

UNM OFFICE OF ACADEMIC AFFAIRS SURVEY STANDARD

Overview

Rationale

The UNM Office of Academic Affairs recognizes surveys as important means for collecting information that can maintain and assure educational quality, enhance institutional effectiveness, and improve student satisfaction. A survey is defined as a gathering of information through questionnaires, interviews, etc. to make inferences about a population. The increasing requirement – internally and externally – for understanding stakeholder experiences and for measuring outcomes means a continuing need for such surveys. It is essential that all surveys, particularly those that are high-profile, provide reliable and meaningful results. Survey proliferation raises the concern that survey effectiveness will be seriously reduced if the target populations are faced with too many requests. The purpose of this standard is to ensure that the surveys are conducted in a manner that minimizes redundancy and frequency of surveys and follows widely accepted standards for survey deployment in order to maximize their benefits.

In order to achieve these goals, surveys originating from the UNM Office of Academic Affairs and units/divisions reporting to Academic Affairs will be coordinated through the Office of Institutional Analytics (OIA). This standard defines the coordination procedures for these surveys. OIA serves as the University of New Mexico's survey clearinghouse. All Office of Academic Affairs surveys intended for distribution to UNM students must be approved by OIA using the procedures described herein.

OIA approval is not required for (a) faculty-supervised survey research that contributes toward students' academic progress, (b) evaluation of an event by participants, (c) feedback from clients at the point of service, (d) teaching evaluation forms, or (e) forms used to collect information for administrative purposes (e.g. scheduling).

Approval by OIA to administer a survey is not a substitute for a review by the Institutional Review Board (IRB). If a survey research project is subject to review by the IRB, approval is required before it can be administered within the unit.

Surveys may be administered using paper and pencil, phone, or electronic format. Regardless of the method used, all Office of Academic Affairs surveys must be approved by the Office of Institutional Analytics before the survey can be administered, except for those specifically exempted by this standard.



Acceptance of authorization to administer a survey establishes an obligation on the part of the researcher to use these data responsibly. This responsibility includes the obligations to not distribute the data to others in or outside of UNM, unless the researcher is an authoritative source for and an authorized distributor of the data and the recipient is authorized to receive the data by the respective data steward. In addition, a person who receives personally identifiable information will be responsible for that information and must agree to adhere to University of New Mexico policies for handling data. University of New Mexico's Data Governance and related policies may be viewed at: <http://data.unm.edu/>.

UAP 2580 ("Data Governance")

UAP 2500 ("Acceptable Computer Use")

UAP 2520 ("Computer Security Controls and Access to Sensitive and Protected Information")

UAP 2550 ("Information Security")

UAP 2560 ("Information Technology Governance")

Information Technology Standard for UNM Data Classification

UNM Sensitive Information Stewardship and Confidentiality Statement

Procedures

THE APPROVAL PROCESS

Individuals and offices wishing to administer a survey that is covered by the survey standard must first obtain approval from OIA.

To obtain approval to administer a survey, the individual must provide the following information at least 10 business days in advance of the proposed survey launch date. More details may be found on the OIA website (<http://oia.unm.edu/surveys/student-surveys-at-unm.html>) Information required for the application includes but is not limited to:

- The title of the survey.
- The person and unit responsible for the survey.
- Description of the survey project, including the purpose and intended use of results;
- Specific population to be surveyed and projected sample size;
- A description of the proposed sample and rationale for sample selection.
- A description of the authentication method to be employed to prevent duplicate or falsified responses.
- The intended method of survey administration (e.g., online or hard copy, via email, in class, at event, etc.).



- The proposed survey administration schedule:
 - (a) dates the survey will be administered, including dates for any reminder notifications and pre- or post-notifications to encourage participation
 - (b) frequency of survey administration (e.g., annually, biannually)
- A description of any planned incentive program for respondents.
- An explanation of how the surveyor will ensure voluntary participation and address issues of confidentiality and anonymity.
- Acknowledgement that university survey administration and analysis must comply with all privacy standards, such as the Family Education Rights and Privacy Act (FERPA); the Health Insurance Portability and Accountability Act (HIPAA); UNM standards for confidentiality of employee, student, and faculty data; UNM policies on human subjects protection in research; and UNM accessibility policies.
- A draft of any proposed survey communications (e.g., invitation to participate, reminder, thank you). Communications must address issues of confidentiality and anonymity, as well as the voluntary nature of the survey.
- Current draft of the survey, all invitations, and cover letters.
- Evidence of IRB approval (if required);

Applicants must submit the completed Survey Request Form to OIA or via email to oia@unm.edu. If a recurring survey has been approved in an earlier year, it will be necessary only to submit information about the proposed administration dates. Surveys that had been approved in prior years, but that have been significantly changed must be re-approved.

OIA will consider the following criteria when reviewing university survey proposals. Prior to approval, OIA will offer recommendations for any actions needed to bring the university survey into alignment with these criteria.

- Relevance to university mission, values, and strategic plan(s)
- Minimal burden on campus constituents. Are there other data available that will allow the survey (or sections of the survey) to be avoided?
- Usefulness of data to inform university decisions. Does the survey provide information useful for planning or improving services?
- Efficient use of University resources: Can the proposed survey be combined with other scheduled surveys?
- Value to the broader population of campus constituents
- Clarity and functionality of survey and related communications. Is the survey well-designed and of an appropriate length? Does it follow sound survey methods and practices? Are the questions easily understood and interpreted? Is the purpose of the survey clear and is it explained to the perspective participants?



- Compliance with PII, HIPAA, FERPA, University standards for confidentiality and information security, University policy on Human Subjects Protection in Research, and University accessibility policies.
- What is the target population? Will the entire population or a sample be surveyed?
- Describe how the rights of prospective participants are explained.
- What actions will be taken to ensure the confidentiality of the responses?
- When will the survey be conducted? What is the optimal timing to ensure it does not compete with other college surveys and activities?
- How will the results be used?
- Will the findings be disseminated to appropriate college audiences? Who will have access to the information and will it help them make better decisions as a result?
- Has the Institutional Review Board or Human Research Protections Office approved the project (if necessary)?

D) Upon approval, the university survey will be added to the university survey calendar maintained by OIA (<http://oia.unm.edu/>).

E) All Office of the Provost surveys must include the following notation: “Approved by UNM Office of Institutional Analytics *and the date of approval*”.

The OIA’s website (<http://oia.unm.edu/>) will provide guidance on sampling, structuring of survey items, and follow-up reminders. Staff in OIA will provide feedback to the applicant, either approval of the survey project as is or a change notice with feedback regarding specific changes needed for approval.

If resources permit, Office of Institutional Analytics will also consider requests for consultation and assistance with the development, administration, and analysis of focused surveys.

Standard for Conducting Office of the Provost Surveys

All Office of the Provost surveys conducted at University of New Mexico should adhere to the following:

The Rights of Respondents

- The survey form must include contact information (name, email address, telephone number) should the respondents have any questions about the content of the form or about the use and/or publication of survey results.
- All participants must be notified that their participation is voluntary.
- Respondents must be notified in advance if data collected will not be anonymous.
- Respondents must be protected from risk of unreasonable harm, including any risks regarding confidentiality or privacy.



- If your survey or data analysis will include academic or contact information for University of New Mexico students, you may be subject to Federal Family Educational Rights and Privacy Act (FERPA) regulations. Non-public student data can be used without the student's consent by college employees for "legitimate educational" purposes provided the data are not reported in such a way that individual students can be identified. All other users must receive written consent from the students to access non-public student data. To learn more about FERPA, contact the Registrar's Office at (<https://registrar.unm.edu/contact-us/index.html>)
- Surveys that request individual health information may be subject to HIPAA (Health Insurance Portability and Accountability Act). For more information please view the HSC Compliance Office (<http://hsc.unm.edu/admin/compliance/HIPAA.html>) or contact the HSC Compliance Hotline 1-888-899-6092
- A summary should be made available on request to persons who completed the survey.
- Respondents should be informed if the data or survey results will be published or distributed, including whether individual responses will appear in the published results.
- In some circumstances, data may be confidential and may not be made available publicly or to the respondents. Any such limitation should be made clear to respondents at the time the survey is conducted, as well as within the report itself. When restrictions apply, publication and/or presentation of survey results must honor the stated restrictions.
- If subjects are promised anonymity and a login is required to access the survey (e.g., NetIDs or BannerIDs), the researcher must ensure that login information will not be collected and stored in a way that it can be connected to survey results.

Sponsorship

- All Office of the Provost surveys should clearly identify the group or person who is conducting the survey.
- The use of the name "University of New Mexico" on a survey instrument or cover letter suggests an official survey being conducted by the university. If you plan to use the name on your survey, you must have approval from the appropriate individuals or offices (contact OIA for assistance).
- Information from previously administered surveys conducted by administrative offices, faculty committees, and other college committees are the property of UNM. However, the data steward for the researcher, department, unit, or committee responsible for conducting the survey must be consulted prior to the release and distribution of the survey's findings.
- The use of mass e-mailing lists to promote or distribute a survey to University of New Mexico faculty, staff, or students is limited to official surveys approved by the University of New Mexico administration. Appropriate individuals or offices must first approve these surveys. Please contact OIA for more information.

Confidentiality

- Personally identifiable information should be collected only as required in relation to the expressly stated purpose of research or a project.



- The use of prizes or other incentives to encourage participation typically requires the collection of personal information from the respondents (i.e., name or email address). If the respondents have been promised anonymity, collection of this information may appear to be a violation of the promise. Two methods are typically used to circumvent this apparent conflict:
 - Respondents can be assured that their participation and responses will be confidential, but not anonymous. In this sense, ‘confidentiality’ means that none of the information collected can be associated with a specific individual.
 - A double-blind procedure is developed in which a second party ensures that the analyst does not see any personally-identifiable information.

Data Security

Raw data from surveys are typically not shared with people outside of University of New Mexico except under special circumstances (e.g., a data-sharing consortium). If survey data are shared, (a) use should conform to University of New Mexico’s information security policy, (b) the data should not contain any information that will identify a respondent, and (c) data release must be approved by the appropriate data steward.

In addition, if survey data are released to a University of New Mexico student for a class project, the student must sign an Applicant Consent and Disclosure Authorization Form (available on the Web <https://hr.unm.edu/documents-and-forms>).

- If the survey is hosted by an off-campus site, the researcher is responsible for the security and privacy of the data. Thus, the investigator should ensure that the external host system provides security in both data transfer and storage (e.g., disassociation of responses from the ISP address, SSL encryption, and firewall and intrusion prevention technology). UNM researchers must store data in UNM-approved and licensed cloud storage platforms. Please consult the follow UNM policies on data security and computer security here:

Information security: <https://policy.unm.edu/university-policies/2000/2550.html>

Computer security: <https://policy.unm.edu/university-policies/2000/2520.html>

Student records: <http://www.unm.edu/~pathfind/campus-policies/student-records-policy.html>

Research Projects

Generally, the results of academic research are reported through outside publications or presented in forums that include individuals outside of the university. If your results will be published (including via the web), the IRB requires that you submit your survey instrument and research design for review before data are collected.

If a survey research project does not qualify as exempt under IRB standards, the proposal must proceed through the formal IRB approval process and will require additional time for review.

If you are unsure whether or not your survey requires an IRB review, consult the IRB Web page at <http://irb.unm.edu/> or the Human Research Protections Office (<http://hsc.unm.edu/research/hrpo>).



OIA may also request that a researcher submit a survey for review by the IRB before it is administered.

Survey Calendar and Scheduling

OIA will post a calendar of scheduled surveys that may be viewed on the OIA Survey Policies and Procedures webpage (<http://oia.unm.edu/>). Anyone requesting approval to administer a survey should consult the calendar before submitting a survey request. The availability of the survey on the Web is typically limited to 10 working days.

Use of the UNM Enterprise Survey Tool for Administering Web Surveys

UNM will provide an enterprise-level tool for survey administration. Currently, UNM uses Opinio, which will be available to offices, departments, committees, or student organizations requesting its use to collect information on campus programs or services. The use of this tool is mandatory.

Use of Email for Administering Surveys

Email may be safely used as a vehicle only to contact potential subjects, who may then be given the option to (a) print and return an anonymous survey via campus or surface mail, or (b) go to a web link to complete an online survey.

Survey Publicity

The survey requestor is responsible for initiating all publicity for their survey. Surveys can be publicized through media such as email, message boards, and posters. Notices and reminders by members of the staff (*e.g.*, residence advisors) and faculty (*e.g.*, department chairs) can also be effective.

Incentives

The University conducts research, including human subject research, and other non-research activities that require or benefit from participants taking part in the event. Non-research activities might include, for example, a student poster presentation or a staff survey for which prizes are provided to encourage participation. To compensate for participation, cash payments and non-cash incentives may be provided to participants if allowed by a contract or grant, or other University funding sources, and made in accordance with applicable laws, regulations, and University policies. Cash payments and non-cash incentives are collectively referred to as “incentives”.

(<https://policy.unm.edu/university-policies/2000/2480.html>)

Incentives provided to participants generally consist of checks, gift cards, or non-cash items. Typically, incentives are modest in amount, with a fair market value of less than \$100. All incentives should be carefully tracked and safeguarded. Cash incentives must be handled and accounted for in accordance



with UAP 7200 (“Cash Management”) and UAP 7210 (“Petty Cash Fund”). These policies also apply to gift cards, which are considered cash equivalents. All units must obtain prior approval from accounting in order to utilize and advertise incentives.

Assistance with Survey Development, Administration and Reporting

OIA will consider requests for assistance with the development, deployment and analysis of surveys conducted by academic departments, committees and task forces, and administrative units as time permits. Assistance with external projects (e.g., grant-related projects) conducted by University of New Mexico faculty and staff may also be considered, but these will be prioritized based on the calendar of activities supporting mandated state, federal, or executive leadership reporting obligations. OIA will deny a request for assistance if office resources are not available.

Sanctions for Violations

Failure to adhere to the standards relating to the use of surveys and survey data curation will result in both personnel disciplinary action as well as written notification to the Executive Vice President who is responsible for the specific unit or department.

Provost Survey Standards Review Cycle

This standard shall be reviewed at the beginning of each even-numbered academic year.

Origination Date: 9/2016

Owner: Institutional Analytics

Contact: Director of Institutional Analytics