

Assessing Risk for Delegated Review of Non-Academic Research Surveys

Risk assessment considers physical, psychological risks and protection of privacy.

Does the survey involve:

- 1) Collection of highly personal, sensitive or incriminating information?
 - a. Highly personal - examples: names, email addresses, detailed demographic information, SIN numbers, etc. Yes No
 - If “yes”, is this information being collected to administer an incentive? Yes No
 - b. Sensitive information - examples: Drug and/or alcohol use, sexual attitudes or behaviors, mental health attitudes or behaviors (e.g., depression, suicide), socially sensitive behaviors or attitudes (e.g., selfishness, divorce), experiences related to violence or abuse
 Yes No
 - c. Incriminating information: Risk of criminal or civil liability, or damaging to financial standing, employability or reputation of respondent or institution Yes No

- 2) Vulnerable populations? Yes No
 - Children
 - Patients
 - Disabled
 - Economically or educationally disadvantaged
 - Power relationships (staff / employer, doctor / patient)

- 3) A substantial burden on participants? Yes No
 - Significant time commitment
- 4) Are there privacy concerns?
 - a) Collection of identifiable data via direct identifiers: name, email, address, social insurance number, student or employee ID number Yes No
 - If “yes”, is this information being collected to administer an incentive? Yes No
 - If “yes”, is the identifiable information separated from responses? Yes No
 - b) Collection of identifiable data via indirect identifiers: combinations of data that could point to an individual, for example, program and year of graduation; combination of gender, program, location Yes No

Risk level and review instructions:

Minimal Risk	Medium Risk	High Risk
“No” to all of 1) – 4) above	“Yes” to any of 1), 3) or 4) AND “Yes” to 1 a) and/or 4 a)	“Yes” to any of 1), 2), 3), 4) OR “No” for 1 a) and/or 4 a)
↓	↓	↓
Delegated IAP review	Delegated IAP review; 2 nd reviewer required	Not eligible for delegated review; send to Survey Advisory Group

Delegated Survey Material Review Checklist

Review the survey package (survey invitation and reminder letters, survey instrument and any website or other material) to ensure that the following elements have been adequately addressed.

Elements of Informed Consent

Check the invitation letter or survey introduction for:

Description of the purpose of the study Yes No

Feedback Provided Yes No

Description of any benefits that could reasonably be expected Yes No

Feedback Provided Yes No

Description of any risks that could reasonably be expected Yes No

Feedback Provided Yes No

Statement describing the extent to which confidentiality of records identifying the participant will be maintained Yes No

Feedback Provided Yes No

Description of any incentive and procedures for administering the incentive Yes No

Feedback Provided Yes No

Statement that participation is voluntary, refusal to participate will involve no penalty of loss of benefits to which the participant is otherwise entitled and the participant may discontinue participation at any time Yes No

Feedback Provided Yes No

Confidential v. Anonymous

Can an individual be identified by anyone (including the researcher(s))? Yes No

Feedback Provided Yes No

If yes, the survey is not anonymous and this should be made clear in the invitation. Yes No

Feedback Provided Yes No

Does the survey website collect IP addresses? Yes No

Feedback Provided Yes No

If yes, the survey is not anonymous and this should be made clear in the invitation. Yes No

Feedback Provided Yes No

Does the survey ask for direct identifiers? Yes No

If yes, the survey is not anonymous and requires an explanation regarding how the data will be stored and de-linked from the survey responses. Yes No

Note: Direct identifier data includes: name, email, address, social insurance number, and student or employee ID number.

Feedback Provided Yes No

Does the survey contain indirect identifiers? Yes No

Note: Indirect identifiers include combinations of data that could point to an individual, for example, program and year of graduation; combination of gender, program, location, etc.

Feedback Provided Yes No

Maintaining and Storing Confidential Data

Consent documents are separated from survey instruments? Yes No

A description should be included. Yes No

Feedback Provided Yes No

Date and method of disposal of respondent identifiers and other identifying papers?

Yes No

A description should be included. Yes No

Feedback Provided Yes No

Is access to identifiable data limited? Yes No

A description should be included. Yes No

Feedback Provided Yes No

Are staff informed about the importance of protecting confidentiality? Yes No

A description should be included. Yes No

Feedback Provided Yes No

Are records stored in secure locations? Yes No

A description should be included. Yes No

Feedback Provided Yes No

Are files with direct identifiers encrypted, restricted and password protected? Yes No

A description should be included. Yes No

Feedback Provided Yes No

Legal and Legislative Requirements

If an incentive is being administered (see Appendix B of the Survey Toolkit for examples):

Is a description of the rules included in the invitation letter or on the website?

Yes No Not required

Feedback Provided

Yes No

Is eligibility for the incentive clear and/or defined (i.e. do not need to take the survey to participate in the draw, or all students that submit responses receive incentive)?

Yes No Not required

Feedback Provided

Yes No

Are the incentive details clear and defined (e.g. draw date/time, # participating in the draw, winner selection, skill testing question or process of dispensing the incentive)?

Yes No Not required

Feedback Provided

Yes No

Is the wording around tax implications and reporting for the incentive clear?

Yes No Not required

Feedback Provided

Yes No

Is an option to unsubscribe from further communications (e.g., reminder letters) provided?

Yes No Not required

Feedback Provided

Yes No

Comments:

Final Decision:

Additional Notes:

Date completed:

Reviewer: