Request to Conduct a Non-Standard Survey\*

of ANU Staff or Students

\* Please note, the term ‘survey’ in this instance also refers to one-on-one interviews and focus groups.

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| **A. REQUESTER DETAILS** | |
| Name |  |
| Position |  |
| Email for correspondence |  |
| Telephone |  |

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| What date would you like the survey to open? (DD/MM/YY) |  |
| What date would you like the survey to close? (DD/MM/YY) |  |

*Please note that a minimum of 20 working days is required for PPM approval (this is different to any initial consultation; early consultation with PPM Evaluations can often mean that the approval process is faster). More time may be required if endorsements are needed from other stakeholders (e.g. CISO, Privacy, Registrar, Access and Inclusion and/or Advancement). Applications submitted less than 20 working days prior to the anticipated survey deployment risk not being able to be deployed as scheduled.*

*Please also consider the timing of your survey relative to the scheduling of core surveys (SELT, SES, GOS, etc). PPM does not approve any non-standard surveys to run at the same time as* [*Semester 1 and 2 SELT survey windows*](https://unistats.anu.edu.au/surveys/selt/selt_timetable.php)*. This is considered a survey blackout period, with the purpose of minimising survey burden on students during a time that also coincides with exams. Please contact PPM Evaluations for more information about the timing of core surveys.*

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| **B. SURVEY BACKGROUND INFORMATION** | | | |
| 1. What is the name of your survey? | | | |
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| 2. What ANU school, college, division, or area is sponsoring the survey? | | | |
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| 3. What is the purpose of your survey? (in 100 words or less) | | | |
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| 4. What benefit to ANU arises from conducting this survey? (in 100 words or less) | | | |
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| 5. Has a version of this survey been run previously? | | | |
| Yes  No  If **No**, please go to question 6. | | | |
| If **Yes,** was this previous version of the survey approved by PPM?  Yes  No | | | |
| If **Yes**, please indicate the month and year the survey was deployed | |  |  |
| If **No**, please provide details of the outcomes and actions that followed from the deployment of the previous survey version: | | | |
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| 6. Have you reviewed existing data sources and/or alternative collection methods while preparing for the survey?  *That is, have you considered other information that could answer your questions, such as the use of existing survey data (e.g. SELT, QILT) or behavioural data (e.g. SAS)?* | | | |
| Yes  No  If **No**, please go to question 7. | | | |
| If **Yes**, please provide details of those sources or methods reviewed: | | | |
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| 7. If the survey is for academic research purposes, does it have Human Research Ethics Committee (HREC) approval?  *If you are unsure if your survey requires ANU HREC approval, please refer* [*here*](https://services.anu.edu.au/research-support/ethics-integrity/before-you-begin)*, or contact PPM by* [*email*](mailto:evaluations@anu.edu.au)*.* | | | |
| No, not for academic research purposes  Yes, ANU HREC approval  Yes, Pending ANU HREC approval  Yes, Other HREC approval  Yes, Pending Other HREC approval  If **Pending** or **Approved**, please provide your HREC application/approval number(s): | | | |
| 8. Does your survey have ANU Executive level endorsement?  *- ANU Executive level support is* ***typically required*** *for the purpose and intent of a survey. That is, support for the deployment of a survey within a certain timeframe rather than the specific detail of survey design, questions or administration.*  *- The level of Executive support required varies with the nature of the data collection. For example,*  *- School Executive support is required if only students in that School receive invitations*  *- College Executive support is required if students from more than one School in a College receive invitations*  *- University Executive support is required if students from more than one College receive invitations*  *- Director PPM may request evidence of a higher level of Executive support depending on the nature of the data collection* | | | |
| Yes  No  If **No**, please explain why Executive endorsement is not necessary.  If **Yes**, please attach any supporting documentation to this application (e.g. e-mail correspondence indicating endorsement), and provide a summary here: | | | |
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| 9. Is there a person or organisation collaborating with you on this survey? | | | |
| Yes  No  If **No**, please go to question 12.  If **Yes**, please provide detail of any collaborators internal or external to ANU: | | | |
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| **C. SURVEY DESIGN** | | |
| 10. Have you drafted the survey questions?  *Drafting survey questions before seeking approval will streamline the processing of your application.*  *Please note that substantial changes to draft survey questions after approval may require a new application. If you make changes and would like advice on whether a new application is required, please contact PPM Evaluations.* | | |
| Yes  No  If **Yes**, please attach to this application.  If **No**, please indicate why and when you expect to be able to submit the questions for consideration: | | |
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| 11. Have you taken steps to ensure that questions are accessible and inclusive?  *It is an axiom of organisational research that, “who is more important than how many”. It is also an axiom of organisational research that “who” can mean people are excluded due to disability, race, class or gender.*  *Ensure your data collection is accessible to all members of the ANU student community.* | | |
| Yes  No  If **Yes**, please briefly describe those steps:  If **No**, please indicate why such steps were not necessary: | | |
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| 12. Have you completed an information sheet to be distributed to survey respondents?  *An example of an online survey information sheet can be found* [*here*](https://services.anu.edu.au/education-support/education-data/anu-orientation-and-transition-survey)*. Please note survey information sheets are required to appear on the ANU Register of Approved Surveys (see* [*here*](http://unistats.anu.edu.au/surveys/other/register/)*).*  *Please consider how to make your information sheet accessible to students with a disability.* | | |
| Yes  No  If **Yes**, please attach to this application.  If **No**, please explain why there is no information sheet: | | |
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| 13. Will collected survey responses be anonymous or confidential? | | |
| Anonymous *i.e. collected survey responses will not be attached to any identifying information*  **OR**  Confidential *i.e. the responses collected will be attached to identifying information.*  If **Confidential**, how will you ensure the privacy of respondent data? If you are intending to link Confidential information to other ANU data, please provide as much detail as possible on the data linkage methods and privacy protections in place. | | |
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| 14. Will collected survey responses include free-text responses? | | |
| Yes  No  If Y**es**, what process(es) will you follow to manage responses that include, for example, identifying information (e.g. names) or reportable incidents (e.g. unacceptable behaviour)? *i.e. justify keeping the comments or how and when deleting/redacting identifying comments occurs* | | |
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| 15. How will respondents complete the survey?  *Please consider whether the ways students can complete the survey risks excluding some students.* | | |
| Paper  Online  Interview  Other  If **Online**, please detail the survey software and/or survey provider, as well as any other systems you may be using to support your data collection. For each system, please confirm:   * the survey software and/or other system(s) have been whitelisted by the CISO (if yet to be whitelisted, the CISO form may be found in Appendix A), * a Privacy Impact Assessment has been completed, and * the survey software and/or other system(s) meet the principles set out by [ANU IDEA](https://www.anu.edu.au/about/governance/committees/anu-idea-oversight-committee) (e.g., accessibility for students with a disability).   *PPM recommends the use of ANU licensed Qualtrics software which has been whitelisted by the CISO and has a PIA in place. Click* [*here*](https://services.anu.edu.au/information-technology/software-systems/qualtrics-0) *for more information* | | |
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| If **Other**, please provide details noting how the collection meets the principles set out by [ANU IDEA](https://www.anu.edu.au/about/governance/committees/anu-idea-oversight-committee): | | |
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| **D. SURVEY DEPLOYMENT**  *Please note that surveys seeking to use ANU generated student contact lists may need approval from the Registrar. Surveys seeking to use ANU generated alumni lists may need approval from ANU Advancements.* | | | | | | |
| 16. Which ANU student group(s) will be invited to take part in the survey?  *- Please provide as much detail as possible. E.g. commencing undergraduates within the ANU College of X* | | | | | | |
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| 17. Which approach will you take to surveying group members? | | | | | | |
| *Everyone in this group/these groups* (a census)  **OR**  *A subset of this group/these groups* (a sample).  *Please provide an estimate of how many students make up the group(s) you are approaching.*  *Please provide details of the approach to sampling, such as whether it needs to be representative (e.g. percentage of age groups), needs to achieve a certain number of people in a particular category (quota) or whoever responds (convenience).* | | | | | | |
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| 18. How will you contact the members of the groups you wish to survey? | | | | | | |
| If **you plan on using an open invitation** **and will not identify particular individuals,** please respond with ‘open invitation’ and go to item 16. *e.g. links hosted on a social media site or other web site or paper surveys available at a distribution point*  If you plan on sending **individual invitations to group members**, please summarise the source(s) of contact information and timing (initial invitation and reminders): *e.g. email addresses from student administration records held within a College.*  Please provide copies of invitations (e.g. e-mail with survey links in them) or advertisements (e.g. text for a post on a College Facebook page or flyers posted around campus)  *Please note, if you are intending to send an e-mail invitation you will need to notify ITS prior to survey deployment, as they may get ‘spam’ or ‘phishing’ inquiries. Contact PPM Evaluations for a template.* | | | | | | |
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| 19. Have you taken steps to ensure that students are not inadvertently excluded from participating?  *Ensure your data collection is accessible to all members of the ANU student community.* | | | | | | |
| Yes  No  If **Yes**, please briefly describe those steps:  If **No**, please indicate why such steps were not necessary: | | | | | | |
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| 20. How many people will be invited to take part in the survey? | | | | | | |
| If using an **open invitation and you do not know the number of people** who will view it, please go to item 16.  If you plan on sending **individual invitations to group members**, please provide as much detail as possible. *e.g. Invitations will be sent to 300 undergraduates within the College* | | | | | | |
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| 21. How many people do you expect will provide responses to your survey?  *Please provide as much detail as possible e.g. responses from 50 current students, 20 staff and 20 Alumni. It is better to be conservative in the proportion of people you expect to respond to your survey.*  *In doing so, please consider whether your activity will still be useful if only half of the number of students you expect actually respond. This is a valuable quality assurance practice that can help identify where a data collection might need to be revised to achieve an outcome of value to ANU (e.g. interviews rather than a survey).* | | | | | | |
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| 22. Who is responsible for the deployment of the survey and its administration when in the field? | | | | | | |
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| 23. Do you plan to offer lottery (including promotional draws or games of skill) based incentives for participants in the survey? | | | | | | |
| Yes  No  If **No**, please go to question 22.  If **Yes,**  (a) Do you require an ACT permit to administer the lottery process for the survey incentives?  Yes  No  *Not all lottery based incentives require a permit. To assess if you require an ACT permit click* [*here*](https://www.gamblingandracing.act.gov.au/industry/lotteries?SQ_DESIGN_NAME=spf2&SQ_ACTION=set_design_name)*.*  (b) Who will conduct the lottery? Please provide detail: | | | | | | |
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| 24. How many reminders (and if using, the frequency) do you plan to run for the survey? | | | |  | | |

*Please minimise the number of reminders as survey fatigue is driven by the volume of invitations and reminders people receive.*

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| **E. STORING, ANALYSING AND REPORTING SURVEY FINDINGS**  *Any provision of staff, student or applicant data to external parties requires review by the Registrar and Privacy Officer. You may wish to contact the ANU Legal Office for advice on Data Services Agreements or the legal circumstances for data stored outside Australia.*  *If stored on a digital platform, please provide evidence each platform used to store data has been approved by the Chief Information Security Officer (CISO). The information needed by the CISO to assess platforms is in Appendix A of this form.* |
| 25. How will collected survey data be stored…  …while the survey is in the field?  *Please provide detail regarding security, storage location, who will have access to data, and how long data will be stored in this location. If external parties are involved, please provide evidence of review by the Registrar, CISO and/or Privacy Officer.* |
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| …after the survey has closed?  *Please provide detail regarding security, storage location, who will have access to data, and how long data will be stored in this location. If external parties are involved, please provide evidence of review by the Registrar, CISO and/or Privacy Officer.* |
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| 26. Who will be conducting analysis/benchmarking on the survey data? |
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| 27. How will you disseminate the results of the survey?  *Please note, as a condition of approval, you will need to* ***provide PPM with a copy*** *of final reports/results to appear on the ANU Register of Approved Surveys (see* [*here*](http://unistats.anu.edu.au/surveys/other/register/)*). Access to the final report provided to PPM can be limited, such that it can made available only upon request and only to those who satisfy access conditions* |
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| 28. To whom will you disseminate the results of the survey? |
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| **E. ATTACHMENTS TO THIS REQUEST** *(please select)* | |
|  | Executive endorsement supporting documentation *(question 8)* |
|  | Draft survey questions *(question 10)* |
|  | Survey information sheet for respondents *(question 12)* |
|  | Evidence of any required additional endorsements (e.g. CISO or ACT Permit) (*questions 15, 16, 24, 26 or 27*) |

**Appendix A: ANU ICT Security Questions**

**Please delete from your application**

*Upon completion, please send to* [*CISO@anu.edu.au*](mailto:CISO@anu.edu.au) *for review and include the outcome as an attachment to this application.*

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| # | Assessment | | Response |
| 1 | **Cloud and data sovereignty** | | |
| 1.1 | Describe the third party cloud deployment model – Public/Private etc.? | |  |
| 1.2 | Where are all data centres located – including country? | |  |
| 2 | **IT and Security Governance** |  | |
| 2.1 | Is the cloud service certified and compliant with ISO27001? | |  |
| 2.2 | Do you comply with any industry standards? Please specify which standards. | |  |
| 2.3 | Do you have Change Management systems/procedures? | |  |
| 2.4 | If the service is located within Australia, have you implemented Australian Signals Directorate (ASD) Essential 8 mitigation strategies? Particularly: to limit the extent of cyber security incidents and to recover data and system availability | |  |
| 3 | **Network security & Architecture** |  | |
| 3.1 | Describe the security architecture and technologies in place. | |  |
| 3.2 | Do you support encryption in transit and at rest? Specify encryption standard supported and key management system used | |  |
| 3.3 | Are there any remote access solutions in place? | |  |
| 3.4 | Is multi-factor authentication in place for remote access and BYOD? | |  |
| 4 | **Data Security, Application security and access control** |  | |
| 4.1 | What is the highest classification level that you are certified to? | |  |
| 4.2 | What access control method is used (e.g. RBAC)? | |  |
| 4.3 | Is single sign on supported? | |  |
| 4.4 | Are there separate types of accounts for privileged and unprivileged functions? | |  |
| 4.5 | Are additional security requirements enforced for privileged functions? | |  |
| 4.6 | Website authentication settings (e.g. password policy, 2FA requirement/support) | |  |
| 4.7 | How is data segregated from other customers? | |  |
| 4.8 | Are reviews of user access and privileged access performed regularly and how often? | |  |
| 4.9 | Can data be obtained in a customer’s agreed format? | |  |
| 4.10 | Upon a customer’s request, can data be deleted securely and how is it certified? | |  |
| 4.11 | Upon contract termination, is data securely returned to the customer and securely destroyed? | |  |
| 4.12 | Are secure programming practices followed? | |  |
| 4.13 | Are the Open Web Application Security Project (OWASP) Top 10 followed? | |  |
| 4.14 | Have any security code reviews been completed? | |  |
| 5 | **Threat & Vulnerability Management** |  | |
| 5.1 | Is vulnerability and penetration testing performed regularly? Can the reports be shared? | |  |
| 5.2 | Are remediation strategies implemented based on criticality? Please specify timeframe for remediation for Critical, High, Medium and Low criticality. | |  |
| 5.3 | Do you allow the customer to run independent penetration testing exercises? | |  |
| 5.4 | What Malware controls (AV,HIPS, etc) are in place? | |  |
| 6 | **Incident Management and Handling** |  | |
| 6.1 | Do you have an incident response policy or procedure in place? | |  |
| 6.2 | Is there a procedure for data and security breach notification? | |  |
| 6.3 | Do you investigate data breaches and implement remediation activities? | |  |
| 6.4 | Do you notify customers of all security incidents – e.g.:   * Unauthorised access * Availability impacts * Data loss | |  |
| 7 | **Resiliency & Capacity Management** |  | |
| 7.1 | Is the system highly available – provide details of high availability? | |  |
| 7.2 | Are backups done regularly and tested? | |  |
| 7.3 | Where are backups stored – onshore or offshore? | |  |
| 7.4 | How is capacity managed and monitored? | |  |
| 8 | **Logging and monitoring** |  | |
| 8.1 | Are system, audit and security activities logged? | |  |
| 8.2 | What is the log retention policy and period? | |  |
| 8.3 | Are audit logs reviewed regularly? | |  |
| 8.4 | Is anomalous behaviour monitored and reviewed? E.g.:   * Successful/failed login attempts * Privilege escalation | |  |
| 9 | **Privacy** |  | |
| 9.1 | Do you provide assurance that data will be handled in accordance with the Australian Privacy Principles (APPs)? | |  |
| 10 | **Personnel security** |  | |
| 10.1 | Are criminal history checks for employees in place? | |  |
| 10.2 | Are there policies and procedures in place for user access provisioning and de-provisioning (in case employees with privileged access leave the organisation)? | |  |
| 11 | **Physical security** | |  |
| 11.1 | What physical security is in place at locations where data is stored or accessed? | |  |
| 12 | **Sub-Contractors** | |  |
| 12.1 | Please provide details of any sub-contractors that will also store and process our information as part of providing the service | |  |