



RIGHTS IN RECORDS BY DESIGN

Recordkeeping Principles Survey Overview

This document provides an overview of the Recordkeeping Principles Survey to help you in preparing to complete it.

To complete the online survey go to

https://monash.az1.qualtrics.com/jfe/form/SV_8kQwdBbJdhm9PIr

We are seeking thoughtful responses based on your individual experience as a recordkeeping or other professional working with records in any out-of-home Care context, rather than formal organisational responses, so the survey is anonymous.

The survey should take 30 minutes to 1 hour to complete.

You do not have to finish the survey in one go. You can pause and return later (provided you are using the same browser and computer).

If you have any questions then please do not hesitate to get in contact with us:

Chief Investigator: Associate Professor Joanne Evans

Centre for Organisational and Social Informatics
Faculty of Information Technology
Phone: +61 3 9903 1277
Email: joanne.evans@monash.edu

Research Fellow: Dr Greg Rolan

Centre for Organisational and Social Informatics
Faculty of Information Technology
Phone: +61 3 9903 1943
Email: greg.rolan@monash.edu

Explanatory Statement

The survey begins with the explanatory statement (reproduced at the end of this document) after which you indicate your consent to enter the survey

I have read the above Explanatory Statement and confirm that I wish to participate in this anonymous online survey.

Your Context

The first set of questions are to establish your professional and organisational context

What best describes the organisation at which you work in the out-of-home-Care context?

- | | |
|--|---|
| <input type="radio"/> Government agency - Archives and Records Authority | <input type="radio"/> Non-government organisation - Current Out of Home Care Provider |
| <input type="radio"/> Government agency - Child Protection | <input type="radio"/> Non-government organisation - Past Out of Home Care Provider |
| <input type="radio"/> Government agency - Other | <input type="radio"/> Other agency or child services - please specify
<input type="text"/> |

Please select all that apply. Do you work with:

- Contemporary records of out-of-home-Care
- Legacy records out-of-home-Care

In what jurisdiction does your organisation operate? Please select all that apply.

- | | |
|---|--|
| <input type="checkbox"/> Federal | <input type="checkbox"/> Tasmania |
| <input type="checkbox"/> Queensland | <input type="checkbox"/> South Australia |
| <input type="checkbox"/> New South wales | <input type="checkbox"/> Western Australia |
| <input type="checkbox"/> Australian Capital Territory | <input type="checkbox"/> Northern Territory |
| <input type="checkbox"/> Victoria | <input type="checkbox"/> Localised region/institution - please specify
<input type="text"/> |

Which of the following describes your role? Please select all that apply.

- | | |
|--|---|
| <input type="checkbox"/> Records creation | <input type="checkbox"/> Policy development |
| <input type="checkbox"/> Records/Archives management | <input type="checkbox"/> Education and training |
| <input type="checkbox"/> Records access services | <input type="checkbox"/> Other - please specify
<input type="text"/> |
| <input type="checkbox"/> Systems development | |

0% 100%

Recordkeeping Principles for Child Safety and Well being

Recommendation 8.4 of the final report from the Royal Commission into Institutional Responses to Child Sexual Abuse (RCIRCSA) asks all institutions engaged in child-related work to implement a set of records and recordkeeping principles for child safety and well-being. The importance of these principles in the out of home care context are further emphasised in volume 12.

In this series of questions we ask you to rate the current capacity in your context to meet each recordkeeping principle in relation to records of out-of-home-Care.

For each principle you will be asked to

- a) Rate the capacity in your context to meet the principle
- b) Provide a short explanation for the report, with any appropriate examples
- c) Indicate any limitations or barriers to meeting this principle in your context
- d) Provide a short explanation of these limitations or barriers, including any appropriate examples
- e) Indicate what mechanisms are in place for monitoring performance against this principle

The RCIRCSA Records and Recordkeeping Principles are

1. Creating and keeping full and accurate records relevant to child safety and well-being, including sexual abuse, is in the best interests of children and should be an integral part of institutional leadership, governance and culture.
2. Full and accurate records should be created about all incidents, responses and decisions affecting child safety and wellbeing, including child sexual abuse.
3. Records relevant to child safety and wellbeing, including child sexual abuse, should be maintained appropriately
4. Records relevant to child safety and well-being, including child sexual abuse, should only be disposed of in accordance with law or policy
5. Individuals' existing rights to access, amend or annotate records about themselves should be recognised to the fullest extent

Recordkeeping Principle 1:

Creating and keeping full and accurate records relevant to child safety and well-being, including sexual abuse, is in the best interests of children and should be an integral part of institutional leadership, governance and culture.

How would you rate the capacity in your context to meet this recordkeeping principle?

Have not done anything yet	Discussing, Scoping, or Planning	Commenced implementation	Gone as far as possible given current limitations	Fully implemented	Not applicable
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please provide a short explanation for your rating, including any appropriate examples.

What limitations or barriers affect the ability to meet this principle in your context? Please select all that apply.

- Insufficient funding/resourcing
- Constrained by legislation
- Constrained by organisational policy
- Misaligned organisational culture
- Lack of guidance
- Inadequate tools/technology
- Volume of material is too great to process
- Insufficient quality or extent of documentation or indexing of material
- Other - please specify

Other RCIRCSA Recordkeeping Recommendations

In this section you will be asked questions about other RCIRCSA recordkeeping recommendations

Recommendation 8.1 of the Royal Commission into Institutional Responses to Child Sexual Abuse asks for all institutions involved in child related work to ensure records that may be relevant to child sexual abuse are kept for a minimum of 45 years to allow for delayed disclosure of abuse by victims and take account of limitation periods for civil actions.

You are asked to indicate the impact of this recommendation in your organisational context.

What is the impact of increased minimum retention periods (i.e. 45 years) for records relating to child sexual abuse in your context?

Do you have any concerns about capacity to manage and keep records accessible as needed over that period?

Do you keep a register of destroyed records?

- Yes
 No
 Unsure

Volume 8 of the final report from the Royal Commission into Institutional Responses to Child Sexual Abuse expressed several concerns with the exercise of rights to access and amend records (p. 103) :

- Complexity and confusion for individuals and record holders;
- Inconsistencies - across jurisdictions; within the same institutional context;
- Different application to government and non-government institutions; and
- Poor explanations and/or justifications for redaction.

How might the profession/sector address these concerns?

You are asked for general comments on how these concerns may be addressed.

Access Principles

In 2015, Recordkeeping Innovation on behalf of the Department of Social Services (DSS), in consultation with a Records Access Working Group and the Find and Connect Advisory Group, developed a set of access principles for records holders and best practice guidelines in providing access to records: [Access to records by Forgotten Australians and Former Child Migrants](#).

Along with the recordkeeping principles already discussed, Volume 8 of the RCIRCSA final report also highlighted the lack of data available on the implementation of the DSS access principles.

In this series of questions we ask you to rate the current capacity in your organisational context to meet these access principles.

For each grouping of principles you are asked to

- rate the current capacity in your organisational context to meet these access principles.
- provide a short explanation for your rating, including any appropriate examples,
- indicate any limitations you may be grappling with, and
- describe mechanisms in place for monitoring and reporting on performance against these principles.

How would you rate the capacity in your context to meet the following [DSS Records Access Principles](#)?

	Have not done anything yet	Discussing, Scoping, or Planning	Commenced implementation	Gone as far as possible given current limitations	Fully implemented	Not applicable
1. Maximum provision of access to records	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. All information about themselves, and core identifying information about close family	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Right to receive copies of all records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please provide a short explanation for your rating, including any appropriate examples.

What mechanisms are in place for monitoring and reporting on performance against these principles?

Group 1 – Access Rights

- Maximum provision of access to records
- All information about themselves, and core identifying information about close family
- Right to receive copies of all records

Group 2 - Admin

- No fees or charges for access to records containing personal information
- Time limits to respond to requests for records
- Ability to seek review or appeal a decision

Group 3 – Support

- Records will be provided in context and applicants alerted to possible causes of distress
- Right to know about support and assistance services

Group 4 - Annotation

- Care Leavers may annotate records to tell their story and express their wishes to limit access to care records

Group 5 - Collaboration

- Applicants entitled to use Find and Connect and other support services to assist
- Record holders will work collaboratively to enhance access
- Government state or territory record holders are the repository of last resort

Additional Questions

In this section you are asked about:

Community engagement

What opportunities are provided for Care leavers and/or children and young people in Care to be involved in developing better recordkeeping and archiving services in your context?

Please select all that apply.

- Advisory group
- Regular reporting on performance and service improvements
- Involvement in indexing projects
- Consultation on specific projects
- Other - please specify

Digital technologies

What digital capabilities could improve and enhance recordkeeping and archiving for out of home Care in your context?

Please select all that may apply


- Digitisation of records
- Better digital recordkeeping
- Better recordkeeping management systems
- Better discovery interfaces
- Better use of analytics
- Other - please specify

How we could improve the survey for next time

Thank you for taking the time to complete this survey. As we are planning to run this on an annual basis we would appreciate any feedback on what we could do to improve for next time.

After completion you are re-directed to a page on the Setting the Record Straight website where you can register for updates.

As this is an anonymous survey we do not collect identifying information as part of the survey response. However if you are interested in receiving a report of the results of the survey and/or participating on an annual basis then we want to make sure that we can contact you.



Rights in Records by Design - Improving Recordkeeping for Child Safety and Well Being

If you wish to register to receive the results of this survey or to be notified of future surveys, please provide a contact email address.

This email contact is not connected in any way with the survey responses.

Many thanks,
Rights in Records by Design project team.

Email

Explanatory Statement

The [Rights in Records by Design](#) project is investigating the design of participatory, rights-based, recordkeeping and archiving infrastructure. We are aiming to develop a conceptual model for *Lifelong Living Archives for Childhood Out-of-home Care* that are better able to meet lifelong identity, memory and accountability needs.

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, please do not hesitate to contact the researchers listed below.

<p>Chief Investigator: Associate Professor Joanne Evans Centre for Organisational and Social Informatics Faculty of Information Technology Phone: +61 3 9903 1277 Email: joanne.evans@monash.edu</p>	<p>Research Fellow: Dr Greg Rolan Centre for Organisational and Social Informatics Faculty of Information Technology Phone: +61 3 9903 1943 Email: greg.rolan@monash.edu</p>
---	---

What does the research involve?

Our aim is to capture the views of recordkeeping and other professionals involved in childhood out-of-home Care of capacities to implement the [Recordkeeping Principles for Child Safety and Wellbeing](#) of the Royal Commission into Institutional Responses to Child Sexual Abuse (RCIRCSA) and the [Records Access Principles and Guidelines](#) developed in 2015 as part of the DSS's Find & Connect Services and Projects.

We would like to understand how these principles are being applied throughout the sector, any barriers to their adoption, and the issues that surface when trying to do so.

Participation involves voluntarily completing an anonymous survey, reflecting on the capacity in your context to implement these principles. Note that this is not a formal response from your organisation, but one based on your individual experience as a recordkeeping or other professional, working in any out-of-home Care context. The survey should take 30 minutes to 1 hour to complete, depending on your responses. You do not have to finish the survey in one go; you can pause and re-start at a later time.

Who is conducting this research?

This survey is part of Australian Research Council Discovery Grant DP170100198 – *Rights in Records by Design*. It involves researchers at Monash University (Chief Investigators (CIs): Associate Professor Joanne Evans, Professor Sue McKemmish, Associate Professor Philip Mendes and Dr Jane Bone) and Federation University Australia (Associate Professor Jacqueline Wilson and Professor Keir Reeves).

Who has approved the ethical conduct of this research?

This project has been approved by the Monash University Human Research Ethics Committee (Project Id: 16538)

Who should take part?

We invite you to take part in this survey if you have some involvement in recordkeeping and archiving for the out-of-home Care sector. For example: in records creation; records/archives management; records access provision or support; managerial, records, and/or archives services; policy development; systems development; or education and training etc.

Possible benefits and risks to participants

There should be no physical or psychological stress, inconvenience, or discomfort for you in taking the survey. There are no direct benefits to you for agreeing to take part in survey. However, the research may result in recommendations relating to the future development of principled recordkeeping systems in the out-of-home Care sector.

Confidentiality

This survey is anonymous. You will not be asked to provide any personal details nor details of the organisation(s) with which you are affiliated. Only researchers in the *Rights in Records by Design* research team will have access to the survey data. Whilst sample quotes from the survey may be used in publications, the full data set will not be released.

Publication of results

Results will be distributed through appropriate scholarly communication mechanisms, e.g. conferences, journal articles, presentations to practitioner and other communities, etc. Wherever possible (i.e. subject to the copyright demands of publishers) copies of publications will be made available through Figshare (<https://monash.figshare.com>) the current Monash University research repository platform.

Storage of data

Research data collected in the course of this project will be stored in accordance with Monash University regulations, for access only by the research team. The survey data will be kept in password-protected digital storage and permanently deleted 5 years after 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 Australian Research Council Discovery Grant DP17170100198 – *Rights in Records by Design*. CI Evans's involvement is supported through the Australian Research Council Future Fellowship FT140100073 – *Connecting the Disconnected: Co-Designing Inclusive Archival and Recordkeeping Systems*.

Complaints

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

Executive Officer
Monash University Human Research Ethics Committee (MUHREC)
Research Office, Room 111, Building 3e
Monash University VIC 3800
Tel: +61 3 9905 2052
Fax: +61 3 9905 3831
Email: muhrec@monash.edu