



HML Ethics Review Board

Research Ethics Review Document

Review of UNICEF Research Project Materials for the Protection of Human Subjects

This document serves to meet UNICEF ethical standards for research, evaluation, data collection and analysis, and is the official record of an ethics review. It is designed to ensure effective processes and accountability for ethical oversight and to ensure the protection of, and respect for, child and adult rights within all research, evaluation, and data collection processes undertaken or commissioned by UNICEF. It conforms with the [UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis](#); Document Number: CF/PD/DRP/2015-001; Effective Date: 01 April 2015, Issued by Director, Division of Data, Research and Policy.

The Purpose of Research Ethics Review

The purpose of an Ethics Review Board (ERB) or Institutional Review Board (IRB) is the protection of human research subjects' rights. These rights include *Respect* for individuals to make free decisions, *Justice or equity* regarding distribution of the burdens and benefits of research, and *Beneficence* or the obligation to do good and avoid harm.

ERBs review research protocols that involve the collection and analysis of data from human subjects to ensure that ethical standards are upheld. This is to protect the rights and welfare of subjects and to ensure that:

- subjects know the purpose of the study and are not placed at undue risk;
- participation is voluntary and confidential;
- subjects are provided and agree to informed consent prior to their participation;
- relevant protocols are in place to assure subjects' protection and safety, and;
- data collection and analysis does not result in the violation of privacy or discrimination.

Before issuing approval, the ERB must determine that the following requirements are satisfied:

- informed consent is sought from each subject or the subject’s legally authorized representative;
- the proposed research design is scientifically sound and that risks to subjects are minimized;
- any risks to subjects are reasonable in relation to anticipated benefits;
- subject selection is equitable;
- safeguards are included for subjects likely to be vulnerable to undue influence or coercion;
- subjects’ safety, privacy, and confidentiality are maximized.

Materials Requested for Review:	Also, please include:
<ol style="list-style-type: none">1. Inception Report / Research Protocol, containing, e.g.,: specific aims or objectives, research questions, study design, subject recruitment, subject protection and data protection plans.2. Copies of all Informed Consent documents.3. Copies of all data collection instruments.	<ol style="list-style-type: none">4. Written protocols to ensure subjects’ safety.*5. Written protocols for the protection of human subjects’ identities.*6. Written protocols for the protection of data.*7. Other relevant documents. <p>*These may be statements incorporated into research plans and/or embedded in a single protection protocol.</p>

HML IRB is an autonomous committee authorized by the United States Department of Health and Human Services, Office for Human Research Protections (IRB #1211, FWA #1102, IORG #850), to review and approve research involving human subjects before the start of research, and to conduct annual reviews of that research independent of affiliation with the research organization submitting materials for review.

Please submit your materials for review to:
D. Michael Anderson, PhD, MPH, HML IRB Chair & Human Subjects Protections Director
and Penelope A. Lantz, JD, HML IRB General Counsel
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UNICEF Research Ethics Review for Human Subjects' Protections

→ **INVESTIGATORS:** Please confirm your project information and any additional information requested below.

Project Title:	<i>Evaluation of the Humanitarian WASH Response of UNICEF Iraq</i>
HML IRB Research Ethics Review ID#:	484IRAQ21
Initiating UNICEF Official: Name, CO, & RO	Robert Stryk, Regional Evaluation Advisor, MENARO rstryk@unicef.org
Principal Investigator/Project Manager: Name, degree(s), organization, & address	Pierre-Yves Malgorn, MSc., correct? Please provide address Managing Director SREO Consulting Ltd. 240 1 621 Khabat Street Erbil, 44001 Iraq
Other Key Personnel: Names & titles	Eoin O'Donnell, Team Leader Jacques-Edouard, WASH Specialist (Hydroconseil) Solène Le Pape, Junior Technical Expert (Hydroconseil) Silvère Jarrot, Technical Specialist (Hydroconseil) Wafi Khayat, Technical Specialist Will Simon, Data Specialist Okba Al-Daher, Data Field Manager Ahmed Emad Mohammed, Field Supervisor
Contracting Firm: Name & address	SREO Consulting Ltd. Please provide address 240 1 621 Khabat Street Erbil, 44001 Iraq Hydroconseil Please provide address 198 Chemin d'Avignon 84470 Châteauneuf-de-Gadagne, France
Primary study site(s): (e.g., country, province, region)	Ninewa, Kirkuk, Anbar, Erbil, Dohuk, Baghdad Governorates, Iraq

Project duration: (Dates from -- to)	Please provide 17 October 2021 to 31 March 2022
Duration of Subjects' Participation: (Dates from -- to)	Please provide 03 January 2022 to 21 February 2022
Thematic Area/Areas:	Environment Health Choose an item.
Target population:	WASH beneficiaries including IDPs in camp, IDPs outside camp, returnees, refugees in camp, refugees outside camp and host communities

Date of ERB Request	08 December 2021
Date(s) ERB Comments Returned	14 December 2021
Date Final Documents Received	23 December 2021
DATE OF ERB APPROVAL	27 December 2021

UNICEF Ethics Review Process

HML Ethics Review Board (UNICEF LTAS 42107154) will conduct a research ethics review of submitted materials and make comments below under **Additional Information Needed**. We will then return this template for responses from investigators.

Please respond to **our comments** in **another colour**, directly under each comment.

- Please provide any requested or revised materials, and please note where revisions to your materials may be found by page or paragraph number.
- Please do not alter ERB comments or the format of this document.

This HML ERB review document serves as the official record of the ethics review for the project named below. This document, including all comments and responses, will be retained by UNICEF and HML ERB as a record of this review. Once you and we have agreed on the ethical rights of your research subjects, we will issue a letter of approval.

	Ethics Review Board Criteria of Interest	Additional Information Needed → Investigators: Please respond to ERB info requests in another color directly below the request	X or NA equal PASS (for ERB use)
Section 1	<i>ERB Submission:</i> Are all requested project information, materials, and final documents provided separately or incorporated in text? This includes:		
1.1	Inception Report or Research Protocol, containing, e.g.: specific aims or objectives, research questions, study design, analysis & dissemination plans	<p>Please keep us informed of any subject protection protocol or research design changes that need to occur in adaptation to the coronavirus pandemic in the sites of your study.</p> <p>As mentioned on page 27 of the inception report, paragraph 2.3.7 COVID-19 Field Plan “During field data collection, curfews or other restrictions introduced in Federal Iraq and/or KRI in response to COVID-19 will be complied with, along with all required health and safety measures. Field work protocols will be adjusted to the context accordingly. Thereafter, the field teams will follow sector-specific guidelines on COVID-19 preparedness and response shared by UN agencies for humanitarian operations in Iraq. Our field approach will also continue to be informed by WHO and the US Centre for Disease Control health and safety measures.” Specific COVID-19 field guidelines have also been included on p. 48-49 of the inception report.</p>	X
1.2	Informed Consent documents	Please see comments in Section 6, below.	X
1.3	Surveys and data collection instruments		X
1.4	Written protocols to ensure subjects’ safety		X
1.5	Written protocols for protection of subjects’ identities		X
1.6	Written protocols for protection of data		X

1.7	Other relevant documents		X
1.8	Do protocols include a section identifying ethical issues and measures to mitigate ethical problems as required by UNICEF Procedure? Included	The protocols are mentioned on p. 45 of the inception report, paragraph 2.6 Ethical Considerations & Data Protection.	X
1.9	Have informed consent and data collection instruments been pre-tested?	Please respond. Yes, SREO and Hydroconseil have tested the informed consent and data collection instruments. Besides, as mentioned on p. 44 of the inception report, paragraph 2.5 Quality Assurance, ahead of data collection rollout by Iraqi management and field staff, all tools will be piloted.	X
1.10	Are all submitted documents final versions?	Please respond. Yes. SREO has adjusted the survey sampling upon request from the Steering Committee and reflected those changes in the inception report and the budget.	X
1.11	May the final protocol and instruments be included in an internal UNICEF searchable database for colleagues to learn from your work?	Please respond: INCLUDE or OMIT. INCLUDE - SREO gives assent to include the final protocol and instruments of this evaluation in an internal UNICEF searchable database to enrich UNICEF learnings.	X
1.12	Additional comments or suggestions		X
Section 2	Research Design: Do submitted materials describe the proposed research? This includes:		
2.1	Is the study's background, rationale, and study design scientifically sound?		X
2.2	Does study involve intervention, treatment, comparison, or control groups?		X
2.3	Type of data collection: a. survey questionnaire.....X b. subject interview..... c. key informant interview (KII).....X d. focus group discussion (FGD).....X		X

	e. document (desk) review.....X f. on-site observation.....X g. case study..... h. analysis of secondary data.....X i. physical measurements j. biological specimen k. other.....		
2.4	Number of Data Collections: a. one-time (no follow-up) b. two or more (follow-up)	One-time only data collection, correct? Correct. One-time data collection.	X
2.5	Sample size: Approximate total $n = 575$ 1210 surveys, 50 KIIs and 15 FGDs	How many site observations will you conduct? The evaluation will include 12 site observations focused on WASH system, sanitation infrastructure and community places across Mosul, Sinjar, Jedy IDP Camp 5, Hawijah, Ba'aj , Laylan Camp, Fallujah,AAF Camp, Baharka, Debaga 1, Domiz 1, Domiz 2.	X
2.6	Are any subjects children (<18 years old)? 13 – 17 yo	What are the ages child subjects? Children of age 13-17	X
2.7	Additional comments or suggestions		X
Section 3	Subject Risks: Are risks reasonable in relation to any benefits to subjects and to the importance of knowledge that may be expected to result from the research?		
3.1	Is the research <i>Minimal Risk Only</i> ?: This means the probability and magnitude of anticipated harm or discomfort is no greater than ordinarily encountered in daily life or during performance of routine physical or psychological exams or tests.		X
3.2	Does the research involve <i>greater than minimal risk</i> , but where risks are justified by anticipated benefits; where the relation of the anticipated benefits to risks is at least as favorable as available alternative approaches; and where the intervention or procedure is likely to yield generalizable knowledge? If so, are mitigating		X

	procedures described?		
3.3	Do study objectives show that risks are reasonable in relationship to expected gains and benefits are clearly articulated?		X
3.4	By their participation, are subjects vulnerable to any of the following?: a. physical risk b. psychological risk c. social risk d. economic risk e. legal risk f. political risk g. employment risk..... h. academic risk..... i. religious risk..... j. other.....	Do you anticipate any of these risks to participation? No. The consortium takes the Do No Harm principles of humanitarian action very seriously and has robust data security, informed consent, and confidentiality policies in place to avoid this risk as stated on p.51 of the report.	X
3.5	In event of any of the above risks, do protocols describe clear strategies to mitigate risks?	If so, please describe mitigation protocols. Yes, those protocols are described on page 25 of the inception report, paragraph 2.3.2 Security & Risk Mitigation.	X
3.6	Does the study request information or opinions where public disclosure may result in danger, limitations to future freedoms, or access to services?		X
3.7	Do gender, ethnicity, or other demographic characteristics -- or grouping of subjects by any of these characteristics, especially in FGDs -- increase subject risk?	How will children be grouped by age for FGDs? Children of the age 13-17 will be grouped according to their school grade (e.g. secondary school of the ninth grade). This will make them feel more comfortable since surrounded with students from the same school and age group.	X
3.8	If a subject discloses or is suspected to be at risk outside the study, are procedures in place to address or report risk and refer subject for relevant support?		X

3.9	Is reporting abuse of minors mandatory? If yes, has consideration been given to the impacts and consequences of mandatory reporting?		X
3.10	Additional comments or suggestions		X
Section 4	High Risk: When subjects are vulnerable to heightened risk have additional safeguards been included to protect their rights and welfare?		
4.1	Can subjects be perceived as vulnerable, including: children, especially unaccompanied or separated (UASC); lacking WASH, food, shelter, or medical care; refugees in conflict or post conflict; those in natural, ecological, or disaster settings; mothers & pregnant women; forced migrants and illegal or undocumented immigrants; prisoners or persons in institutions including orphanages or juvenile justice systems; gang members; those with mental or physical illness or disability; those with HIV/AIDS; those at economic or educational disadvantage; persecuted minority groups, or under high familial, peer, or social pressure? If yes, are study-specific protection protocols provided?		X
4.2	Does the sampling strategy target people at risk for issues such as: violence, torture, abuse, kidnapping; sexual exploitation, harassment, violence or abuse; prostitution or pornography, female genital mutilation, reproductive or sexual issues; sexual orientation; child, early or forced marriage; suicide? If yes, are study-specific protection protocols provided?		X
4.3	Are subjects involved in any of the following: slavery, including the sale and trafficking of children; forced labour, servitude, forced recruitment to armed groups; war or armed conflict; illegal activities, production or trafficking of drugs; economic exploitation; work that could damage health or safety; removal of organs for exploitation? If yes, are study-specific protection protocols provided?		X

4.4	Does the study request information relating to illegal activities? If yes, is an MOU in place with government to ensure that no participant is prosecuted? Have participants been notified of this agreement?		X
4.5	Additional comments or suggestions		X
Section 5	Recruitment: Do submitted materials describe subjects and the recruitment process?		
5.1	To what extent are subjects identified: a. names are recorded with responses..... b. names recorded separate from responses..... c. no names are recorded d. other personally identifiable information (PII) is recorded..... e. no PII is recorded f. subjects are given a unique identifier..... g. other.....	Will you store any names or PII with any type of data? SREO will not store any name or PII for beneficiaries neither in surveys nor in FGDs. As stated in the privacy section of the survey introduction (p. 66), we are committed to respect the privacy and ensure the confidentiality of the respondents' inputs. No information identifying them personally will be collected, and thus we will not link their responses to their identity. With regard to the key informant interviews, those will be conducted with stakeholders (e.g. UNICEF staff, INGOs staff, NNGOs staff, Government officials, local stakeholders...) that we will identify according to their position/involvement with UNHWR.	X
5.2	If subject name or any other PII is recorded, are procedures included for how this info will be kept separate from responses?	Please describe for informed consent statements. SREO will not record any names or PII for beneficiaries neither in surveys nor in FGDs. Please describe for each data collection method (survey, FGD, KII, observation). Surveys: No names or PII are stored. FGDs: No names or PII are stored. Observations: Those are conducted by SREO field researchers using their personal observations and do not require any records from any subject. KIIs: Those will be conducted with stakeholders (e.g. UNICEF staff, INGOs staff, NNGOs staff, Government officials, local stakeholders...) that we will identify according to their position/involvement with UNHWR.	X

5.3	Are subject recruitment procedures & sampling strategy adequately described?	<p>On p.23 you state that UNICEF and its Implementing Partners will invite beneficiaries to the FGDs. Will UNICEF and the partners select and recruit all FGDs subjects? Will they know which subjects participate or refuse?</p> <p>UNICEF field staff and implementing partners have a thorough knowledge of the specific projects implemented across the target locations. Therefore, they are in the best position to invite beneficiaries who are willing to participate in the FGDs. Beneficiary participants will demonstrate more eagerness to participate if approached by UNICEF/partners staff to whom they are already familiar with them. Upon arrival at the FGD venue, SREO FRs will be responsible for initiating the FGD process (not UNICEF nor its implementing partners). This is highlighted in the introduction and privacy section (page 84), which allows any participants to freely participate or withdraw. SREO will also ensure that no other entity knows if the subject participated or not in the FGDs.</p>	X
5.4	Do recruitment procedures clearly describe ways and means to ensure privacy of subjects throughout the recruitment process?		X
5.5	If subjects are children or other vulnerable groups, are materials (e.g.: survey instruments, focus group topics, etc.) age appropriate?		X
5.6	If subjects are children or other vulnerable groups, or if subject matter is sensitive, is recruitment sensitive to subjects' potential vulnerabilities (real or perceived) and does it ensure privacy throughout recruitment?		X
5.7	Do recruitment procedures show indication of bribery, coercion, intimidation, compulsion, pressure, or force?	<p>Could subjects feel pressured to participate since implementing partners are inviting beneficiaries to participate?</p> <p>No, since SREO FRs will be solely responsible for conducting the FGDs. Participants will have the freedom</p>	X

		to express their satisfaction or discontent towards the projects implemented in their area.	
5.8	Is recruitment of some members of the population and not others likely to result in resentment for either inclusion or exclusion? Have strategies to address this been adequately described?	<p>Could this be an issue for some of your subjects? No. SREO does not anticipate any resentment for either inclusion or exclusion for participating in the data collection process. Participants in data collection will be selected and sufficiently represented in terms of gender, beneficiary status/sub group and location using elements of stratified and random probability sampling for quantitative data collection, and a mix of convenience, purposive and snowball non-probability sampling for qualitative data collection.</p>	X
5.9	Are potential subjects likely to conflate participation with potential or actual goods or service provision? Have strategies to address this been adequately described?	<p>Also, could this be an issue for your subjects? No. As mentioned on page 84, SREO FRs will explain to respondents that their participation will not entitle them personally to receive any sort of assistance.</p>	X
5.10	If subjects are paid, compensated, provided a gift, or provided other benefits or services for participation, is the incentive described and justified as non-coercive?	<p>Is compensation planned for any subjects? If so, what and how much? SREO is not planning for any compensation for subjects participating in the data collection process.</p>	X
5.11	Additional comments or suggestions		X
Section 6	Informed Consent: IC is a negotiation whereby subjects are informed about the study and their rights, and they agree to participate voluntarily. IC must be sought from each subject or the subject's authorized representative confirming this process.		
6.1	Type of Informed Consent: a. written & signedX b. written not signed c. written & signed by authorized representative.. d. verbal & signed or recorded.....X e. verbal & signed by authorized representative....	<p>The consent form for the household survey includes a tick box to consent to having the focus group audio recorded (p.67). Please revise. Addressed</p>	X

	<p>f. verbal not signed or recorded.....</p> <p>g. active.....</p> <p>h. passive.....</p> <p>i. other</p>	<p>The consent text on p.89 for collection of observation data through quotes, video and photos should include all of the elements of informed consent included in Items 6.3 to 6.11 below.</p> <p>Addressed</p> <p>Please also include the elements provided in Items 6.3 to 6.11 in the IC for child subjects (Section C.2.2, p.85)</p> <p>Addressed</p>	
6.2	<p>Are the processes for obtaining each IC adequately described?</p>	<p>Will you obtain written and signed consent from adult subjects for FGDs or just from parents of child subjects?</p> <p>We will not request written consent from adult FGD participants, as we will not record their names on any form. Written consent will only be requested from parents of child subjects.</p> <p>If not, how will you obtain and record adult consent for FGDs?</p> <p>Adult consent for FGD participants will be obtained verbally via audio recordings.</p> <p>Please provide a clear process for obtaining IC. In the Inception Report, there is reference to both verbal and written consent. Please clarify for each group (adult, parent/guardian, and child subjects) as well as each data collection method (KII, survey participant, FGD participant, observation).</p> <p><u>Subject group:</u> Adults: verbal consent will be collected Parent/Guardian: written and signed consent will be collected Child subject: verbal consent will be collected after obtaining first parent/guardian written and signed consent</p>	X

		<p><u>Data collection methods:</u> FGD participants with children: written and signed consent from parents/guardian and verbal consent from children Others: (KIs, FGDs with adults, surveys, observations) verbal consent will be collected</p>	
6.3	Does the IC include a clear and simple invitation to participate, an explanation of what the subject will be expected to do, and why they are being recruited?		X
6.4	Does IC include the purpose of the research presented in simple, age, education, and culturally appropriate local language?		X
6.5	Does IC state that participation is voluntary, and subject may choose to not respond to any or all questions, or may withdraw anytime without consequences?	<p>Please state clearly that participation is voluntary on the Household Survey IC On page 67, it is stated clearly under A.2. section 2. “2. I understand that participation is voluntary and that I am free to withdraw at any time, without giving reason.”</p> <p>Please include that participation or refusal will not impact any benefits or services subjects receive in the survey IC. On page 67, the following is added “3. I understand that my participation or refusal will not impact any benefits or services that I receive/might receive.”</p>	X
6.6	Does IC include the expected duration of the subject's participation (hours/minutes)?	<p>Please include in the ICs for t: “he survey. Added on page 66: “The survey will take about 15-20 minutes of your time”.</p>	X
6.7	Are subjects given a clear indication of who will have access to their responses and in what form?	<p>Please include in all IC documents. Yes, they are given a clear indication in the introduction sections of the data collection instruments.</p>	X
6.8	Are subjects given a clear description of potential re-use or sharing of data, with whom, and in what form?	<p>Please include in all IC documents.</p>	X

		<p>As stated on p.49, all evaluation team members are fully aware of data protection procedures and are committed to implementing the following practices to increase the level of confidentiality:</p> <ul style="list-style-type: none"> • Limiting access to identifiable information by not collecting this data at any stage in relation to community or governmental stakeholders. • Thoroughly dispose, destroy, or delete study data and documents when no longer useful. • Securely store data documents using secure, encrypted cloud-based locations. • Data cleaning processes include ensuring all data is de-identified. 	
6.9	Does IC include a description of any risks or benefits to subjects?	<p>Please include in all IC documents. If there is minimal risk only, please state. There is minimal risk to subjects.</p>	X
6.10	Does IC include a statement describing how confidentiality (or anonymity) will be maintained, and if there are any limitations to confidentiality?	<p>The text used in the IC for KII (p.78) is confusing: <i>“You may choose to remain fully anonymous or accept to attach part of your identity to your inputs. And perhaps you will only want some of your comments (on particularly sensitive issues for instance) to remain anonymous. Let us know your preference by the end of this call.”</i> At the end will you go through the interview and ask which comments can be used? <i>“Or perhaps now if you already know?”</i> How would the subject know before the interview takes place?</p> <p><i>“In all cases, we will ask your permission to attribute a quote to you in the final report if this would make your identity easily known.”</i> Define <i>“easily known.”</i></p> <p>How will you contact subjects if they need to consent to a quote identifying them?</p>	X

		<p>At the end of every KII, we will propose four options to the interviewee :</p> <ul style="list-style-type: none"> - No specific confidentiality: the participant's personal data are recorded, and he/she can be cited in the final report on any quote of the interview. - Specific confidentiality: the participant's personal data are recorded and he/she can be cited in the final report, except for one/several specific comment(s) of the interview on which he/she 'd like to remain anonymous. - Total confidentiality : the participant's personal data are recorded but he/she will remain anonymous in the final report for any quote of the interview. - Total anonymity: the participant's personal data are not recorded and he/she will remain anonymous in the final report for any quote of the interview. <p>Will you obtain written or verbal consent to use these quotes? We will obtain verbal consent on the choice of one of the four options presented above.</p> <p>Please include in all IC forms. Please distinguish between confidentiality (PII recorded, but not shared) and anonymity (no PII recorded) for each IC. Included in IC form.</p> <p>Are there any limitations to confidentiality? If so, please describe in IC. No specific limitations.</p>	
6.11	Does IC provide identity and contact info of investigators? Is the form of contact useful and appropriate given power dynamics and access to resources like phones and/ or transport?	<p>Please include in each IC. Only the name is mentioned, but not the contact information (phone).</p>	X

6.12	For child subjects, is IC being obtained from parent, guardian, caregiver, or authorized representative? If not, is a justification provided for why this is unnecessary?	Please create a separate IC form for parents to consent for their child to participate. Addressed – Written and signed consent will be requested from parents, guardians, caregivers or authorized representative.	X
6.13	For child subjects, is their role in the study described adequately and in an age and culturally appropriate manner for them to provide written or verbal assent?	Please see comment in Item 6.1. Addressed	X
6.14	Do IC materials advise subjects to keep focus group discussions (FGD) confidential from anyone outside the group?	Please include in each IC for FGDs. We already mention in the tools that “The discussion will be kept strictly confidential”. Further, we have included a specific mention in the IC form. We also recommend you use pseudonyms in FGDs. We already mention in the tools the following: “Your name will not be used in any report that is published”. We have added: “We will use pseudonyms in case we would like to use any quote of the discussion.”	X
6.15	Where subjects differ by type (e.g.: age, sex, risk, status, etc.), are IC documents specific for each type?		X
6.16	Where data collection differs by method (e.g.: survey, FGD, interview, audio recording), do ICs cover each method?	Please request permission to use audio recording in each IC where audio recording will be used. Permission to use audio recording will be requested for both KIIs and FGDs. For instance, the FGD consent form clearly states: “I agree to the focus group being audio recorded”.	X
6.17	If IC is written, is a copy left with subjects or there is explanation for not doing so?	Will a copy of the IC be left with subjects? If not, why not? SREO will share a copy of IC with subjects.	X
6.18	Additional comments or suggestions	Did the interview subjects who are named on p.65 consent to be named in the report?	X

		<p>All of them are UNICEF staff and provided assent to participate in the scoping interviews.</p> <p>Will you name KII subjects in the final report? If so, please obtain consent to do so.</p> <p>We will obtain consent to use their name in the final report.</p>	
Section 7	Subject Protections: Do submitted materials clearly identify protection against risk?		
7.1	Do materials describe protocols for subjects' safety throughout data collection, analysis, storage, and dissemination?		X
7.2	Are all data collected necessary for the purposes of evidence generation?		X
7.3	Do data analysis and reporting procedures ensure subject confidentiality (or anonymity) and security?	<p>Please clarify whether data analysis and reporting procedures will be anonymous or will contain any PII.</p> <p>For the KII :</p> <ul style="list-style-type: none"> - In the data analysis, the PII will be anonymous or not depending on the choice of the interviewee (see the four options detailed above). - Same for the reporting. <p>For FGD and survey:</p> <ul style="list-style-type: none"> - The data analysis will be strictly anonymous. It will only include the beneficiary status and location. - The reporting will remain anonymous. 	X
7.4	If future contact with subjects is planned, does it provide for confidentiality and data security through the research period and beyond?		X
7.5	If children or other vulnerable groups are subjects, have personnel had experience working with these groups? If not, what specialized instruction will they receive?	Do data collectors for FGDs have experience working with children?	X

		<p>Yes, they have worked with these groups on previous projects (e.g. JPF). It is worth adding that SREO field coordinators have benefited from related trainings provided by UNFPA which have been cascaded to field data collectors.</p> <p>If not, what training will they receive?</p>	
7.6	Have personnel collecting data from subjects had ethical training specific to the target group?		X
7.7	Are personnel collecting data aware of ethical issues that may arise and provided mitigation strategies?		X
7.8	Additional comments or suggestions		X
Section 8	Data Protections: Do data collection and storage protocols adequately ensure subject & data safety?		
8.1	Are data collection tools appropriate and constructed to assure subject confidentiality or anonymity?	<p>Will data entered into Dedoose and Klaxoon be anonymized?</p> <p>Dedoose: For the KII :</p> <ul style="list-style-type: none"> - In the case of “no specific confidentiality”: data are not anonymized in the tool nor in the reporting later - In the case of “specific confidentiality”: data are not anonymized in the tool but anonymized on some comments in the reporting - In the case of “total confidentiality” : data are not anonymized in the tool but anonymized in the reporting - In the case of “total anonymity”: data are anonymized in the tool and in the reporting <p>For FGD and survey:</p> <ul style="list-style-type: none"> - Data are not anonymized in the tools but in the reporting later 	X

		Klaxoon: Except in the case of “no specific confidentiality” for KII, data will be anonymized.	
8.2	Do data collection procedures and environment ensure data security?	Given the high number of individuals who will access the data (analysts, translators, QA, etc.), please describe at what point the data will be anonymized. Once the data cleaning and the data analysis are completed, the data analysts will work on the reporting / formulation of findings / recommendations during which they will anonymize the data, except in the case of “no specific confidentiality” for KII. For the QA, individuals will then work on anonymized data, except in the case of “no specific confidentiality” for KII.	X
8.3	Do procedures cover all data types (e.g., written, audio, video, observation), and are protections described for each type?	Please describe protections for audio recordings. All evaluation team members are fully aware of data protection procedures and are committed to thoroughly delete audio recordings once the assignment is over (after the validation of the final evaluation report).	X
8.4	If data will be shared with partners, is there a clear agreement or NDA?		X
8.5	Do protocols describe chain of custody of data and protections for data transfer or transmission, storage, de-identification, and destruction?	Please describe the chain of custody through destruction of raw data. The collected data will be shared and stored within the evaluation team through a G-drive link. No one outside the evaluation team can access this link. Once the final evaluation report is validated, the audio recordings and the shared folder will be deleted. Further information are provided under the section ‘Data Protection’ on p.49.	X
8.6	Additional comments or suggestions		X