

# DOCUMENTATION FOR HUMAN SUBJECT REVIEW COMMITTEES<sup>1</sup>:

GfK Company Information, Past External  
Review, Confidentiality, and Privacy  
Protections for Panelists

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<sup>1</sup> Prepared by J. M. Dennis and R.K. Thomas; Updated August, 2013



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## INTRODUCTION

A core GfK capability is our nationwide online panel, known as KnowledgePanel<sup>®</sup>. Bringing unprecedented reliability and statistical projectability to online research, KnowledgePanel is the only large-scale, online panel that is representative of the U.S. population. KnowledgePanel incorporates the views and opinions of all Americans by combining probability-based sampling and the Internet's many advantages as a research medium. As such, KnowledgePanel provides the highest level of accuracy and representativeness available on the web today – a degree of reliability essential to accurate measurement of public opinion and behavior.

Respect for the principles of voluntariness and informed consent as described in the Belmont Report<sup>2</sup> is central to our procedures in building and maintaining KnowledgePanel. Participation in research is voluntary at the time that respondents are asked to join the panel, at the time they are asked to participate in any particular survey, and at the time they answer any given question in a survey. KnowledgePanel panelists are not coerced to participate in any research, and they are not removed from the panel as a result of failure to participate in any particular survey project or program of studies. KnowledgePanel panelists have the option to 'opt-out' of the panel at any time by notifying GfK. GfK maintains a dedicated email queue, a toll-free phone number and its own call-center panel management facility to receive requests for information and action from panelists.

## GfK COMPANY INFORMATION

Two prominent Stanford University professors, most notably Norman Nie, founded Knowledge Networks in 1998 with the express purpose of harnessing the capabilities of the Internet for new research methodologies in the new millennium. Since its founding, the company quickly grew into a leading research firm supporting research by public policy, non-profit, and academic organizations. In addition, Knowledge Networks became one of the top consumer insight marketing and media research providers, conducting research support for numerous Fortune 500 and public sector clients. In 2012, the GfK Group, one of the largest global survey research organizations, acquired Knowledge Networks.

The former Knowledge Networks' Government and Academic Research team remains an intact group at GfK. Key staff responsible for government, academic, and non-profit research bring expertise from long careers in designing and conducting surveys sponsored by the federal government, major universities, and nonprofit organizations. Researchers on the Government and Academic Research team have also designed and conducted advanced methodological research on data collection mode effects, questionnaire design, non-response bias, and panel effects. The Government and Academic Research team maintains offices in DC, CA, IL, NY, and NJ. GfK, however, has offices in more than 100 countries around the world, with North American headquarters located in New York City.

GfK is proud to be a member of or participate in the activities of the following industry associations:

- American Association for Public Opinion Research (AAPOR)
- Council of American Survey Research Organizations (CASRO)
- Council for Marketing and Opinion Research (CMOR)

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<sup>2</sup> The Belmont Report, issued in 1978, summarizes the ethical principles and guidelines for research involving human subjects. <http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.html> (accessed May 1, 2013).



- The Advertising Research Foundation (ARF)
- American Statistical Association (ASA)

GfK has applied and been approved for research by the National Institutes of Health (NIH) and has been given an NIH Federal-wide Assurance Number: FWA00004571.

J. Michael Dennis is the Managing Director for Government & Academic Research at GfK and has completed human subjects training from the NIH, University of California (Irvine), and Stanford University. Other key staff has also completed human subjects training as required by NIH and university IRBs.

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### KNOWLEDGE PANEL<sup>®</sup> METHODOLOGY

Knowledge Networks (now GfK) was the first company to use probability sampling to recruit a representative U.S. online research panel, known as the KnowledgePanel<sup>®</sup>. Panel members are recruited using probability selection algorithms for both random-digit dial (RDD) telephone and address-based sampling (ABS) methodologies. Unlike other Internet research panels that sample only individuals with Internet access and who volunteer for research (i.e., opt-in non-probability panels), KnowledgePanel does not accept self-selected volunteers as part of the KnowledgePanel. Instead, KnowledgePanel is based on a household sampling frame which recruits households:

- With unlisted telephone numbers
- Without landline telephones
- That are cell phone only
- Without current Internet access
- Without devices to access the Internet

GfK's KnowledgePanel recruitment methodology uses the same or similar quality standards as mandated by the Office of Management and Budget in the "List of Standards for Statistical Surveys," which indicates that "Agencies must develop a survey design, including... selecting samples using generally accepted statistical methods (e.g., probabilistic methods that can provide estimates of sampling error)."<sup>3</sup>

## Panel Recruitment Methodology

KnowledgePanel's probability-based recruitment was originally based exclusively on a national RDD frame. In April 2009, in response to the growing number of cellphone-only households that are outside of the RDD frame, GfK migrated to using an ABS frame for selecting panel members. This probability-based methodology improves population coverage. Currently, approximately 40% of panel members were recruited through RDD, while 60% were recruited using ABS. For both ABS and RDD recruitment, households without an Internet connection were provided with a web-enabled device and free Internet service. After initially accepting the invitation to join the panel, participants are asked to complete a short demographic survey (the initial profile survey); answers to these questions allow efficient panel sampling and weighting for surveys. Completion of the profile survey allows participants to become panel members. These procedures were established for the RDD-recruited panel members and continued with ABS recruited panel members. Respondents sampled from the RDD and ABS frames are provided the same privacy terms and confidentiality protections.

**ABS Recruitment.** ABS involves probability-based sampling of addresses from the U.S. Postal Service's Delivery Sequence File. The key advantage of the ABS sample frame is that it allows sampling of almost all U.S. households. An estimated 97% of households are "covered" in sampling nomenclature. Regardless of household telephone status, those households can be reached and contacted through postal mail. In late 2009 the ABS sample began incorporating a geographic stratification design. Census blocks with high density minority communities were oversampled (Stratum 1), and the balance of the census blocks (Stratum 2) were relatively under-sampled. The definition of high density and minority community and the relative proportion between strata differed among specific ABS samples. In 2010, the two strata were redefined to target high density Hispanic areas in Stratum 1 and all else in Stratum 2. In 2011, pre-identified ancillary information, rather than census block data, were used to construct and target four strata as follows: Hispanic ages 18-24, non-Hispanic ages 18-24, Hispanic ages 25+, and non-Hispanic ages 25+. Also in 2011, a separate sample targeting only persons ages 18-24 was fielded across the year, again using predictive ancillary information. Combined with the four-stratum sample, the base weight adjustment compensates for cases from this unique young adult oversample. In 2012, a similar four-stratum design was implemented, with the ages changed to 18-29 and 30+ for both the Hispanic and non-Hispanic strata. For every survey sample, an appropriate base weight adjustment is applied to each relevant sample to correct for these stratified designs.

Randomly sampled addresses are invited to join KnowledgePanel through a series of mailings, including an initial invitation letter, a reminder postcard, and a subsequent follow-up letter.

**Attachment A** presents the initial introductory letter used in our ABS mailings. Approximately 45% of the physical addresses selected for the sample can be matched to a corresponding valid telephone number. About 5 weeks after the initial mailing, telephone refusal-conversion calls are made to households for whom a telephone number was matched to the sampled address. Invited households can join the panel by:

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<sup>3</sup> [http://www.whitehouse.gov/sites/default/files/omb/inforeg/statpolicy/standards\\_stat\\_surveys.pdf](http://www.whitehouse.gov/sites/default/files/omb/inforeg/statpolicy/standards_stat_surveys.pdf) (accessed on May 1, 2013).

- Completing and mailing back a paper form in a postage-paid envelope
- Calling a toll-free hotline phone number maintained by GfK
- Going to a designated GfK website and completing the recruitment form at the website

**RDD Recruitment.** For panel members who were recruited using RDD-based sampling (pre-April 2009), list-assisted RDD sampling techniques were used on the sample frame consisting of the entire U.S. residential telephone population. Only banks of telephone numbers (each consisting of 100 telephone numbers) that had zero or one directory-listed phone numbers were excluded. Two strata were defined using 2000 Census Decennial Census data which were appended to all telephone exchanges. The first stratum had a higher concentration of Black and Hispanic households, and the second stratum had a lower concentration of these groups relative to the national estimates. Telephone numbers were selected with equal probability of selection for each number within each of the two strata, with the higher concentration Black and Hispanic stratum being sampled at approximately twice the rate of the other stratum. The sampling was done without replacement to ensure that numbers already fielded would not be fielded again.

A valid postal address was recovered for about 60%–70% of all telephone numbers in the selected samples. The telephone numbers for which an address was recovered were selected with certainty. Until May 2007, between one-half and one-third of the remainder was subsampled randomly, depending on the recruitment period. From May 2007 to March 2009, subsampling was done at a rate of 75% for those households without a physical address. The households for which there was an address-matched telephone number received an advance mailing, typically 7 to 9 days before the recruitment telephone call. The letter informed them that they had been selected to participate in KnowledgePanel®.

Following the advance letter, the telephone recruitment process began for all sampled phone numbers. Cases sent to telephone interviewers were dialed for up to 90 days, with at least 10 dial attempts when no one answered the phone and when phone numbers were known to be associated with households. Extensive refusal conversion was also performed. Experienced interviewers conducted all recruitment interviews. The recruitment interview, which typically required about 10 minutes, began with the interviewer informing the household member that they had been selected to join KnowledgePanel.

**KnowledgePanel Latino<sup>SM</sup> Recruitment.** In 2008, KnowledgePanel Latino<sup>SM</sup> was developed to provide researchers the capability to conduct representative online surveys with U.S. Hispanics. With the advent of KnowledgePanel Latino, the first U.S. online panel representative of Hispanics, including those without Internet access and those who speak only Spanish, was established. The sample for KnowledgePanel Latino is recruited using a hybrid telephone recruitment design, based on an RDD sample of U.S. Latinos and households with Hispanic-surnames. This geographically-balanced sample covers areas that, when aggregated, encompass approximately 93% of the nation's 45.5 million Latinos.

KnowledgePanel Latino samples Latinos residing in 70 DMAs (Designated Market Area) having Latino populations. The DMA-sampling approach was dedicated to recruiting Spanish-language-dominant adults who have been categorized as “unassimilated” on the basis of frequency of viewing Spanish-language television and use of Spanish as their primary spoken language at home. The 70 DMAs are grouped into five regions (Northeast, West, Midwest, Southeast, and Southwest). Each region is further divided into two groupings of census tracts: those with a “high-density” Latino population and the remaining tracts with a “low-density” Latino population. The threshold percentage for “high density” varies by region. The five regions, each divided into the two density groups, constitute 10 unique sample frames (5 x 2).

Using a geographic targeting approach, an RDD landline sample was generated to cover the high-density census tracts within each region. Due to the inaccuracy of telephone exchange coverage, there is always some spillage outside these tracts and a smaller degree of non-coverage within these tracts. About 32% of the Latino population across these five regions is covered theoretically by this targeted RDD landline sample. All the numbers generated were screened to locate a Latino, Spanish-speaking household.

The remaining 68% of the Latinos in these five regions were addressed through a listed-surname sample. Listed surnames included only those households where the telephone subscriber had a surname that was pre-identified as likely to be a Latino surname. It is important to note that excluded from this low-density listed sample frame are: (a) the mixed Latino/non-Latino households where the subscriber does not have a Latino surname and (b) all the unlisted landline Latino households. The percent of listed vs. unlisted varies at the DMA level. The use of the listed surname was intended to utilize cost-effective screening to locate Latino households in these low-density areas since the rate of finding Latino households on this list, although not with 100% certainty, was still very high.

In 2011, the above described hybrid design was replaced with national RDD samples targeting telephone exchanges associated with census blocks that have a 45% or greater Latino population density (this density level covers just over 50% of the U.S. Hispanic population). Households are screened in the Spanish language to recruit only those homes where Spanish is spoken at least half the time. In 2012, the census block Hispanic density was raised to 65% to improve the eligibility efficiency of this RDD approach.

This all probability-based RDD Spanish-language sample supplements the Latino households (English and Spanish) that are now recruited through the KnowledgePanel's general ABS recruitment sample.

**Household Member Recruitment.** For all recruitment efforts, during the initial recruitment survey, all household members are enumerated. Following enumeration, attempts are made to recruit every household member who is at least 13 years old to participate in KnowledgePanel surveys. For household members aged 13 to 17, consent is collected from the parents or the legal guardian during the initial recruitment interview (detailed in section below - Procedures for Obtaining Consent for Surveys with Minors). If no consent is given, no further direct communication with the teenagers is attempted.

## Empanelment Methodology

**Internet Device Provision.** The first RDD recruitment to KnowledgePanel was conducted in 1999. At that time, all households recruited were given a WebTV to use for answering surveys. In August 2002, Knowledge Networks began allowing households to use their own computers connected to the Internet for taking surveys; recruited households were no longer sent a WebTV if they reported having access to the Internet. Currently, if a household does not have a computer and/or access to the Internet from home and subscribes to a landline phone service, the household is given a web-enabled device (laptop or netbook) along with free monthly Internet access in exchange for members completing a short survey on a weekly basis.

Before shipment, each web-enabled device is custom configured with individual email accounts so that it can be used immediately by household members. Most households are able to install the hardware without additional assistance, although GfK maintains a telephone technical support line and will, when needed, provide on-site installation. Panel members may contact the Panel Member

Support Department for questions using a toll-free number. The Panel Member Support Department is available Monday-Friday 9AM-12AM EST and Sat-Sun 12PM-8PM EST. The Support Department also contacts household members who do not respond to survey invitations and attempts to restore contact and cooperation. Panel members who have Internet access provide GfK with their email accounts and their weekly surveys are sent to that email account.

**Completion of Initial Demographic Profile Survey.** Following recruitment, which includes an expressed interest by the participant in joining the panel and providing their valid email addresses, all recruited participants are asked to complete a follow-up survey that includes demographic questions such as gender, age, race/ethnicity, income, education, and prior computer and Internet usage. This information can be used for weighting as well as for determining eligibility for specific studies. This information also eliminates the need for gathering basic demographic information on each panel survey. Once this survey is completed, the panel member is regarded as active and ready to be sampled for other surveys. Participants who do not complete the profile survey do not become members of the panel.

## Panel and Survey Participation

**Unified Member Portal (UMP).** When members are recruited, panel members receive a unique password to access the member portal. It contains links to their surveys, options to change contact info, links to the point redemption site, links to the privacy and other panel policies, and other panel-relevant information. It also includes a listing of their responsibilities as a panel member as shown below.

### Panel Member Responsibilities

As a member of KnowledgePanel, you agree to:

- Check your email for new surveys at least once a week.
- Report any technical problems that may prevent you from responding to surveys.
- Answer all survey questions truthfully, unless you feel uncomfortable doing so. (Please notify us if this is the case.)
- Keep confidential the details of KnowledgePanel surveys, especially company names and the content of video and/or audio selections that are part of a survey.
- Refrain from taking unfair advantage of your KnowledgePanel membership in any way.

**Survey-specific Participation.** Once household members are recruited and empaneled, they can be selected for specific survey projects. Selection is most typically random within strata relevant to the study. Once assigned to a study sample, they are notified by email that a survey is available for them to complete; panelists can also visit their online member page for survey-taking (instead of being contacted by telephone or postal mail). Each notification mode contains a password-protected link that sends them to the survey questionnaire and can be used for only one completion. All information needed is contained in the link -- no login name or password is required. Surveys can thus be fielded quickly and economically. Moreover, this approach reduces the burden placed on respondents because email notifications are less intrusive than telephone calls, and most respondents find answering questionnaires online more interesting and engaging than being questioned by a telephone interviewer. Furthermore, for greater convenience, respondents can choose what time of



day to complete their assigned survey. The length of the field period depends on the client's needs and can range anywhere from a few hours to several weeks.

After three days, automatic email reminders are sent to all nonresponding panel members in the sample. If email reminders do not generate a sufficient response, an automated telephone reminder call can be initiated. The usual protocol is to wait at least three to four days after the email reminder before calling. To assist panel members with their survey taking, each individual has a personalized "home page" that lists all the surveys that were assigned to that member and have yet to be completed.

**Standard Email Invitations.** Below is the standard email invitation that GfK uses for inviting respondents to participate in KnowledgePanel surveys. The email invitation below has text-substitution fills that are completed by the survey system. The "SNO" is the project survey number embedded in the survey invitation subject line; this email subject line may be customized for the specific survey project. The text of the email may also be customized for the specific project.

#### Standard Email Invitation

SUBJECT LINE: Your Latest KnowledgePanel Survey [PROJECT NUMBER]

TEXT OF EMAIL: Dear [FIRST NAME],

Thanks for being an integral part of KnowledgePanel! Your latest survey can be accessed by clicking the following link:

[LINK TO SURVEY]

(If it does not work automatically from email, please copy the below link to your internet browser).

[LINK TO SURVEY]

Our Panel Member Support Center is available if you have questions or comments. You can contact us at our toll free 1-800-782-6899 number, or simply reply to this email invitation. In order to better serve you, please be sure to include reference [PROJECT NUMBER] in the Subject of your message. We are always happy to hear from you!

Thanks,  
KnowledgePanel Support Team  
<http://www.knowledgepanel.com>">[www.knowledgepanel.com](http://www.knowledgepanel.com)

This email was intended for [FIRST NAME]

### Respondent Incentives

GfK also operates an ongoing modest incentive program, primarily through the use of point system, to encourage participation and create member loyalty. Members can redeem their points for cash, merchandise, gift cards or game entries. Additionally, members may also be entered into special sweepstakes with both cash rewards and other prizes to be won. Generally panel members are invited to complete one survey per week. On average, panel members complete two to three surveys per month with typical durations of 10 to 15 minutes per survey. In the case of longer surveys, an

additional incentive is usually provided. KnowledgePanel members can receive two types of incentives: survey-specific and non-survey specific incentives. Each incentive is described briefly below.

**Survey-specific incentives** are provided to respondents when (1) the survey is expected to require more than 15 minutes to complete; or (2) an unusual request is made of the respondent, such as specimen collection, the viewing of a specific television program, or completion of a daily diary. In both of these kinds of circumstances, panelists are asked to participate in ways that are more burdensome than initially described to them during the panel recruitment stage. If a survey requires more than 15 minutes for self-administration then respondents will be automatically entered into a sweepstakes. For surveys longer than 25 minutes, respondents receive additional points. Respondents who participate in the survey are credited with 5,000 to 10,000 points, which roughly equates to \$5 to \$10 depending on the type of award selected by respondents when redeeming. The actual number of points given depends upon the length of the survey and can be even larger for longer or more burdensome surveys.

A by-product of the use of survey-specific incentives is an improvement in the survey completion rate. Internal GfK research has demonstrated that incentives of \$10 increase the survey completion rate by approximately four to six percentage points, after controlling for other survey-specific factors such as the length of the survey instrument, length of the field period, sample composition, use of video, etc.

**Non-survey-specific incentives** are used to maintain a high degree of panel loyalty and to prevent attrition from the panel. The 'panel loyalty' incentive is the web-enabled devices and the Internet connections that GfK provides for free to households without these items. All panelists are Panelists who use their own personal computers and Internet service for survey participation are enrolled in a points program that is analogous to a 'frequent flyer' program, in that respondents are credited with points in proportion to their regular participation in surveys. Panelists can redeem their points at times of their own choosing, with general accumulations of \$4 to \$6 per month.

### Requirements for Continued Participation on KnowledgePanel®

Members of KnowledgePanel are not required to participate in any particular survey to be eligible for and remain a member of the panel. Participation in each survey is voluntary, as described in the Privacy Terms available on the KnowledgePanel Member website. However, if a member of KnowledgePanel does not participate in eight consecutive surveys, then GfK has the option to remove this person from the panel. Before removing the panelist, GfK sends emails and attempts telephone contact with the panelist to encourage participation. When a panelist is removed from KnowledgePanel, GfK requests any Internet-enabling equipment provided to the panelist be returned. GfK provides a shipping label to the Panel Member so that the panelist will not incur any costs in returning the equipment to GfK.

**Blending Sample Frames.** Because current KnowledgePanel members have been recruited over time from two different sample frames, RDD and ABS, GfK has implemented several technical processes to merge samples sourced from these frames. GfK's approach preserves the representative structure of the overall panel for the selection of individual client study samples. An advantage of including ABS frame panel members in any KnowledgePanel sample is a reduction in the variance of the weights. ABS-sourced samples tend to align more closely to the overall demographic distributions in the population, and thus the associated adjustment weights are somewhat more uniform and less varied. This variance reduction efficaciously attenuates the sample's design effect and confirms a real

advantage for study samples drawn from KnowledgePanel with its dual-frame construction.

## CONFIDENTIALITY AND PRIVACY PROTECTIONS

The documents described in this section related to communications to participants are provided in English to English speakers and in Spanish to Spanish speakers. The documents shown in this section are in English. The Spanish language documents are available upon request.

### Confidentiality Agreement with Panelists

The KnowledgePanel recruitment and empanelment process is designed to comply with CAN-SPAM<sup>4</sup> and CASRO<sup>5</sup> guidelines. Further, our policies conform to participant treatment protocols outlined by the federal Office Management and Budget, following guidelines from the Belmont Report. Survey responses are confidential; personally identifying information is never revealed to clients or other external parties without explicit respondent approval and a client-signed nondisclosure agreement. When surveys are assigned to KnowledgePanel panel members, they are notified in their password-protected email account that a survey is available for completion. Surveys are self-administered and accessible any time of day for a designated period. Participants can complete a password-protected survey only once. Members may withdraw from the panel at any time, and continued provision of the web-enabled device (e.g., laptop or netbook) and Internet service is not contingent on completion of any particular survey.

All KnowledgePanel panelists are given a link to access the privacy terms electronically at all times via the Panel Member website and also are able to review it at any time on the Members Page and in links contained in survey invitations. The Privacy and Terms of Use Policy is posted at <http://www.knpanel.com/participate/privacy2.html> and is provided as **Attachment B**.

Each KnowledgePanel member age 18 years of age or older can be categorized into one of four types:

- 1 A primary respondent living in a household with Internet access
- 2 A non-primary respondent living in a household with Internet access
- 3 A primary respondent living in household **without** Internet access
- 4 A non-primary respondent living in household **without** Internet access

The primary respondent is the individual with whom GfK initially directly communicated during the recruitment process, while the non-primary respondent is any other adult living in the same household as the primary respondent. For primary respondents, consent to receive survey invitations from KnowledgePanel is obtained during the recruitment process when primary respondents are asked to give their email addresses or shipping addresses to receive the web-enabled device in the following series of questions :

For each of your surveys, we send a personal invitation to your email address. The email message will have a link to the survey.

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<sup>4</sup> The CAN-SPAM Act is a law that sets the rules for commercial email.

<sup>5</sup> Council of American Survey Research Organizations

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Our surveys are completed online. You can do them whenever you have free time and, if necessary, pause in the middle and complete at a later time—although most surveys are brief. We will notify you when completing a survey that is time sensitive.

Being a panel member is easy and fun, and it allows you to earn cash by answering surveys. In fact, we will send you a one-time \$10 check for completing your first survey called “Getting to Know You”.

Your email address will be protected by our privacy standards. We can promise you that GfK will never share your email address with anyone without your permission.

Please enter your email address:

-----@-----

Please confirm that this is the email address you would like us to use to send your personalized survey invitations.

[insert email address]

1. Yes, it is correct
2. No, I need to make a correction

They are then asked to complete the “Core Profile Survey” which collects basic personal demographic information. Primary respondents must complete the “Core Profile Survey” to become empaneled and before receiving invitations to answer client surveys.

Consent from non-primary respondents is obtained during the initial online survey when respondents answer “Yes” to the question:

Now that you know a little more about the KnowledgePanel, would you like to join and have your opinion heard?

- 1 Yes
- 2 No

Similar to primary respondents, non-primary respondents must then complete the “Core Profile Survey” before answering any client surveys.

### Obtaining Consent for Specific Online Surveys

On rare occasions, Human Subjects Review Committees have required that GfK obtain informed consent for a specific survey, most typically those dealing with highly sensitive topics. When required to do so, GfK recommends that the form below be used to obtain online consent before self-administration of the survey itself.

### Recommended Online Consent Form for Sensitive Item Studies

Thank you for continuing to be part of the KnowledgePanel®. This survey asks about [FILL IN CONTENT TOPIC].

This survey is being conducted by [ORGANIZATION / NOTE FUNDER IF APPROPRIATE]. The study will help researchers understand [RESEARCH OBJECTIVES].

As with all KnowledgePanel® surveys, your response to this survey, or any individual question on the survey, is completely voluntary. You will not be individually identified and your responses will be used for analyses only.

If you have questions about your rights as a participant in this survey, or are dissatisfied at any time with any aspect of the survey, you may contact the KnowledgePanel Panel Member Support at 800-782-6899.

[CONTINUE]  
(THIS IS A BUTTON THAT TAKES RESPONDENT TO SURVEY)

### Procedures for Obtaining Consent for Surveys with Minors

Consent to recruit teenagers between ages 13 and 17 to become members of the KnowledgePanel is first obtained from the primary respondents during the recruitment process. The specific questions are:

- Question 1: Are you the parents or guardian of [NAME OF CHILD]?
- Question 2: Do you give consent for [NAME OF CHILD] to receive surveys from the KnowledgePanel?

KnowledgePanel will ask for email addresses or create email addresses for teens to receive surveys only after both of the above questions are answered "Yes." Following parental consent, the individual teenager is sent invitation to answer initial demographic survey. Teenagers must complete this survey before receiving further surveys.

For questionnaires with less sensitive topics (teen perceptions of brands, political attitudes, etc.), study-specific online informed consent has not generally been required by most IRBs. In these cases, the procedure that GfK employs for obtaining consent at the time of panel recruitment as indicated above has been deemed sufficient by most IRBs. On some occasions, when the survey topic or some of the questionnaire items are deemed to be highly sensitive by the IRB, GfK may require consent on a study-specific basis, obtaining informed consent from both the parents or from appropriate legal guardians as well as from the teen research participants themselves.

The following three attachments pertain to this topic:

**Attachment C:** Recruitment Module in Recruitment Interview Script for Obtaining Parental/Legal Guardian Consent to Include Teens Age 13 to 17 for KnowledgePanel Surveys

**Attachment D:** Survey-Specific Online Consent Form for Obtaining Informed Consent from Parents & Legal Guardians For Conducting a Survey with Teens Age 13 to 17



## **Attachment E: Survey-Specific Online Consent Form for Obtaining Informed Consent from Teen Research Subjects (Age 13 to 17)**

### **Data and Record Storage**

All personally identifying records (names, addresses, emails, etc.) are kept secured in a separate office in the Information Technology section of the main offices in Palo Alto, CA, and all data transfers from web-enabled devices (PCs and laptops used for survey administration) to the main servers pass through a firewall. GfK never provides any respondent's personal identifiers to any external client or agency without the respondent's explicit and informed consent, and the client or agency must also sign a nondisclosure agreement. Personally identifying information is never provided to anyone outside of GfK in combination with the survey response data unless explicitly permitted in a consent form and nondisclosure agreement.

All electronic survey-specific data records are stored in a separate secured database that does not contain personally identifying information. Staff members who have access to the personally identifying information, which is limited to the Panel Management staff members, do not have access to the survey response data, and vice versa, with the exception of IT administrators who must have access to maintain the computer systems. The secured database contains field-specific permissions that restrict access to the data by type of user, as described above, thus preventing unauthorized access.

As part of our work in conducting surveys in support of Food and Drug Administration (FDA)<sup>6</sup> applications, GfK has implemented Good Clinical Practice guidelines to assure compliance with FDA requirements for systems documentation and privacy of stored survey data. Consequently, a system of standard operating procedures is in place for documenting all processes relating to maintaining confidentiality and privacy of the identities of panel members. The survey response data are identified only by an incremented ID number. No personally identifying information is stored with the survey data – personally identifying information is stored in a separate database accessible only to persons with a need to know, as described above.

The survey data extraction system exports survey data that has been rendered anonymous with only the Panel Member ID number. Data analysts with access to the survey data extraction system do not have access to personally identifying information and cannot join survey data to personally identifying data. Panel Management staff members do not have access to the survey data extraction system, and therefore cannot join survey data to personally identifying data.

GfK retains the survey-specific response data in its secure database after a project is completed. These data are retained for purposes of operational research, such as studies of response rates and for the security of our customers who might request additional analyses at a later time or statistical adjustments, or for statistical surveys that would require re-surveying research subjects as part of validation or longitudinal surveys.



## **ADVERSE EVENT REPORTING AND PANELISTS' COMMUNICATIONS WITH PIS AND IRBS**

GfK has a system in place whereby members of KnowledgePanel may call a GfK-maintained and staffed panel relations hotline for communicating with GfK about any questions or problems related to a study. This hotline is staffed by the GfK Panel Member Support Center. The hotline is a toll-free phone number that is provided in the Privacy Terms, the study email invitation, and in many other communications with panelists. In addition, there is a Support Center email address for panelists to communicate with GfK. GfK logs into a panel relations database for each contact made or received.

It is common for Institutional Review Boards (IRBs) to request that GfK provide panelists with the ability to contact the Principal Investigators or the study IRB to report any problems or ask questions about a specific study. When GfK implements this reporting function, any participant in the study can contact GfK with a question or concern about the study. GfK will provide the participant with contact information for the principal investigators and the IRB. Moreover, should a study participant report an adverse event or serious problem, GfK will promptly notify the investigators.

## EXTERNAL REVIEW

### List of Institutions Whose Human Subject Review Committees Have Reviewed GfK Study Procedures

Below is a list of selected institutions whose Institutional Review Boards have reviewed and approved study protocols for conducting web panel surveys on KnowledgePanel®.

Abt Associates	Stanford University
Arizona State University	Texas A&M University
Baylor University	University of British Columbia
Boston College	University of California, Berkeley
Brigham Young University	University of California, Irvine
Bryn Mawr University	University of California, Los Angeles
Colorado State University	University of California, Santa Barbara
Columbia University	University of Chicago
Cornell University	University of Colorado
Duke University	University of Florida
George Mason University	University of Illinois, Chicago
Georgetown University	University of Illinois, Urbana-Champaign
Georgia Institute of Technology	University of Kentucky
Harvard University	University of Maryland
Indiana University	University of Michigan
Johns Hopkins University	University of Minnesota
Massachusetts Institute of Technology	University of Notre Dame
Michigan State University	University of Pennsylvania
New York University	University of Pittsburgh
North Carolina State University	University of Tennessee
Northwestern University	University of Texas, Austin
Ohio State University	University of Virginia
Penn State University	University of Wyoming
Princeton University	Vanderbilt University
Research Triangle Institute	Washington University in St. Louis
Rutgers University	Yale University



## List of Funding Agencies & Organizations for Research Conducted with KnowledgePanel

Below is a partial list of funding agencies and organizations that have supported research conducted by GfK and whose organizations reviewed the study protocols implemented by GfK.

American Bar Foundation  
American Legacy Foundation  
Annenberg Foundation Trust at Sunnylands  
California Air Resources Board  
California, Dept of Public Health, Tobacco Control Section  
Chicago Council on Global Affairs  
Ford Foundation  
Gates Foundation  
March of Dimes  
Markle Foundation  
John T. & Catherine D. MacArthur Foundation  
National Bureau of Economic Research  
National Cancer Institute  
National Institute on Aging  
National Institutes of Health  
National Institute of Alcohol Abuse and Alcoholism  
National Institute of Mental Health  
National Science Foundation  
Pew Charitable Trust  
Robert Wood Johnson Foundation  
Rockefeller Foundation  
Russell Sage Foundation  
Alfred P. Sloan Foundation  
Social Security Administration  
Templeton Foundation  
United Way  
U.S. Department of Agriculture, Economic Research Service  
U.S. Air Force  
U.S. Centers for Disease Control & Prevention  
U.S. Department of Defense, Joint Advertising Market Research & Studies  
U.S. Department of Health & Human Services, Health Resources and Services Administration  
U.S. Department of Health & Human Services, Office of Population Affairs  
U.S. Environmental Protection Agency  
U.S. Federal Communications Commission  
U.S. Food & Drug Administration  
U.S. Internal Revenue Service  
U.S. National Oceanic and Atmospheric Administration  
U.S. Department of Veterans Affairs

## List of Studies Reviewed by the U.S. Office of Management and Budget Conducted with the KnowledgePanel

Lead Researchers	Organization Affiliation	Project Name	Funding Agency	OMB #	OMB Date
Carol Prindle and Paul Mowery	RTI International	Reactions to Canadian Style Cigarette Warning Labels	Centers for Disease Control & Prevention	0920-0565	8/2002
W. Kip Viscusi	Harvard University, School of Law	Water Quality in America Pretest Rounds 1-4	Environmental Protection Agency	2010-0031	10/2002 2/2003 4/2003 4/2004
George L Van Houtven	RTI International	Eliciting Risk Tradeoffs for Valuing Fatal Cancer Risks	Environmental Protection Agency	2060-0502	2/2003
James K. Hammitt	Harvard University, Center for Risk Analysis, Department of Health Policy and Management	Estimating Consumer Benefits of Improving Food Safety	United States Department of Agriculture	0536-0062	12/2003
George L Van Houtven	RTI International	Estimating the Value of Improvements to Coastal Waters - A Pilot Study of a Coastal Valuation Survey	Environmental Protection Agency	2090-0024	1/2004
Jason F. Shogren	University of Wyoming, Department of Economics and Finance	Estimating Consumer Benefits of Improving Food Safety	United States Department of Agriculture	0536-0062	3/2005
David Chapman	Stratus Consulting	Coral Reef Economic Valuation Pretest	National Oceanic and Atmospheric Agency	0648-0531	11/2005
Pete Webb	Pacific Consulting Group	IRS TAB Conjoint Study I & II	Internal Revenue Services	1545-1432	1/2006 6/2006
Douglas Evans	RTI International	Evaluation of the National Abstinence Media Campaign	Office of Population Affairs, Department of Health and Human Services	0990-0311	6/2007
Jennifer Uhrig	RTI International	HIV Testing Efficacy Survey	Centers for Disease Control & Prevention	0920-0752	8/2007
Pete Webb	Pacific Consulting Group	IRS Economic Stimulus Study IRS Market Segmentation Survey Tax Payer Experience Survey	Internal Revenue Services	1545-1349	9/2008 10/2008
David Chapman	Stratus Consulting	Coral Reef Economic Valuation Cognitive Interviews, Pretest, Full Survey (ANES and MRI)	National Oceanic and Atmospheric Agency	0648-0585	3/2009
Carol Mansfield	RTI International	National-Scale Activity Survey	Environmental Protection Agency	2060-0627	4/2009
Kevin Davis	RTI International	Evaluation of the 'Parents Speak Up' National Campaign: National Media Tracking Surveys	Office of Population Affairs, Department of Health and Human Services	0990-0345	9/2009
Kevin Davis	RTI International	Evaluation of the Parents Speak Up National Campaign: Youth Survey	Office of Population Affairs, Department of Health and Human Services	0990-0325	9/2009
Donald Waldman & Scott Savage	University of Colorado	Information about Broadband survey	Federal Communications Commissions (FCCs)	3060-1132	12/2009

Lead Researchers	Organization Affiliation	Project Name	Funding Agency	OMB #	OMB Date
Claudia Squire	RTI International	Survey of FDA Toll Free Number for Reporting Drug Side Effects	Food and Drug Administration	0910-0652	12/2009
Doug Rupert	RTI International	Survey on Presentation of Risk Information in DTC & Print Ads for Prescription Drugs	Food and Drug Administration	0910-0663	6/2010
Larry Bye	Field Research	Evaluation of NIAID's HIV Vaccine Research Education Initiative Highly Impacted Population Survey	Department of Health and Human Services	0925-0618	8/2010
Donald Waldman	University of Colorado, Boulder	Media Ownership Study	Federal Communications Commission	3060-1144	1/2011
Rosemary Kosaka	National Marine Fisheries Service	Ocean Recreational Expenditure Survey	Gulf States Marine Fisheries Commission, Consolidated safety services	0648-0637	11/2011
Kevin Davis	RTI International	CDC National Media Campaign Survey	Center for Disease Control	0920-0923	2/2012
Dave Buller	Klein Buendel, Inc.	Solar Cell: A Mobile UV Manager for Smart Phones (National Cancer Institute)	National Institutes of Health, Department of Health and Human Services	0925-0660	6/2012
Doug Rupert	RTI International	Examination of Online Direct-to-Consumer Prescription Drug Promotion	Food and Drug Administration	0910-0714	7/2012
Bridget Kelly and Julia Kish Doto	RTI International	Experimental Study of Patient Information Prototypes	Food and Drug Administration	0910-0691	08/2012
Valerie DiPaula and Agnele Lawson	Ipsos USA	Disease Conditions and FDA Ads	Food and Drug Administration	0910-0724	11/2012
Beruria Novich	Pacific Consulting Group	Attitudes, Beliefs, and Behaviors around Issues of Consumer Finance Survey	Consumer Financial Protection Bureau	3170-0034	03/2013
Mary McFarlane and Rachel Kachur	National Association of County and City Health Officials (NACCHO)	Evaluation of the Get Yourself Tested (GYT) Campaign	Center of Disease Control	0920-0957	03/2013



## **CONTACT INFORMATION FOR ANY QUESTIONS**

Please contact J. Michael Dennis at GfK – Government & Academic Research to address any questions about this document and GfK protocols for the protection of human subjects.

**J. Michael Dennis, Ph.D.,**  
**Managing Director, Government & Academic Research**  
**GfK Custom Research, LLC**  
**2100 Geng Road, Suite 210**  
**Palo Alto, CA 94303**  
**mike.dennis@gfk.com**  
**650.289.2160 office**  
**650.289.2001 fax**



## ATTACHMENT A: KNOWLEDGE PANEL® RECRUITMENT ADVANCE LETTER



Greetings,

Each day you have opinions on a variety of subjects.

KnowledgePanel® wants to hear what you are thinking and we will reward you for it.

- No costs. Nothing to buy. Ever.
- Complete weekly surveys online at your convenience.
- Get \$10 for answering your first survey.
- Members with their own Internet access get at least \$1 and up to \$5 for completing each survey, and even more for longer surveys.
- No computer or Internet at home? You can still join the panel and earn rewards. See the enclosed brochure or give us a call for more details.
- Most surveys are only 10-15 minutes long.
- Surveys are confidential and secure.
- KnowledgePanel members have participated in surveys for *ESPN*, *AARP* and *Consumer Reports* among others.

Sincerely yours,

Erlina Hendarwan  
Vice President, Panel Operations  
GfK Custom Research  
Palo Alto, CA

Need more info?  
Go to [join.knpanel.com](http://join.knpanel.com) or  
call us at 1-800-255-6878.  
We look forward to hearing from  
you.

To get started, you can:

Go to:  
[join.knpanel.com](http://join.knpanel.com)  
and enter your code: XXXXXX

OR

Call us at 1-800-255-6878 and  
tell us your code to the left.  
We'll get you enrolled.

OR

Fill out the enclosed  
acceptance form and mail it  
back in the provided  
envelope. No need for a  
stamp.

## ATTACHMENT B: GfK PRIVACY STATEMENT

### PRIVACY STATEMENT FOR KNOWLEDGEPANEL® MEMBERS



*Effective date: 08/10/2000*

*Last updated: 04/10/2013*

KnowledgePanel® Members have been invited to take part in a major national research effort. Members may complete surveys to provide feedback and opinions on a range of political, lifestyle, advertising and other questions, and may contribute other types of data along with other Panel Members. Active Panel Members receive certain benefits from GfK Custom Research, LLC in exchange for participating in surveys.

#### OUR PRIVACY COMMITMENTS

GfK Custom Research, LLC respects the privacy of every Panel Member. This Privacy Statement outlines the information GfK will collect and how we will use that information. This Statement will also tell you how you can verify the accuracy of your Personal Information (defined below) submitted to GfK and how you can request that we delete or update your Personal Information.

We've developed our privacy policy from industry guidelines and standards, and local, national, and international laws and requirements. All privacy practices and methods described in this policy apply only insofar as permitted by the applicable standards, laws and requirements.

Thanks again for placing your trust in GfK.

GfK has been awarded TRUSTe's Privacy Seal signifying that this privacy policy and practices have been reviewed by TRUSTe for compliance with TRUSTe's program requirements including transparency, accountability and choice regarding the collection and use of your personal information. TRUSTe's mission, as an independent third party, is to accelerate online trust among consumers and organizations globally through its leading privacy trustmark and innovative trust solutions. If you have questions or complaints regarding our privacy policy or practices, please contact us at [privacy@knowledgepanel.com](mailto:privacy@knowledgepanel.com). If you are not satisfied with our response you can contact TRUSTe here.

The TRUSTe program covers only information that is collected through GfK' Web sites except as specifically provided for in this Privacy Statement, and does not cover information that may be collected through software downloaded from this site.



## INFORMATION COLLECTED AND HOW WE USE IT

### WHAT WE COLLECT:

#### A) PERSONAL AND DEMOGRAPHIC INFORMATION

During the KnowledgePanel® recruitment process, GfK collects personal information, that is information that could personally identify you, such as your name, address, email address and the names and ages of members of your household (such personally identifiable information being referred to as "Personal Information");" Personal Information excludes Demographic Information, as defined below). In addition, GfK frequently asks Panel Members for characteristics that will not generally by themselves personally identify you (such as health problems or consumer habits), attributes, and demographic information (such as age, income, gender) (collectively, "Demographic Information") via online surveys.

You are in control of the Personal Information and Demographic Information that you provide to GfK. We rely on you to provide updates to your Personal Information and Demographic Information. You can:

- Ask for a copy of your Personal Information or Demographic Information.
- Ask for your Personal Information or Demographic Information to be corrected or updated.
- Ask us to remove your Personal Information or Demographic Information from your records.
- To do this, please contact us using the links provided later in this statement. GfK will use reasonable efforts to provide the requested information to you.

#### B) OPERATING INFORMATION

GfK may, in the course of interacting with Panel Members, gather other types of information from Panel Members ("Operating Information"). For example, as a KnowledgePanel Member, you will receive surveys from GfK on a regular basis. These surveys will ask questions about your interests, needs, and attitudes. We will receive your responses to these surveys. If we offer features, services, or programs in which you explicitly agree to participate, then GfK will receive information from those features, services, or programs.

#### C) LOG FILES

As is true of most Web sites, we gather certain information automatically and store it in log files. This information includes internet protocol (IP) addresses, browser type, internet service provider (ISP), referring/exit pages, operating system, date/time stamp, and clickstream data.

We use this information, which does not identify individual users, to analyze trends, to administer the site, to track users' movements around the site and to gather demographic information about our user base as a whole.

We do not link this automatically-collected data to Personal Information.

#### D) COOKIES

A cookie is a small text file that is stored on a user's computer for record-keeping purposes. We use

Documentation for Human Subject Review Committees: GfK Key Company Information, Past External Review, Confidentiality, and Privacy Protections for Panelists, © 2013



persistent cookies on the GfK panel member site. Persistent cookies are used when you register as a Panel Member or log into our site, and are used to store information such as your email address and password. We use these cookies to recognize Panel Members when they participate in surveys and to record information about the survey, such as when the survey is completed and how much of the survey has been completed. A persistent cookie remains on your hard drive for an extended period of time. You can remove persistent cookies by following directions provided in your Internet browser's "help" file. If you reject cookies, you may still use our site, but your ability to use some areas of our site, such as contests or surveys, will be limited.

In addition, we may detect advanced cookies that may exist on your hard drive or be placed there by third parties. By detecting these cookies, we may also track certain information regarding your activity on our or a third party's website, which we use to conduct research on Panel Members' demographics, interests, and behavior. We do not link the information we store in cookies to any Personal Information you submit while on our site. We do not have access to, or control over, any of these types of cookies that may exist on your hard drive or be placed there by third parties, and we cannot control how they may be used by other parties or otherwise have any control over the type of content that may be included with any tags incorporated in those cookies.

## **HOW WE USE YOUR INFORMATION:**

### **A) PERSONAL AND DEMOGRAPHIC INFORMATION**

Personal Information is used to set up email accounts for each household member who is 13 years of age or older (if you do not have Internet access at the time of recruitment), to communicate with you and your household members, and to assist you with questions that you may have about the KnowledgePanel procedures. It may also be used for panel recruitment, contest entry processing or delivery of free gifts to KnowledgePanel Members, and delivery of our quarterly newsletter, which you are automatically enrolled to receive via email.

(To opt out of the newsletter, go to: <http://members.knowledgepanel.com/Profile.aspx>.) Personal Information concerning location or address is also used to ensure that our panel accurately represents the country's population as a whole.

Panel Members are asked for Demographic Information in order to pre-qualify members or households for surveys that target specific groups. We also use this information to ensure that our panel accurately represents the country's population as a whole.

GfK uses Personal Information and Demographic Information solely in the conduct of its research business. Personal Information or Demographic Information may be combined with information collected about you by GfK or third parties with your express permission, with information that is collected about you from public records, or with information that GfK may acquire from third parties that have a legal right to provide such information to GfK.

### **B) OPERATING INFORMATION**

GfK uses Operating Information solely in the conduct of its research business. As is the case with Personal Information and Demographic Information, Operating Information may be combined with information collected about you by third parties with your express permission, with information that is collected about you from public records, or with information that GfK may acquire from third parties that have a legal right to provide such information to GfK.





## DATA SHARING AND TRANSFER

### A) HOW WE MAY SHARE INFORMATION:

Except as detailed in this section of the Privacy Statement, Personal Information regarding Panel Members will never be shared with any third parties without your express permission. We reserve the right, however, to disclose your Personal Information as required by law and when we believe that disclosure is necessary to protect our rights and/or comply with a judicial proceeding, court order, or legal process served on GfK or its employees or agents.

In addition, occasionally GfK will share contact information, such as name and mailing address, with third parties with whom we have partnered to provide specific services to GfK, or services on behalf of GfK, specifically for the purposes of panel recruitment, panel communications, contest entry processing or delivery of free gifts to KnowledgePanel Members. These partners have agreed not to share or resell this data and they are contractually obligated not to use any Personal Information except for the purpose of providing these services, unless you enter into a relationship with them that would directly allow them to do so.

GfK collects and shares Demographic Information and Operating Information with its research clients ("Clients") in an anonymous form. We may share this information with our Clients on an anonymous individual basis to provide your individual Demographic Information and Operating Information (without specifically identifying you), and may provide this information on an aggregate basis with respect to a group of our Panel Members to describe group demographics or interest profiles (again, without specifically identifying any Panel Member). As discussed above under the heading "Cookies," certain web pages that you view may be tracked by third parties using advanced cookies, and this tracking data may be provided by such third parties to our Clients, and combined by our Clients with your Demographic Information and Operating Information for market research purposes.

Our research Clients will never receive Personal Information of Panel Members, nor will they be able to identify Panel Members, without your express permission.

GfK is an expanding business, and like other companies, we sometimes acquire or divest business units or ourselves be acquired. As part of such transfers or mergers, we may convey the business assets of the particular business unit, or the company as a whole, including Personal Information, Demographic Information, or Operating Information of Panel Members. In that eventuality, you would be notified via email.

### B) DATA TRANSFERS:

Your Personal Information, Demographic Information, and Operating Information will generally be stored in our GfK databases. For easier processing of email communications, contests, sweepstakes, or other marketing purposes, or for panel recruitment or panel communications, however, your Personal Information, Demographic Information, or Operating Information may be sent to or accessed by GfK' service providers and contractors who are obligated to keep such information confidential in countries outside the United States or the European Union. GfK data protection standards and those of its service providers and contractors are the same, regardless of where your information is stored.

GfK and other GfK companies comply with the U.S.-EU Safe Harbor Framework and the U.S.-Swiss Safe Harbor Framework as set forth by the U.S. Department of Commerce regarding the collection, use, and retention of personal information from European Union member countries and Switzerland. GfK has certified that it adheres to the Safe Harbor Privacy Principles ("Principles") of notice, choice,



onward transfer, security, data integrity, access, and enforcement. To learn more about the Safe Harbor program, and to view GfK's certification, please visit <http://www.export.gov/safeharbor/>.

## **CHILDREN'S PRIVACY**

GfK believes that it's especially important to protect children's privacy online and encourages parents and guardians to spend time online with their children to participate and monitor their Internet activity.

GfK complies with all applicable national and international children's privacy regulations. We do not permit children who are under 13 years of age to become KnowledgePanel Members. We do not collect any Personal Information from children under 13 years of age. As part of the registration process for new Panel Members, we collect from the new Panel Member the names of each individual in the Panel Members' household, which may include the names of children who are under 13 years of age. Occasionally we may send a survey to a Panel Member who is a parent or guardian of a child under the age of 13 that asks that Panel Member to have his or her child who is under 13 answer the survey. We take reasonable steps to ensure parental consent to such procedure by sending the survey to the parent or guardian's password-protected email address. The information collected in response to such surveys is not combined with identifying information about the child. In every case such survey does not collect Personal Information about the child. We comply with the Children's Online Privacy Protection Act of 1998.

If a Panel Member has provided us with Personal Information about a child in the Panel Member's household who is under the age of 13, a parent or guardian of that child may contact us at the email address or mailing address listed at the bottom of this Privacy Statement if he or she would like this information deleted from our records. We will use reasonable efforts to delete the child's information from our databases.

If you would like to contact us about your or your child's Personal Information, or to find out how you can have your child's Personal Information removed from our database, please see the "Access To Your Information and Complaints" section later in this document.

## **DATA SECURITY AND RESPONSIBILITY**

GfK is committed to keeping the data you provide us secure and will take reasonable precautions to protect your Personal Information from loss, misuse or alteration. Vendors, contractors, or partners of GfK who have access to your Personal Information in connection with providing services for GfK are contractually required to keep the information confidential and are not permitted to use this information for any other purpose than to carry out the services they are performing for GfK.

GfK also safeguards Personal Information, Demographic Information, and Operating Information from unauthorized access. Most Operating Information is maintained in databases that are separate from those containing Personal Information and Demographic Information. Only authorized GfK employees or agents carrying out permitted business functions are allowed to access these databases. In addition, each employee of GfK is required to sign a confidentiality agreement requiring him or her to keep confidential all Personal Information of Panel Members. Employees who violate the confidentiality agreement are subject to disciplinary actions, including termination when appropriate.

While we strive to use industry-standard security technology, procedures and other measures to help protect your Personal or Demographic Information, we cannot guarantee the security of the information you transmit.

## CHANGES TO THIS PRIVACY STATEMENT

We may update this privacy statement to reflect changes to our information practices. If we make any material changes we will notify you by email (sent to the email address specified in your account) or by means of a notice on this Site prior to the change becoming effective. We encourage you to periodically review this page for the latest information on our privacy practices.

## ACCESS TO YOUR INFORMATION AND COMPLAINTS

### A) Accessing, Correcting, Updating and Preventing Use of Your Personal Information or Demographic Information.

If you have submitted Personal or Demographic Information to GfK through KnowledgePanel or otherwise, or if someone else has otherwise submitted your Personal or Demographic Information to GfK, you can:

- Access, Correct, Update Your Personal or Demographic Information, by emailing your request to: [privacy@knowledgepanel.com](mailto:privacy@knowledgepanel.com), or by sending us a letter to the address listed below. GfK will use reasonable efforts to supply you with the information you requested to access and to correct any factual inaccuracies in this information.
- Prevent Further Use of Your Personal or Demographic Information, by emailing your request to: [privacy@knowledgepanel.com](mailto:privacy@knowledgepanel.com). Alternatively, you may call us at 1-800-782-6899 or send us a letter to the address listed below. In each case, we will then use reasonable efforts to prevent further use of your Personal Information or Demographic Information in our files.
- We will retain your information for as long as your account is active or as needed to provide you services. If you wish to cancel your account or request that we no longer use your information to provide you services contact us at [privacy@knowledgepanel.com](mailto:privacy@knowledgepanel.com). We will retain and use your information as necessary to comply with our legal obligations, resolve disputes, and enforce our agreements.

### B) Complaints

GfK is committed to working with consumers to obtain a fair and rapid resolution of any complaints or disputes about privacy. Please send us your questions or comments regarding our privacy practices by emailing us at: [privacy@knowledgepanel.com](mailto:privacy@knowledgepanel.com), or send us a letter to:

Privacy Compliance Coordinator  
GfK Custom Research  
103 Eisenhower Parkway, Suite 303  
Roseland, NJ 07068

We value the opinions and feedback of Panelists to help improve our service. If your participation in KnowledgePanel comes to an end, we may choose to send you a brief, voluntary exit survey regarding your experience.

## ATTACHMENT C: RECRUITMENT MODULE IN RECRUITMENT INTERVIEW SCRIPT: OBTAINING PARENTAL/LEGAL GUARDIAN CONSENT TO INCLUDE TEENS AGE 13 TO 17 FOR KNOWLEDGEPANEL® SURVEYS

The script shown below is part of the GfK telephone script that is administered when recruiting a household to be part of KnowledgePanel.

With your approval, we would also like to send (youth's name) weekly surveys by email. Be assured that we also protect the privacy of our teen Panel Members with the same high standards we apply to all our members. Surveys will be brief, entertaining and age-appropriate. Teenage respondents will have the same opportunity to earn cash that you do.

Do you give GfK your consent to send surveys to (youth's name)?

- 1 YES, TO ALL-QTG3 (CONSENT\_x=1 for all members age 13-17)
- 2 YES, TO SOME-QTG2A
- 3 NO, I DO NOT GIVE MY CONSENT (CONSENT\_x=2 for all members age 13-17)  
If QDM2A1=1 and QD3=1 and QDM4A=2 and QDM4A1=2 then R1. Else IADD

Do you give GfK your consent to send surveys to (youth's name)?

1. YES, I GIVE MY CONSENT (CONSENT\_X=1 for only youth specified)
2. NO, I DO NOT GIVE MY CONSENT (CONSENT\_X=2 for only youth specified)  
If QDM2A1=1 and QD3=1 and QDM4A=2 and QDM4A1=2 and QTG1A=2 for all youths, then R1

**CONTINUE THE LOOP OF QTG2A UNTIL THERE IS NO OTHER ADDITIONAL YOUTH MEMBER. THEN GO TO QTG3 OR QTG4.**

May we please have (youth's name)'s email address?

- 1 YES-QTG3A (GIVE\_EMAIL\_x=1)
- 2 NO-QTG4 (GIVE\_EMAIL\_x=2)
- 3 YES, BUT DK EMAIL ADDRESS-QTG4 (GIVE\_EMAIL\_x=3)

What is that email address?

**\*\* REMINDER: EMAIL ADDRESSES END WITH .COM, .NET, .ORG, .BIZ,, .EDU, .MIL .INFO, .COOP, .US \*\***  
(EMAIL\_x)

Would we be able to send (youth's name)'s surveys to your email address?

- 1 YES-TG4A
- 2 NO-Refusal

Emails that we send to (youth's name) will have his/her name in the body of the email.

**CONTINUE THE LOOP OF QTG3-TG4A UNTIL THERE IS NO OTHER ADDITIONAL CONSENTED YOUTH MEMBER. THEN GO TO IADD.**



**ATTACHMENT D: KNOWLEDGEPANEL® SURVEY-SPECIFIC ONLINE CONSENT FORM: OBTAINING INFORMED CONSENT FROM PARENTS & LEGAL GUARDIANS FOR CONDUCTING SURVEY WITH TEENS AGE 13 TO 17**

Below is an example of a consent form used by a study that GfK conducted that involved highly sensitive items. The process involved collection of consent from parent and legal guardian, and then a second stage of consent that involved asking the teen research subject for assent. Below is the consent form that was administered to the parent/legal guardian.

[FIRST SCREEN]

Dear KnowledgePanel participant,

Your [INSERT CHILD'S AGE] year-old SON/DAUGHTER is invited to complete a survey being conducted by the [CLIENT NAME]. The survey will be on a variety of topics related to [STUDY SUBJECT CONTENT]. It will take about 15 minutes for HIM/HER to complete. The [STUDY NAME] survey will be quite similar to the kinds of surveys your child has already been involved in as a KnowledgePanel Member. The potential risk to respondents from completing the survey is minimal. Some questions might make him or her feel uncomfortable, but they have the right to skip any questions they don't want to answer. Participation is completely voluntary.

[SECOND SCREEN]

As always, his or her identity will be unknown in all data resulting from the study. The researchers will not have access to any of your child's identifying information (such as his or her name). All of the conditions and terms described in the "GfK's Privacy & Terms of Use Policy" document that you received when you got your recruitment packet are in effect for this study. If you have questions about your child's rights as a participant in this study, or are dissatisfied at any time with any aspect of the [STUDY NAME] survey, you may contact GfK at (800) 782-6899.

[THIRD SCREEN]

We sent you a copy of the survey that your teenager would be invited to participate in. If you already reviewed the survey or do not wish to review it, please answer the question below now. If you would like to review the survey, please come back to this survey to answer the question below.

Do you give your consent to GfK for your child to complete this survey?

Yes

No

## ATTACHMENT E: KNOWLEDGEPANEL® SURVEY-SPECIFIC ONLINE ASSENT FORM: OBTAINING INFORMED ASSENT FROM TEEN RESEARCH SUBJECTS (AGE 13 TO 17)

Below is an example of consent form administered to teenagers age 13 to 17 to gain their assent to participate in a survey that contained sensitive items.

For many surveys conducted with teens, this assent form or any other consent form has not been needed. The below assent form was used for a study having highly sensitive content.

### [FIRST SCREEN]

You are invited to be part of a group of KnowledgePanel® Members in a study being conducted by [CLIENT NAME]. The survey will be on a variety of topics related to [SUBJECT MATTER]. It will take about 15 minutes for you to complete. The [STUDY NAME] will be quite similar to the kinds of surveys you have already been involved in as a KnowledgePanel Member.

### [SECOND SCREEN]

The potential risk to respondents from completing the survey is minimal. Some questions are of a sensitive nature. However, you have the right to skip any questions you don't want to answer. There are no additional benefits from completing the survey.

### [THIRD SCREEN]

In the [STUDY NAME], participation is completely voluntary. You may withdraw your consent or discontinue participation at any time without penalty. As always, your identity will be unknown in all data resulting from the study. The researchers will not have access to any of your identifying information (such as your name). All of the conditions and terms described in the "GfK's Privacy & Terms of Use Policy" document that you received when you got your recruitment packet are in effect for this study. If you have questions about your rights as a participant in this study, or are dissatisfied at any time with any aspect of the [STUDY NAME], you may contact GfK at (800) 782-6899.

### [FOURTH SCREEN]

If you have read this form and have decided to agree to be an eligible participant, the [STUDY NAME] will follow. Would you like to participate in this survey?

Yes  
No