

UDE SURVEY: TEACHING STAFF SURVEY

INFORMATION ON DATA PROTECTION

AS OF: NOVEMBER 2023

1. Basic information

1.1 Legal basis

The University of Duisburg-Essen (UDE) has a legal duty to ensure and enhance quality by evaluating teaching and learning, which is a duty all members and employees of the University are required to contribute to (see Section 7 (2) and (4) of the Higher Education Act (*Hochschulgesetz NRW*; [HG NRW](#)) dated 16 September 2014 in combination with Article 6 (1) (1) (a) and Article 6 (1) (e) of the General Data Protection Regulation ([GDPR](#))). Against this backdrop, UDE's 'Regulation on procedures for quality management and quality assurance in the field of studying and teaching and for evaluation purposes' ([QM-Ordnung](#)) dated 18 April 2017 stipulates, among other things, that members of the University be surveyed.

1.2 Purposes of the data processing

The use of surveys allows UDE to systematically check, assess and continuously develop the quality of teaching and learning. This approach yields evidence-based insights that help fulfil the statutory requirements with regard to quality and diversity management as stipulated in Section 7 (2) in combination with Section 3 of the [HG NRW](#). This enables UDE to perform its duties in the field of higher education in a targeted and effective manner. By means of surveys among the members of the University, individual and institutional factors affecting academic success can be identified, for example, in order to implement targeted measures for enhancing the conditions of teaching and learning. In this context, the findings from the surveys are used, for example, to create sustainable study conditions that enable more students to gain a higher education degree irrespective of their personal circumstances upon entering university and ensure they are prepared for their future professional life in the best possible way. The surveys provide insights regarding the diversity of the University's members that effectively contribute to the fulfilment of the University's duties relating to equal opportunities, inclusion and discrimination-free participation.

1.3 Responsibility

UDE's Centre for Quality Enhancement and Teaching Development (ZHQE) is responsible for managing the survey samples, conducting the survey and analysing the datasets relating to the University.

Contact details:

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Zentrum für Hochschulqualitätsentwicklung
Keetmanstraße 3-9, 47058 Duisburg
Phone: +49 203 379 7006
Email: zhqe@uni-due.de

1.4 Name and contact details of the Data Protection Officer

UDE's appointed Data Protection Officer is:

Universität Duisburg-Essen
Dr. Kai-Uwe Loser
Forsthausweg 2, 47057 Duisburg
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Email: kai-uwe.loser@uni-due.de

2. Anonymity

The respondents' answers to this survey must be processed as quickly as possible in such a way that no inferences about their identity are possible, i.e. that the answers remain anonymous. To guarantee this, attention must be paid to both technical and organisational matters, as well as the number and content of personal questions posed to the participants.

3. Organisation and implementation

3.1 Sample management

The Digital Transformation and Academic Controlling Division (DTAC) provides an academic staff member of the ZHQE with data on the target group for sampling and contacting purposes. DTAC provides the file containing the information on the target group necessary for sample management in encrypted form. The list below contains the information sorted by purpose.

Purpose: calculating the population and checking for representativeness

- faculty
- position
- gender

Purpose: contacting

- email address

3.2 Procedure

Invitations and reminders to complete the online survey are initially sent by email. The email addresses provided by DTAC are used for this purpose. In total, a potential respondent is contacted a maximum of four times (one invitation and up to three reminders). It is possible to object to being further contacted with survey invitations at any time.

With each initial contact, the individuals invited are informed about data protection measures in the context of the survey. Respondents must actively give consent to these measures in order to participate in the survey. During the survey period, it is recorded which individuals invited have taken the survey. This allows respondents to pause the completion of the questionnaire and continue at a later time. Individuals who have completed the survey will not be contacted again.

3.3 Questionnaire design

The questionnaires are already designed in such a way as to prevent the identification of individuals. Efforts are made to avoid combinations of questions that apply only to an individual or a small group of persons. Categories (e.g. age: under 20; 20 to under 30; 30 to under 40, etc.) are used wherever possible. Questions that do not refer to the subject matter of the survey directly but are used for socio-demographic categorisation are only asked to the extent necessary. This means that the dimensions or questions listed below are not included in all surveys (in their entirety).

- General information: e.g. faculty affiliation, position at UDE
- Variables that are relevant to diversity in accordance with the General Act on Equal Treatment (*Allgemeines Gleichbehandlungsgesetz*; AGG) and aspects such as socio-economic living conditions, social background
- Variables related to teaching practice: e.g. didactic concepts, teaching load

3.4 Voluntary participation

Participation in the survey is voluntary and can be abandoned at any time without giving any reasons. Individual questions may be skipped without giving an answer, provided that answering the question is not essential for the further completion of the survey (filtering). There will not be any adverse effects if individuals do not participate, leave out individual questions or abandon the survey entirely.

3.5 Consequences of not participating

Respondents have the option to abandon their completion of the questionnaire at any time or not to answer the questionnaire or individual questions without any negative consequences.

4. Processing personal data

The processing of personal data is regulated by branch-specific regulations (e.g. the HG NRW) or at UDE through its *QM-Ordnung*. The generally applicable data protection regulations (e.g. the North Rhine-Westphalian Data Protection Act) that contain stipulations on the technical and organisational measures used to protect data, on the rights of data subjects to information and rectification and on formal requirements also apply.

The ZHQE, ISTAT and the contracted service providers including their subcontractors implement technical and organisational security measures in order to protect the data provided to them by the ZHQE against accidental or intentional manipulation, loss, destruction or to prevent unauthorised persons gaining access.

4.1 Recipients and publication of survey results

The results of the survey are processed by the ZHQE for predominantly internal use. In order to ensure the anonymity of the participants, analysis of groups of less than ten individuals is not included in the presentation of the results. Sub-analysis, for example at the degree programme level, is only possible if there are cases of more than ten individuals per degree programme available.

Qualitative data (free text entries) is to be anonymised as early as possible through categorisation. Original quotations may only be published if inferences about the individual's identity are effectively prevented by prior anonymisation. It is possible to analyse the effectively anonymised data across universities and publish the anonymised results in response to certain research questions.

The survey data collected is anonymised and included in an anonymised overall dataset in the context of the RuhrFutur collaboration project, which is analysed by the participating universities. Raw data that has not been anonymised is not passed on to third parties.

4.2 Data collection, processing and storage

The survey data collected by the ZHQE is captured and stored using EFS software from Tivian XI GmbH. The technical and organisational IT security measures in place are displayed on the Tivian website under <https://www.tivian.com/de/trust-center/>. Only ZHQE staff involved in this project have access to the software via a user account that is secured with a password and two-factor authentication. The password is changed on a quarterly basis.

Survey data is exported out of the survey software into statistics or calculation programs. The data is then analysed in descriptive and inductive processes.

4.3 Protection and erasure of stored data

Data is only stored after collection for as long as it is necessary to fulfil the purposes stated above. It is erased as soon as it is no longer necessary for fulfilling the purpose of its collection or if consent is revoked. Proof of consent and of the revocation of consent are stored for as long as these are necessary for evidence purposes.

4.4 Rights of the data subject

Respondents can revoke previously given consent for their personal data to be collected, processed, retained and used at any time with future effect. In doing so, they can state that they no longer wish to receive invitations to surveys via the email address they gave and/or request that all currently existing datasets relating to their person be erased.

In this case, all data that can be clearly linked with the person will be erased. Data that is only still available to UDE in pseudonymised or anonymised form and from which a personal link can no

longer be established beyond any doubt is excluded from this. Respondents have the right to lodge a complaint with a supervisory authority.

Upon a respondent's request, ZHQE staff will inform them in writing, in accordance with the applicable regulations, whether and what personal data of theirs is stored by the ZHQE or by the contracted service provider, Tivian XI GmbH.

4.5 Agreement on contracted data processing

Processing is regulated within the framework of an agreement between UDE and Tivian XI GmbH. Tivian XI GmbH guarantees that all data will be processed confidentially.

5. Declaration of consent

I have read the information about data protection and understood for what purposes and under what conditions my data is saved.

I acknowledge that, in the context of the survey, information about me is collected, stored in pseudonymised form and further processed for anonymised analysis. I have been informed that participation in the survey is on a voluntary basis and that I will not experience any disadvantages if I do not participate in the survey. I am also aware that I can refuse to answer individual questions ('skip' questions). Under these conditions, I agree to this data protection statement and to the further retention and processing of the information I have provided. I have read and understood the information on the option to revoke consent. I can revoke this declaration of consent at any time by sending the corresponding request by email to ude-umfrage@uni-due.de.