Survey&Report

Guide – GDPR and Clean-up

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SCANDINAVIAN BUSINESS CERTIFICATION
ISO 27001

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GDPR – Personal data in Artologik Survey&Report

This document contains recommendations on how to work in Survey&Report in accordance with the GDPR.

Personal data stored in Survey&Report

In Survey&Report, personal data is stored in the following places:

- User database
- Users linked to user groups, surveys and reports
- Respondent database
- Respondents linked to surveys (survey-specific respondents)
- Survey responses
- Emails sent and received

Users

To work in Survey&Report, a person must be added as a user. It's possible to store the following information in the user profile:

- Display name
- First name
- Last name
- Email
- Number of active surveys
- Organisation
- Username
- Password
- User group(s)
- Respondent filter

We recommend entering as little information as possible in the user profile. The only mandatory fields are *Username* and *Password*. To be allowed to work in the system, the user must also have a connection to at least one user group. For clarity, it is advisable to enter *First name* and *Last name*, but we recommend leaving the other fields blank.

Besides data stored in the user database, the system also stores information on which surveys, survey templates and reports the user has created and is linked to.

Finally, log information is stored to show the user's activities, for example when the user has logged in and in which surveys and reports the user has saved changes.

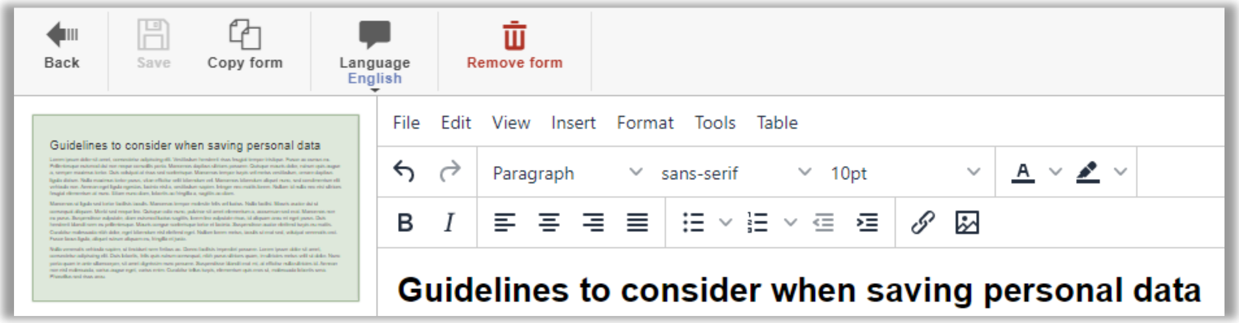
Consent

Typically, users are created in the system by an administrator. You do this under *Administration* > *System* > *Users*, via the *New user* button, from an import file or via LDAP.

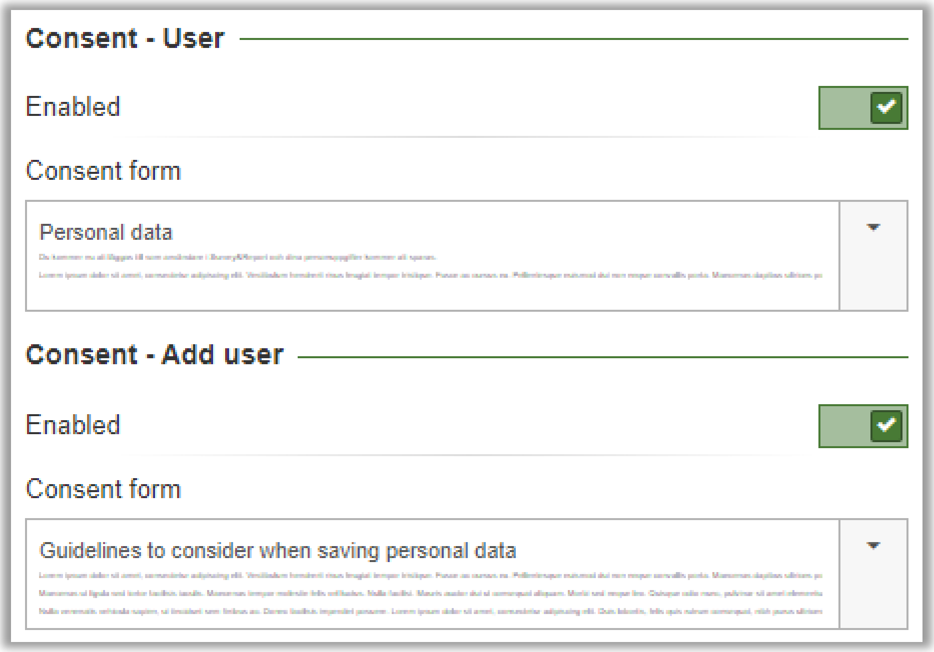
To remind the administrator that it is necessary to obtain the user's consent, you can display a form with a reminder when the administrator clicks on the *New user* button.

If a user logs into Survey&Report for the first time via Windows authentication or SAML, the system automatically adds the user. In this case, you can display a form that the user must agree to before being added as a user.

You create these consent forms in the *Templates* > *Consent forms* > *Consent - Add user* and *Templates* > *Consent forms* > *Consent - User* menus, respectively. You can edit an existing form by clicking on it in the left part of the page, create a copy of an existing form by clicking on the *Copy form* button in the form's edit mode or create a new form by clicking on the *Add form* button. You can translate the form into another active language by selecting that language via the *Language* button in the form edit mode.



To enable the display of the consent form, go to *Administration* > *Personal data* > *Consent settings* and select *Enabled* under *Consent - Add user* or *Consent - User*. You can also choose which form to use if you have created several.



Finding and exporting information about a user

Under *Administration* > *Personal data* > *Personal data report* authorised users can search for users and export their personal data. You assign *Personal data report* permissions at the user group level.

In the search field at the top of the page, you can type all or part of a search term and click the *Search* button. The search includes the following fields:

- Display name
- First name
- Last name
- Email
- Username

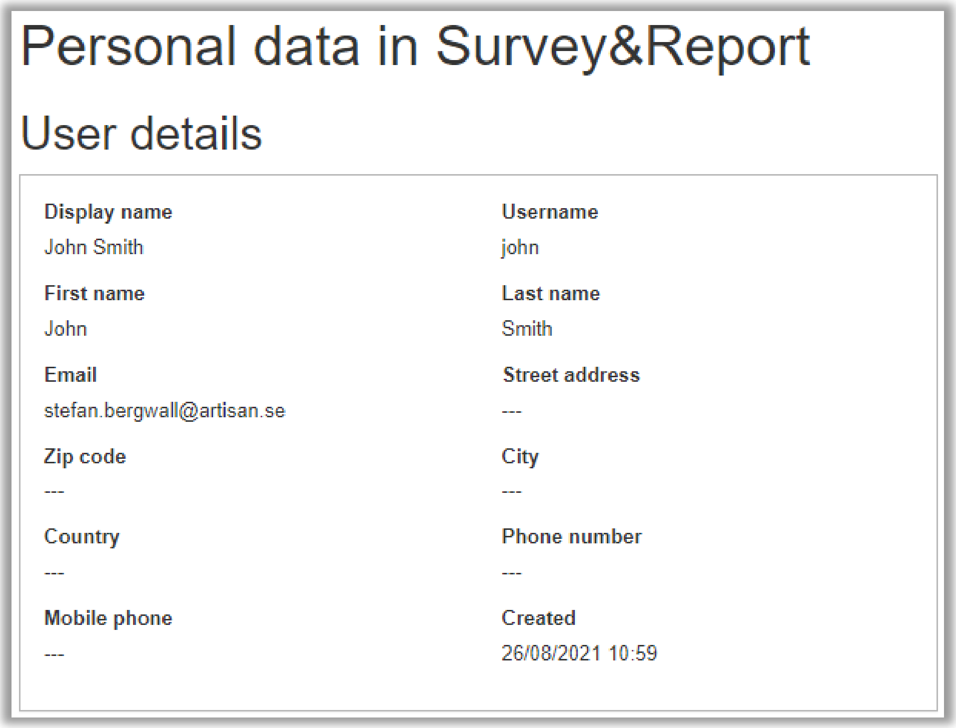
If you want to search specifically in one of the fields, *First name*, *Last name*, *Email* or *User name*, click on the button next to the button.

All users matching your search are listed under the heading *Users*. Select the checkbox next to the desired user(s). Decide what information to include in the report:

- Created surveys
- Assigned surveys
- Reports
- User activity

Then click on the *Generate Report* button.

In the report, each user's data is displayed under the heading *Personal data in Survey&Report*. Firstly, you see the user's *User details*, along with the date and time of the user's creation.



Secondly, the user surveys, survey templates and reports are listed under the following headings:

- Your surveys (surveys created by the user)
- Your survey templates (survey templates created by the user)
- Your assigned surveys (surveys to which the user has been assigned as an authorised user)
- Your assigned survey templates (survey templates the user has been linked to under Users linked to survey)
- Your reports (reports and predefined reports created by the user)
- Your assigned reports (reports the user is connected to as a report reader)

The following information is listed:

Surveys:

- Survey ID

- Survey name
- Status
- Survey category
- Survey type (Respondent or Public survey)
- Name of the survey theme
- Published
- Survey URL
- Number of questions
- Number of pages
- Construction finished (Yes or No)
- Number of readers
- Respondents
- Responses
- Response rate
- Number of reports

Survey templates:

- Survey ID
- Survey name
- Status
- Survey category
- Survey type (Survey template)
- Name of the survey theme
- Number of questions
- Number of pages
- Number of (predefined) reports

Reports:

- Report ID
- Report name
- Created (date)
- Language
- Survey(s)
- Report URL

Finally, the user's activities are listed under the heading *Your activity*. The events are displayed grouped by date and session.

To export the information, click the *Export as PDF* button at the bottom of the page. If multiple users appear in the report, the system will create a PDF file for each user.

Removing or anonymising users

Under *Administration* > *Users*, you can check the box next to one or more users and click the *Remove* button.

After clicking this button, you can choose one of the following options:

- *Inactive*: the user will disappear from the user administration and all listings of users in the application. However, the user's name will still be visible on surveys, survey templates and reports to which the user is connected, for example as the survey owner.
- *Remove*: The user will be removed completely. On surveys, survey templates and reports to which the user is connected, "---" will appear instead of the name.

Users can also be inactivated or removed from the *Personal data report* under the *Personal data* menu. See the *Finding and exporting information about a user* section above for details on how to search for users to display in the report. In the report search results, you can check the box next to one or more users and click the *Delete* button. You will then be given the same two options as described above.

Automatic removal of idle users

If you want to automatically remove or inactivate users who haven't been active in the system for a long time, you can activate the *Automated removal of idle users* setting under *Administration > System > Automation*.

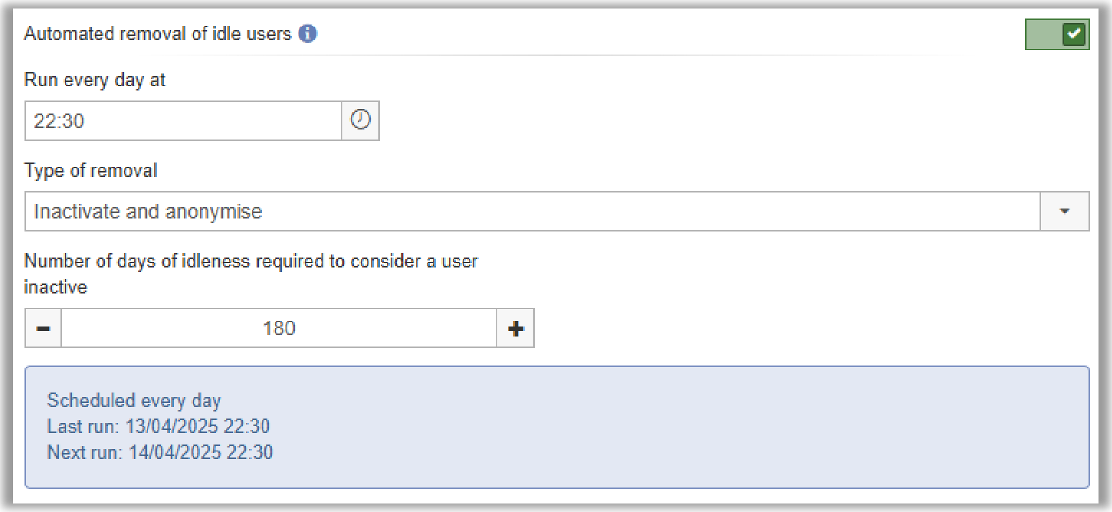
The service will run once a day at the time you specify in the *Run every day at* field.

Under *Type of removal*, you select how the removal shall be done. Whichever option is selected, the user will no longer be able to log in. The user will also disappear from all lists of users in the program and, for example, will no longer be able to be selected as an authorised user on a survey. The difference between the options lies in whether the user's name will continue to be visible on surveys, for example, where the user was the owner or authorised user at the time of removal.

- *Inactivate*: The user's name will remain visible (the user is still there, by name, in the database).
- *Inactivate and anonymise*: Instead of the user's name, it will say [Removed user] (the user is still in the database, but their name has been cleared).
- *Delete*: The place where the user's name used to appear will be blank (the user no longer exists in the database).

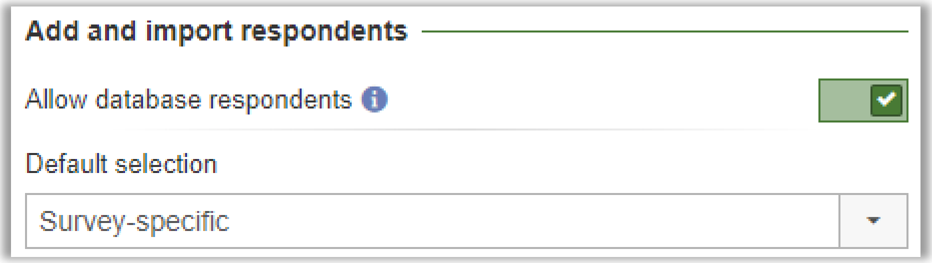
Also, select *Number of days of idleness required to consider a user inactive.*

You can run the service manually by clicking on the *Run task* button. However, you can only do this when the automatic service is active.



Respondents

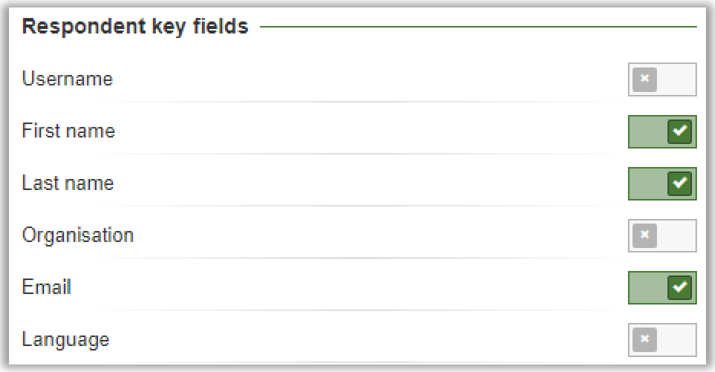
When creating or importing respondents in Survey&Report, you can choose to add them as survey-specific respondents (linked to the survey only) or as database respondents (stored in the system-wide respondent database). We recommend that you store respondents in the respondent database only if you have specific reasons to do so, for example if you have respondents linked to multiple surveys that need to be able to log in to all surveys with the same username and password. Under *Administration* > *Respondents* > *Settings*, you can decide whether to allow database respondents and (if database respondents are allowed) to make survey-specific respondents the *Default selection*.



You can store the following information in the respondent data:

- First name
- Last name
- Organisation
- Email
- Street address
- Zip code
- City
- Country
- Phone number
- Mobile phone number
- Language
- Respondent type
- Respondent owner (if this function has been activated)
- User name
- Password
- Respondent properties
- Respondent categories

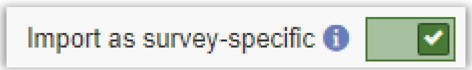
We recommend entering only the information you consider necessary in the respondent data and leaving the other fields blank. The only mandatory fields are *Username* and *Password*. In addition, each respondent must have a unique combination of *Key fields*. You determine the Key fields in the *Administration* > *Respondents* > *Settings* menu.



In addition to the information stored in the respondent data, information is also stored on which survey (or surveys, if it is a database respondent) the respondent is linked to, what emails have been sent to the respondent and what answers the respondent has given to the survey (assuming the survey is non-anonymous).

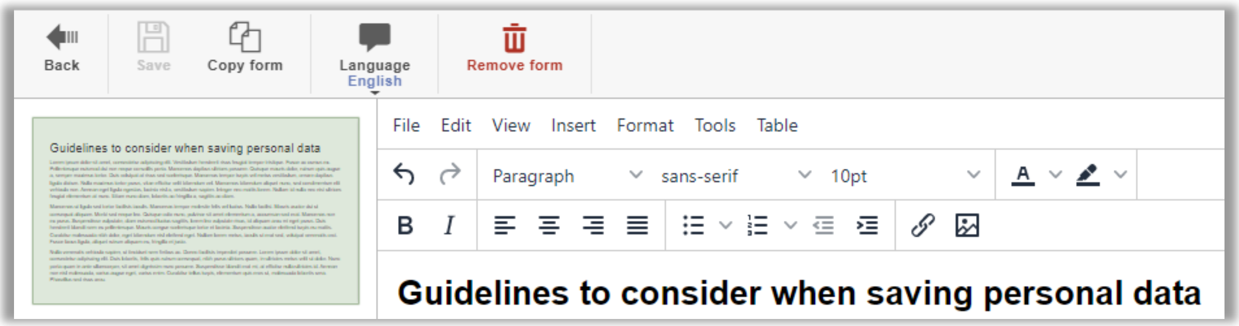
Consent

Respondents are added to a survey under the menu *Survey* > *Distribution* > *Respondents*. Respondents are added one at a time via the *Add respondent* button or imported via the *Import respondents* button (from the respondent database, another survey, a mailing list, an import file, or via LDAP). The *Import as Survey Specific* setting determines whether respondents are added to the survey only (enable the setting) or also to the system-wide respondent database (disable the setting).

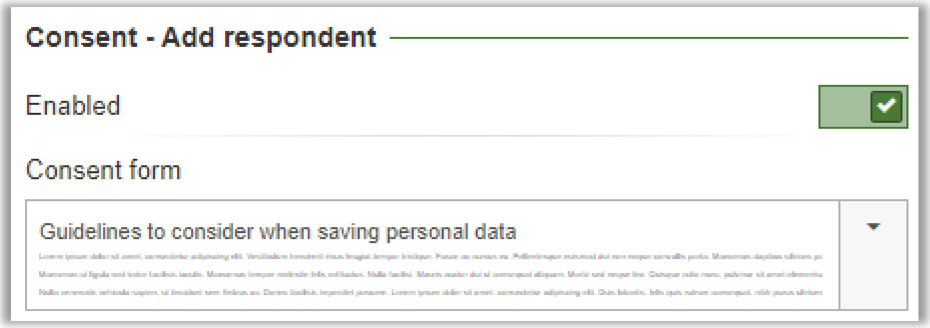


You can also create Database respondents directly in the Administration > Respondents menu. There, you can add respondents via the Add Respondent button or the Import Respondents button (from an import file or via LDAP).

To remind the user adding the respondents that consent is required, you can display a form informing them of this when the user clicks on one of the *Add respondent* or *Import respondents* buttons. This consent form is created in the *Templates* > *Consent forms* > *Consent - Add respondent* menu. You can edit an existing form by clicking on it in the left part of the page, create a copy of an existing form by clicking on the *Copy form* button in the form's edit mode or create a new form by clicking on the *Add form* button. You can translate the form into another active language by selecting that language via the *Language* button in the form edit mode.



To enable the display of the consent form, go to *Administration* > *Personal data* > *Consent settings* and select *Enabled* under *Consent - Add respondent*. There you can also choose which form to use if you have created several.



Find and export information about a respondent

In the menu *Administration* > *Personal data* > *Personal data report*, authorised users can search for respondents and export their personal data. Personal Data Report permissions are assigned at the user group level.

In the search field at the top of the page, you can type all or part of a search term and click on the Search button. The search will be done in the following fields:

- First name
- Last name
- Organisation
- Email
- User name
- Respondent properties
- Respondent categories

If you want to search specifically in one of the fields, *First name*, *Last name*, *Email* or *User name*, you can click on the  button next to the *Search* button.

All respondents matching your search are listed under the heading *Respondents*. Check the box next to the desired respondent(s). Decide what information to include in the report:

- Response status (whether the respondent has responded or not)
- Submitted answers

Then click on the *Generate report* button.

In the report, each respondent's details are displayed under the heading *Personal data in Survey&Report.* First, the user's *Respondent details* are displayed. If the respondent is a database respondent, the date and time when the respondent was created are displayed.

Personal data in Survey&Report

Respondent details

Display name Smith, John	**Username** johnsmith
First name John	**Last name** Smith
Email john.smith@artologik.com	**Street address** ---
Zip code ---	**City** ---
Country ---	**Phone number** ---
Mobile phone ---	**Created** 04/11/2020 11:26

The surveys to which the respondent is connected to are then displayed. The following survey information is listed:

- Survey ID
- Survey name
- Published
- Survey URL
- Status (whether the respondent has responded or not)
- Responses (the responses submitted)

To export the information, click the *Export as PDF* button at the bottom of the page. If multiple respondents appear in the report, a PDF file will be created for each respondent.

Removing or anonymizing respondents

From the menu *Survey* > *Distribution* > *Respondents* on a survey, you can remove respondents from the survey by ticking the checkbox next to them and clicking the *Remove respondents* button. Select the *Remove from survey* option. If you select the *Also remove from database* checkbox, any database respondents not linked to any other survey will simultaneously be removed from the respondent database. Click OK to confirm. Depending on the survey status, the respondent's answers and some respondent data may not be deleted along with the respondent:

- If the survey has the status *Construction* or *Active*, all respondent data is deleted.
- If the survey has the status *Active*, the respondent's answers are deleted, provided the survey is not anonymous. For anonymous surveys, responses are not deleted because the software does not know which response is linked to which respondent.
- If the survey has the status Closed or Archived, and the respondent has not responded, all respondent data is deleted.
- If the survey has the status *Closed* or *Archived*, and the respondent has answered, the respondent's answer (and display name, if the *Individual answers* variable is allowed on the survey) will remain on the survey. If respondent categories have been connected to the survey, the respondent's category values will also remain on the survey.

Respondents can also be inactivated or removed from the *Personal data report* under *Administration > Personal data*. See the *Finding and exporting respondent information* section above for information on how to search for respondents to display in the report. In the report search results, you can check the box next to one or more respondents and click the *Delete* button. You will then have these two options:

- *Inactivate*: The respondents and their answers will remain in the system, but their names will be replaced by "--- ", and all other respondent data, except respondent category values, will be cleared. Database respondents will no longer be visible in the Administration > Respondents menu or when respondents are connected to a survey via the From Respondent Database tab.
- Remove: The system will completely remove respondents and all their respondent data. Note that their responses will also be deleted, regardless of the status of the surveys they are connected to. Thus, this option will affect these surveys' results and response rates. The system will only keep responses given on anonymous surveys.

You can also anonymise respondents at the survey level. See the *Anonymising surveys* section below.

Database respondents who are not connected to any survey can be removed from the respondent database via the *Administration > Respondents* menu. List these respondents by clicking on the button and activate the setting *Only respondents not connected to any survey*. Then click the button. Select the checkboxes next to the desired respondents and click on the *Remove respondent* button.

Removal of respondents from surveys in the recycle bin

Surveys that are removed end up in a recycle bin. Under *Administration > Survey automation* and the *Recycle bin* heading, you can activate a service, *Delete respondents task*, which deletes any respondents on the surveys in the recycle bin.

Under *Run every day at*, specify the time of the day the cleaning should take place. Also, define after how many days this should happen.

Surveys

In the sections *Anonymise surveys* and *Remove surveys* below, you can read about automated functions that perform actions on surveys with the status *Closed* or *Archived*. If you wish to use these features, we recommend that you put in place procedures to close and archive surveys after they are completed.

A survey's status can be changed from its dashboard page via the *Close survey* shortcut on ongoing surveys and the *Archive survey* shortcut on closed surveys.

You can also change the status of several surveys simultaneously via the menu *Survey* > *Manage surveys*. By clicking on the button, you can search for surveys using different search criteria, such as the survey *Status*. Click on the button to list all surveys that match your search. In the toolbar above the list, you have access to the following buttons:

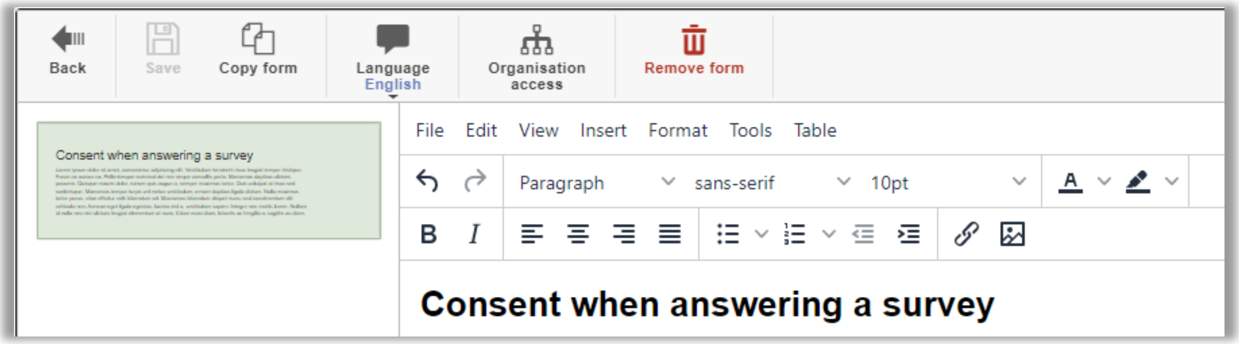
- *Close surveys* (applies only to ongoing surveys)
- *Postpone anonymisation* (see Anonymise surveys below)
- *Anonymise* (see Anonymising surveys below)
- *Archive surveys* (applies only to closed surveys)
- *Restore from the archive* (applies only to archived surveys)

You can close or activate several surveys simultaneously by ticking the checkboxes next to the desired surveys and clicking on the *Close surveys* and *Archive surveys* buttons at the bottom of the page.

Consent

You can show respondents a consent form before they complete the survey. To complete the survey, the respondent must click on an "I agree" button to continue the survey. If the respondent clicks on the "I refuse consent" button, a "Consent refused" page will be displayed, and the respondent will have the status of *Unregistered* on the survey. The default texts for the buttons are determined under *Administration* > *Surveys* > *Translate survey texts*. Still, you can change the texts at the survey level under *Survey* > *Construction* > ***Content*** > ***Survey texts*** button > *Custom texts*.

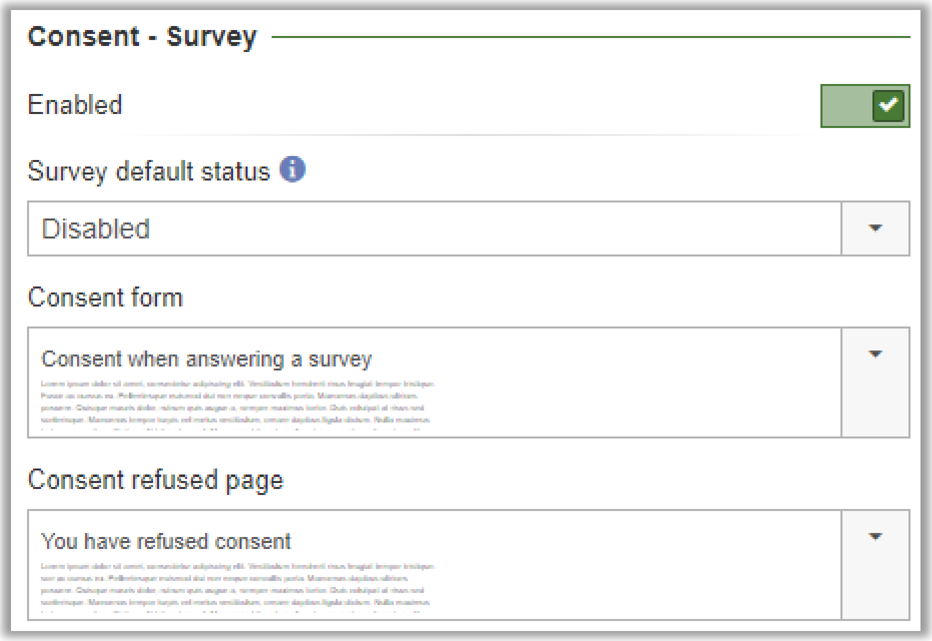
The consent form and the "Consent refused" page are created in the *Templates* > *Consent forms* > *Consent - Survey* and *Templates* > *Consent form* > *Consent refused - Survey* menus. You can edit an existing form by clicking on it in the left part of the page, create a copy of an existing form by clicking on the *Copy form* button in the form's edit mode or create a new form by clicking on the *Add form* button. You can translate the form into another active language by selecting that language via the *Language* button in the form edit mode.



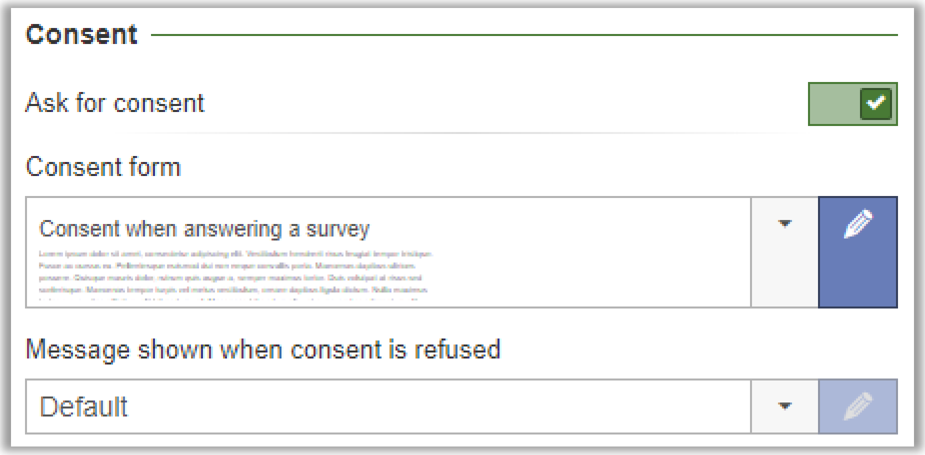
To enable the display of the consent form, go to *Administration* > *Personal data* > *Consent settings* and select *Enabled* under *Consent - Survey*. There you can also choose which form and "Consent refused page" to use by default if you have created several.

In the *Survey default status*, you can choose from these options:

- *Disabled:* The *Ask for consent* setting will be available in the survey settings and disabled by default.
- *Enabled:* The *Ask for consent* setting will be available in the survey settings and enabled by default.
- *Forced enabled for all surveys:* The *Ask for consent* setting will be enabled in the survey settings on all surveys and cannot be changed at the survey level.



Under the menu *Survey* > *Construction* > *Settings*, you can choose which *Consent form* and *Message shown when consent is refused* to use.



If you want to customise the form and the "Refused consent" message to fit your survey, choose one of the options in the selection box instead of the *Default* option, and save. Then click on the button and make the desired changes.

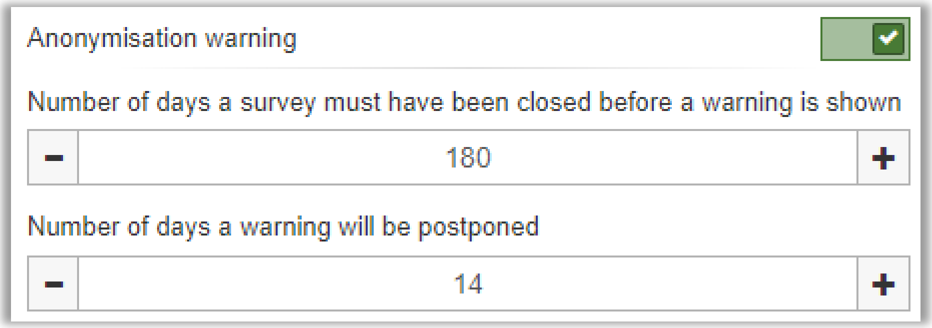
Anonymising surveys

Surveys with a status of *Closed* or *Archived* can be anonymised. When you anonymise a survey, all respondent data on the survey is cleared, except respondent category values, but all responses are kept.

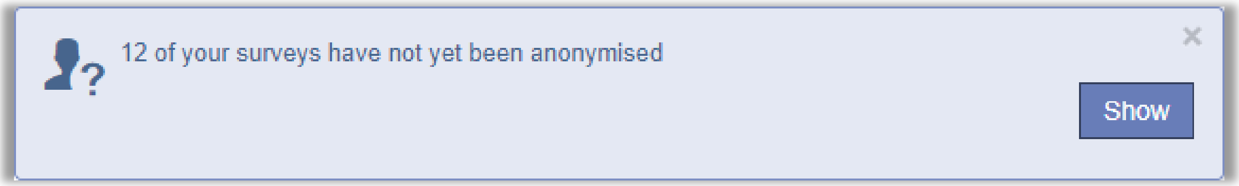
You can anonymise a survey from its dashboard page via the *Anonymise* shortcut.

If you want to be notified of surveys that have not yet been anonymised, you can activate the *Anonymisation warning* setting in the *Administration* > *Surveys* > *Settings* menu.

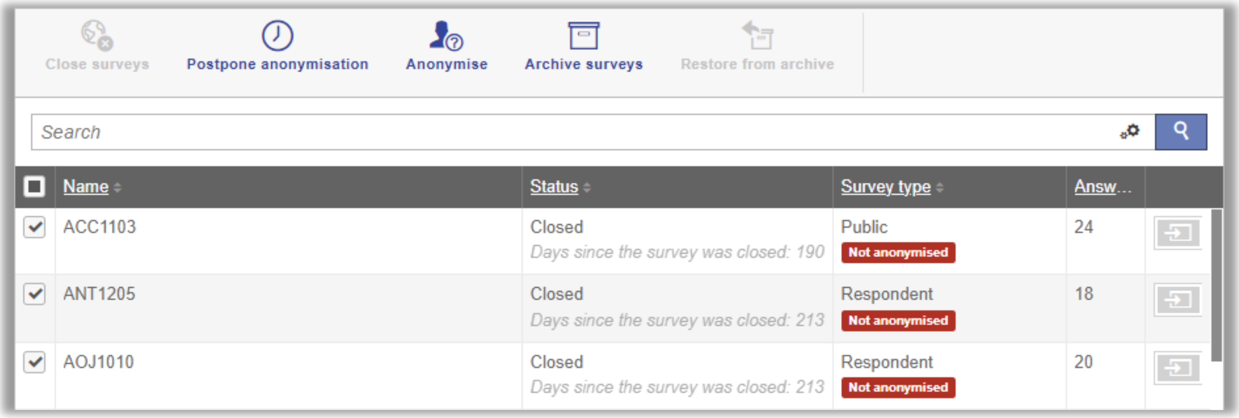
Specify how many days a survey must have been closed before the warning appears. Also, specify the number of days a survey must have been closed before a warning is shown if you use the *Postpone anonymisation* feature on a survey.



The warning will appear at the top of the screen after a user has logged in.



When clicking the *Show* button, all surveys that the user is authorised to see and that have not yet been anonymised are listed.



To make a survey anonymous, tick the box next to it and click on the *Anonymise* button. Suppose you click on the *Postpone anonymisation* button instead. In that case, the alert for this survey will be postponed for the number of days specified in the *Administration* > *Surveys* > *Settings* menu, see above. You can also simultaneously anonymise or postpone anonymisation for multiple surveys by selecting several or all checkboxes before clicking the *Anonymise* or *Postpone anonymisation* buttons.

The list is also available under the menu *Survey* > *Manage surveys*.

Click on the  button and activate the search criterion *Show only surveys with anonymisation warning*, and click on the  button to list all non-anonymised surveys that have been closed for longer than the number of days specified in the *Administration* > *Surveys* > *Settings* menu; see above.

Automated clean-up

Due to the large number of created surveys in larger organisations, such as higher education institutions, the need to remove old surveys gradually arises. Below is a description of how you can automate the clean-up of old surveys in Survey&Report.

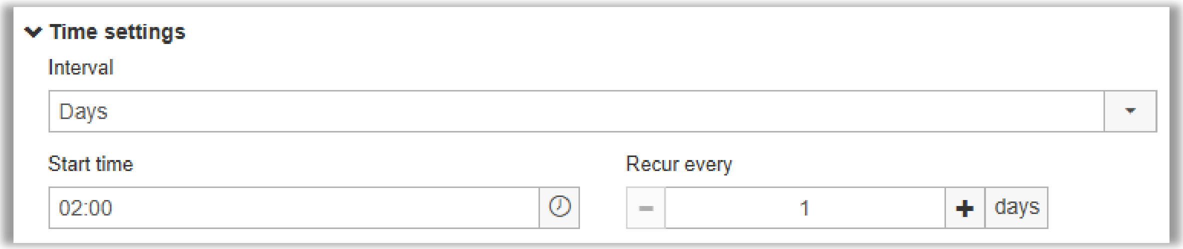
Custom automation

You set and activate this feature under *Administration* > *System* > *Custom automation*. For a detailed description, see the program help texts.

Add automation

Click on the *Add automation* button and *Name* the automation. To run the automation, you must set it to *Enabled*. However, wait to do this until you have finished all the automation settings.

Under *Time settings*, you specify how often the automation should run and at what time it should start. For example, if you want the clean-up to take place every night at 02:00, use this setting:



Add step

Under *Steps to perform*, click on the *Add step* button and select the option *Manage surveys* (if you have the SR-Panel plugin, the option *Manage panel members* is also available).

The automation step for *Manage surveys* is defined as a condition for which surveys should be affected and one or more actions that should be performed on these surveys.

Conditions

When you click the *Edit conditions* button, a window opens where you define the condition. You can create a simple condition with a single selection criterion and advanced conditions where you combine several criteria.

In the open window, start by clicking *Select type of condition* to set the first condition. You can base your condition on, among other things, the survey status, the survey template from which it was created, whether the survey has no owner or authorised users, and how long it has been closed/archived/placed in the recycle bin.

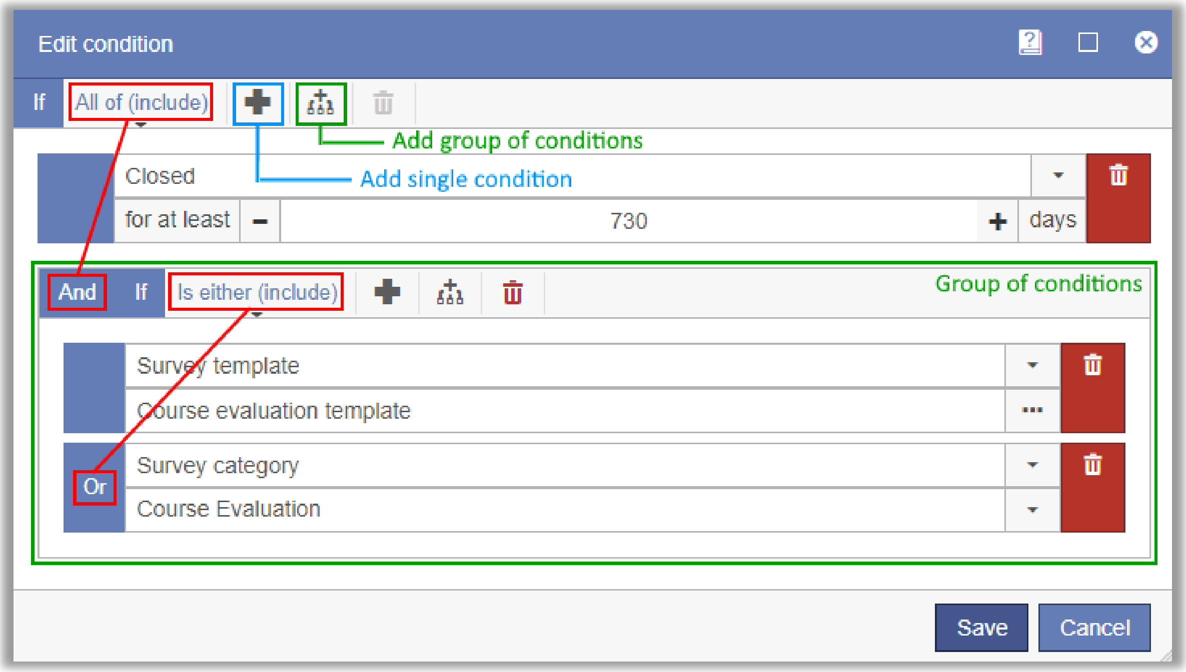
To add another condition, click on the icon. You can also click on the button to add a group of conditions within a condition. You can do this if you want an AND relationship between some conditions and an OR relationship between others.

Once you have added the second condition, select the desired option in the selection box above the conditions:

- *All of (include)* - Include surveys matching all conditions
- *Is either (include)* - Include surveys matching any of the conditions
- *All of (exclude)* - Exclude surveys matching all conditions
- *Is either (exclude)* - Exclude surveys matching any of the conditions

In the example below, All of (include) is selected at the top of the main condition. The setting means an AND relationship between the initial condition 'Closed for at least 730 days' and the subsequent group. Is either (include) is selected in the group of conditions, which means an OR relationship is applied within the group. You can thus read the full condition as:

"Surveys closed for at least 730 days"
AND
"Surveys based on the Course Evaluation survey template" OR "Surveys belonging to the Course Evaluation survey category"

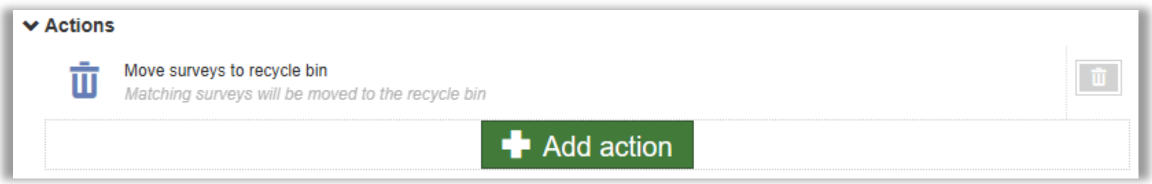


Actions

Once you have set the condition, it is time to decide what will happen to the surveys that fulfil it. Click on the *Add action* button and select one of the following options:

- *Archive surveys*: Surveys with the status Closed will get the status Archived.
- *Restore surveys from the archive*: Surveys with the status Archived will get the status Closed
- *Move surveys to recycle bin*
- *Restore surveys from recycle bin*
- *Delete surveys permanently:* The surveys will not be able to be restored

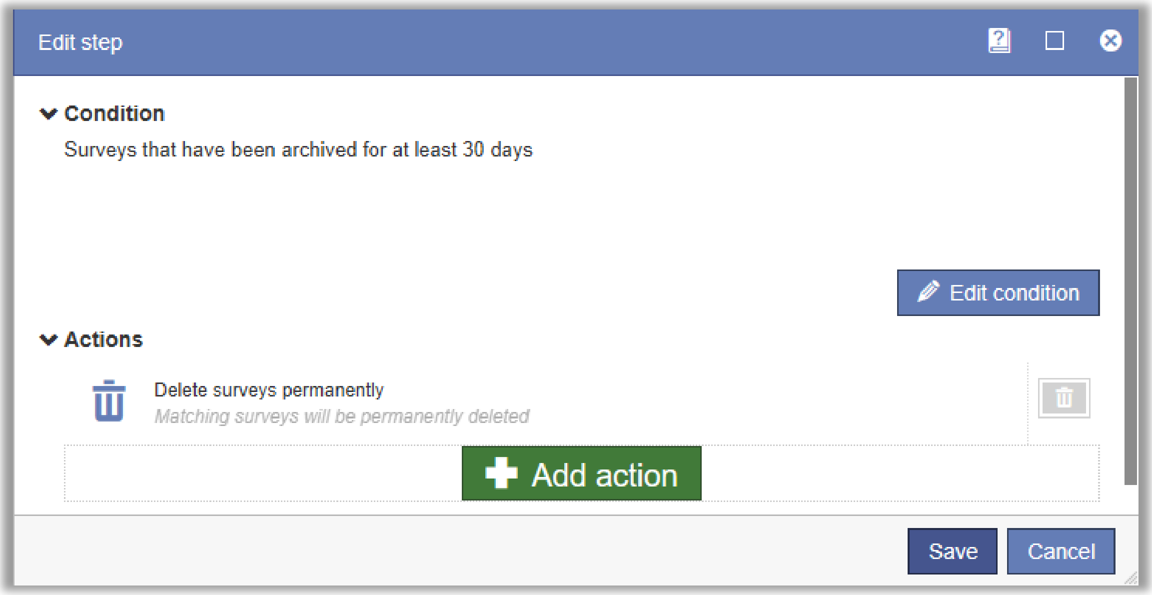
Please note that the actions *Move surveys to recycle bin* and *Delete surveys permanently* will not be performed on surveys with the status *Active*.



Once both conditions and actions are defined, click *Save* in the *Edit step* window and on the *Custom automation* page.

Combine multiple automations

To avoid clearing surveys that someone else wants to keep, you can create an automation that puts surveys in the recycle bin and another that permanently deletes them after they have been in the recycle bin for a certain amount of time. By doing so, you can let users discover that their surveys have been moved to the recycle bin, where the user can restore them.



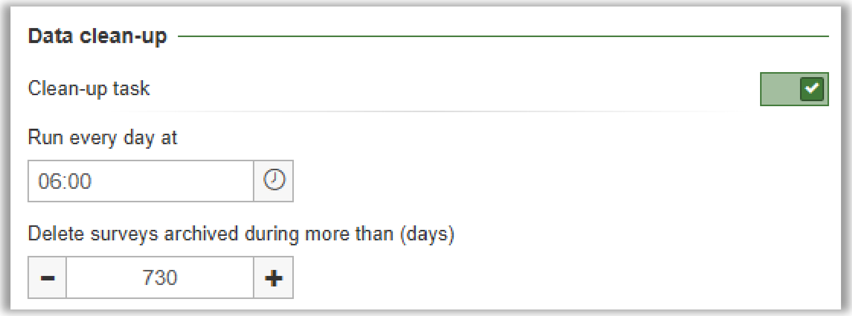
Survey automation

In addition to the custom automation described above, where you can decide which surveys should be affected and what should happen to them, activating specific services for clearing archived surveys, surveys in the recycle bin and/or their respondents is possible. You can find the setting under *Administration* > *Surveys* > *Survey automation.*

Data clean-up

The *Data clean-up* feature allows you to automate permanently deleting all archived surveys during a specific period. When the survey is deleted, all reports based on it, survey-specific respondents, and respondents in the database that were only connected to this survey are also deleted.

To use this feature, activate the *Clean-up task* and specify the time for the service to run and the number of days a survey shall be in the archive before being deleted in the automatic data clean-up.

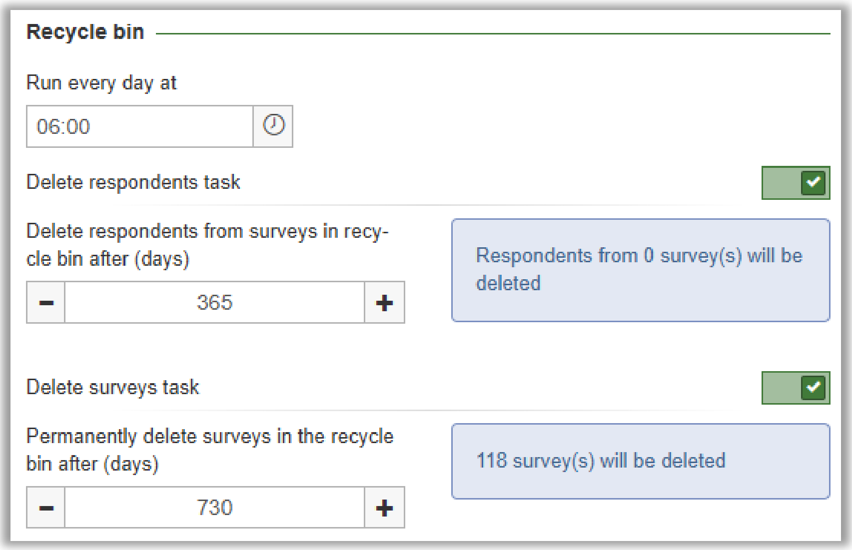


Survey clean-up in the recycle bin

Deleted surveys are placed in a recycle bin. Under the *Recycle bin* heading on the *Survey automation* page, you can enable the *Delete surveys task* to automate the permanent deletion of surveys in the Recycle bin.

Respondents to these surveys are deleted simultaneously as the survey is permanently deleted. If, for example, for GDPR reasons, you want to delete only the respondents or delete them earlier than the surveys, activate the *Delete respondent task*.

Thus, the services are activated separately, and you decide separately for each service how many days the survey shall be in the recycle bin to be affected by the service. However, the setting for the time of day when the services shall be performed is common to both services.



Paper surveys

Under the *Survey > Distribution > Paper survey* menu on a survey, you can activate the setting *Delete all uploaded PDF files on survey close*. All PDF files containing scanned paper surveys uploaded to the survey will then be deleted automatically when the survey is closed.

Email

Emails sent from a survey are automatically anonymised when the survey is anonymised and automatically deleted when the survey is deleted.

You can delete incoming emails manually from the *Administration > Email > Email inbox*. Select the checkbox next to the emails you want to delete, and click the *Remove emails* button. Select the next email account in the selection box and repeat the procedure if you have multiple email accounts.

Logs clean-up

On the Application logs tab, under *Administration > System > Logs,* you will find logs created in the program, e.g. when the system cannot execute commands or errors occur.

Under the *Settings tab*, the recommendation is to enable automatic deletion after the desired number of days of the following:

- Activity logs: These are what the users have done in the program. They are visible in the Personal Data Report.
- Login history: When users have logged in. It is only visible in the program database.
- Application logs: Logs are visible in the *Application Logs tab*.

Under *Data compliance*, you can also choose to enable masking of personally identifiable information and security sensitive data, such as usernames, in the logs. Choose from these methods:

- *Hash* ("John" becomes, e.g. "6J+0")
- *Delete* ("John" becomes "[REDACTED]")
- *Mask* ("John" becomes "J***")