

Consent to Participate in Research

Building an Information Quality-backed Analysis System to Support Monitoring and Surveillance Operations Within a Wholesale Electricity Market: A Delphi Methodology Approach

Introduction

You are invited to participate in a research project conducted by a doctoral student at the University of Arkansas at Little Rock. In this research, we are investigating what features and components (of a software system) are most important to members of the energy market monitoring discipline.

Investigators

- Eric C. Grasby, MSIQ (Doctoral Student, Department of Information Science – UA Little Rock)
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Each of the investigators listed above may also be contacted through the UA Little Rock Department of Information Science, here:

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IRB Approval and Contacts for Questions or Problems

This study has been reviewed and approved by UA Little Rock's Institutional Review Board (IRB). The IRB has determined that this study meets the ethical obligations required by federal law and University policies. If you have questions or concerns regarding this study, please contact the principal investigator, or the research advisor.

If you have any questions regarding your rights as a research participant, please contact the UA Little Rock Office of Research Compliance at 501-916-6209 or irb@ualr.edu.

This consent form will help you choose whether to participate in the study. Feel free to ask if anything is not clear in this consent form- *contact information for the study administrators is provided above.*

Important Information About This Study

Things you should know:

- The purpose of the study is to investigate what features and components (of a software system) are most important to members of the energy market monitoring discipline. This investigation will be conducted in (flexible) accordance with the Delphi Methodology (see https://en.wikipedia.org/wiki/Delphi_method for more information on the mechanics of a Delphi study)
- To participate, you must be over the age of 18 (age of majority) and affiliated with the market monitoring segment of the energy industry (or a member of the Energy Intermarket Surveillance Group). This affiliation means that you currently work for a market monitoring group (either in the US or internationally) or are a member of a regulatory entity that has oversight in the energy market industry.
- If you choose to participate, you will be asked to provide responses to pre-developed survey questions. This will take roughly 30 minutes to an hour of your time, per survey round. There are expected to be 2-3 rounds of survey questions with this study, along with material provided back to you that summarizes the panel responses (in aggregate and anonymized).
- There are no anticipated risks that are associated with this study.
- The possible benefits of this study include:
 - Greater exposure of the market monitoring profession to practitioners of the IT and information systems domains
 - The development of a prototype system that has the potential to aid market monitors in the complex/cumbersome data-related tasks that they must perform in their daily roles.
- Taking part in this research study is voluntary. You do not have to participate, and you can stop at any time.
- The results of this summary will likely be published in an academic paper- in pursuit of satisfying the publication requirement of the CIS PhD curriculum. Any results will be summarized/aggregated and anonymized prior to publication. No individual names or personal information will be used in a paper publication.

More detailed information may be described later in this form. Please take time to read this entire form and ask questions before deciding whether to take part in this research study.

What is the study about and why are we doing it?

The purpose of this research is to function as an expert panel for gathering consensus on important features and components of what a general software system should include for market monitors. Anyone with market monitoring expertise, in a prior or current role, is welcome to participate; greater perspectives on pain points in your workflow are excellent input for determining what functions this prototype system needs to perform.

What is involved in the study?

Participation is completely voluntary. If you decide to participate you will be asked to respond to survey questions that are syndicated to you through email. We think this will take you roughly 30 minutes to 1 hour of your time to respond and submit your questions, for each round of the study.

After all participants have responded, the results from each round will be processed and summarized. The results will then be provided back to you as an entire group so that you are able to see what experts (overall) currently feel about these questions.

Ideally, we would like to conduct this study for at least 2 rounds (if there is a high response rate and general interest from you, we can extend this to further rounds).

All responses will be provided using the Google Forms UI. They can be accessed through a link that will be emailed to all participants once the survey round begins. The summary results from each round will be provided to participants in a PDF report over email.

Risks

This is a minimal risk research study. That means that the risks of participating are no more likely or serious than those you encounter in everyday activities. There are no expected, adverse risks incurred by participating in this study.

At no point during this study will participants be identified to any 3rd party- including other members of the expert panel. Responses, likewise, shall not bear any identifier that can link back to the participant providing the response. The Delphi methodology relies on this fact to allow participants to give their objective opinions.

None of the questions posed to you ask about market participant behavior, opinions on current and/or pending policy, or any other confidential information.

Benefits

This research explores a cross-disciplinary area of investigation that aims to improve the data quality and management landscape of market monitoring. It is reasonable to expect the following benefits from this research.

An open-source system shall be developed that can be utilized and extended for performing data-related tasks in a market monitoring setting. Your participation in this study directly influences the requirements and design of such a system.

There are no known benefits to you, personally, by participating in this study. However, information learned in this study may benefit you and your business unit in the future (by way of utilizing this system).

Confidentiality and Data Security

The Freedom of Information Act in Arkansas allows for records of any research affiliated with this institution to be requested by anyone in Arkansas. We will make every effort to keep information about you confidential *to the extent allowed by law and University policy*.

Data will be stored in a secure manner for a minimum of three years. Surveys will be administered through the UA Little Rock managed Google Drive suite, including Google Forms and Google Sheets. Security controls will be utilized to ensure that 3rd parties (including other members of UA Little Rock) cannot view any data related to this study.

Your confidentiality will be kept to the degree permitted by the technology being used. We cannot guarantee against interception of data sent via the internet by third parties. Data stored at rest (during survey processing and records retention) will be encrypted and password-protected. Data will only be decrypted locally (during processing) and thereafter destroyed.

Please note that email communication is neither private nor secure. Though I am taking precautions to protect your privacy, you should be aware that information sent through e-mail could be read by a third party.

Only members of the investigation team (listed in this document: Eric Grasby, Dr. Berleant, and Dr. Pierce) will have access to the responses of this study- both during the study and for the duration of the records retention requirement (3 years). Responses will not be stored with any personally identifiable information. Email addresses are only used to conduct the distribution of surveys. Once the survey distribution is completed, email addresses associated with this study will be purged and response records will only be linked/identified by a unique, anonymous identifier.

It is unlikely, but possible, that others (UA Little Rock, or state or federal officials) may require us to share the information you give us from the study to ensure that the research was conducted safely and appropriately. We will only share your information if law or policy requires us to do so.

Compensation

Please note that participation in this study includes *no compensation*.

Your Rights as a Participant

Please take whatever time you need to ask the researchers questions about the study. You are free to stop participation at any time without any penalty.

Skipping questions, stopping participation in any rounds of this study, or refusing to participate shall not cause you to be impacted by any negative consequences.

Should you wish to withdraw, simply email the principal investigator (ecgrasby@ualr.edu) and request to not be contacted with follow-up survey rounds or summarization of results. If you wish for some or all of your responses to be deleted, the principal investigator will destroy your responses and remove them from the study. Otherwise, any responses that you do not identify to be removed will be kept and used in processing the results of this study.

If you wish, you may request a copy of your responses during this study. Email the principal investigator and he can provide you with a copy of your responses in an encrypted (and password-protected) format.

Consent of participant (or legally authorized representative)

If you are 18 years of age or older, understand the statements above, and freely consent to participate in the study, click on the appropriate "Agreement" checkboxes to begin the survey. Screenshots of these checkboxes are provided below:

Attestation of Participant Age of Majority *

By checking the box below, you certify that you are 18 years of age or older. Note that you *must* be over the age of 18 to participate in this study.

Should the principal investigator determine that any responses provided were completed by individuals that are not over the age of 18- those responses will be destroyed.

☐ I am 18 years of age or older

Consent To Participate in Research *

Please see the [Consent To Participate in Research waiver](#) linked here. You should have also been provided a copy of this waiver when you were contacted during the recruitment process.

☐ I have read ALL information in the linked "Consent To Participate in Research" form and I agree to these t...

Retaining a Copy of Your Consent to Participate

If you wish to retain a copy of this consent form, you are free to do so. You may obtain a copy by taking a screenshot of this document, or by downloading it from the link present in the survey form.

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Please see the [Consent To Participate in Research waiver](#) linked here. You should have also been provided a copy of this waiver when you were contacted during the recruitment process.