**Participant Information Sheet for Focus Group Discussions**

**Study Title**: Expanding safe water and waste management service access to off-grid urban populations in Africa

**Researchers**: Dr. Lorna Okotto (Jaramogi Oginga Odinga University of Science and Technology) and Prof. Jim Wright (University of Southampton)

**ERGO number:** 77654

You are being invited to take part in the above research study. To help you decide whether you would like to take part or not, it is important that you understand why the research is being done and what it will involve. Please read the information below carefully and ask questions if anything is not clear or you would like more information before you decide to take part in this research. You may like to discuss it with others but it is up to you to decide whether or not to take part. If you are happy to participate you will be asked to sign a consent form.

**What is the research about?**

We are from Jaramogi Oginga Odinga University of Science and Technology (JOOUST) and are working with colleagues from the NGO VIRED International in Rabuor and also University of Southampton in the UK on a research project. Our study aims to understand how tariffs have changed in areas under the delegated management model of water service delivery, and also the issues involved in expanding the scheme to other neighbourhoods or cities. With this information, we aim to improve the delegated management model’s operation and expand it to bring piped water to those urban residents who do not have it. The study is part of the ‘Expanding safe water and waste management service access to off-grid urban populations in Africa’ (Water and Waste) project, which is supported by UK Research and Innovation as part of the Global Challenges Research Fund. The overall study aims to expand water access (e.g. through sale of sachets) whilst minimising uncollected waste. It is a collaboration between the University of Ghana School of Public Health, University of Southampton, and two Kenyan institutions, Jaramogi Oginga Odinga University of Science and Technology, and VIRED International.

**Why have I been asked to participate?**

You have been asked to take part because you took part in our earlier study of the delegated management model (DMM) of water service delivery and have experienced DMM yourself, either because your business is involved in the scheme or you buy your water from a DMM business.

**What will happen to me if I take part?**

We are asking you to participate in some discussions with other households / kiosk operators / master operators [delete as appropriate] living or working in DMM areas of Kisumu. At the start of the discussions, a facilitator from JOOUST will introduce everyone and explain the order of the day, giving the group a chance to set any ground rules for discussions. Afterwards, the discussions will focus on your experience of water tariffs through the scheme, and issues that could affect the DMM scheme being extended to other neighbourhoods. We think the discussions will take around two hours. We have a translator with us, who will roughly translate discussions into English (if discussions are in Kiswahili), speaking into a recording device as a record of what is said. If you wish to participate, you will need to agree to this recording. Our research project will run until March 2023 to allow time for interpreting the information that we collect, carrying out a follow-up questionnaire survey, and passing on our findings to government.

**Are there any benefits in my taking part?**

As the discussions will take some time, we will provide drinks and a light meal to thank you for your time. Apart from this, there will not be a direct benefit from taking part, but it could help government, NGOs, and international organisations understand how DMM tariffs are working and also the challenges that there might be in using the delegated management approach to water service delivery in other places.

**Are there any risks involved?**

There is the risk of us inadvertently passing on COVID-19 during this pandemic. To reduce this risk, we will wash our hands before and after speaking to you, keep 2 metres away from you during the interview, and also wear a face mask throughout the interview. Should we become sick in the 2 weeks following the interview or test positive for COVID-19, then we will contact you to let you know about this. Please wear a face mask travelling to and from this group discussion and during the discussions. Please make sure you stay 2 metres away from the other participants throughout proceedings too. We can provide you with a face mask if you do not have one. Depending on government advice about lockdown measures or should any of our team become ill, we may need to postpone the interview at short notice. If you become ill with coronavirus symptoms or test positive before our group meeting, please do not come to the meeting.

We will be discussing the water tariffs and challenges that DMM is facing. If your business (or household) has been through difficult times in the past or faces challenges now, it is possible you may find talking about this distressing. There may also be differences of opinion among the group about the challenges that the industry (or this neighbourhood) faces, so it is also possible that discussions could become heated. We plan to manage such situations through our group moderator, but should any arguments break out or anyone in the group become very distressed, then we will take a break from discussions and move on to the next topic.

**What data will be collected?**

We will ask you to sign a consent form to document that you have agreed to participate. A minute-taker will take notes of proceedings and collect any materials that the group uses at the end of the session. The minute-taker will not use people’s real names when recording comments, only codes (Person 1; Person 2; and so on).

**Will my participation be confidential?**

We cannot guarantee that your participation will be kept confidential, because there will be other people taking part in the study who will hear what you say. These people could repeat any comments that you make outside of the meeting, though when we open up the discussions, we will ask everyone not to repeat any comments made to others afterwards. The research team will also treat any comments you make as confidential.

The minute-taker will not record people’s names when taking notes. The audio recording of the rough English translation of discussions will be taken back to JOOUST and kept in a locked office. What is said will be typed onto computer, removing people’s names, then the audio recording will be destroyed. Only members of the research team and responsible members of JOOUST, VIRED International and University of Southampton may be given access to data about you for monitoring purposes and/or to carry out an audit of the study to ensure that the research is complying with applicable regulations. Individuals from regulatory authorities (people who check that we are carrying out the study correctly) may require access to your data. All of these people have a duty to keep your information, as a research participant, strictly confidential. The study will comply with the 2019 Kenya Data Protection Act and UK data protection laws.

**Do I have to take part?**

No, it is entirely up to you to decide whether or not to take part. If you decide you want to take part, you will need to sign a consent form to show you have agreed to take part.

**What happens if I change my mind?**

You have the right to change your mind and withdraw at any time up to or during the meeting without giving a reason and without your participant rights being affected. Because we will not be recording people’s names, you cannot withdraw after the meeting because we will not know who said what.

**What will happen to the results of the research?**

The minute-taker will not use the names of those taking part and we will keep the consent forms in a locked office at JOOUST in Bondo. We also plan to feed back our study findings to key organisations notably the metropolitan and national authorities, such as the Kisumu county government and KIWASCO. Your personal details will remain strictly confidential. Research findings made available in any reports or publications will not include information that can directly identify you without your specific consent.

We plan to make our anonymised notes from the meeting (with names and all personal details removed) available to other researchers if you agree to this. This is so that any interpretations of the data that we make can be checked by other independent researchers, to make sure that we have drawn the right conclusions and the science is conducted properly. If you agree to this, we will put the anonymised data in a special facility for storing research data and making it available to researchers around the world called the UK Data Archive (or a similar service, should the UK Data Archive decline our data offer).

**Where can I get more information?**

If you have any further questions about the study, you can contact the study team as follows:

Mr. Joseph Okotto-Okotto, VIRED International, Rabuor Environment and Development Center, Rabuor. Tel: 0713 925 989, 0733 779 631. Email: [jokotto@hotmail.com](mailto:jokotto@hotmail.com)

**What happens if there is a problem?**

If you have a concern about any aspect of this study, you should speak to the researchers who will do their best to answer your questions.

This research has been reviewed and approved by the Institutional Review Board of Jaramogi Oginga Odinga University of Science and Technology and by the Ethics Board of the Faculty of Environmental and Life Sciences at University of Southampton. If you remain unhappy or have a complaint about any aspect of this study, or if you have any questions about your rights as a research participant, you can contact the ethics chair at Jaramogi Oginga Odinga University of Science and Technology (JOOUST) as follows:

Prof. Francis Angawa,

Chair, Ethics Review Committee, Jaramogi Oginga Odinga University of Science and Technology,

PO BOX 210-40601 Bondo, Kenya

Tel: +254 57 2501804

Email: erc@jooust.ac.ke

**Data Protection Privacy Notice**

The University of Southampton conducts research to the highest standards of research integrity. As a publicly-funded organisation, the University has to ensure that it is in the public interest when we use personally-identifiable information about people who have agreed to take part in research. This means that when you agree to take part in a research study, we will use information about you in the ways needed, and for the purposes specified, to conduct and complete the research project. Under data protection law, ‘Personal data’ means any information that relates to and is capable of identifying a living individual. The University’s data protection policy governing the use of personal data by the University can be found on its website (<https://www.southampton.ac.uk/legalservices/what-we-do/data-protection-and-foi.page>).

This Participant Information Sheet tells you what data will be collected for this project and whether this includes any personal data. Please ask the research team if you have any questions or are unclear what data is being collected about you.

Our privacy notice for research participants provides more information on how the University of Southampton collects and uses your personal data when you take part in one of our research projects. If you wish, we can provide you with a copy now or you can download a copy at <http://www.southampton.ac.uk/assets/sharepoint/intranet/ls/Public/Research%20and%20Integrity%20Privacy%20Notice/Privacy%20Notice%20for%20Research%20Participants.pdf>

Any personal data we collect in this study will be used only for the purposes of carrying out our research and will be handled according to the University’s policies in line with data protection law. If any personal data is used from which you can be identified directly, it will not be disclosed to anyone else without your consent unless the University of Southampton is required by law to disclose it.

Data protection law requires us to have a valid legal reason (‘lawful basis’) to process and use your Personal data. The lawful basis for processing personal information in this research study is for the performance of a task carried out in the public interest. Personal data collected for research will not be used for any other purpose.

For the purposes of data protection law, the University of Southampton is the ‘Data Controller’ for this study, which means that we are responsible for looking after your information and using it properly. The University of Southampton will keep identifiable information about you for 10 years after the study has finished after which time any link between you and your information will be removed.

To safeguard your rights, we will use the minimum personal data necessary to achieve our research study objectives. Your data protection rights – such as to access, change, or transfer such information - may be limited, however, in order for the research output to be reliable and accurate. The University will not do anything with your personal data that you would not reasonably expect.

If you have any questions about how your personal data is used, or wish to exercise any of your rights, please consult the University’s data protection webpage (https://www.southampton.ac.uk/legalservices/what-we-do/data-protection-and-foi.page) where you can make a request using our online form. If you need further assistance, please contact the University’s Data Protection Officer ([data.protection@soton.ac.uk](mailto:data.protection@soton.ac.uk)).

**Thank you.**