

ANNEX 4

INTERVIEW QUESTIONS FOR CASE STUDIES

OUTCOME ASSESSMENT

TOPIC: PERSONAL SATISFACTION

1. Are you satisfied with the outcome of the agreement/compliance review? Why (not)?
2. If agreement: Are you satisfied with the company's actions regarding the outcome? Why (not)?
3. If compliance review: Are you satisfied with the Management's response to the report? And the Management's commitment to the action plan? Why (not)?
4. In your opinion, has the Mechanism/Management/company adequately addressed your grievances? Why (not)?
5. Besides the formal outcome, can you describe what else the complaint process has brought you?
6. Does the outcome of the complaint process meet the expectations you had when the complaint was filed? Why (not)?
7. Would you advise others to use this mechanism? Why (not)?
8. In which ways has the Bank's staff been involved?
9. Did you use other strategies to seek remedy besides the complaints process? If yes, were these other strategies hampered or supported by the complaint process? (i.e., were you allowed to seek media attention? Did you use the mechanism in order to seek media attention?)

TOPIC: INSTITUTIONAL LEARNING

1. Does the outcome include any measures to prevent comparable violations in the future (for example, changes to company policies or practices)?

TOPIC: RIGHTS COMPATIBILITY

1. Which human right was violated?
2. Was that right restored as a result of your complaint?
3. Have you ever been afraid of retaliation? Why (not)?

PROCESS ASSESSMENT

1. Looking back on the complaint process, how would you describe your role?
 - Were you satisfied with that role? Why (not)?
 - Did you want to be more/less engaged?
 - Do you feel that your actions during the complaint process [Name specific action/role that was described in the answer to main question 1] helped shape the outcome of the complaint process?

TOPIC: ACCESSIBILITY DURING PROCESS

1. Did you raise your concern with the Bank first? In what way was that response different than the outcome of the complaint process with the Mechanism?
2. What made you decide to file a complaint with this Mechanism?
3. How did you know you could file a complaint?
4. When did you become aware of the possibility of filing a complaint?
5. Did you feel it was difficult to file your complaint? Why (not)?

TOPIC: LEGITIMACY DURING PROCESS

1. Do you trust that the Mechanism has handled your complaint with their best efforts? Why (not)?
2. Do you remember a moment when you experienced the process as particularly unfair? Please elaborate.
3. When you experienced the process as unfair, were you able to express that concern with the Mechanism? How/why (not)?
4. In what way was the Bank's Management involved in your complaint process?

TOPIC: PREDICTABILITY DURING PROCESS

1. Did you have a clear view of the complaints process when you filed the complaint?
2. In which ways has the mechanism clarified to you what you could expect of the process and outcome?

TOPIC: EQUITABILITY DURING PROCESS

1. How have you experienced the power balance between you and the company/bank?
2. Have you ever felt that the company had more information or ways to contact the Management than you?
3. If compliance review: were you allowed to review a draft of the compliance report (at the same time as the company)?
4. If compliance review: Did the Management consult you in the drafting of the action plan?

5. In which ways has the Mechanism helped you during the process of filing your complaint? (For instance, in which ways did it offer 1. Information, 2. Advice, 3. Expertise).
6. Were you satisfied with that help? Why (not)?
7. Who other than the Mechanism helped you file the complaint (friends, other complainants, NGOs)? What kind of help did they give you?

TOPIC: TRANSPARENCY DURING PROCESS

1. Do you feel the Mechanism provided you with enough information about the ongoing process? Why (not)?
2. In which ways did the Mechanism keep you updated on the progress of your case?
3. Was there enough information about the project available?