

## PARTICIPANT INFORMATION FOR THE RESEARCH PROJECT

### Small Business Mental Health Research Project - SMBMH20104

#### DESCRIPTION

The Australian Government Department of Industry, Science, Energy and Resources is undertaking research in the area of Small Business Mental Health. The research aims to identify the services and supports needed by Small Business Owners (SBOs) as they negotiate challenges experienced during the business lifecycle. The information will help inform the Department in developing policy on small business mental health.

As part of the research, this survey seeks to gather information from SBOs aged 18 years and older in Australia about the challenges they face as part of operating a small business and the services and support they need to help cope with these challenges. In particular, the survey will ask questions about the stressors affecting SBOs during the business lifecycle, the services and support already available, their effectiveness and the services needed that are not yet available.

You have been asked to participate in this research because our records (based on publicly available for purchase contact list) show that you are an Australian registered business who employs 19 or less people AND may have an annual turnover between \$70,000 and \$10,000,000 in the most recent completed financial year.

#### PARTICIPATION

Participation will involve completing a confidential questionnaire that will take approximately 20 minutes of your time during the first phase of the study.

For completing the questionnaire, you will receive an incentive in the form of either an eGift Voucher sent by email or a Physical Voucher sent by Post (as per your preference) to the value of \$25 to thank you for your time and to cover costs that you may have incurred to take part in this survey.

This is followed by a chance to take part in the second phase of the study if you so choose (you will be asked at the end of the survey) and if selected.

The second phase of the study involves either participating in a 90 minutes focus group or taking part in a 30-45 minutes in-depth-interview. If you chose to take part in the second phase of the study and was selected, McNair yellowSquares will contact you to check your qualification to take part in the second phase and book an appointment with you.

Each participant taking part in the focus groups will be offered \$110 cash on completion of the focus group session to compensate for their time and to cover costs participants may have incurred as part of participating in the focus group.

Participants taking part in one on one interviews will be offered a \$75 voucher either in the form of eGift Voucher (for Telephone participants) or Physical Voucher for participants taking part in the interview in person. This amount includes the coverage of costs participants may have incurred as part of participating in the interview.

Questions will include: general information about your business and the effect of the nature of small business on you on a personal level. We will also be asking you about your stress levels as well as

where you turn to for support should you have a concern as you conduct your business. We're interested to know what would prevent you from seeking help and your awareness of support services. We appreciate your participation. By completing the survey, you are helping to ensure appropriate services are available to support small business owners' wellbeing.

Examples of first phase questions include:

- Are you a current or former business owner (including part owner)?
  - a. Yes
  - b. No
  
- Have you undertaken training in the previous 12 months for any of the following?
  - a. To obtain skills for the job
  - b. To meet highly specific training needs
  - c. Maintaining professional standards/meeting industry standards
  - d. Legislative, regulatory or licensing requirements
  - e. Improving quality of services/goods provided
  - f. Responding to new technology
  - g. Professional/personal development/career growth
  - h. To remain competitive
  - i. Other (Please Specify\_\_\_\_)
  - j. Did not undertake training
  
- Do you have strategies in place to monitor and/or maintain your mental health and wellbeing?
  
- Which of the following would keep you from seeking help? Please select the top four factors that would keep you from seeking help. (Multiple response up to 4 codes)
  - a. Lack of time
  - b. The cost associated to help services
  - c. Inaccessibility – services are too far from where I am
  - d. Inaccessibility – lack of transport available to make appointments
  - e. Services are unavailable online or via phone
  - f. Services are unavailable outside of business hours
  - g. Unable to re-schedule appointments
  - h. Don't know where to seek help

Examples of second phase questions include:

- How satisfied are you with your current role at work?
  
- What actions or strategies would be helpful in supporting the mental health of someone working in a similar industry to you?

- Where would you go for help if you were feeling stressed or mentally unwell?

Your participation in this project is entirely voluntary. If you agree to participate you do not have to complete any question(s) you are uncomfortable answering.

Your decision to participate or not participate will in no way impact upon your current or future relationship with any party involved in the study.

If you do agree to participate you can withdraw from the project without comment or penalty until questionnaire completion. Should you close the browser without submitting, data collected will be included in the analysis. Once you have submitted the questionnaire, data will be de-identified and it will not be possible to withdraw any of your responses.

### **EXPECTED BENEFITS**

It is expected that this project will help inform service improvements and identify gaps in the provision of mental health support and services to small business.

### **RISKS**

To avoid any risk of inconvenience, you can choose the best time to participate in this study. This study will be asking questions about mental health. If you are concerned about your mental health you can call Lifeline on 13 11 44, Adult Mental Health Service 13 14 65 or Beyond Blue – 1300 22 4636 for support.

### **PRIVACY AND CONFIDENTIALITY**

All comments and responses are anonymous and will be treated confidentially unless required by law. The names of individual persons or organisations are not required in any of the responses.

Any data collected as part of this project will be stored securely as per McNair yellowSquares Privacy Policy (attached) and McNair yellowSquares Security and Confidentiality Specifications on the McNair yellowSquares website and also at the end of this information sheet. Please note that non-identifiable data collected in this project may be used as comparative data in future projects, published in academic journals or stored on an open access database for secondary analysis.

The project is funded by the Australian Government Department of Industry, Science, Energy and Resources who will have access to the de-identified data obtained during the project.

### **CONSENT TO PARTICIPATE**

Submission of the online questionnaire is accepted as an indication of your consent to participate in this project.

### **QUESTIONS/FURTHER INFORMATION ABOUT THE PROJECT**

If you have any questions or require further information, please contact one of the research team members below.

For content issues, overall project queries or technical issues, please contact McNair yellowSquares Pty Ltd.

<b>Name</b>	<b>Organisation</b>	<b>Phone</b>	<b>Email</b>
Caroline Johnston	McNair yellowSquares	1800 699 133	Caroline@mcnair.com.au
Christina Louca	McNair yellowSquares	1800 699 133	tina@mcnair.com.au

#### **RESEARCH TEAM**

Principal Researcher:      Angela Brooks      McNair yellowSquares      Managing Director

Associate Researchers:      Tegan Johnson      Department      Director

   Dr Ruth Martin      Department      Assistant Director

   Christina Louca      McNair yellowSquares      Research Consultant

#### **CONCERNS / COMPLAINTS REGARDING THE CONDUCT OF THE PROJECT**

McNair yellowSquares is committed to research integrity and the ethical conduct of research projects. However, if you do have any concerns or complaints about the ethical conduct of the project you may contact the Operations Manager, Bellberry Limited on (08) 8361 3222 or email [bellberry@bellberry.com.au](mailto:bellberry@bellberry.com.au) . Bellberry Research is not connected with the research project and can facilitate a resolution to your concern in an impartial manner.

***Thank you for helping with this research project. Please keep this sheet for your information.***

McNair's Privacy Statement (below) describes the fulfillment of McNair's obligations in relation to the Australian Privacy Principles.

## McNair yellowSquares Privacy Statement

### Introduction

McNair yellowSquares Pty Ltd respects and upholds your rights under the Australian Privacy Principles contained in the Privacy Act 1988 (Cth) ("Privacy Act"). McNair yellowSquares also adheres to the Privacy (Market and Social Research) Code 2014 ("Code").

For more information about the Privacy Act, the Australian Privacy Principles and the Code please refer to the Office of the Australian Information Commissioner website.

McNair yellowSquares Pty Ltd is Australian owned and operated.

### How you get selected to participate in research

You may be selected to participate in research through one of these methods:

- A random selection by telephone, using the white pages or other telephone listing;
- A random approach in a public space;
- A commercially available marketing database;
- A contact list provided by one of our clients. In this case we will tell you which client has provided your contact details. We will have been given your contact details by our client solely for the purpose of the research we are conducting.
- Global Data Pty Ltd. Global Data's privacy statement can be found by contacting them.  
Privacy Officer, Global Data Pty Ltd  
Level 12,530 Little Collins Street  
Melbourne, VIC 3000  
Ph: 03 9948 4089 admin@globaldata.net.au

You will always be told which one of these methods has been used to select you to be invited to participate in the research.

### Your anonymity

Your identity and contact information is kept in a high security database that cannot be accessed from the Internet, and is only used for our own quality control checks. Your identity is never passed on to clients for marketing purposes – in fact, unless you are already a customer of our clients (and you give us permission), your identity is never divulged to our clients – and never divulged to any other organisations. The security of our records is audited every year to ensure compliance with ISO 20252:2012, the International Standard for Market and Social Research.

### Identified data – your rights

McNair yellowSquares may retain the responses to surveys in association with your contact details in case we need to check the information, and so that we can verify the quality and professionalism of our interviewers.

Your contact details may be kept in association with responses you have given if you have agreed to participate in related follow-up research.

All information stored at McNair yellowSquares is kept in a secure database, protected by:

- Password limited access to the database;
- No information is stored via the Internet;
- No identified information is processed or stored outside of our office in Crows Nest, NSW.

If McNair yellowSquares holds identified data about you – that is, the answers you have given to a survey – in association with your contact details, you can contact us to request:

- Access to any information held that is associated with your identity;
- Request to have any information associated with you changed or updated;
- Request to have any information associated with you to be deleted.

You can do this by contacting our Privacy Officer by telephone on 1800 669 133 or by email at:

[privacyofficer@mcnair.com.au](mailto:privacyofficer@mcnair.com.au)

When providing personal information you have the option of remaining anonymous or use a pseudonym to be identified by. However, in certain circumstances, such as where we receive your contact details from a third party or where the research data itself may potentially allow for identification, this may will not be practicable, during the data collection phase either due

to the sample type or the nature of the study. However, all gathered data is de-identified during analysis, and research results are reported aggregately in a manner that does not allow for any individuals being identified.

**Ways in which information is recorded**

- All survey data is stored in the form of secure electronic databases.
- A selection of telephone interviews are recorded for quality control purposes.
- Focus groups and in-person interviews may be audio and/or video recorded or watched live. In these cases you will be advised of this prior to the interview or focus group. Clients provided with audio or video recordings or who are permitted to watch an interview or focus groups are not provided with the identity of the participants.

**What personal information McNair yellowSquares may collect**

McNair yellowSquares may ask you questions about:

- How you have used products and services – both those that you purchase, or others provided at no cost by the government or media; and
- Your attitudes and opinions related to commercial and free products and services.

**What sensitive information McNair yellowSquares may collect**

McNair yellowSquares only collects sensitive information about topics such as your political views, faith or health when this is necessary for the purposes of our clients’ research objectives, with your consent and if this meets the following ethical guidelines:

- The research is clearly for the purpose of providing or improving a public service, such as health or social service; or

The research is clearly for the purposes of assisting an organisation provide a positive non-commercial outcome – such as a radio program that meets the needs of certain communities.

**Identifying our clients**

McNair yellowSquares will always advise you who our client is for any research you are invited to participate in. In some cases we may not be able to advise you who our client is until the end of the survey in order to ensure that the answers that you give are not influenced by who our client is.

**Privacy Amendment (Notifiable Data Breaches) Act 2017**

McNair yellowSquares will take reasonable steps under the Privacy Act, to secure personal information. Should a data breach involving personal information occur:

- McNair will take positive steps to address the breach in a timely manner and take remedial action such that the data breach does not result in serious harm.
- McNair will undertake reasonable and expeditious assessment to determine if it is an ‘eligible data breach’, that is a breach likely to result in serious harm to any individual affected.

In compliance with Privacy Amendment (Notifiable Data Breaches) Act 2017, McNair yellowSquares agree that if they become aware of an eligible data breach has occurred they will promptly notify the Office of the Australian Information Commissioner and the affected individuals at likely risk of serious harm.

**Miscellaneous**

In this policy “personal information” has the same meaning as under the Privacy Act.

**Security and Confidentiality Specifications**

<b>Physical Security</b>	
<b>Limited Entry</b>	Only authorised personnel can enter the operations of McNair yellowSquares, there is a pin-number lock on the main doors at all times. Visitors must be accompanied at all times by a senior staff member.
<b>Server Room</b>	The Server is protected by an APC UPS system in event of electricity failure.
<b>Clean Desk</b>	Respondent identity coding means that no identifiable confidential information will be hardcopy format.
<b>Cross Cut Shredder</b>	Rexel Auto Stacker 100x High Security Shredder Particle/Cut Size: 1.9 x 15 mm Micro cut
<b>Shredding Service</b>	Recyclable material is confidentially handled by Iron Mountain, a service which certifies that all materials received are confidentially handled and shredded and that shredded material is recycled. All retired electronic equipment is arranged to be securely destroyed/recycled in an environmentally friendly way as arranged by Sensible Business Solutions (our IT provider)
<b>Tamper Evident Barrier</b>	McNair yellowSquares has a Cardax swipe card entry system.
<b>Information Security</b>	

<b>Network Security</b>	<p>All data traffic entering the local McNair yellowSquares network passes through a firewall (Juniper SRX 110, Certificate 2014/85 PP Compliance NCPPv1.1 FWEPv1.0).</p> <p>Remote login to the Windows 2008R2 Server is restricted by user name and complex password via separate VPN system on a separate secure device. All such traffic is encrypted. Updating and patching is managed by Sensible Business Solutions (Our ISO27001 accredited IT support provider). Complex passwords are enforced within the McNair yellowSquares local domain. All computers with connection rights run an Internet Security Suite at all times, including behavioural analysis and automatic blocking of known untrusted domains. All computers at McNair yellowSquares are password protected. Interviewers have an IP protected login access to the survey system.</p>
<b>Secure Storage Backups</b>	<p>McNair has a daily back-up system in place for our computer network which is securely stored electronically, with secure remote access to ensure the recovery of data.</p>
<b>Offsite Operation</b>	<p>All laptops or tablets issued for offsite work always have a password protected screen saver and an additional password for accessing survey software.</p> <p>Security procedures for offsite network access are in place including:</p> <p>Password protected email access and use of Microsoft Exchange Security Certificates;</p> <p>Password protected access to servers; and</p> <p>WEP WSK protected Wireless.</p>
<b>Offsite Data Centre</b>	<p>All CATI and mixed mode survey sites and data are held on a Cloud Server located in a secure Equinix data centre in Alexandria, NSW. It is monitored 24 hours x 7 days. It has been configured to only publicly allow http and https traffic. The data centre is certified SOC1 – Type II, PCCI-DSS, SOCT2 – Type II, ISO27001.</p> <p>The environment is protected by a managed Cisco Firewall.</p> <p>IPSec VPN to McNair office (if required)</p> <p>1 Public IP per server</p> <p>1gig Network Access</p> <p>No hard bandwidth limits (fair use does apply)</p> <p>Nightly Onsite Backup</p> <p>Packets are inspected and any prohibited requests are stopped at the firewall. All servers are backed up daily with a full backup. This process is managed and monitored 24x7.</p> <p>All online survey sites and data are stored in a Rackspace data centre located in Erskine Park, Sydney, NSW. Servers run behind a fully managed Cisco Firewall, monitored 24 hours x 7 days. It has been configured to only publicly allow http and https traffic. Packets are inspected and any prohibited requests are stopped at the firewall. All servers are backed up daily with a full backup performed weekly and a differential backup performed daily. This process is managed and monitored 24x7. Access to any McNair yellowSquares’ server is restricted to key programming staff who hold a unique complex password for each of the 3 remote servers. Passwords have a limited lifespan and lock-out after 3 failed attempts. All labels and field descriptors are stored as ID numbers on the SQL server and give no clues to content or meaning.</p>
<b>Personnel Security</b>	
<b>Access to Australian Government Resources</b>	<p>McNair yellowSquares agree to comply with the Government’s policies, standards, protocols and guidelines that safeguard Department resources from harm. McNair will seek agreement from their personnel granted access to Department resources to comply with the Government’s policies, standards, protocols and guidelines as outlined by the Australian Government’s Protective Security Policy Framework and any additional Security Instructions issued by the Department.</p>
<b>Interviewer Security</b>	<p>Interviewers are part-time employees of McNair and are bound by various conditions of employment, including a confidentiality agreement. Telephone interviewers have an IP protected login access to the survey system, which means that they cannot access data other than from within McNair’s premises. All transactions are logged, including every time that a respondent record is logged. Information tracked includes the time, the person accessing the record, and the transaction undertaken – such as looking at a record, altering a record etc.</p>
<b>Hiring Personnel</b>	<p>McNair’s assurances regarding suitability of personnel and the recruitment and training of interviewing personnel, including the requisite signed agreement to confidentiality stipulations is outlined within these specifications. Specific security undertakings for a project are addressed during briefing, including undertakings for respondent information and authorised access to resources. Checks for Australian citizenship are undertaken via the provision of Medicare card and/or driver’s licence evidence which is kept on file. If this cannot be provided both passport and relevant visa are required to be shown and the visa is verified via the Department of Home Affairs website. Additional training and security checks for staff, are addressed as required.</p>
<b>Hiring Personnel Departing Personnel</b>	<p>McNair yellowSquares applies considerable care to the selection of interviewing personnel experienced in dealing with sensitive privacy issues. Controls that limit access to specific personnel with need, and denying access to departing personnel, are also implemented.</p>
<b>Confidentiality</b>	
<b>ISO 20252</b>	<p>McNair yellowSquares has meaningful mechanisms in place to ensure security standards applicable to market and social research by operating a management system which complies with the requirements of ISO 20252:2012. McNair’s current certification is valid until August 2020. ISO 20252:2012 demands adherence to the highest quality standards required to achieve accuracy and completeness of information and controls processing methods that will safeguard the integrity of information.</p>
<b>AMSRO</b>	<p>Membership of AMSRO requires accreditation to the International Standard for Market and Social Research, ISO 20252. All AMSRO member organisations adhere to the Privacy (Market and Social Research) Code 2014. The Code sets out how the Australian Privacy Principles (APPs) in the Privacy Act are applied and complied with by AMSRO members in relation to the collection, retention, use, disclosure and destruction of personal information in the market and social research industry.</p>
<b>Privacy Act</b>	<p>McNair yellowSquares is committed to compliance with principles and legislations governing the research industry through adherence to codes and standards of AMSRS and to the Privacy Act and Principles. McNair Privacy Policy is publicly available via their website, <a href="http://www.mcnair.com.au">www.mcnair.com.au</a> and has recently been amended to include a statement regarding the Privacy Amendment (Notifiable Data Breaches) Act 2017.</p> <p>We have also implemented policies that enable us to comply with the Cybercrime Act (2001) and Spam Act (2003)</p>

<b>Respondent Reassurance</b>	All approaches to respondents include a brief description of the principles of respondent confidentiality, the general research purposes for which the data may be used and advice that co-operation is voluntary in compliance with ISO 20252.
<b>De-Identifying Data</b>	On completion of surveys a database of results is created which removes personal identifiers, unique variables and descriptive variables that would allow an identity to be inferred.
<b>Interviewer Training</b>	McNair yellowSquares has in place policies and procedures for training, observations, appraisals and validations of supervisors and fieldworkers, including obligations regarding confidentiality, in accordance with the requirements of accreditation under ISO 20252 and the Privacy Act. Additional training is provided for interviewers or supervisors who require further expertise in specific interviewing methods including trauma training for dealing with trauma and torture survivors. Translating ability is tested by a native speaker. Additional checks are undertaken as appropriate, including Working With Children and police checks. Training for interviewers is continuous with a five minute training session prior to the commencement of the daily interviewing shift. All staff undergo regular cybersecurity training conducted by our ISO27001 accredited IT provider, Sensible Business Solutions.
<b>Interviewer Briefing</b>	Briefing sessions by senior staff reiterate for interviewers the responsibility for protecting confidentiality, integrity and availability of participant details and any related data sets in line with McNair yellowSquares Privacy Policy and the Privacy Act 1988.
<b>Validations</b>	All interviewing is fully supervised and regular monitoring of calls either via live-monitoring or call-backs is performed in compliance with ISO 20252. Validation records are kept in compliance with ISO 20252 and verified by ISO 20252 surveillance audits.
<b>Confidentiality Deeds</b>	All employees sign confidentiality agreements upon commencement, and this is verified by ISO 20252 certification and audits.