

EXPLANATORY STATEMENT

Project ID: 39551

Project title: Information Architecture Design and Review of Out of Home Care Recordkeeping

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You are invited to take part in this study. Please read this Explanatory Statement in full before deciding whether or not to participate in this research. If you would like further information regarding any aspect of this project, you are encouraged to contact the researchers via the phone numbers or email addresses listed above.

Why were you invited for this research?

You are being invited to participate based on:

1. your involvement in reviews of out-of-home-care related practice (such as royal commissions, audits, etc.) that have incorporated the assessment of information sharing *and/or*
2. your involvement in the creation or implementation of solutions designed to respond to reforms recommended by such review processes or otherwise identified organisational needs.

What does the research involve?

This email is inviting you to participate in the Information Architecture Design and Reform research project, which is a phase of my PhD research, "Recordkeeping Analytics for Real-time Rights-based Recordkeeping Governance." This phase of the research aims to identify and understand (1) key understandings and problematizations of the creation, implementation, and review of information architecture in the child protection and welfare sector (2) methods and means by which recordkeeping professionals undertake the reimagining of such architecture.

You are being asked to participate in an interview. The interview will be conducted at a place that feels most comfortable to you (either through an online platform or in-person).

The interview is designed to be an open-ended conversation about your experiences with the review, reform recommendation, and/or reform implementation process related to a recordkeeping system that creates and maintains data and records of out of home care.

The total time commitment involved, should you agree to be interviewed, is approximately 2.5 hours. The interview itself will last for up to 1 hour. Guiding questions and themes of interest will be shared in advance, but because the interview aims to be directed by our conversation, there is no expectation that specific questions nor all themes of interest will be addressed, only to serve as inspiration and to give you the opportunity to understand the types of topics we might cover.

You may wish to spend some time preparing for the interview, which will contribute to the amount of time that the overall process might take. You will be given a chance to review the transcript of your interview once it is completed. Depending on the depth of your review, this too may add to the time commitment for the overall process.

You will not be expected to spend more than 1.5 hours on these outside-of-interview tasks.

Note: Because these conversations are intended to be conversations between you and me, it is impossible to know exactly where we might find something really exciting to talk about. I am choosing to conduct a 1 hour interview in respect of your time and energy, but there is a chance that you might be interested in sharing more than time would allow for. If this is the case, you are more than welcome to let me know following the conclusion of our interview that you would be interested in continuing to converse either a. through an additional interview at a time convenient for you, or b. via email. As with interview prep, this is **entirely optional** and is not expected of you. I just want to make sure that you know you can have the space to continue talking should you want to!

Documentation of the interview

The interview will be documented through audio recording using either the in-app recording feature (if via Zoom) or a mobile phone and microphone (if in person). Should you not feel comfortable with being recorded, you are still able to participate in the project should you be willing to allow me to take notes over the course of the interview.

Transcription

Your interview will be transcribed by me. If the interview is conducted virtually, a preliminary transcript will be created through Zoom's auto-transcription feature, which makes use of the app otter.ai.

If your interview is conducted on Zoom, we will adhere to the following best practices to ensure secure video conferencing:

- Use of a secure, Monash University-licensed version of Zoom.
- The Zoom meeting will have a waiting room enabled and will be locked when all attendees arrive to ensure only confirmed participants will be present.
- Cloud recordings and audio transcriptions will be accessible only to the two researchers named at the top of this form.
- You will have the option of using a nickname or alias or your first name only to sign in, along with the ability to keep your camera off (note: video will not be recorded as part of the session regardless of whether your camera is on or off).

In summary, if you choose to be a part of this project, here is what will happen:

1. I will send you a consent form and ask that you decide whether you would like to give written or verbal consent
2. We will schedule an interview that is either virtual or in person at a time that is convenient for you.
3. As part of our communications prior to the interview, I will send you a document that provides information about the types of things I am interested in talking with you about so that you can **optionally** prepare for the interview should you prefer to do so.
4. We will have an interview lasting up to 1 hour.
5. Following our conversation, if a recording was made, it will be transcribed as part of my work on the project.
6. The transcript will be sent to you by email so that you can review it. You will have 2 weeks to review, and, if necessary, revise the transcript and return it to me via email. If you are uncomfortable with anything that has been said, please feel free to change the wording of the answers to clarify your meaning or to delete all or any part of any answer.
7. Following your review and confirmation that you are okay with the version at hand, the transcript will now be considered finalised for use in the research. This concludes your active participation in the research.

8. If you are interested in receiving additional communications (see next section), this is something that you can indicate as part of the initial consent process or at any time by contacting me via email.

Further contact

This study is one part of my PhD research, which is broadly focusing on improving the capacity of professionals working to provide out-of-home care to create and interact with records and recordkeeping spaces through digital solutions. As a result, it is highly likely that your perspective, experience, and work would be relevant to other elements of the overall research beyond this study.

Additional research activities over the course of the next few years will likely include:

- Interviews with information professionals and policy makers that will ask the participants to give me a 'tour' through the recordkeeping system that they work with and/or developed, which will also discuss the training and policy materials associated with the system(s)
- Art workshops that ask recordkeeping and social work professionals to dream big about what an ideal record should look like
- Interviews with recordkeeping professionals and those who work to provide out of home care that ask them to reflect on past paradigm shifts in their practice

If any of these opportunities interest you and/or you would be open to my contacting you should the content of our conversations or the purview of your work be highly relevant to future projects that relate to my PhD work, please indicate that this is the case on your consent form (or during the consent collection process).

If you do not consent to further contact regarding additional research, the only contact I will make following our interview will be for the following reasons:

1. To share the transcript of our conversation with you and to ask for any corrections, additions, or removal of content that you would like to make
2. Should you be interested (see the 'Results' section for further details), to share with you the results of the project

In any instance of future contact, I will send one email to reach out and one email to follow up should I not hear a response, after which I will assume that you do not wish to engage in further contact with me.

Should you not respond to my request for transcript approval or a follow-up email related to said request for approval, I will assume that you are withdrawing your consent and your data will not be included as part of the research.

Consenting to participate in the project and withdrawing from the research

There are two ways in which your consent to participate can be affirmed:

1. Through writing. If you are interested in participating in this study and wish to provide your consent in writing, please visit [LINK] to access a copy of the consent form. Alternatively, you can email Mya (mya.ballin@monash.edu) and indicate your interest in receiving a copy of the consent form for you to fill out via email.
2. Through verbal consent. If you would prefer to give your consent verbally, please read over the information and let me know via email that you would prefer to give verbal consent. If this is the option that you choose, we can either have a separate virtual meeting where you verbally give your consent, or we can capture your consent at the start of the first interview session. Please keep in mind that if you choose to combine the consent collection and interview session, the overall time will be slightly longer.

Taking part in this project is voluntary. You do not have to take part if you don't want to. If you decide to take part and then change your mind, you can end the discussion at any time. You do not have to answer any questions that you do not wish to. Your decision whether or not to continue to take part in the project will not have any effect on your future relationship with the researchers or with Monash University.

If you decide to withdraw your consent after your interview has been conducted, any data collected that relates to your participation will not be included in research outputs.

Once you have given me transcript approval (which can involve both literal approval of the transcript as well as any subsequent back and forth regarding adjustments to the record that you wish to make), it will no longer be possible to withdraw your consent and data. In our communication, I will remind you of when we are at the last point for withdrawal of consent.

Possible benefits and risks to participants

Potential benefits

There is no direct benefit to participation in this research study. However, you may find it interesting and/or enjoyable to reflect on your work and its relationship to policies, commissions, and the overall network of out-of-home-care professionals.

Because the study is expected to provide insights into the revision and design of recordkeeping practices and related technology, the knowledge shared through the project may suggest improvements to recordkeeping practices that will benefit archivists, recordkeeping professionals, individuals who interact with records related to out of home care, and researchers.

Potential risks

You will be asked to talk about your work, which is often unique and interpersonal in nature. There are potential risks of identification as well as the possibility that, if somehow identified, your comments might affect how you are viewed and treated by others in your workplace. This risk will be mitigated by your ability to decide to refuse to answer questions, to review and revise your responses from transcripts, and to be de-identified. Please see the below 'Confidentiality' section.

Confidentiality

As part of the consent process, you will have the opportunity to decide whether you want your identity or some aspect of your relationship to these commissions and/or recordkeeping systems to be protected. If you would prefer not to have your identity disclosed, we can engage in a conversation regarding what about your identity and relationships you would like to be made de-identifiable—activities to help make your participation anonymous could include: assigning a pseudonym, speaking broadly about geographic and political associations, and removing or generalising dates in all of the research materials. Any decision that you make at the signing of the consent form can be revisited at any time during your participation and you will have the opportunity to review how any de-identified materials have been incorporated into the research before they are committed to print.

That said, as discussed in the above section on potential risks, the reason why you are being asked to participate in this research is because of your engagement in highly unique work that not many people, even in the OOHC and records management spaces engage in. As a result, while all effort will be made to anonymize your contributions should you wish for them to be anonymous, this study presents higher-than-average risk of identification. This risk will be mitigated by your ability to decide to refuse to answer questions, to review and revise your responses from transcripts, and to ultimately decide to withdraw from the project should you want to do so.

Storage of data

We will store and secure all research data in accordance with Monash University regulations; and it will be only be available to be accessed by myself and Joanne Evans. Digital data will be stored on restricted-access, Monash electronic storage. Other hardcopy notes, forms, or other documentation will be kept on Monash University premises in locked storage. The research data will be destroyed 5 years from the completion of the project or from the time of the final publication of results (whichever is later).

Source of funding

This research is funded by the Commonwealth Government through an Australian Research Council (ARC) Discovery Grant DP200100017 – Real-time, Rights-based Recordkeeping Governance for Childhood Out-of-Home Care. The Chief Investigators are Associate Professor Joanne Evans (Faculty of Information Technology, Monash University), Professor Moira Paterson (Faculty of Law, Monash University), Associate Professor Melissa Castan (Faculty of Law & Castan Centre for Human Rights, Monash University), and Professor Elizabeth Shepherd (Department of Information Studies, University College London).

Results

The main findings of this project will inform the content of my PhD dissertation. In addition to inclusion of the findings in this work, it is expected that results will be published in academic journals, presented at scholarly and professional conferences, and/or shared on the project's public blog (<https://recordkeeping.mxballin.com/blog.html>). In accordance with the requirements of the Australian Research Council, open access versions of published materials will be deposited in Monash University's institutional repository, Bridges (<https://bridges.monash.edu>). If you are interested in receiving copies of these materials directly, please indicate this on the consent form and I will provide you with PDF copies of all published articles, and ensure you are invited to any public talks related to this project.

Complaints

Should you have any concerns or complaints about the conduct of the project, you are welcome to contact the Executive Officer, Monash University Human Research Ethics Committee (MUHREC):

Executive Officer Monash University Human Research Ethics Committee (MUHREC) Office of Research Ethics and Integrity Room 116, Administration Building B (3D) 26 Sports Walk, Clayton Campus Monash University VIC 3800	
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