limited to the purpose(s) identified. Informed consent can be obtained from participants by collecting personal information at the time that the individual is entered into the draw, stating the purpose of the collection on the ballot. **All contact information collected for the purpose of the draw should be stored separately from survey responses and should be destroyed after the draw is conducted and prizes are collected.**
2. The [Criminal Code of Canada](#) prohibits games of pure chance. For contests of chance (including a draw), making prize redemption conditional on answering a skill testing question turns a game of pure chance into a game of mixed chance and skill. The skill-testing question should be a time-limited, multi-step and multi-operational mathematical

question, answered without assistance. This skill-testing question could be posed to all entrants (on the ballot), or could be posed to the winner of the draw in order for them to claim their prize.

3. The [Criminal Code of Canada](#) also prohibits the awarding of prizes for the participation in any game of chance, or mixed skill and chance, where the entrant must pay valuable consideration in order to enter the draw. The completion of a task, including filling out a survey, is considered valuable consideration. In order to avoid this scenario, the draw must be open to those who choose not to fill out the survey (participation not required). All entrants, regardless of participation, must have an equal chance at winning the prize.
4. The [Competition Act](#) states that adequate and fair disclosure requires that participants in a draw be provided with the following information:
 - a. the number and value of prizes;
 - b. any regional allocation of prizes;
 - c. the skill-testing question requirement;
 - d. details as to the chance of winning (“odds of winning depend on the number of entries received”);
 - e. the contest closing date; and
 - f. any other fact(s) known that may materially affect the chances of winning (for example: early bird draws, the awarding of a series of prizes, etc.).

Administering incentives for survey participants may also require that certain Finance Department rules are followed. If you have further questions, check with the [Finance Department](#). You may also refer to the Incentive Reporting Procedures from the Survey Policy for further detail, including when Gift Reporting Forms are required for internal reporting purposes.

This information should be provided as a “short list” of contest rules, when the ballot is filled out. Further details, rules and regulations can be linked to the short list, and may include information such as:

- a. a clear statement of procedure, including when and how the draw is to take place;
- b. eligibility rules;
- c. technical difficulty disclaimer;
- d. ballot fraud disclaimer;
- e. treatment of Quebec entrants, either:
 - i. excluding their participation; or
 - ii. Providing details required by Quebec laws, as noted in the Régie des alcools, des cours et des jeux (for assistance, please contact the Secretariat & Office of General Counsel); and
- f. dispute resolution mechanisms.

Information about specific language to include in the survey tool where action is required or tax implications are accrued, are provided below.

Approved text for survey participants’ incentives:

Audience & Incentive Type	Type of Award and Value	Consent & Required Text
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<p>Potential survey respondents may or may not include employees, incentives for all</p>	<p>Tangible item of nominal value</p>	<p>The researcher should include the following text in the survey instrument if the researcher does not have a sample file:</p> <p>By submitting your survey responses, you will receive [INCENTIVE].</p> <p><i>Participation in this survey is confidential and voluntary. You may decline to respond to any question by leaving it blank with no loss of your incentive.</i></p> <table border="1" data-bbox="743 535 1417 604"> <tr> <td>Name:</td> <td></td> </tr> <tr> <td>Email:</td> <td></td> </tr> </table> <p><i>Please note that your name and email will remain confidential and will not be linked with any of your survey answers. The contact information collected for the prize will be stored separately from your survey responses, and will be destroyed once the incentive has been administered.</i></p>	Name:		Email:	
Name:						
Email:						
	<p>Cash or near-cash of nominal value</p>	<p>The researcher should include the following text in the survey instrument if the researcher does not have a sample file:</p> <p>By submitting your survey responses, you will receive [INCENTIVE].</p> <p><i>Participation in this survey is confidential and voluntary. You may decline to respond to any question by leaving it blank with no loss of your incentive.</i></p> <table border="1" data-bbox="743 1276 1417 1346"> <tr> <td>Name:</td> <td></td> </tr> <tr> <td>Email:</td> <td></td> </tr> </table> <p><i>Please note that your name and email will remain confidential and will not be linked with any of your survey answers. The contact information collected for the prize will be stored separately from your survey responses, and will be destroyed once the incentive has been administered.</i></p> <p><i>The amount received is considered taxable income. You may be asked to sign a release of Acknowledgement of Receipt of Remuneration and Self-Declared Income form.</i></p>	Name:		Email:	
Name:						
Email:						
<p>Potential survey respondents may or may not</p>	<p>Prize of tangible item of nominal value</p>	<p>The researcher is to include the following in the survey instrument if the researcher does not have a pre-populated sample file</p>				

include employees, prizes for draw winner	Prize of cash or near-cash with nominal value	<p>As a thank you for participating in the survey, we would like to offer you the opportunity to be included in a draw for [INCENTIVE].</p> <p><i>If you wish to be included in this draw, please provide the following:</i></p> <table border="1" data-bbox="743 365 1417 438"> <tr> <td>Name:</td> <td></td> </tr> <tr> <td>Email:</td> <td></td> </tr> </table> <p><i>Please note that your name and email will remain confidential and will not be linked with any of your survey answers. The contact information collected from you to participate in the draw will be stored separately from your survey responses, and will be destroyed once the draw is complete.</i></p> <p><i>Your odds of winning are based on the number of individuals that participate in the survey.</i></p>	Name:		Email:	
	Name:					
	Email:					
Prize of tangible item of ≥\$50 value						
Prize of cash or near-cash of ≥\$50 value						
Potential survey respondents are exclusively University employees, incentives for all	Tangible item of nominal value	<p>The researcher should include the following text in the survey instrument if the researcher does not have a sample file:</p> <p>By submitting your survey responses, you will receive [INCENTIVE].</p> <p><i>Participation in this survey is confidential and voluntary. You may decline to respond to any question by leaving it blank with no loss of your incentive.</i></p> <table border="1" data-bbox="743 1213 1417 1287"> <tr> <td>Name:</td> <td></td> </tr> <tr> <td>Email:</td> <td></td> </tr> </table> <p><i>Please note that your name and email will remain confidential and will not be linked with any of your survey answers. The contact information collected for the prize will be stored separately from your survey responses, and will be destroyed once the incentive has been administered.</i></p>	Name:		Email:	
	Name:					
Email:						
Cash or near-cash of nominal value	<p>The researcher should include the following text in the survey instrument if the researcher does not have a sample file:</p> <p>By submitting your survey responses, you will receive [INCENTIVE].</p> <p><i>Participation in this survey is confidential and voluntary. You may decline to respond to any</i></p>					

		<p>question by leaving it blank with no loss of your incentive.</p> <table border="1" data-bbox="743 237 1417 310"> <tr> <td>Name:</td> <td></td> </tr> <tr> <td>Email:</td> <td></td> </tr> </table> <p>Please note that your name and email will remain confidential and will not be linked with any of your survey answers. The contact information collected for the prize will be stored separately from your survey responses, and will be destroyed once the incentive has been administered.</p> <p>All incentives of this nature are considered taxable employee benefits. Cash incentives will be paid through payroll and subject to tax deductions at the source. You may be required to complete a personal information release form and Gift Reporting Form and the value will be reported as a taxable benefit. Personal Information Release Form</p>	Name:		Email:	
Name:						
Email:						
<p>Potential survey respondents are exclusively University employees, prizes for draw winner</p>	<p>Prize of tangible item of nominal value</p>	<p>The researcher should include the following text in the survey instrument if the researcher does not have a sample file:</p> <p><i>As a thank you for participating in the survey, we would like to offer you the opportunity to be included in a draw for [INCENTIVE].</i></p> <p><i>If you wish to be included in this draw, please provide the following:</i></p> <table border="1" data-bbox="743 1186 1417 1260"> <tr> <td>Name:</td> <td></td> </tr> <tr> <td>Email:</td> <td></td> </tr> </table> <p><i>Please note that your odds of winning are based on the number of individuals that participate in the survey.</i></p> <p><i>Your contact information (name and email), will be used only to administer the prizes only and will remain confidential. Your name and contact information will be stored separately from the survey data file and destroyed once the draw is complete.</i></p>	Name:		Email:	
Name:						
Email:						
	<p>Prize of cash or near-cash of nominal value</p> <p>Prize of tangible item value ≥\$50</p> <p>Prize of cash or near-cash value ≥\$50</p>	<p>The researcher should include the following text in the survey instrument if the researcher does not have a sample file:</p> <p><i>If you wish to be included in this draw, please provide the following:</i></p> <table border="1" data-bbox="743 1833 1417 1864"> <tr> <td>Name:</td> <td></td> </tr> </table>	Name:			
Name:						

		<p><i>Email:</i> <input type="text"/></p> <p><i>Please note that your odds of winning are based on the number of individuals that participate in the survey.</i></p> <p><i>Your contact information (name and email), will be used only to administer the prizes only and will remain confidential. Your name and contact information will be stored separately from the survey data file and destroyed once the draw is complete.</i></p> <p><i>As this survey and related prize draw is only open to employees of the University, the prize is considered a taxable employee benefit. Cash prizes will be paid through payroll and subject to tax deductions at source.</i></p> <p><i>You may be required to complete a personal information release form and Gift Reporting Form and the value will be reported as a taxable benefit. Personal Information Release Form.</i></p>
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DRAFT

Appendix C: Survey Administration Checklist

The following is a list of items to consider when conducting a survey.

Before conducting your own survey

Is a survey the best method to obtain the information you need?

- Review other existing information sources.
- Consider other approaches to gathering information from campus populations (students, alumni, staff, faculty). For example, information about strengths and weaknesses of a program may be best addressed through focus groups or interviews.

Is the data you seek available elsewhere?

- Contact IAP to see if there is survey data available for your program or department
 - If yes, identify the surveys and questions with the survey that are most relevant and send it to IAP to request a data report
 - If no, you may want to consider conducting your own survey

Conducting your own survey

1 *What would you like to know?*

- Review the project objectives
- Define the questions or topics you want to address in the survey

2 *Who would you like to hear from?*

- Determine the target audience for the survey (e.g., current students or alumni)
- Determine the source of the population file (Registrar's Office, Graduate Studies Office, Faculty's alumni officer, or Human Resources)

3 *When is the most appropriate time to conduct a survey?*

- Determine the timeline for the survey administration
- Check with IAP to see if your timeline is advisable given other survey timing

4 *How will your intended survey population hear about the survey?*

- Create a survey contact protocol, including the number, type, and interval of survey contacts (letter and reminders)
- Decide if incentives will be offered
 - Ensure that proper and legally required processes and supports are in place to administer and distribute the incentive. You may need to check requirements with the Finance Department.
 - Determine what incentives are most appropriate for your target audience
- Review and customize the template invitation and reminder letters
 - Update specific timing and details in the survey invitation and reminder letters based on the communication plan

	<ul style="list-style-type: none"> <input type="checkbox"/> Ensure that required elements are included in invitation and reminder letters, including: <ul style="list-style-type: none"> <input type="checkbox"/> Purpose of the survey <input type="checkbox"/> Details about incentives (if offered) as required by law <input type="checkbox"/> Survey completion time and timeline for the survey <input type="checkbox"/> Privacy and confidentiality statement as required by law <input type="checkbox"/> How results will be reported and used <input type="checkbox"/> How data will be stored and handled <input type="checkbox"/> Develop the survey promotion strategy (communication plan) <ul style="list-style-type: none"> <input type="checkbox"/> Develop survey information website with information about survey, information on how to opt in and out, incentives if offered, and privacy <input type="checkbox"/> If targeting current students, consult with the Student Success Office about effective practices for student engagement
6	<p><i>Are you administering the survey yourself?</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Select the survey software tool to be used <input type="checkbox"/> Identify who will program the survey <input type="checkbox"/> Develop an incentive distribution plan
7	<p><i>Are you using IAP's toolkit templates?</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Once complete, send the following items for IAP for review: <ul style="list-style-type: none"> • Description of target audience, survey administration timeline and incentives (if any) • Draft copy of your survey instrument • Draft copy of your invitation and reminder letters
8	<p><i>Who will be analyzing the survey data? How will the data be analyzed? Descriptive only or statistical analysis?</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Develop a data analysis plan
9	<p><i>How will you protect survey respondents' privacy?</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Develop a survey data storage plan (encrypted, password-protected network drive). See the University of Waterloo's Policy 46 for additional guidance. <input type="checkbox"/> Disable IP address tracking in survey options of the survey tool <input type="checkbox"/> See Appendix F to develop your project's confidentiality and privacy statement.

Appendix D: Invitation and Reminder Letter Templates

Notes about these resources:

Text in box: Text in a box and uppercase are tips or instructions for faculty and staff and should be removed before using the document. Optional text is also included in lowercase. If text is to be included, copy and paste it into the document without the box outline.

UPPERCASE WHITE FONT COLOUR ON BLACK BACKGROUND: Text in uppercase and white font colour on black background alerts you to where you need to insert your own customized wording related to your survey needs.

Instructions

1. Delete this instruction box
2. Delete all highlighted tips or instructions for the researcher.
3. Update the white text on black background and change the font to black and remove the background once you have inserted your own customized

Option 1: Invitation Letter Template, No Incentive or Prize Offered

From: **CONTACT NAME, UNIT OR FACULTY NAME**, University of Waterloo

Subject: Tell us about **SURVEY TOPIC**

Dear **NAME**,

You are invited to participate in a survey that asks about **STATEMENT ABOUT SURVEY PURPOSE**.

The purpose of this survey is to ask your opinions about **STATEMENT ABOUT SURVEY PURPOSE**. The University will use the results of the survey to **STATEMENT ABOUT HOW SURVEY RESULTS WILL BE USED**. Public reports of this survey will include only summarized results, ensuring that no individual can be identified. **USE THE NEXT SENTENCE ONLY IF THE SURVEY IS CONFIDENTIAL AND PARTICIPANTS MAY SHARE SENSITIVE INFORMATION** Please note: researchers have no way of identifying you or getting in touch with you should you choose to tell us something about yourself or your life experiences.

This survey should take about **#** minutes and will be available for you to complete until **SURVEY CLOSE DATE**. Participation in this survey is confidential and voluntary. You may decline to answer any question by leaving it blank.

If you have difficulty logging in, completing the survey, or wish to no longer receive messages related to this survey, please contact **EMAIL ADDRESS**.

INCLUDE THIS STATEMENT IF AN OPT-OUT MECHANISM IS UNAVAILABLE IN THE SURVEY OPTIONS SECTION OF THE SURVEY TOOL BEING USED:

If you do not wish to participate in this survey, and do not wish to receive a reminder, please respond to this email invitation with 'Do Not Wish to Participate' in the subject line.

ANY DATA COLLECTION USING ONLINE SURVEYS/QUESTIONNAIRES, VOIP/SKYPE CALLS, OR OTHER ONLINE DATA COLLECTION METHODS SHOULD HAVE THE IP ADDRESS TRACKING DISABLED IN THE SURVEY TOOL, AND INCLUDE THE FOLLOWING PARAGRAPH IN THE LETTERS:

Please note: when information is transmitted over the internet privacy cannot be guaranteed. There is always a risk your responses may be intercepted by a third party (e.g., government agencies, hackers). University of Waterloo researchers will not collect or use internet protocol (IP) addresses or other information which could link your participation to your computer or electronic device without first informing you.

Thank you in advance for your participation,

ADDRESSEE NAME

ADDRESSEE TITLE

UNIT OR FACULTY

University of Waterloo

If you want to know more about **NAME OF SURVEY**, or privacy policy, contact **CONTACT NAME**, **TITLE** at **UNIT / FACULTY**, by **EMAIL** or phone at **PHONE NUMBER** ext. **EXTENSION**.

Option 2: Invitation Letter Template, Incentive ONLY

From: **CONTACT NAME, UNIT OR FACULTY NAME**; University of Waterloo

Subject: Tell us about **SURVEY TOPIC**

Dear **NAME**,

You are invited to participate in a survey that asks about **STATEMENT ABOUT SURVEY PURPOSE**.

The purpose of this survey is to ask your opinions about **STATEMENT ABOUT SURVEY PURPOSE**. The University will use the results of the survey to **STATEMENT ABOUT HOW SURVEY RESULTS WILL BE USED**. Public reports of this survey will include only summarized results, ensuring that no individual can be identified.

This survey should take about **minutes** and will be available for you to complete until **SURVEY CLOSE DATE**. Participation in this survey is confidential and voluntary. You may decline to answer any question by leaving it blank.

By submitting your survey responses, you will receive **NAME INCENTIVE, FOR EXAMPLE \$5 ON YOUR WATCARD**. You may decline to respond to any question by leaving it blank with no loss of your incentive. For more information about privacy and contest rules, please visit **HYPERLINK TO SURVEY WEBSITE**.

INCLUDE ONE OF THESE STATEMENTS IF THE INCENTIVE IS A TANGIBLE ITEM, CASH OR NEAR-CASH, DEPENDING ON THE VALUE, TYPE OF INCENTIVE AND AUDIENCE, IN ADDITION TO THE ABOVE STATEMENTS:

IF INCENTIVE IS A TANGIBLE ITEM, REGARDLESS OF VALUE, AND SURVEY PARTICIPANTS ARE NOT EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF INCENTIVE IS CASH OR NEAR-CASH WITH A NOMINAL VALUE, AND SURVEY PARTICIPANTS ARE NOT EXCLUSIVELY EMPLOYEES, INCLUDE THE FOLLOWING STATEMENT:

The amount received is taxable. It is your responsibility to report this amount for income tax purposes.

IF INCENTIVE IS TANGIBLE ITEM WITH A NOMINAL VALUE, AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF INCENTIVE IS CASH OR NEAR-CASH, REGARDLESS OF VALUE, AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, INCLUDE THE FOLLOWING STATEMENT:

All incentives of this nature are considered taxable employee benefits. Cash incentives will be paid through payroll and subject to tax deductions at source. For near-cash incentives, a [Personal Information Release Form](#) and [Gift Reporting Form](#) are required and the value will be reported as a taxable benefit.

If you have difficulty logging in, completing the survey, or wish to no longer receive messages related to this survey, please contact [email address].

INCLUDE THIS STATEMENT IF AN OPT-OUT MECHANISM IS UNAVAILABLE IN THE SURVEY OPTIONS SECTION OF THE SURVEY TOOL BEING USED:

If you do not wish to participate in this survey, and do not wish to receive a reminder, please respond to this email invitation with '*Do Not Wish to Participate*' in the subject line.

[NOTE: ANY DATA COLLECTION USING ONLINE SURVEYS/QUESTIONNAIRES, VOIP/SKYPE CALLS, OR OTHER ONLINE DATA COLLECTION METHODS SHOULD HAVE THE IP ADDRESS TRACKING DISABLED IN THE SURVEY TOOL, AND INCLUDE THE FOLLOWING PARAGRAPH IN THE LETTERS:

When information is transmitted over the internet privacy cannot be guaranteed. There is always a risk your responses may be intercepted by a third party (e.g., government agencies, hackers). University of Waterloo researchers will not collect or use internet protocol (IP) addresses or other information which could link your participation to your computer or electronic device without first informing you.

Thank you in advance for your participation

ADDRESSEE NAME
ADDRESSEE TITLE
UNIT OR FACULTY

University of Waterloo

If you want to know more about **NAME OF SURVEY**, or privacy policy, contact **CONTACT NAME**, **TITLE** at **UNIT / FACULTY**, by **EMAIL** or phone at **PHONE NUMBER** ext. **EXTENSION**.

Option 3: Invitation Letter Template, Incentive – Draw

From: **CONTACT NAME, UNIT OR FACULTY NAME**, University of Waterloo

Subject: Tell us about **SURVEY TOPIC**

Dear **NAME**,

You are invited to participate in a survey that asks about **STATEMENT ABOUT SURVEY PURPOSE**.

The purpose of this survey is to ask your opinions about **STATEMENT ABOUT SURVEY PURPOSE**. The University will use the results of the survey to **STATEMENT ABOUT HOW SURVEY RESULTS WILL BE USED**. Public reports of this survey will include only summarized results, ensuring that no individual student can be identified.

This survey should take about **MIN** minutes and will be available for you to complete until **SURVEY CLOSE DATE**. Participation in this survey is confidential and voluntary. You may decline to answer any question by leaving it blank.

By submitting your survey responses, you will have the opportunity to be entered for a chance to win **PRIZE**. Your odds of winning are based on the number of individuals who participate in the survey (approximately **NUMBER OF INVITED INDIVIDUALS**). You may decline to respond to any question by leaving it blank with no loss of your chance to win **PRIZE**. Your name and email will be stored separately from your responses and deleted once the draw is complete (after the survey concludes on **ADD DATE**). Any contact information collected for the draw will remain confidential. It will be stored separately and deleted once the draw is complete. Potential winners must accurately answer an arithmetic skill-testing question to be declared the winner of the prize.

INCLUDE ONE OF THESE STATEMENTS IF THE INCENTIVE IS A CHANCE TO WIN A TANGIBLE ITEM, CASH, OR NEAR-CASH, DEPENDING ON THE VALUE, TYPE OF INCENTIVE, AND AUDIENCE, IN ADDITION TO THE ABOVE STATEMENTS:

IF INCENTIVE IS A CHANCE TO WIN A TANGIBLE ITEM, CASH, OR NEAR-CASH, REGARDLESS OF VALUE, AND SURVEY PARTICIPANTS ARE NOT EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF INCENTIVE IS A CHANCE TO WIN A TANGIBLE ITEM WITH A NOMINAL VALUE, AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF INCENTIVE IS A CHANCE TO WIN A TANGIBLE ITEM WITH A VALUE OF \$50 OR MORE, OR CASH OR NEAR-CASH OF ANY VALUE, AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, INCLUDE THE FOLLOWING STATEMENT:

As this survey and related prize draw is only open to employees of the University, the prize is considered a taxable employee benefit. Cash prizes will be paid through payroll and subject to tax deductions at source. For tangible items or near-cash prizes a [Personal Information Release Form](#) and a [Gift Reporting Form](#) is required and the value will be reported as a taxable benefit.

If you wish to be entered into the draw without participating in the survey, please **EMAIL CONTACT**. For more information about privacy and contest rules, please visit **HYPERLINK TO SURVEY WEBSITE**.

If you have difficulty logging in, completing the survey, or wish to no longer receive messages related to this survey, please contact EMAIL.

INCLUDE THIS STATEMENT IF AN OPT-OUT MECHANISM IS UNAVAILABLE IN THE SURVEY OPTIONS SECTION OF THE SURVEY TOOL BEING USED:

If you do not wish to participate in this survey, and do not wish to receive a reminder, please respond to this email invitation with *'Do Not Wish to Participate'* in the subject line.

NOTE: ANY DATA COLLECTION USING ONLINE SURVEYS/QUESTIONNAIRES, VOIP/SKYPE CALLS, OR OTHER ONLINE DATA COLLECTION METHODS SHOULD HAVE THE IP ADDRESS TRACKING DISABLED IN THE SURVEY TOOL, AND INCLUDE THE FOLLOWING PARAGRAPH IN THE LETTERS:

Please Note: when information is transmitted over the internet privacy cannot be guaranteed. There is always a risk your responses may be intercepted by a third party (e.g., government agencies, hackers). University of Waterloo researchers will not collect or use internet protocol (IP) addresses or other information which could link your participation to your computer or electronic device without first informing you.

Thank you in advance for your participation

ADDRESSEE NAME

ADDRESSEE TITLE

UNIT OR FACULTY

University of Waterloo

If you want to know more about **NAME OF SURVEY**, or privacy policy, contact **CONTACT NAME**, **TITLE** at **UNIT / FACULTY**, by **EMAIL** or phone at **PHONE NUMBER** ext. **EXTENSION**.

Notes about these resources:

Text in box: Text in a box and uppercase are tips or instructions for faculty and staff and should be removed before using the document. Optional text is also included in lowercase. If text is to be included, copy and paste it into the document without the box outline.

UPPERCASE WHITE FONT COLOUR ON BLACK BACKGROUND: Text in uppercase and white font colour on black background alerts you to where you need to insert your own customized wording related to your survey needs.

Instructions

1. Delete this instruction box
2. Delete all highlighted tips or instructions for the researcher.
3. Update the white text on black background and change the font to black and remove the background once you have inserted your own customized.

Option 1: Reminder Letter Template, No Remuneration or Draw

From **CONTACT NAME, UNIT OR FACULTY NAME**, University of Waterloo

Subject: Tell us about **SURVEY TOPIC**

Dear **NAME**,

You recently received an email inviting you to **STATEMENT ABOUT SURVEY PURPOSE**. The University would like your opinions about **STATEMENT ABOUT SURVEY PURPOSE**. Public reports of this survey will include only summarized results, ensuring that no individual can be identified.

This survey should take about # minutes and will be available for you to complete until **SURVEY CLOSE DATE**.

Participation in this survey is voluntary and you may decline to answer any questions or withdraw from the survey at any time without affecting your relationship with the University. Your answers will be kept confidential.

If you would like more information about the survey or how the data will be used, please contact **CONTACT NAME AND EMAIL**.

INCLUDE THIS STATEMENT IF AN OPT-OUT MECHANISM IS UNAVAILABLE IN THE SURVEY OPTIONS SECTION OF THE SURVEY TOOL BEING USED:

If you do not wish to participate in this survey, and do not wish to receive a reminder, please respond to this email invitation with '*Do Not Wish to Participate*' in the subject line.

Thank you in advance for your participation

ADDRESSEE NAME

ADDRESSEE TITLE

UNIT OR FACULTY

University of Waterloo

Option 2: Reminder Letter Template – Remuneration Incentive Offered

From: **CONTACT NAME, UNIT OR FACULTY NAME**, University of Waterloo

Subject: Tell us about **SURVEY TOPIC**

Dear **NAME**,

You recently received an email inviting you to **STATEMENT ABOUT SURVEY PURPOSE**. The University would like your opinions about **STATEMENT ABOUT SURVEY PURPOSE**. Public reports of this survey will include only summarized results, ensuring that no individual can be identified.

This survey should take about # minutes and will be available for you to complete until **SURVEY CLOSE DATE**.

Participation in this survey is voluntary and you may decline to answer any questions or withdraw from the survey at any time without affecting your relationship with the University. Your answers will be kept confidential.

As a thank you for completing the survey, you will receive **REMUNERATION INCENTIVE**.

INCLUDE ONE OF THESE STATEMENTS IF THE INCENTIVE IS A TANGIBLE ITEM, CASH OR NEAR-CASH, DEPENDING ON THE VALUE, TYPE OF INCENTIVE AND AUDIENCE, IN ADDITION TO THE ABOVE STATEMENTS:

IF INCENTIVE IS A TANGIBLE ITEM OF NOMINAL VALUE, AND SURVEY PARTICIPANTS ARE NOT EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF INCENTIVE IS CASH OR NEAR-CASH WITH A NOMINAL VALUE AND SURVEY PARTICIPANTS ARE NOT EXCLUSIVELY EMPLOYEES, INCLUDE THE FOLLOWING STATEMENT:

The amount received is taxable. It is your responsibility to report this amount for income tax purposes.

IF INCENTIVE IS A TANGIBLE ITEM WITH A NOMINAL VALUE AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF INCENTIVE IS CASH OR NEAR-CASH, REGARDLESS OF VALUE, AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, INCLUDE THE FOLLOWING STATEMENT:

All incentives of this nature are considered taxable employee benefits. Cash incentives will be paid through payroll and subject to tax deductions at source. For near-cash incentives a [Personal Information Release Form](#) and a [Gift Reporting Form](#) are required and the value will be reported as a taxable benefit.

If you would like more information about the survey or how the data will be used, please contact **CONTACT NAME AND EMAIL**.

INCLUDE THIS STATEMENT IF AN OPT-OUT MECHANISM IS UNAVAILABLE IN THE SURVEY OPTIONS SECTION OF THE SURVEY TOOL BEING USED:

If you do not wish to participate in this survey, and do not wish to receive a reminder, please respond to this email invitation with '*Do Not Wish to Participate*' in the subject line.

Thank you in advance for your participation

ADDRESSEE NAME

ADDRESSEE TITLE

UNIT OR FACULTY

University of Waterloo

DRAFT

Option 3: Reminder Letter Template, Incentive - Draw

From: **CONTACT NAME**, University of Waterloo

Subject: Tell us about **PURPOSE OF SURVEY** and win **DRAW INCENTIVE**

Dear **NAME**,

You recently received an email inviting you to **PURPOSE OF THE SURVEY**. Public reports of this survey will include only summarized results, ensuring that no individual student can be identified.

This survey should take about 20 minutes and will be available for you to complete until **SURVEY CLOSE DATE**.

Participation in this survey is voluntary and you may decline to answer any questions or withdraw from the survey at any time without affecting your relationship with the University. Your answers will be kept confidential. Results will be reported in summary form and will not identify any individuals.

As a thank you for completing the survey, you have the opportunity to be included in a draw to win **DRAW INCENTIVE**. Your odds of winning are based on the number of individuals who participate in the survey (approximately **NUMBER OF INVITED INDIVIDUALS**). To enter the draw, you will be asked to provide your name and contact information at the end of the survey.

INCLUDE ONE OF THESE STATEMENTS IF THE INCENTIVE IS A CHANCE TO WIN A TANGIBLE ITEM, CASH, OR NEAR-CASH, DEPENDING ON THE VALUE, TYPE OF INCENTIVE AND AUDIENCE, IN ADDITION TO THE ABOVE STATEMENTS:

IF INCENTIVE IS A CHANCE TO WIN A TANGIBLE ITEM, CASH OR NEAR-CASH, REGARDLESS OF VALUE, AND SURVEY PARTICIPANTS ARE NOT EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF INCENTIVE IS A CHANCE TO WIN A TANGIBLE ITEM WITH A NOMINAL VALUE AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF INCENTIVE IS A CHANCE TO WIN A TANGIBLE ITEM WITH A VALUE OF \$50 OR MORE, OR CASH OR NEAR-CASH OF ANY VALUE, AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, INCLUDE THE FOLLOWING STATEMENT:

As this survey and related prize draw is only open to employees of the University, the prize is considered a taxable employee benefit. Cash prizes will be paid through payroll and subject to tax deductions at source. For tangible items or near-cash prizes a [Personal Information Release Form](#) and a [Gift Reporting Form](#) are required and the value will be reported as a taxable benefit.

If you would like more information about the survey or how the data will be used, please contact **CONTACT NAME AND EMAIL**.

INCLUDE THIS STATEMENT IF AN OPT-OUT MECHANISM IS UNAVAILABLE IN THE SURVEY OPTIONS SECTION OF THE SURVEY TOOL BEING USED:

If you do not wish to participate in this survey, and do not wish to receive a reminder, please respond to this email invitation with '*Do Not Wish to Participate*' in the subject line.

Thank you in advance for your participation

ADDRESSEE NAME

ADDRESSEE TITLE

UNIT OR FACULTY

University of Waterloo

DRAFT

Appendix E: Survey Website

Notes about these resources:

Text in box: Text in a box and uppercase are tips or instructions for faculty and staff and should be removed before using the document. Optional text is also included in lowercase. If text is to be included, copy and paste it into the document without the box outline.

UPPERCASE WHITE FONT COLOUR ON BLACK BACKGROUND: Text in uppercase and white font colour on black background alerts you to where you need to insert your own customized wording related to your survey needs.

Instructions

1. Delete this instruction box
2. Delete all highlighted tips or instructions for the researcher.
3. Update the white text on black background and change the font to black and remove the background once you have inserted your own customized wording.

SURVEY TOPIC Survey Website Information

ADD GRAPHICS AS POSSIBLE AND APPROPRIATE

AUDIENCE: Share Your Feedback!

Tell us about your experience **SURVEY PURPOSE**

ADD INCENTIVE OPPORTUNITY IF OFFERED: "and get a chance to win \$500"

When: **DATE START AND END**

Why: We want your help to improve **SURVEY TOPIC**. Your responses are important and will help us learn about what has gone well and where we could improve. We are dedicated to using your feedback to improve the **SURVEY PURPOSE**.

How: Check your @uwaterloo e-mail address for your invitation.



IF OFFERING AN INCENTIVE TO ALL RESPONDENTS, ADD: All students that submit their survey responses will receive **NAME OF INCENTIVE**.

IF OFFERING AN INCENTIVE AS A DRAW, ADD: All respondents may enter the draw to win **NAME OF THE DRAW INCENTIVE**.

WEB PAGE TAB OR HYPERLINK CONTENT: Survey Information

The **NAME OF UNIT OR FACULTY** wants to know about your experience with the **SURVEY TOPIC**, and how we can improve **SURVEY TOPIC**.

Key Information:

Survey Participation: participation in the survey is confidential and voluntary. You may decline to respond to any question by leaving it blank or withdraw from the survey at any point by not submitting your responses, with no loss of remuneration (See incentive rules and regulations below for more information on remuneration).

How results will be used: The University will use the results of the survey to improve the quality of program and services at the University of Waterloo for current and future students. Public reports will include only summarized results, ensuring that no individual student can be identified.

Use of Personal Information: Contact information used for the survey will be stored separately from data collected and destroyed after the survey is complete.

IF OFFERING AN INCENTIVE AS REMUNERATION FOR ALL, ADD THE FOLLOWING STATEMENTS:

Use of Personal Information:

Contact information used for distribution of the incentive will be stored separately from survey data and deleted after the survey is complete and remuneration has been collected. If you are not participating in the survey, by voluntarily providing personal information including name, email and **STUDENT ID**, you are granting us permission to collect and use the information for the purpose of administering the remuneration.

IF OFFERING AN INCENTIVE BY RANDOM DRAW, ADD THE FOLLOWING STATEMENTS:

Use of Personal Information:

Contact information used for the survey will be stored separately from survey data and deleted after the survey is complete and awards have been collected. If you are not participating in the survey, by entering the contest and voluntarily providing personal information including name, email and **STUDENT ID**, you are granting us permission to collect and use the information for the purpose of administering the contest and selecting the grand winner.

IF OFFERING REMUNERATION INCENTIVE, ADD THE FOLLOWING STATEMENTS:

By participating in this survey, you will receive **REMUNERATION INCENTIVE**. Be sure to complete your contact information so that you can receive your **REMUNERATION INCENTIVE**.

INCLUDE ONE OF THESE STATEMENTS IF THE INCENTIVE IS A TANGIBLE ITEM, CASH OR NEAR-CASH, DEPENDING ON THE VALUE, TYPE OF INCENTIVE AND AUDIENCE, IN ADDITION TO THE ABOVE STATEMENTS:

IF REMUNERATION IS A TANGIBLE ITEM OF NOMINAL VALUE, AND SURVEY PARTICIPANTS ARE NOT EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF REMUNERATION IS CASH OR NEAR-CASH WITH A NOMINAL VALUE AND SURVEY PARTICIPANTS ARE NOT EXCLUSIVELY EMPLOYEES, INCLUDE THE FOLLOWING STATEMENT:

The amount received is taxable. It is your responsibility to report this amount for income tax purposes.

IF REMUNERATION IS A TANGIBLE ITEM WITH A NOMINAL VALUE AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF REMUNERATION IS CASH OR NEAR-CASH, REGARDLESS OF VALUE, AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, INCLUDE THE FOLLOWING STATEMENT:

All incentives of this nature are considered taxable employee benefits. Cash incentives will be paid through payroll and subject to tax deductions at source. For near-cash incentives a [Personal Information Release Form](#) and a [Gift Reporting Form](#) are required and the value will be reported as a taxable benefit.

WEB PAGE TAB, IF OFFERING INCENTIVE DRAW

Draw Incentive Rules and Regulations

Eligibility: Respondents that submit their responses to the **NAME OF SURVEY** will be entered into a random draw **NAME OF PRIZE**. Eligibility for the Incentive opens on **DATE AND TIME** and closes on **DATE AND TIME**.

Please note that you do not need to participate in the survey to be eligible for the draw. However, if you choose not to participate in the survey, you will not be eligible for the **NAME OF INCENTIVE**.

To be included in the draw, please send your name, email and **UNIVERSITY OF WATERLOO STUDENT ID** to **CONTACT EMAIL** by **DATE AND TIME THAT SURVEY CLOSES**.

Right to Disqualify: The University reserves the right to disqualify any entry not conforming to these Rules and Regulations at any time. The University assumes no responsibility for entry fraud committed by an entrant and reserves the right to demand return of the prize and all costs associated with remedying any prize awarded to an ineligible entry or entrant.

The University is not responsible for any incomplete, failed or delayed transmission of your submission due to the internet, including interruption or delays caused by equipment or software malfunction or other technical difficulties.

Winner Selection: All respondents that submit their survey responses will be eligible to win the **NAME OF INCENTIVE**.

The winner of the **NAME OF DRAW INCENTIVE** will be selected in a random draw from eligible entries on **DATE OF DRAW**. Your odds of winning the **NAME OF DRAW INCENTIVE** will depend on the number of individuals that enter into the draw (**# PARTICIPANTS WERE INVITED**). The award winner will be contacted by **CONTACT** within **# OF DAYS** business days of the draw by email. Please note that in order to win **NAME OF DRAW INCENTIVE**, the selected entrant must correctly answer a time-limited skill-testing mathematical question.

Other Notes

INCLUDE ONE OF THESE STATEMENTS IF THE INCENTIVE IS A CHANCE TO WIN A TANGIBLE ITEM, CASH OR NEAR-CASH, DEPENDING ON THE VALUE, TYPE OF GIFT AND AUDIENCE, IN ADDITION TO THE ABOVE STATEMENTS:

IF REMUNERATION IS A CHANCE TO WIN A TANGIBLE ITEM, CASH OR NEAR-CASH, REGARDLESS OF VALUE, AND SURVEY PARTICIPANTS ARE NOT EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF REMUNERATION IS A CHANCE TO WIN A TANGIBLE ITEM WITH A NOMINAL VALUE AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, NO ADDITIONAL STATEMENTS ARE REQUIRED.

IF REMUNERATION IS A CHANCE TO WIN A TANGIBLE ITEM WITH A VALUE OF \$50 OR MORE, OR CASH OR NEAR-CASH OF ANY VALUE, AND SURVEY PARTICIPANTS ARE EXCLUSIVELY EMPLOYEES, INCLUDE THE FOLLOWING STATEMENT:

As this survey and related prize draw is only open to employees of the University, the prize is considered a taxable employee benefit. Cash prizes will be paid through payroll and subject to tax deductions at source. For tangible items or near-cash prizes a [Personal Information Release Form](#) and a [Gift Reporting Form](#) are required and the value will be reported as a taxable benefit.

- If you have difficulty logging in, completing the survey, or wish to no longer receive messages related to this survey, please contact **EMAIL ADDRESS**.
- If you have any questions about the survey, incentives or privacy policy, please contact **EMAIL ADDRESS**, **TITLE** at **UNIT OR FACULTY**.

Appendix F: Sample Survey Privacy Policy

Notes about these resources:

UPPERCASE WHITE FONT COLOUR ON BLACK BACKGROUND: Text in uppercase and white font colour on black background alerts you to where you need to insert your own customized wording related to your survey needs.

The following is a sample survey policy. For more detailed information, and to ensure that your policy meets University of Waterloo and legislative requirements, contact the University's [Office of the Secretariat](#).

Instructions

1. Delete this instruction box
2. Update the white text on black background and change the font to black and remove the background once you have inserted your own customized wording.

NAME OF SURVEYING GROUP at the University of Waterloo is committed to respecting the privacy of survey respondents to our surveys. All personal information created, held, or collected by [name of surveying organization] is protected by Canada's Freedom of Information and Protection of Privacy Act and consistent with Waterloo's [information and privacy](#) policy.

Survey Respondents

We are committed to protecting your personal information and respecting your privacy. Personal information is defined as any details that will enable you to be identified, such as ID numbers, telephone numbers, address, email address etc.

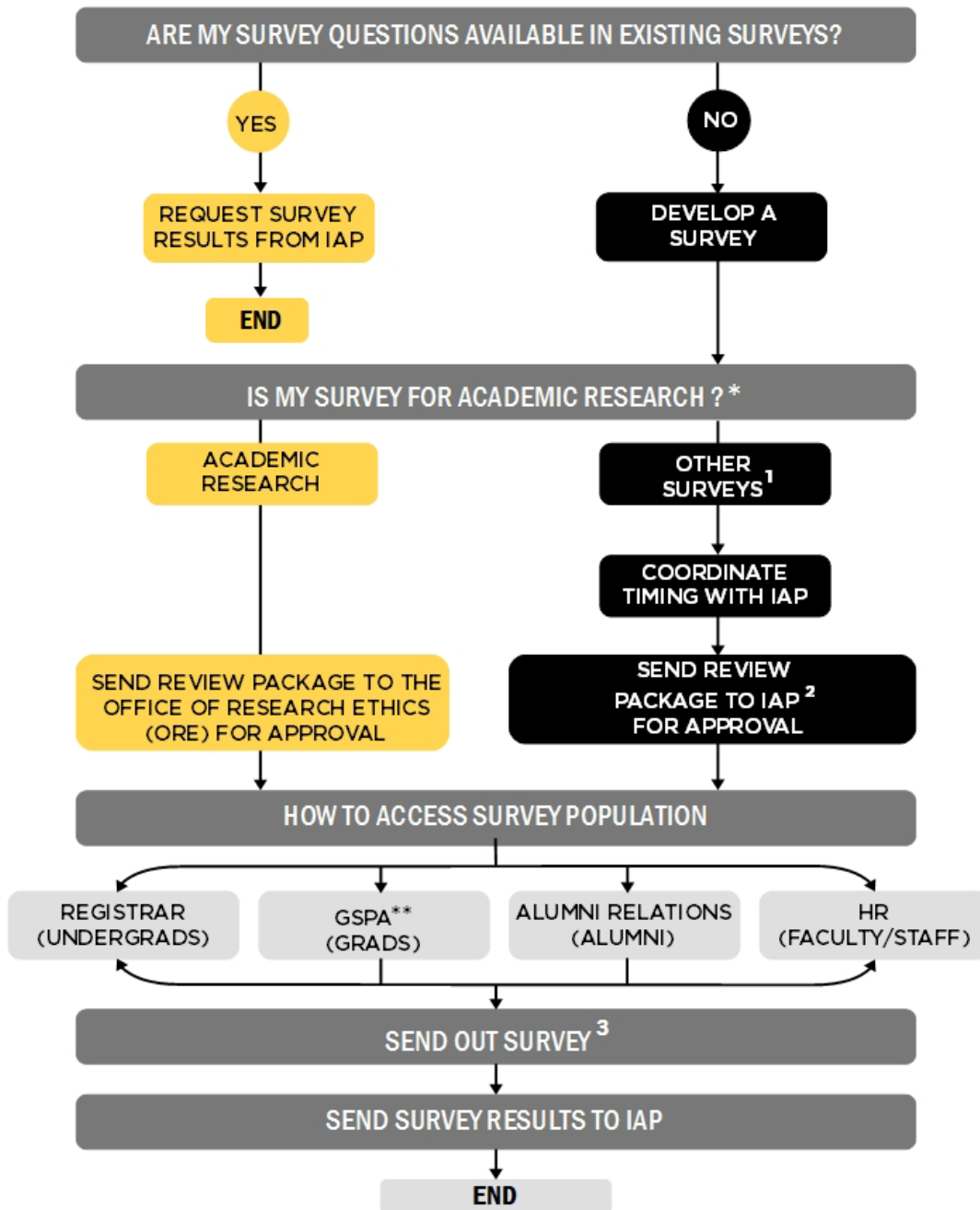
When designing and executing our research, it is our policy to take all necessary steps to ensure that personal information you provide is processed fairly and lawfully.

Only authorized staff has access to personal information and they are obliged to respect its confidentiality. We do not sell, rent or exchange any personal information supplied by you to any third party. Nor do we use any of the information you provide for direct marketing or other non-research activities.

All personal identifying information (ID numbers, telephone numbers, address, email address, etc) are used only for the administration of prizes and/or incentives, and is stored separately from survey responses. All non-identifying survey data is used solely for evaluation and / or research purposes. All survey data are transferred and carefully stored on encrypted, password protected, secured network drive (electronic) or in a locked cabinet (paper resources). Where it is necessary to work with a third party company or organization to evaluate or analyse data results, a third party confidential and data sharing agreement is signed to ensure secure and appropriate handling of data.

It is our policy to monitor our internal procedures regularly to ensure compliance with the relevant statutory requirements in all that we do, including the Freedom of Information and Protection of Privacy Act, and the University's [commitment to privacy](#).

Appendix G: Survey Administration Process Flow-Chart



* IAP reserves the right to determine whether the survey requires additional ORE review | ** Graduate Studies and Postdoctoral Affairs (GSPA)

1. Includes all other surveys as defined in the Tri-Council Policy Statement (TCPS2) such as quality assurance or assessment, administrative, program review and evaluation surveys.
2. IAP reviews all surveys according to ethical guidelines and may consult the Office of Research Ethics (ORE) for additional guidance.
3. Each data steward has its own procedures for how to send out surveys. Make sure to confirm survey procedures with the data steward.