

**Appendix E:**  
**Westat Confidentiality Agreement**

## **WESTAT TRC DATA COLLECTOR CODE OF CONDUCT AND ASSURANCE OF CONFIDENTIALITY**

Westat is committed to the collection of high quality independent and unbiased data. This Code of Conduct and Assurance of Confidentiality defines the principles that are at the foundation of our data collection. By following these principles, we assure clients, researchers, educators, business leaders, and policy makers that they can have confidence in the data we collect.

The basic principles guiding Westat data collection are:

### **I. Ethics**

- Respondents, who are individuals or institutions that participate in our studies, are to be provided with the information about the basic elements of a study as set forth in survey materials.
- Respondents are to be treated with respect and their concerns are to be addressed promptly, openly and courteously.
- Data collectors are to maintain high standards of personal conduct and perform their job in a manner which will not harm, humiliate, or mislead respondents.
- Data Collectors have an obligation to submit time information that accurately reflects the work performed.

### **II. Work Style**

- Data collectors are to follow the study protocol and procedures as specified in the study manual, at training, and in post training memos.
- Data collectors are to perform work that conforms to the quality requirements for the study.
- Data collectors are to perform their work as effectively as possible and in such a way as to meet the goals set for the study.
- Data collectors are to accept responsibility for the quality of the data they collect and the work they complete.
- Data collectors are to demonstrate commitment, initiative, consistency and organization in their approach to work.
- Data collectors are to display a professional attitude during the conduct of their work.
- Data collectors are to communicate professionally and effectively with clients, respondents and other employees.
- Data Collectors are to work effectively with the project team.

### **III. Confidentiality**

#### **A. Policy on Confidentiality of Survey Data**

Westat is firmly committed to the principle that the privacy of respondents and the confidentiality of individual data obtained through Westat surveys must be protected. This principle holds whether or not any specific guarantee of confidentiality was given at time of data collection, or whether or not there are specific contractual obligations to the client. When guarantees have been given or contractual obligations regarding confidentiality have been entered into, they may impose additional requirements, which are to be adhered to strictly.

B. Protecting the Privacy and Rights of Survey Participants

Successful survey research depends upon the cooperation of respondents. Data Collectors are expected to gain cooperation using the methods described at training sessions or by their supervisor. Data Collectors are also to respect the privacy of respondents. They must not engage in any selling or promotion of products or services or in any other activity unrelated to the survey.

C. Procedures for Maintaining Confidentiality

1. All Westat employees and Data Collectors shall sign this agreement of confidentiality. This agreement may be superseded by another agreement for a particular project.
2. Data Collectors shall keep completely confidential the names and addresses of respondents, all information or opinions collected in the course of the interviews, and any information learned incidentally about individual respondents, responding organizations, or the places and organization where respondents work and live. Data Collectors shall exercise care to prevent access by others to survey data in their possession.
3. Unless specifically instructed otherwise for a particular project, an employee or Data Collector, upon encountering a respondent or information pertaining to a respondent that s/he knows personally, shall immediately terminate the activity and contact his/her supervisor for instructions.

results. Therefore, the Contractor agrees to strictly comply with the specified requirements for sample handling, testing procedures, recordkeeping, and reporting procedures. The Contractor further agrees to make its employees available to provide information and, if necessary, to give testimony on behalf of CPSC in litigation, concerning their testing activities. For this reason, the Contractor must be able to locate employees and former employees, at the request of CPSC, for two years after this contract is completed or terminated.

2. The Contractor agrees that it will not disclose the information developed under this contract to any other party, or voluntarily agree to act as a witness for any other party concerning the information developed under this contract, without the express approval of the CPSC Project Officer.

### **LC31**

#### **Restrictions on Use of Information**

1. If the Contractor, in the performance of this contract, obtains access to information such as CPSC plans, reports, studies, data projected by the Privacy Act of 1974 (5 U.S.C. 552a), or personal identifying information which has not been released or otherwise made public, the Contractor agrees that without prior written approval of the Contracting Officer it shall not: (a) release or disclose such information, (b) discuss or use such information for any private purpose, (c) share this information with any other party, or (d) submit an unsolicited proposal based on such information. These restrictions will remain in place unless such information is made available to the public by the Government.
2. In addition, the Contractor agrees that to the extent it collects data on behalf of CPSC, or is given access to, proprietary data, data protected by the Privacy Act of 1974, or other confidential or privileged technical, business, financial, or personal identifying information during performance of this contract, that it shall not disclose such data. The Contractor shall keep the information secure, protect such data to prevent loss or dissemination, and treat such information in accordance with any restrictions imposed on such information.

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