UNIVERSITY OF PRETORIA
Department of Institutional Planning

SURVEY POLICY

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1.   Purpose

The University participates in internal and external surveys to collect data from prospective students, current students, alumni, faculty, professional services staff members and other University Stakeholders for academic, institutional, marketing and administrative purposes.

The purpose of the Survey Policy is to ensure that:

- we follow a standardised approach to the way in which we deal with surveys at the University;
- surveys reflect the University's high research standards;
- data collection is not duplicated, population samples are not compromised through overlapping surveys and University Stakeholders are not over-surveyed;
- surveys adhere to the University's information governance rules and that Institutional Information is kept confidential (where appropriate); and
- outcomes are disseminated and used appropriately, both internally and externally.

This Policy must be read with the University's Research Policy and information governance policies.

2.   Scope

This Policy applies to all internal and external parties who would like to survey University of Pretoria (UP) staff, students, alumni and other University Stakeholders. A survey is a means of collecting data using structured or semistructured instruments that may be written, oral (including face-to-face, telephone or focus groups) or online modes of questioning and data collection, including collection of Institutional Information.

Surveys within the scope of this Policy include:

- internal quality assurance surveys (e.g. surveys conducted for quality audit purposes or by individual faculties and professional services departments in respect of student success, teaching and learning, to evaluate staff, student or alumni perceptions of aspects of their University experience);
- surveys requested or sponsored by external parties, including government departments or agencies, campus companies and external individuals or entities;
- internally sponsored market research surveys (e.g. surveys conducted with students and prospective students, graduates and alumni concerning consumer behaviour and purchase intent);
- internal managerial surveys in respect of staff, students or alumni to determine attitudes and opinions (e.g. satisfaction surveys, climate surveys and staff/student perception surveys);
- market quantification surveys and competitor analysis whereby inputs are requested from other local and international institutions and organisations;

- surveys involving aggregated student and staff data collected for internal or external benchmarking exercises;
- surveys conducted on services within the University or surveys of students on the effectiveness of learning management systems or for purposes of the scholarship of teaching and learning;
- surveys conducted by internal and external students or academic staff in connection with their academic research studies or any related studies; and
- surveys regarding any professional services provided by UP, UP contractors or UP service providers (e.g. services of architects etc.).

Surveys that fall outside the scope of the Survey Policy include the following:

- Surveys conducted by individual academic staff with students enrolled in their modules and study programmes as part of internal processes to assess or assure the quality of learning and teaching.
- Simple course feedback surveys with low impact (such as those soliciting feedback from participants at the end of an education or internal training programme).
- Surveys conducted by University staff on a small scale to obtain immediate feedback from UP stakeholders on the operation of the University, service provision surveys by the University or evaluation and feedback surveys on an event.

3. Consequences of noncompliance

3.1. For the University

Noncompliance with this Policy could lead to substantial fines for noncompliance with data protection legislation (e.g. POPIA), an inability to collect survey data due to low response rates or reputational damage from poorly designed surveys. Reputational damage could harm relationships with key stakeholders and investors and negatively affect the University's appeal to top-class researchers, funding providers, employment candidates and prospective students.

3.2. For University of Pretoria staff and students

Failing to comply or failing to report noncompliance with this Policy may lead to disciplinary action.

3.3. For external organisations or individuals

External organisations and individuals who fail to comply with the Policy will lose their access to survey information and may face legal action.

4.   Policy statement

It is our Policy to:

- follow the formal approval process for Surveys;
- respect the dignity and autonomy of UP stakeholders*;* and
- comply with the University's information governance policies when we manage data generated by Surveys.

4.1.   Follow the formal approval process for surveys

All survey applications must be submitted to the Market Research Office, which will oversee the application process. First, the Market Research Office will send the application to the Survey Coordinating Committee. Once the Survey Coordinating Committee approves the survey, it may also need ethics approval. When all the necessary approvals have been obtained, the Market Research Office will ensure that the survey is registered. Finally, it will allocate a fieldwork date to researchers and oversee the distribution of the survey links at the University (where appropriate).

4.1.1.   Market Research Office

All internal and external survey requests must be submitted to the Market Research Office. Applicants must provide all necessary supporting documentation, including their research proposal if the survey is part of a research project or an institutional market survey proposal.

All applications for ethics approval must be made on the PeopleSoft Ethics Application and Approval System.

4.1.2.   Approval by the Survey Coordinating Committee

The Market Research Office will submit the Surveys to the Survey Coordinating Committee for approval.

The Survey Coordinating Committee will consider:

- the potential value (to both the University and the applicant) of the data to be collected;
- the quality of the data to be collected;
- whether the survey complies with the University's Information Security Management Policy and the Protection of Personal Information (Privacy) Policy;
- whether the proposed research methodology adheres to the information governance rules of the University;
- whether the survey requires ethics approval;
- the volume and range of Surveys taking place within a specific target population in the scheduled period;
- the potential impact of the survey on the UP population;

- the possible duplication or redundancy of information to be solicited from survey respondents;
- whether the required information could be obtained from existing data sources;
- the proposed method for ascertaining, for example, whether sufficient responses have been obtained from a subsample of the targeted sample;
- the dissemination of information – who will have access to the information and where the results will be published, for example academic journals, University publications and management documents; and
- how the data obtained will be stored, protected and later disposed of and whether the method complies with UP's Records Management Policy.

4.1.3. Ethics approval of proposed research projects

Surveys performed as part of research activities are also subject to the Research Policy and will require approval from the relevant research ethics committee. Both Surveys performed by the University's researchers and by external researchers must have ethics approval from an appropriate UP research ethics committee, and applications for such approval must be submitted via the PeopleSoft Ethics Application and Approval System.

The relevant research ethics committee may not grant ethics approval without the prior approval of the survey by the Survey Coordinating Committee.

4.1.4. Registration of surveys

Once the project has been approved by the Survey Coordinating Committee and the relevant research ethics committee, the Market Research Office will register the project. The project will be displayed in the Survey Register, showing the contact details of the principal applicant and brief project details.

4.1.5. Timeframe for seeking approval

Applications for approval of proposed Surveys must be submitted at least two months before the intended date of issuing the Survey to its intended recipients.

4.1.6. Marketing of surveys

Only online institutional Surveys requested by the UP Executive Team will be hosted on the University's official student and staff portals. No other internal and external Surveys (academic research Surveys or any other type of survey) may be distributed or marketed on the UP student or staff portals. Online institutional Surveys will only be hosted on the UP portal after the Survey Coordinating Committee grants formal permission.

4.2. Respect the dignity and autonomy of University of Pretoria stakeholders

Incentives may not be offered for participating in Surveys.

4.3. Comply with the University's information governance policies when we manage data generated by surveys

4.3.1. Information management

We must ensure that we only share Personal Information used, transformed or produced by the University if the sharing is legally and ethically justifiable. The requirements for sharing Personal Information with third parties are governed by the University's Information Security Management Policy.

4.3.2. Privacy protection

The University follows the privacy protection principles set out in the POPIA and other data protection regulations.

In managing Surveys and sharing survey data, it is vital to adhere to the Protection of Personal Information (Privacy) Policy.

4.3.3. Survey distribution

External surveys

The Personal Information of UP stakeholders will not be shared with external researchers (organisations or individuals) to protect the privacy of these stakeholders. If Personal Information is required to distribute the survey links or survey invitations to participate in research studies, the Market Research Office will distribute the Surveys on behalf of the external parties. The survey results will only be made available in a deidentified form.

If the University appoints external market research service providers to conduct Surveys on its behalf, the necessary confidentiality contracts (nondisclosure agreements) must be completed before any information will be shared.

Internal institutional and academic-related surveys

Internal Surveys will be distributed by the Market Research Office and Alumni Office and survey links will be published on the intranet.

4.3.4. Dissemination of survey information

Internal institutional survey reports

The information gathered from institutional Surveys conducted primarily to provide management and marketing information, which is used as input for specific strategic objectives, is treated as confidential information. Those results must not be published or presented outside the University without formal approval from the Survey Coordinating Committee. The intention to publish data should be indicated, in advance, in the research proposal that the Survey Coordinating Committee approves.

Refer to the University's Information Governance Policy for more detailed information.

Academic survey reports

The information gathered from Surveys in academic research projects is also confidential. Findings may only be published in appropriate academic journals and on similar platforms. As above, the intention to publish data should be stated in advance in the research proposal that the Survey Coordinating Committee approves.

Refer to the Intellectual Property Policy for more detailed information on when intellectual property may be shared or published.

Market Research Office

Applicants must send a final copy of the research findings of their survey to the Market Research Office in the Department of Institutional Planning. If critical findings can be used for strategic planning and monitoring, the Market Research Office will distribute those findings to the relevant parties within the University.

5. Definitions

Policy	A policy is a set of principles that guides our actions.
The University	The University of Pretoria.
Surveys	Collecting data using structured or semistructured instruments that may be written, oral (including face-to-face, telephone or focus groups) or online modes of questioning and collecting data. It also includes collecting Institutional Information.
UP students	Any prospective, current or graduate student who has a UP student number.
UP staff	All temporary and permanent UP staff members.
Institutional information	All data, records and knowledge in electronic or any other format that forms part of the intellectual capital used, transformed or produced by the University. These include public, private, confidential and Personal Information as defined in the Information Governance Policy.
Personal information	Personal information means any information relating to an identifiable individual (living or deceased) or an existing organisation (a company, public body, university, etc.). This

	includes the personal information of all UP Students, UP Staff, job applicants, research participants, funders, service providers, contractors, suppliers, members of the public and visitors. Refer to the information governance policies for a detailed definition.
POPIA	The Protection of Personal Information Act 4 of 2013 and its regulations.
University stakeholders	In this context, stakeholders are registered students, current staff, University alumni and members of the wider University community, for example employers of graduates, prospective students, school staff and parents, donors and government, semi-government organisations and private organisations.
Survey Register	The Survey Register contains a schedule of approved surveys to assist the University in keeping track of the number, range and timeframes of surveys under the remit of the Survey Coordinating Committee. The register is maintained by the Market Research Office in the Department of Institutional Planning.
Information governance policies	All policies that govern information. This includes policies on: • the POPIA or other data protection legislation; • information security; • sharing of personal or confidential information; • information incident management; • records management; and • research data management.

6. Roles and responsibilities

The Registrar	The Registrar has overall accountability and responsibility to ensure that all institutional policies are managed responsibly within the University.
Survey Coordinating Committee	The Survey Coordinating Committee is responsible for determining the procedures for the approval, selection, registration and management of surveys within its scope. The Survey Coordinating Committee must: • determine and maintain the criteria for selection, approval and registration of surveys within its scope;

	- decide whether to grant applicants access to survey populations, particularly those for whom the University is directly responsible, and the conditions under which the population details (such as demographic and contact details) are held and managed; - decide whether the survey instrument, platform (electronic or paper-based) and method of distribution within UP are appropriate; - apply relevant information and privacy laws related to the survey; - determine the conditions under which external agencies contracted to the University for survey purposes may have a meaningful impact on conducting surveys, including confidentiality, ethical principles and information security management; - monitor the way that survey data and reports are managed internally, including issues of access, confidentiality and intellectual property; - place reasonable limits on the volume of survey requests that the University makes of individuals or cohorts and develop a protocol for giving effect to this policy; - develop procedures for monitoring the number and type of surveys undertaken; - develop procedures for collecting, storing and disseminating survey data and findings that comply with the University's information management policies; - approve surveys; and - evaluate whether the appropriate infrastructure and capacity exist within the applicant's department to support the rigour of the research project (design and development, and data collection, capturing, analysis and interpretation) and the logistical support associated with the roll-out of the proposed research project. The Survey Coordinating Committee consists of the following members: - The Registrar (chairperson and coordinator). - The Vice-Principal: Research. - The Vice-Principal: Institutional Planning, Monitoring and Evaluation. - The member of staff in the Department of Institutional Planning responsible for coordinating market surveys in the University. - The committee has the right to co-opt additional members or invite other staff members to participate in the evaluation of surveys.

Deans and directors	The deans and directors must implement this policy, create or align other policies in their business areas with this policy, and monitor and advocate for compliance within their professional services departments or faculties. Deans and directors must ensure that: • a skilled senior staff member in the faculty or professional services department is appointed to oversee the distribution of approved surveys in the professional services department or faculty; and • the professional services department or faculty complies with this policy.
Department of Institutional Planning	The department provides statistical and management information relating to various external and internal stakeholders within the University. Access to the data of the student, staff and alumni populations is only permitted with the support of the Department of Institutional Planning. The required data will only be made available after a project has been approved by the Survey Coordinating Committee and has been granted the necessary ethics clearance.
Market Research Office	The Market Research Office acts as the single entry point for all the survey applications in the University. All internal and external survey requests must be submitted to this office. The office is responsible for the administration of the survey application process, the registration of surveys and the overseeing of the survey processes in UP. The office is, furthermore, responsible for collecting and distributing the final survey reports within the University.e The Market Research Office in the Department of Institutional Planning is responsible for: • internal and external market research studies amongst major stakeholders; • co-ordinating surveys in the University and acting as the single point of entry for survey applications; • administration of the University's Survey Register; • offering market research services and support to the professional services departments and faculties; and • supporting external surveys commissioned or sponsored by external government departments or agencies, external individuals or external entities.

7.   Associated documents

Information Governance Policy

Information Security Management Policy

Intellectual Property Policy

Language Policy

Protection of Personal Information (Privacy) Policy

Records Management Policy

Research Policy

8.   Policy life cycle

This policy must be reviewed at least every five years. The current policy will remain in effect pending final approval of any amended or replacement policy.

9.   Document metadata

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