Fieldwork Handbook

Making Transitional Justice Work for Women

Rights, Resilience and Responses to Violence Against Women in Northern Uganda, Kenya and Democratic Republic of the Congo

Democratic Republic of the Congo (DRC)

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Preface

This Fieldwork Handbook has been compiled by Dr Lucy Fiske and Dr Rita Shackel in consultation with Casey McCowan & Carol Angir from ActionAid Australia and researchers from ActionAid DRC, ActionAid Kenya and ActionAid Uganda.

The Handbook has been produced as a resource for in-country researchers in the project: Making Transitional Justice Work for Women: Uganda, Kenya and DRC. It brings together in one place a summary of the key concepts that underpin this research project, the protocols that shape its research processes and methodology, and the research instruments through which data will be gathered in this project. The Handbook lays out the key concepts and tools that shape the project’s approach, values and methodology. Section 1 of the Handbook comprises the main conceptual materials for this project including an outline of key research concepts and guidelines for sampling, coding and conducting interviews on sensitive topics including in focus group discussions. Section 2 provides researchers with tools to facilitate implementation of the project’s protocols. This section includes the ToRs for in country researchers as well as specific guidelines for: obtaining informed consent; data management and handling; documentation of research data and processes; conducting research during a crisis; and relevant referral resources. Section 3 of the Handbook consolidates the project’s research tools including the interview schedules, participant information sheets and consent forms for both women affected by violence and key informants.

It is hoped that this resource may also be useful beyond the current researchers and research project.
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1.1 Key Concepts in Research Methods

Population

The entire group of people who meet the criteria for a particular study.

For example, if a study was looking at the incidence of heart disease among Arsenal Football Club members. The population would be all Arsenal Football Club members.

For this project the population is: all women over 18 years old who have been affected by violence and who live in a named research site.

Sample

The sample is the people who are recruited into the study.

For example, not all Arsenal Football club members will be assessed for heart disease risk – a pre-determined number will be selected from within the population.

For this study, not all adult women affected by violence living in a named site will be interviewed, we will interview 20 women from each site – these 20 women will form our sample. Because we have nine research sites we will have a total sample size of 180 women.

Sampling

Sampling refers to the process by which the sample is selected from the population. There are several different methods of sampling that may be used. This is one of the important ways in which a research project’s credibility and rigour is judged. The sampling method must be appropriate to the study.

For example, if the Arsenal Football Club study team only sampled overweight men over 65 years old, the project would be criticised for having a biased sample that distorts the results of the study because it is known that overweight older men are more likely to have heart disease than younger, fit men, therefore the study would be likely to find a higher incidence of heart disease than there really is.

For our study it is important that we have a representative sample, that is, a sample which reflects the population. We are using purposive sampling to achieve this. Purposive sampling refers to looking for a specific mix of women and not a random sample. For example, during the northern Uganda pre-test the first four women interviewed had all been abducted by the LRA. As approximately 30,000 people were abducted during the conflict and 1.8 million people were displaced, we realised that we need to be careful to ensure that we look specifically for women who were not abducted by the LRA, but who were displaced into IDP camps. The sample will also need to reflect the age demographic of the area (without breaching the 18 year minimum age requirement).

The actual process of getting a representative sample in each site will differ in each site (see the Fieldwork Sampling and Coding Guidelines at 1.2 in the Fieldwork Handbook), but it will involve recruiting women through a range of different networks, who have experienced the different sorts of violence we know to exist in each site. This may mean approaching different NGOs who work with different groups or on different issues and possibly even asking them for specific profiles of women (such as women over the age of 50 years if older women are...
under-represented in the sample as it builds). We may also use snowball sampling. This is a method in which we ask a woman who has been interviewed if she knows of other women who have had specific experiences or are a particular profile that our sampling to date has not found enough of, but which we need to include. For example, if the sample to date has mostly women in their 20s and 30s because they are more able to access NGO services and that has been our main recruitment pathway, then when we find one older woman, we may ask her if she knows other older women who may want to participate. If you are thinking of snowball sampling, you should contact Rita or Lucy to discuss this.

Purposive sampling may also mean finding women who are not receiving support from any organisations – in which case alternate pathways to access women must be developed.

**Bias**

Bias refers to studies where the sampling method, process of recruitment, questions asked or other element of the research method leads to particular findings which may not be an accurate reflection of the phenomenon being studied. For example, we are wanting to learn about women’s experiences of transitional justice. If we only sampled women recruited through a transitional justice institution we would interview people who had accessed transitional justice and we would not make a finding that transitional justice fails to reach women in certain locations or of certain profiles. Similarly, if during the consent process, we advised women that we want to show how important NGOs are in helping women access justice, we would have encouraged her to speak in positive terms about the role of NGOs. If she is also a client of Action Aid services, we would have added another layer of bias.

There are many ways in which bias can come into a research project and several ways in which it can be minimised. The fieldwork pre-testing is an important step in discovering any unanticipated bias in our sampling and questioning. We then make amendments to reduce the bias.

**Recruitment and Consent**

Recruitment refers to the actual steps taken in sampling women, explaining the study to them and negotiating free and informed consent with them. It is important that we record in writing the steps taken in the recruitment of every individual who participates in the research. There are some studies in which free and informed consent is not required. For example, a psychologist may want to study people’s honesty when they find an item of value which does not belong to them. The researcher could survey people about what they would do, but because we are socially conditioned to know what the right thing to do is, it is likely that most or even all people would say they would report the lost item to police, when really not everyone would. The researcher could instead set up a situation in which people do find an item of value and watch from a concealed location to see how many people do report it and how many people simply take it. The researcher would need special permission from the university ethics committee to use deception in their recruitment method.

It is a condition of this research project that women are fully informed about the nature and scope of the research prior to agreeing to be involved. They must also be advised that they are free not to participate and to withdraw at any time if they agree but later change their mind. This is particularly important if the woman is recruited through an NGO or through Action Aid’s services as she may think that she needs to participate in order to continue receiving a service from Action Aid or any other NGO. She must be reassured that she will continue to receive a service and that no-one will be upset at all if she chooses not to participate. She must also have the opportunity to ask questions and have them answered.

She may also freely decide the extent of her participation. For example, she may want to talk about justice processes she has been through, but not want to talk about sexual assault. She may want to talk, but not be
audio recorded. These are her decisions to make and we will respect her decisions. If she decides she does not
want to answer questions which are core to the research or she does not want to answer so many questions
that the interview yields little useful information we may exclude her from the study. The interviewer can make
this decision in the field – it may be an indication of her feeling coerced to participate in spite of the reassurances
she has been given about no adverse consequences for declining. However if a woman reasserts that she
wishes to participate or continue with the interview even if she does not wish to discuss certain matters and the
researcher deems that she may ultimately be excluded from the study the interview should be completed as a
sign of respect for the woman.

See the ‘Principles for Obtaining Informed Consent’ document in the Fieldwork Manual for consent protocols
used in this project

Principles of Ethical Research – Benefit, Risk and Mitigation

Doing ethical research is foundational to all research – it is a primary value. There are many principles that are
taken into consideration in determining if an intended research project is ethically justifiable: the benefits, risks,
processes used in the methodology, vulnerability of the people involved and significance of the topic to name a
few.

Research is designed to yield benefits. Benefits can accrue to several different entities such as a company
(such as through the development of a new commercial computer program), an individual researcher (career
advancement from high impact publications such as policy reports, academic journal articles or books), to a
population (people living with HIV/AIDS who may benefit from a new treatment developed through research) or
to the individuals who participate in the research project (those individuals in the HIV/AIDS study who received
the new and more effective treatment during the research phase of development).

This research project is designed to benefit several populations: women who have been affected by violence,
people working in the field of transitional justice, development programming and other NGOs working with
women in violence affected areas, policy makers in justice, aid and development. It is has also be designed to
deliver secondary benefits to everyone on the research team to enable a framework for learning new knowledge
and skills.

The research is not designed to deliver direct tangible benefits to any individual participant, such as getting a
favourable outcome in court proceedings or accessing compensation as a result of the research.

All research also contains risks. For example, the trial HIV/AIDS drug may have adverse side effects. The risks
identified in this research project include: risks of a woman becoming psychologically distressed by being asked
questions around traumatic memories or, a woman potentially being at risk of social exclusion or physical harm if
it becomes known or suspected that she participated in the research by people who do not want such sensitive
research to proceed. There are also possible risks to researchers in the field if it becomes known that they are
asking sensitive questions without the agreement of powerful individuals or groups in the community.

Risks do not inherently prevent research projects from proceeding, however, it is important that researchers
anticipate risks and benefits, design strategies to maximise benefits and minimise risks to ensure that the overall
research is ethical.

For this project some of the steps we have taken to maximise benefit include: forming a multi-organisation
partnership that brings together in-country, practical and academic knowledge and networks to maximise the
chance that the research outputs (reports, journal articles, alternative strategies) will be comprehensive and well
informed and therefore more likely to achieve real changes to the lives of women affected by violence and to
improve justice systems.
The steps we have taken to minimise risks include: in-depth consultation about what sort of questions to ask, who should ask them, in what context interviews should happen, developing strict protocols around confidentiality and secure handling of data, getting formal approvals from all necessary bodies, meeting with local leaders to garner the communities’ support and developing a list of organisations that we can refer a person to if during the course of the interview we discover a need and desire for assistance with medical, legal or emotional assistance.

Data

Data refers to all the different sorts of information used in a research project. Data may include survey results, interviews, observations, fieldwork notes, documents, court transcripts, newspaper reports and many other different types of information.

In this project we have several different types of data: interviews with women affected by violence, interviews with key informants, fieldwork notes, court transcripts and decision records, academic literature, government and NGO reports and, policy documents.

Qualitative Research

There are three main types of research: quantitative, qualitative and mixed method. Quantitative is research which will use counting and statistics as a way of understanding a phenomenon. For example, someone could survey 3,000 women in each site using a fixed survey instrument and then analyse the surveys to claim that 43% of women have lodged a complaint about violence with the police, or that 66% of women in northern Uganda have participated in a mato oput ceremony. Qualitative research aims to understand phenomena using words rather than numbers. It is used as a method when the qualitative aspects of a phenomenon are trying to be discerned and understood. For example, we are not seeking to know how many women have participated in mato oput, but the nature of women’s experiences of mato oput, why they participated, how they felt about it, whether in their opinions it has helped to bring justice and why or why not. These are questions that involve subjective elements, emotions, opinions, beliefs and individual experiences – aspects that can be difficult to capture in richness and depth through quantitative methods.

Mixed method research uses both qualitative and quantitative indicators. For example, the study which surveys 3000 women about mato oput may include statistics (66% of women participated, of these 54% said it was helpful, 8% said it was somewhat helpful and 38% said it was not helpful) could be combined with 20 interviews which ask more ‘why’ questions about their experiences of mato oput and then combine both quantitative and qualitative data in their write up.

This project uses qualitative research methods. We are gathering data through semi-structured in-depth interviews. This method is suited to understanding phenomena that involves subjective as well as objective elements and that seeks to create knowledge which understands processes rather than proving universal rules.

Data Gathering through Semi-Structured Interviews

Data may be gathered in many different ways: through surveys, questionnaires, ethnography (observation), interviews or focus groups.

In some research designs it is important that exactly the same questions are asked in exactly the same sequence in order to have consistency as much as possible between interviews. This is not necessary for this
project. We are using interviews and focus groups as we are seeking in-depth narratives from people who have direct experience of mass violence or of transitional justice processes after mass violence.

Semi-structured interviews are ones in which there are pre-set thematic areas and there may be questions prepared, but the interviewer can amend questions or ask slightly different ones in order to follow themes or issues that the participant raises that the prepared questions don’t address. A semi-structured interview holds the well-being of the participant, the issues raised by the participant and the pre-identified research themes at equally high importance. This method of data collection relies significantly on interviewers being able to listen attentively to the participant with the research objectives in mind, and to make decisions during the interview about which themes to pursue and which questions to ask to follow that theme. This method is suited to research (such as this project) where the experiences, beliefs and feelings of people who have experienced a particular phenomenon are central to the understanding being developed.

See 1.5 - Interviewing on Sensitive Topics Guidelines and 1.3 - Guidelines and Principles For Conducting Effective Focus Group Discussions in the Fieldwork Handbook for details on the process of interviewing and facilitating focus group discussions.

### Fieldwork Notes

Fieldwork notes are a very important aspect of research, they may or may not be formally included in the results or publications, but they are used to inform the analysis. Fieldwork notes include the researcher’s subjective impressions of the interview (and contextual information and environment) and the researcher’s objective observations.

For example, a fieldworker may take notes about interviewing a woman who appears to ‘drift off’ when talking about specific issues such as past violence, or who uses particular gestures alongside words to emphasise or clarify a particular point. The researcher may note down the woman’s behaviours eg. ‘participant indicated a stick approximately 1 meter long using her arms’ or ‘participant looked past me into the middle distance when talking about the raid on her village’ or ‘participant began jiggling her leg and drumming with her fingers against her thigh’ (objective observations) and their interpretation: ‘The participant appeared distant and I felt our connection had weakened’ or ‘participant appeared agitated when recounting making a report to the police’ (subjective impressions). This, when read alongside the transcription of the interview adds important depth to the analysis, especially when the interview and analysis are being done by different team members.

A further example might be that the woman has her child in the room with her who becomes restless during the interview, taking the woman’s attention away from the interview or perhaps making the interviewer feel reticent about asking certain questions, the answers to which she would not want the child to hear.

Other observations that might be included in field notes relate to relevant aspects about the research site. For example, there may be no police station in the village and the nearest police station may be 15km away with bad roads and no access to public transport. Understanding how difficult reporting a crime and gaining reliable protection against reprisals is highly relevant to understanding someone’s decisions around accessing the formal justice system.

Fieldwork notes should also record any advice or details of referrals given to the woman during the interview.

In some circumstances field notes may be written during the interview, but are more commonly written immediately after to avoid disrupting the rapport built between interviewer and participant.

All fieldwork notes should include the date, time and location of the meeting and the same code as the interview recording. They should also record how the woman was recruited to the study (such as through a particular NGO specialising in sexual violence or a domestic violence refuge or a development NGO) as this is linked to ensuring representative and purposive sampling, and who was present during the interview. There is a pro-forma on field work notes in the second section of this manual.
1.2 Fieldwork Sampling and Coding Guidelines (DRC)
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Purposive Sampling

To ensure a representative sample of Congolese women’s experiences of conflict we need to ensure we have women from each of the following groups:

- Women from communities within the Great Lakes Region where there has been impunity on violence against women
- Women who have been affected by armed violence as a result of conflict or tensions that their communities have experienced
- Women who are affected by on-going conflict, post-conflict or semi-conflict
- Displaced women (including women who have been in an IDP camp)
- Women who have tried to access some form of transitional justice mechanisms, conflict related justice processes or other justice mechanisms
- Women living without current violence (if possible)
- Women of different ages – most women are aged in their 20s and 30s, seeking out older women will add an important perspective on older conflicts, effectiveness of traditional justice in the on-going crisis period in the research sites.

Preliminary Coding of Data

Please code all interviews immediately or as soon as practicably possible after the interview. The code should also be recorded at the beginning of the recording for each interview. Codes should be as follows:

Individual interviews

First letter of the woman’s first name followed by the last letter of the woman’s first name (as recorded on the consent form), first letter of the interview location, first letter of country and date - with a hyphen separating each part of the code. For example if you interviewed both Pamela and Polly in Nyiragongo, DRC on 3 November 2013, the codes will respectively be ‘PA – N – D – 03 – 11 – 2013’ and ‘PY – N – D – 03- 11- 2013’

Focus group discussions

First initial of each woman’s first name (as recorded on the consent form), first letter of the interview location, first letter of country and date with a hyphen separating each part of the code.

For example, if you interviewed Joanna, Sarah and Susan in Nyiragongo, DRC on 12 November 2013 the code will be ‘JSS-N-D-12-11-2013’
1.3 Guidelines And Principles For Conducting Effective Focus Group Discussions
1.3 Guidelines And Principles For Conducting Effective Focus Group Discussions

A focus group involves a facilitator guiding a small group of people in discussion about their thoughts, experiences, feelings and preferences on a particular topic or issues.

Many of the principles that apply to conducting individual interviews with research participants also apply to the conduct of focus groups, however, there are some important differences worth noting between FGD and individual interviews.

In the current research project we will be conducting FGD with both women affected by violence (WAV) and key informants (KI). The information we obtain through FGD will be analysed alongside the information obtained in individual interviews and through our documentary analysis and desk review of the relevant literature, policy documents and other relevant materials and resources.

A. Benefits of FGD

- FGD can be a rich source of information as the group dynamic/interaction can help precipitate dialogue on issues that might not emerge in the context of an individual interview. FGD are useful to precipitate a diversity of issues, views, opinions, ideas and perspectives. The FGD can help ‘trigger’ insights through the sharing of experiences and in this way a more nuanced understanding of issues may be obtained as the FGD can serve as a medium to tease out issues and test alternate views/perspectives on complex issues and topics.

- FGD permit common and shared views to emerge as well as divergent and independent views. The facilitator should be mindful however that the FGD is not a forum for participants to problem solve an issue nor is the objective of the FGD for participants to reach consensus.

- FGD provide a flexible, supportive environment for participants to explore their views, feelings and ideas about a topic or specific issue(s). The interactive and multidimensional character of FGD can often precipitate discussion of unanticipated issues.

- A strength of the FGD is that the interaction between participants can provide checks and balances on views expressed by participants that may minimize ‘false’ or ‘extreme’ views. On the other hand as indicated below FGD can also dampen the individual voice and may serve to harmonise the views expressed by participants. The facilitator should be mindful of the fact that the FGD is a collective experience and that the information shared during a FGD is mediated by the collective format, the particular facilitator conducting the FGD and the individuals participating in the group discussion and their particular experiences and issues raised.
B. Challenges of FGD

- FGD can be particularly challenging to facilitate because group discussions can generate a great deal of information and the pace of the FCD can be very quick moving and more difficult for the facilitator to control/manage compared to an individual interview.

- Facilitators should also be mindful that FGD may be dominated by 1 or 2 participants and should be prepared to redress such dynamics in the FGD (see further below).

- FGD are not intended to be run as parallel individual interviews but rather the interaction between participants is a key dimension in how information is elicited. FGD are organic in nature and participants should respond to the questions they choose to answer – the expectation is not that every participant will answer every question. Such a rigid approach to FGD undermines the richness offered by the FG format.

C. Nature of FGD in our research project

- The same sampling and recruitment principles outlined for conduct of individual interviews with WAV and KI are generally applicable to conduct of FGD in this project. However, when choosing prospective FGD participants and conducting FGD the following issues should be carefully considered:
  - Will the chosen participants provide a diversity of views?
  - How will the participants relate to one another e.g. are there likely to be tensions between the participants or will the mix of participants give rise to power disparities?
  - Will the FGD provide a safe environment that people feel comfortable enough within to express their views? Often this means ensuring that FGD participants have some shared characteristics.

- FGD in this project should include between 3-6 participants. We are seeking to provide women with an opportunity to be heard and for their experiences to be explored in detail. Larger focus groups are less likely to permit participants to share their experiences in such a detailed way.

- The same processes for ensuring informed consent should be followed for FGD as per individual interviews. The same participant information sheets and consent forms are to be utilized in the case of individual interviews and FGD. As in individual interviews participants are free to withdraw at any time during conduct of the FGD and participants should be reassured that should they wish to withdraw any audio-recording will be treated appropriately.

- Focus group discussions are semi-structured discussions guided by the same interview schedules for WAV & KI used in individual interviews.
D. Structure of the FGD

- It is useful to start a FGD by setting the ground rules for conduct of the discussion. Some useful ground rules are:
  
  - Only one person talks at the time.
  
  - Respect for the privacy and confidentiality of others – participants should be reminded to keep what others say, in the room.
  
  - Everyone’s ideas and opinions need to be heard and are of equal value.
  
  - There are no right or wrong answers to questions – just ideas, opinions and experiences – all are valuable.
  
  - It is important to hear all views and all sides of an issue – positive and negative but participants need only share what they feel comfortable discussing.
  
  - All views should be equally respected and not judged.
  
  - Ground rules can be outlined/agreed at the beginning of the FGD orally and/or posted on a flipchart or taped to a wall etc.
  
  - It is desirable to invite participants to either develop their own ground rules as a group or add to a list of ground rules such as those above at the outset of the FGD.

E. Role of the facilitator in a FGD

- The facilitator must seek to carefully build strong rapport with participants from the outset of the FGD.

- The facilitator should also establish their neutrality at the outset of the FGD and maintain this position throughout. It is not the role of the facilitator to judge participants or evaluate the information provided.

- It may be useful at the outset of the FGD to ask some general questions, which may or may not be related specifically to the research project but which establish rapport and encourages each person to speak.

- It is useful at the outset also to explain the purpose and format of the group format and emphasize that everyone is expected to participate to the extent they feel comfortable, that divergent views are welcome and that the discussion is informal.
F. Documenting the FGD

- It is preferable to have both a facilitator and a separate note-taker to take notes during the FGD, as it may be difficult for a facilitator to effectively undertake both roles.

- A dedicated note-taker also serves as a back-up if something goes wrong with recording equipment or participants do not agree to audio recording. A note-taker is also useful as an adjunct to audio-taping as notes can be made to track non-verbal expressions, gestures and interactions.

- Note-taking in FGD can also assist with the transcription process as FGD can sometimes create additional challenges re tracking who is actually speaking. Drawing the seating arrangement is often useful for note/record keeping and tracking speakers.

- Note-taking in FGD is also important by way of providing important contextual information for interpretation and analysis – comments need to be understood and interpreted in the context of the group-setting. Hence observational notes are particularly important in the context of FGD.

- Note-takers can also focus on identifying key quotes and emerging themes that may be used to summarise or capture a position and may be used strategically in the group to precipitate further discussion in a particular direction or on a particular issue.

- Note-takers can also play a key role in identifying follow-up questions or earmarking directions of questioning that may not have been followed by the facilitator at the time but which may warrant further exploration.

G. Some practical considerations in conduct of FGD

- FGD typically run for about 90 minutes.

- Consideration should be given to the time of day a FGD is conducted, location & relevant safety/security issues. Also consider how best to arrange the room and space available.

- It is also desirable to ensure that some form of refreshments are provided to participants during the FGD.

H. General techniques for facilitating effective FGD

- Maintain neutrality throughout.

- Actively listen to participants and guide discussion accordingly.

- Use silence to facilitate sharing as appropriate.

- Use probing questions as appropriate rather than leading questions (see further below).

- Be mindful of time and the pace of the discussion and try and keep discussion moving along at a pace that is comfortable for participants and responsive to their needs.
I. Questioning techniques

- If participants give incomplete or irrelevant answers, the facilitator should gently probe for fuller and clearer responses. Some strategies to facilitate probing by the facilitator include:
  - Repeating the question – this gives participants more time to think.
  - Rephrasing the question – this may help clarify any initial misunderstanding, confusion or doubt.
  - Be prepared to pause and wait for answers – use your own body language to relax, encourage and facilitate e.g. a nod or expectant look can indicate that more information or details are welcome.
  - Repeat or paraphrase an initial answer – this can sometimes lay the foundations for further conversation and discussion.
  - Avoid close-ended questions which require a yes or no answer. Ask open-ended questions - when, what, where, which and how questions provoke more detailed information. Avoid questions that may be construed as a challenge to what has been said.
  - Asking participants to think back to a particular time or specific event/situation can precipitate more detailed responses. This type of question also signals that you are seeking information about their experience rather than generalizing to the views of others. Be careful though that such questioning does not traverse into spaces individuals have indicated they are not comfortable talking about.
  - Avoid double-barreled questions that cause confusion as to which part should be answered first – stick to one thought or idea per question. Ask the question in the simplest, clearest way.
  - Utilise neutral comments to probe e.g. “Do you want to add anything else?”
  - Examples may be used to probe an issue further but use these after the question has been posed more broadly and after participants have already provided some of their own responses.
  - Be mindful of the group dynamic – is one person dominating the conversation? If so the facilitator should seek to re-balance the group dynamic e.g. address questions specifically to those who have not said much or use body language to encourage them to speak.
  - Be mindful of positions accepted by the group without adequate exploration. Where you feel this is happening probe further and ask questions that may precipitate alternative points of view.

By way of summary: sequencing of questions should usually move from:

- General questions ➔ Specific questions
- Positive questions ➔ Negative questions
- Un-prompted ➔ Prompted questions

- It may be useful to summarise key themes at the end of the FGD for participants and invite each participant to provide any further comments/responses to the summary given.
1.4 Further Professional Development as a Researcher
1.4 Further Professional Development as a Researcher

Becoming a researcher, like most professions is a continual process of learning, practice and reflection. The basic mechanics of research can be learned fairly quickly, but high quality research is an art developed over time and with reflexive practice, that is; a process of ‘doing’ and then critically reflecting on the process and your actions and then integrating this learning in your practice. The process of praxis never stops.

The following questions may assist you in reflecting critically on your developing researcher identity and skills (note, ‘critical’ here means analytical and includes positive aspects of your practice and knowledge as well as areas to focus on developing).

- What principles and values frame my research? How are these reflected in my conduct, decision-making and in my relationships as a researcher and in conduct of fieldwork?
- What are my ethical responsibilities in conducting this research? Have I met these? Are there some ethical issues that I find challenging?
- What worked well in the interview/fieldwork? And how do I know this?
- What might I have done differently in the interview/fieldwork? And why?
- What aspects of the fieldwork or research do I find challenging? Why? What strategies can I utilise to assist me with these challenges? What resources might I draw on?
- What is my role within the research team? How well am I working with other members of the team? Do I take feedback on board when it is offered to me? Do I take opportunities to provide constructive feedback to others in my team when the opportunity arises?
- What skills do I bring to the research project? What skills would I like to further develop?
- Would having a mentor assist me in my professional development as a researcher? Who might be a suitable mentor for me?

Further Resources:

There are many resources to develop research understanding and skills. Below are some links to freely available resources if you are interested in reading more.
Researchers in Development PhD Network (RiDNet)

http://www.polis.leeds.ac.uk/centre-global-development/about-centre/researchers-development-network/

Based at the University of Leeds and looking at multi-disciplinary research in development and sensitive contexts, this network has several very useful online resources including:

- Fieldwork Advice and Notes on Fieldwork in Development Contexts
- Working with Research Assistants/Translators in Fieldwork
- Ethics
- Interdisciplinary Collaboration
- Qualitative Data and Coding Strategies
- Risk & Risk Assessment in Fieldwork

Qualitative Field Research:


This paper is based in medical health research, but it provides a very good summary of key principles and methods for conducting qualitative research in many different settings.

Ethical Issues:


This paper is very much based on medical research and is aimed at working with children however, it provides a clear description of principles to consider for conducting ethical research, although the examples it uses to discuss issues are all medically based.

http://childethics.com/

The Compendium available here although directed largely at conducting research that involves children provides a rich repository of resources for researchers more generally.
1.5 Interviewing on Sensitive Topics Guidelines
1.5 Interviewing on Sensitive Topics Guidelines

BEFORE YOU START

Trust and reliability

It is important to earn and maintain participants’ trust. Make sure you do not make any promises you cannot keep. Resist the temptation to raise the woman’s expectations about what participation in the research will deliver either in terms of direct benefit to her or in terms of major structural change. Conversely, don’t underplay the importance of the research and her role in it – that this is an opportunity to generate credible information about how the violence and justice mechanisms affect women and that it is an opportunity for women to put their perspectives and experiences forward in a way that will not identify individuals but has a good chance of being heard. The research will be written up in a number of reports, policy briefs and academic papers. The research findings will be taken on board at the least by Action Aid and, because it is funded by the Australian government it will likely influence Australian government policy to its programs and engagement with government and international bodies. Also, because the University of Sydney is a highly regarded university, the research findings will have credibility in the development, government and academic communities. It is hoped that the research ultimately will inform and impact policy development and/or law reform in various ways in country and hopefully regionally. This represents the high water mark for the outcomes of this research project. Take time to talk about the research with her and answer any questions she may have using language that she is likely to understand.

Preparation

Be organised and prepared before you meet the participant. Make sure you have read any information which you may have about her beforehand and have learned a little about the area they live in and the sorts of events that happened there. Have a suitable interview space prepared whenever possible (a private room in an NGO’s office that won’t be disrupted, or a quiet time of the day convenient to her if interviewing at her home). Ask ahead of time if she will need an interpreter and organise one ahead of time if needed. Make sure you have all you need with you: participant information sheet, consent form, interview schedule, note pad (or fieldwork notes pro forma), audio recording device with sufficient space for the whole interview and two pens (in case one doesn’t work). Also if she has travelled to meet you have a drink available for her (water, tea, coffee).

General

- Be on time. Don’t keep the participant waiting.
- Use simple, clear language. Rephrase the question if the participant doesn’t understand. Avoid jargon.
- Pay attention to the set up of the room. Avoid interviewing across a desk. Remember that the participants may be feeling nervous.
Listening

There is a temptation to be so prepared for an interview, that the interviewer has a list of questions and simply proceeds through these, faithfully recording the participant’s response without really listening to their answer. This is especially likely if the interviewer is feeling nervous or feeling under pressure to get through a lot of material.

It is important to attend to both task and process during the interview. Listen to both the content of the participant’s response and follow leads that they offer you. At the same time, listen to the emotional content of the interview and make a deliberate effort to be aware of the participant’s verbal and non-verbal cues. Paying attention to both will yield much richer information as well as minimising the level of distress for your participant. Be prepared to respond to what you are hearing and seeing during the interview.

Structuring an interview

All good interviews should have a clear beginning middle and end. The beginning allows participants to settle in, establishes a relationship and sets an outline for the interview. The middle is where the bulk of the work occurs, and the end brings the participant back to the present day and effectively closes any issues that have been opened.

Following is an outline of skills and principles that should be helpful for you in conducting these interviews. Please take these as a guide only and not as a prescription. There is no set formula that should be used. As an interviewer you will have your own individual style and approach.

THE BEGINNING

• Thank the participant for coming/making time to meet with you.

• Introduce yourself and the other people in the interview, very simply outlining the role of each person. For example “My name is Emma and I will be interviewing you and this is Constance who will interpret for us.” Ensure that consent has been obtained from the woman for any other person who will be present during the interview, including a counsellor or interpreter.

• Engage the participant in some informal chat for a minute or two. Try to find out something about their normal present day life. This information will be useful in grounding the participant later in the interview if they become upset and will form an important part of closing the interview and bringing the participant back to the present day. It also helps the participant settle in and calm their nerves. Some questions and topics which may help kick off some of this conversation include:

  “How did you get here today?”

  “Do you live close by?”

  Commenting on the weather or something you know to be happening in the community (it may be market day that day).

• LISTEN for clues in their answers that indicate what they’re interested in and follow their lead.
• Outline the research project and explain that it is being conducted by ActionAid and the University of Sydney in Australia. Explain that it is being run in three countries. Give her an outline of the interview including the time frame available and what you intend to cover. Explain that you will be asking questions about the impacts of the conflict, what sorts of things have been done to help people affected and bring justice and her thoughts on these and, what other things she thinks could help to bring justice and help make sure these things don’t happen again.

• Explain that we would like her to participate in the research and that her experiences are important. Explain also her right to decline to participate or to withdraw at any time. Explain to her that if she does not want to answer a particular question or talk about a particular event, you can skip any part of the interview. Invite her to ask any questions.

THE MIDDLE

The research themes and the interview schedule will largely drive the middle of the interview. This is when you will gather the information needed for the research. It is also the stage of the interview where you are most likely to learn about the woman’s immediate needs, ongoing violence or other issues (legal problems, health, welfare etc) and the stage of the interview where memories or experiences which are upsetting for the woman are most likely to be triggered.

• Maintain awareness of the woman’s emotional state during the interview. It is more important to care for the human being sitting with you than to make it through all the interview themes. If you think she may be upset, stop and ask her how she is, offer her a break, ask if she wants to continue with these questions.

• If you are working with a colleague (as an interpreter or scribe or observer/co-interviewer), as much as possible, have only one interviewer asking questions. Swapping back and forth between interviewers can be destabilising for people, especially if they have been interrogated by police, rebels, militia or some other group in the past.

• Reframe a question once or twice, but not more than this. It may be frustrating not to get the information, but it is better to move on and you may get the opportunity to re-ask it later in the interview. It may be a person’s way of avoiding a question that they don’t want to answer without directly saying so and risking disappointing or offending the interviewer.

• Provide authentic feedback to your participant regularly.

    “You’ve shown such courage and resourcefulness. I just need to clarify one thing....”

    “Thank you very much for sharing your experiences and thoughts with me. This is very important material. I just have 3 more questions before we finish for today.”

• Use simple language and words that the participant is likely to understand. Avoid using jargon. However, don’t mistake lack of formal or technical vocabulary for lack of intelligence. Respect your participant’s intelligence and functioning.

• Ask one question at a time. There is often a temptation to ask 2 or 3 questions at once. “What were your political beliefs? Were you a member of any political parties?”

• Be patient and allow the participant plenty of space to answer. Observe your participant and listen carefully to what they are saying. They may be taking time to formulate their response before speaking. Silence does not always mean they are ready to move on. If you think of another question prompted by their response, write it down and come back to it when they have completed their answer. Do not be afraid
of periods of silence, silence can be used as a positive moment in the interview to give the woman and researcher some time and space in preparation to move on in the interview.

• Flag when you are changing topics and check whether they have anything else to add before moving on. This will help the participant to feel safe and in control in the interview.

  “That’s great. Is there anything else you would like to say about that before we move on?”

• Flag when you are nearing the end of the interview. If the participant is getting tired or struggling to stay in control, knowing how much longer they have left will help them find the reserves inside themselves to keep going.

  “O.K. This is my last question for today.”

THE END

It is important to ‘close down’ the interview. You may have opened up memories for the participant and have brought their focus onto bad memories or feelings of injustice, and it is important to try to close down what has been opened and bring them back to the present day. In order to do this well, you will need to take 5 or 10 minutes at the end of the interview.

• Let the participant know that the interview is soon finishing and ask if there’s anything they wanted to say today but haven’t had the opportunity to.

  “Thank you for making time to meet with me today and sharing your experiences with me. Is there anything you wanted to talk about today that you have not had the chance to?”

• Give the participant feedback on the interview and an authentic compliment.

  “It’s been a real pleasure meeting you. I’m impressed by the courage you have shown in your life and in talking with me today.”

  “You have given us lots of information today. I appreciate your trust and honesty.”

• If the participant has raised issues that they may need advice on or referrals, allow sufficient time to attend to these in depth – this conveys a respect for her as a person, not just as an informant in our research. She may need a referral to a local health service or legal centre or perhaps a development program. You should have a list of services which you anticipate may be needed with you. You may need to do some follow up to help the woman make contact with the organisation, or talk with the local Action Aid LRP for assistance.

• Finish by having a short chat about present day material to bring the participant back to the here and now and ground them in a safe space. This is where you can revert back to information gathered at the beginning of the interview.

  “What are your plans for this afternoon?”

  “What time is your friend picking you up?”
AFTER THE INTERVIEW

There are a number of steps that need to be taken as soon as possible after the interview to ensure the integrity and security of the information gathered – this is important not only for the project itself, but also is respectful of the person who has given up their time to be interviewed and shared their story.

• Write up your fieldwork notes and observations, preferably before leaving the room, while everything is fresh in your mind. Remember to allow time for this in your schedule so you don’t feel rushed when doing it.

• Check the audio recording. If it is a successful recording, label it immediately according to the coding guidelines (in section II of this manual). If it was not successful, immediately write down the most comprehensive notes you can from the interview, including wherever possible precise phrases and terms used by the participant.

• As soon as practicable, make a back-up copy of the audio-recording, on a secure laptop or a USB stick.

• File the consent form (also labelled according to the coding guidelines) in a secure site as soon as possible (see data storage and transfer protocols in Section II of this manual)

MANAGING TRAUMA RESPONSES IN THE INTERVIEW

What to do if you notice that your participant is getting upset.

• Don’t panic. Your participants have survived this far. They are resilient human beings with great strength and resourcefulness. This is a NORMAL response to extraordinary circumstances, and it is to be expected that people will be upset when talking about painful memories. They have lived with these memories and with the triggers for several years and they will have some experience already with coping.

• Acknowledge to the participant that they look upset and ask for confirmation. When asking for confirmation, ask it in the positive and with a closed question. You are conducting a research interview not a therapeutic interview and the intention of any questions is to contain the trauma not open it up.

  “You look upset. Are you OK?”

• Listen.

• If the participant says they feel fine. Offer them a short break (staying in the room) before continuing with the interview. If you think they’re not okay, you can offer to move on to a less traumatic topic.

• If the participant says that they are feeling upset.

  Allow them some space to talk if they are already doing this, but don’t ask questions to open them up if they are not already talking freely. Respond with empathy (but not further probing) to show that you are listening and to convey care for their well-being. Offer them a short break, or to end the interview and a drink of water.

  When you have all sat down again, ask the participant if they feel ready to continue. If they are ready to continue offer them the choice of continuing with the same material or continuing with different material.
• **If the participant says that they are not ready to continue**, then listen to what they are saying. Allow them space to express themselves either verbally or through tears. Do not try to encourage her to restart the interview, but you will need to spend some time with her attending to her emotions.

• **Normalise the response for them.**

  Reassure them that “We have talked about some really upsetting things today and it has triggered some bad memories for you.”

  Resist the temptation to make promises of the outcome of this process.

• **Predict.**

  Predict what will happen for them in regards to their trauma in the immediate future.

  “You will probably have strong memories for today and maybe your sleep will be bad. This should improve over the next few days.”

• **Connect.**

  Trauma isolates and disconnects people both from each other and within themselves, so try to connect the participant with someone by asking: “Is there anyone who you can talk to when you are feeling this way?”

  If there is someone, then encourage them to talk to that person. If not then ask them how they have coped with this feeling in the past, listen to their response and then direct them to do this again and restate what it is they are to do.

• **Recommend**

  Recommend strategies that the participant may like to try for getting back in control.

  1. The best method is always the one the **participant generates themselves**.

  2. **Distraction** is often effective. Many participants say that keeping busy is the best way to control intrusive memories. (Visit friends, clean house, prepare a meal, go for a walk, writing or drawing, watching TV [specify NOT the news]. Activities are often culturally based, and this list is a guide only.)

  3. **Exercise.** Traumatic memories are stored in a different way to non-traumatic memories and have a strong physical effect. Exercise is a good way of releasing stress and shifting the traumatic memories. Even standing up in the room with the participant and stretching may help shift the immediate emotions.

• **Engage.**

  Engage the participant in a conversation that is based in the present day and very concrete and still linked with what you have just been talking about. For example if they identified that they speak to their cousin when upset you may like to say:

  “Where is your cousin at the moment?”

  “What is her name?”

  “Do you have plans to see her?”

  Alternately if they do not speak to someone, but found that walking or praying help them stay in control you could respond with:

  “Where will you go walking?”
“Is it a nice park/ Do you enjoy looking at the shops while you walk through town?”

“Do you have a favourite prayer? Do you want to say a prayer now?”

“Which church do you go to? Do they have lots of music and singing at your church?”

Finally, check with the participant that they feel okay to leave.

If the participant is still upset you may need to make a referral to an organisation which offers counselling or emotional support.

**Self-care**

Hearing these stories has an impact on us and it is often cumulative. Talk to the other members of your team after every interview. Also talk regularly with your supervisor. If you are finding the interviews too much, talk with your supervisor and discuss whether you want to continue with them (perhaps interviewing with a ‘buddy’ for better debriefing afterwards and support during) or whether you prefer not to continue. Please don’t keep trauma or stress to yourself.
Section II: Research Protocols

2.1 Fieldwork Guidelines and Roles of ActionAid Country Programs in Uganda, Kenya and DRC
2.2 Principles for Obtaining Informed Consent
2.3 Research information Management: Data Handling
2.4 Guidelines for Documentation of Interviews and Research Processes
2.5 Fieldwork Notes Pro-Forma
2.6 Some Principles for Conducting Research During Crisis
2.7 List of in-country referral services
2.1 Fieldwork Guidelines and Roles of ActionAid Country Programs in Uganda, Kenya and DRC
2.1 Fieldwork Guidelines and Roles of ActionAid Country Programs in Uganda, Kenya and DRC

ActionAid Australia would like to request that the ActionAid Country programs in Uganda, DRC and Kenya undertake the following roles for the Research Project Making Transitional Justice Work for Women:

- oversight and management of all in-country processes,
- conducting fieldwork (principally recruiting and interviewing women affected by violence),
- data analysis and handling,
- provision to Sydney based researchers of local area cultural, political and logistical advice,
- dissemination and communication of findings.

The training and sensitisation workshop scheduled for 16-20 September in Nairobi will address the necessary knowledge and skills required to undertake fieldwork and data analysis, handling and management. A visit to one field site in each country will also provide an opportunity to pre-test the research tools. Additionally, we will forward preliminary material to all WRCs at least two weeks prior to the training program. Also, we are available to answer any questions that you may have in the lead up to the September workshop and preliminary fieldwork.

A key goal of this research project is to build the capacity of the country program staff in undertaking qualitative research related to transitional justice. The staff will learn how to use different research methodologies, data analysis and knowledge on women’s rights and transitional justice. The capacity building will occur through structured workshops and experiential learning.

Under the direction of ActionAid Australia the in-country programs will be responsible for:

1. Oversight and Management of In-Country Processes:

The country programs will assist with securing all necessary permissions for the project to be lawfully conducted. This will include:

Organising ethics approvals in country, assisting with visa applications, liaising with key organisations and individuals to assist in enabling the research or other tasks as required. The country programs will also be required to manage the field work / data collection, manage the data organisation, storage and analysis as directed by AA Australia and described below. The other requirements include assisting with logistics (transport, accommodation, arrange meetings and debriefings with visitors etc.)

1.1. Key outputs related to in-country-management

- Processing and feedback on outcomes of ethics approval
- Other relevant in-country permission for research (community level, local government etc)
- Transport and accommodation booked for field trips
- Allocation of appropriate staff to the project
• Progress activity and financial reports as detailed in the project agreement
• Introductions to key informants (where appropriate)
• Advice on security situation and protocols within ActionAid country offices
• Participation in Participatory Review and Reflection of the project (process, partners successes, challenges and recommendations for future research or projects related to Elimination of Violence against Women).

2. Fieldwork

The research project will collect primary data from two sources:

i) women affected by mass violence over the age 18 at the time of interview, and
ii) key informants involved in transitional justice and related processes.

At this stage, the AA in-country programs will have primary responsibility for collecting and managing data from women affected by mass violence. Accordingly this document refers primarily to this arm of the research project. The data will be collected through a mix of individual interviews and focus group discussions with women affected by violence.

This arm of the project requires a series of tasks be undertaken including: sampling and recruitment of women research participants as agreed from a diverse population, documenting the recruitment methods used, interviewing research participants and/or conducting focus group discussions and, ensuring the welfare of women post-research participation.

Recruitment of women participants

The WRC in each country will need to recruit up to 20 women in each agreed research site for participation in the study. There are 3 research sites in each country, so a total of 60 women in each country need to be recruited. Prospective participants need to meet the following three criteria:

i) women who live in an identified conflict affected area;
ii) have been affected directly or indirectly by the conflict; and
iii) are willing and able to speak about their experiences.

In addition, the sample should comprise both:

i) women who have had experience of some form of ‘transitional’ justice, conflict related justice process (e.g. criminal prosecutions, truth commissions, amnesties, reparations, informal traditional justice ny approaches or community-based initiatives), or in the absence of any such existing processes, experience of any other justice process; and

ii) women who have not participated in any ‘transitional’ justice or other justice processes.

The criteria for participation may need to be slightly altered in certain countries or specific sites in accordance with local conditions and should be discussed and agreed upon by ActionAid Australia, in-country partners and the academic researchers. It is important that not all of the women who are recruited have received services or been involved in existing ActionAid programs. Participants should be recruited from a diverse range of sources to ensure a diverse range of views and experiences. These may include women who have been involved with
other local or international NGOs, hospitals, community based legal services, government agencies or women who have had no association with any organisations or direct services.

Inclusion of participants in the project should also include consideration of any relevant safety and security issues for participants and researchers.

The Sydney based researchers will supply in-country researchers with a participant information sheet outlining the research which must be given or read to women to help them understand the research and make an informed decision about participation. We will also provide consent forms for women to sign. These consent forms will be in both English and translated in local languages that are used in the particular countries by specific communities. A verbal procedure for obtaining consent is also outlined in the consent form. In the event for example that a woman is illiterate the consent form will be read out to them and they will provide consent by appending their thumbprints. The protocols for recruitment and consent are aimed at ensuring that women do not feel pressured to participate and are able to withdraw from the study at any time without any adverse consequences to them from ActionAid or the University of Sydney. These protocols will be supplied to WRCs at least two weeks prior to the training week and covered in the training program.

**Interviews and Focus Group Discussions**

The WRCs (or identified in country research assistants) will need to interview all women who agree to participate in the research. These can be a mix of individual interviews and focus group discussions. Interviews will be semi-structured. This means that we have some questions prepared that should guide the questions posed to women, but that when a woman’s answer raises relevant issues which are not covered by the specific questions in our interview schedule, we want the interviewer to probe and ask as appropriate further questions about that issue.

The training week will prepare interviewers for how to do this. Also, following the training week two members of the Sydney based research team will go with each WRC to one research site in each country and conduct research interviews together with the WRC for that site with women recruited to the research. This will allow WRCs to advise the Sydney based researchers about meanings in the interviews and for the Sydney based researchers to discuss interviewing and pursue themes with the WRCs, and for both Sydney based researchers and WRCs to review and refine the interview questions.

The WRCs will need to identify a pre-test site and recruit women for 3 individual interviews and either one or two focus group discussions before we meet in September and have appointments scheduled ready for the follow up week immediately after the training week. A focus group may be as small as 2 or 3 women and not larger than 6 women. The experience of all these interviews will be discussed on site as part of daily evaluation and the feedback will be used to review and finalize the research tools and process.

The data gathering (interviews and focus group discussions) should be conducted between September 2013 and March 2014.

**Orientation for in-country data collectors:**

The WRC’s will identify data collectors who maybe local researchers, ActionAid staff or partners who will be involved in collecting data in-country. The Sydney research team will allocate a day for orientation of the researchers in-country to enable the researchers to familiarize themselves with the research tools. This will be done on the first day before the pre-test is started in-country.
Addressing immediate needs of the respondents arising from the interview process:

The country programs will have arranged for the following support services should any of the respondents need them:

- Psychosocial support or trauma counselling support. The country programs will identify institutions that offer these services and make effective arrangements for referral with them so that they can refer women who need these services.

- The other services for which similar arrangements may need to be made are legal aid and health care.

Interviewers should be prepared to respond to any requests by participants for support or referral to other services at the time of the interview.

An engagement plan for key informants will be developed after the September meeting and shared with WRC’s to organize relevant key informant interviews and policy dialogues.

2.1. Outputs related to field work

- Identification and contracting of local researchers or assistants

- Participation in research orientation and training course workshop

- Translation of research documentation and data collection tools (including participant information sheets, consent forms, individual and focus group interview schedules for women affected by violence and key-informants)

- Written and verbal feedback from pre-test for Sydney based researchers

- Obtaining and keeping records of consent from all research participants

- Identification and referrals to any support services (i.e. psychosocial, health or legal-aid) that may be required by research participants before, during and post-data collection

3. Data Analysis and Handling

All interviews and focus group discussions need to be audio-recorded (with the participants’ consent). These audio recordings need to be transcribed and translated into English. The original audio recording and transcription will then need to be sent to ActionAid Australia.

The Country programs will also ensure that notes are taken throughout this process to complement recording and as a means to ensure that recording of information evidences the information provided where respondents are not comfortable with Audio-recording.

The WRCs will also be asked to identify what they consider to be important issues and themes emerging from the interviews. Training on identifying themes will be included in the September training week.

Transcripts will be sent back to the Australian research team at agreed intervals periodically throughout the field work phase of the research. The Australian research team will then conduct some preliminary analysis of findings and share this with the in-country partners for input and to inform future research.

The Sydney based team will, in consultation with Action Aid in each country develop protocols for secure handling of data to ensure that research participants remain confidential and to minimise any foreseeable risks to their safety as a result of participation in the research project.
3.1. Outputs related to data organisation and analysis

- Audio recordings sent to Australia
- Transcription of audio recordings
- Translation of the transcripts from Focus Group Discussions and individual Interviews (when not in English)
- Translations of full interviewer notes taken from interviews or group discussions (when audio-taping may not be possible)
- A brief written description of the method used for both identifying and recruiting women at each research site
- Written feedback on emergent themes from interviews and data analysis (including any organisation of data for analysis)

4. Expert Advice

The Sydney based researchers have a range of knowledge, experience and skills necessary in undertaking the research including law, transitional justice, social work, development, working with women affected by violence and research related skills. ActionAid in country staff (including WRCs, Country Directors, Heads of Policy and Programs etc) will have far greater knowledge and experience than the Australian based researchers about the conflicts in each country, local cultural, religious, political and other contextual issues directly relevant to the research. ActionAid country program staff will be invited, both during the training week in September and throughout the life of the project, to provide advice and input to ensure that the research is designed appropriately for the local context and that any data analysis is reasonable and valid. Country Program staff will be asked to advise on up to date local and national circumstances relevant to the research, issues affecting women in each research site, assist in developing Sydney based researchers’ cultural knowledge and other information as arises during the course of the project and make recommendations on the long term strategies for addressing women’s rights and protection in transitional justice processes.

4.1. Outputs related to expert advice

- Verbal advice to ActionAid Australia and Sydney based researchers on local context as it impacts on or relates to conflict and access to justice and other issues that may affect the quality and timing of data collection and analysis and safety of participants or researchers.

5. Dissemination, engagement and communication of results

The country programs will be responsible for organizing dissemination forums in country once the research has been completed and the data analysed including any preliminary data and analysis deemed appropriate for dissemination. The WRC’s will also consolidate feedback from these forums in consultation with Sydney researchers that will be used to draft the final reports. Modes of dissemination and publication will be discussed and agreed upon during the first year of the project.
5.1. Outputs related dissemination, engagement and communication of results

- Identification of possible audiences for engagement and dissemination (national to local including research participants)
- Identification of modes of dissemination (publication, workshop, etc)
- Dissemination of research findings to agreed audiences
- Feedback on dissemination process

6. Expected Timeline of Activities

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<thead>
<tr>
<th>Phase</th>
<th>Activities</th>
<th>When</th>
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<tbody>
<tr>
<td>Field Research</td>
<td>Research inception workshop</td>
<td>Sept 2013</td>
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<tr>
<td></td>
<td>Pre-test field research with Aus researchers</td>
<td>Sept 2013</td>
</tr>
<tr>
<td></td>
<td>Conduct further interviews &amp; focus groups</td>
<td>Oct 2013 – Feb - 2014</td>
</tr>
<tr>
<td>Data analysis &amp; handling</td>
<td>Translate &amp; transcribe data &amp; send to Australian team (transcripts will be sent back periodically throughout the research but will be finalised by the end of March 2014)</td>
<td>Oct to March 2014</td>
</tr>
<tr>
<td>Key Informant Interviews</td>
<td>Assist in organising/or participating in KI interviews</td>
<td>Oct 2013 – March 2014</td>
</tr>
<tr>
<td>Analysis of key findings</td>
<td>Participate in analysis of key findings</td>
<td>April 2014 – Sept 2014</td>
</tr>
<tr>
<td>Dissemination and engagement</td>
<td>Assist in identification of key audiences for dissemination &amp; modes of dissemination</td>
<td>From Oct 2013</td>
</tr>
<tr>
<td></td>
<td>Disseminate key findings at appropriate forums</td>
<td>Oct 2014 – Feb 2015</td>
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All aspects of the research should be conducted in accordance with any relevant laws and AusAID and The University of Sydney policies, guidelines and ethical requirements.
2.2 Principles for Obtaining Informed Consent
Principles for Obtaining Informed Consent

Participants’ informed and voluntary consent is foundational to ethical research. For consent to be ‘informed’ the prospective participant must be given sufficient information to understand the purpose, methods, demands, risks and potential benefits of the research. This information must be presented in ways suitable to each participant (lay language, in writing or orally). The issue of the prospective participant’s understanding of the research and what consenting entails is crucial here. A prospective participant may have been supplied all necessary information but may not understand, perhaps due to impaired mental functioning due to a head injury, intellectual disability or psychiatric condition. Presence of any of these conditions may not exclude the person from making an informed decision to participate or not, but it is incumbent on the researcher to satisfy themselves that consent is free and informed.

Prospective participants must be advised of:

- The nature and purpose of the research
- What will be expected of them (ie a 60 – 90 minute interview about violence and justice)
- Potential risks or inconveniences
- Potential benefits (direct and indirect)
- Her rights (to decline to participate or, if she chooses to participate, to determine the extent of that participation or to withdraw at any time without adverse consequences)
- How to lodge a complaint about the process if she is dissatisfied with any part of the process

Interviewers should establish clear expectations about not only the potential benefits of participation in the research, but also the on-going relationship between the participant and the research/research project, and any other potential outcomes derived from participation in the research project.

All of this information is contained in the Participant Information Sheet supplied (in Section 3 of the Fieldwork Handbook).

The participant must also have sufficient opportunity to have all their questions about any aspect of the research process answered.

Consent must be free of any coercion or inducements. Coercion may include any stated or implied risk for non-participation (such as being excluded from services provided by the referring organisation or Action Aid). Inducements may be understood as offering or creating an expectation of financial reward for participation, preferential treatment or raising expectations about potential direct benefits resulting from the research. It is acceptable (and an approved feature of this research project) to offer reimbursement for costs incurred by the participant through their participation in the research, such as reimbursement of travel costs. It is also acceptable to offer refreshments to a participant, as long as these do not rise to the level of an inducement.

Giving and obtaining consent is a process, not a one-off event that happens at the beginning of a person’s involvement in research, and during their active involvement participants have the right to change their minds and withdraw consent. If a researcher doubts whether a person participating in research still consents to participating s/he should clarify this with the person in question. However, the right to withdraw cannot, practically, extend to the withdrawal of already published findings. This should be made clear to participants as part of the process of informed consent.

Consent may be recorded on the Participant Consent Form supplied or, if given verbally, recorded in the researcher’s field work notes. The researcher must briefly outline the process conducted in obtaining informed verbal consent.

See also the ‘Recruitment and Consent’ section in the ‘1.1 - Key Concepts in Research Methods’ section of the Field Work Manual.
2.3 Research information Management: Data Handling
Research information Management: Data Handling

It is important to note that the entire research team will have a range of responsibilities in information management of the research. The research information will include the research background documents, information material, research tools, data collected, secondary data reviewed, information produced using research findings and the main report. This section addresses data handling which covers the following areas:

I. Management of participant information material and consent forms.

II. Management of raw data collected from the field.

III. Transcribing of data

IV. Storage within the country programs

V. Transfer of data from the country programs to Australia.

VI. Storage of data in Australia

The research team comprising of researchers from University of Sydney and ActionAid Australia are responsible for ensuring that the research information is managed well and securely taking into account confidentiality and sensitivity of the subject. The research team is advised to use this guideline for data handling:

i. Management of participant information material and consent forms.

The Country program staff under the leadership of the women’s rights coordinator should ensure that all the research data collection material is safely kept and only shared and used within the research team. Once the Participant Information Sheets and Consent forms have been shared and signed by the participant the interviewer will need to keep the original of the form safely and hand it back to the women’s rights coordinator at the end of the day for safe keeping until the forms are sent to Australia. The women’s rights coordinator should keep these forms under lock and key. The signed forms will be sent in agreed upon basis through DHL to ActionAid Australia who will confirm via email the material that has been received.

ii. Management of raw data collected from the field.

The local researchers (data collectors) will be required to document responses from the respondents in a hard covered field notebook that will be provided by ActionAid. This will assist in retaining the information in a safe way for future reference if required. The data collectors should type out the fieldwork notes and save them on USB sticks that will be provided by the WRC. All the saved data should be clearly labelled and saved in 2010 Microsoft word version. The WRC’s coordinator will organize for the USB sticks to be sent to Australia. The data collectors should also document their observations while collecting data.
The data collectors will be provided with USB sticks, pens, hard covered note books, bags and folders that they will use to collect and safely store data.

*Please take note that this will apply to individual interviews with women affected with violence, focus group discussions, key informant interviews and notes from policy dialogues and stakeholder forums.

### iii. Transcribing of data

All data that is collected in local language will be transcribed. The local ActionAid Country Programs will organize to have the data professionally transcribed, and then translated from the local language into English. (The choice of transcribers and translators should take into account the risk of any confidentiality breaches. Country Programs should either request that transcribers/translators sign a confidentiality agreement or include a confidentiality clause within any contractual agreement signed, or require an affidavit to that effect.) They will send the raw data and the transcribed and translated data to Australia as agreed. The country programs will organize to provide a safe space for the person transcribing/translating within the ActionAid Offices. In order to ensure confidentiality is maintained, transcribers/translators should only be given access to interview data within the ActionAid office, provided with a laptop that has all the requisite files saved onto it but does not permit for internet access or USB access (if this is possible). No electronic devices or storage devices should be permitted into the office while the translation/transcription is being completed. No electronic or other copies of the interview data is permitted by transcribers/translators. The WRC’s are advised to review the transcribed data to ensure that it is properly done before sending the data to Australia. The ActionAid Country programs will ensure that all equipment required to have data collected is purchased and is in working order before the data collectors take them out to collect the data.

### iv. Storage of data in the country programs.

The Women’s Rights Coordinators (WRC) are responsible for storing data in the country programs. The WRC will ensure that all data is safely stored within the office premises under lock and key in safe cabinets. The data already collected should be sent to Australia fortnightly or on agreed basis with the research team.

### v. Transfer of data from the country programs to Australia.

The WRC in the Country Programs will be responsible for transferring data to Australia. Ideally the raw data on USB sticks and in note books can be transferred at least twice per month or on agreed basis with the research team. The preferred mode of sending the raw data will be through DHL. A drop box folder will be set up as necessary for temporary storage of raw data. Only the WRC and the Research team will access the drop box.
vi. Storage of data in Australia

All data will be sent to ActionAid Australia and will be managed by the research team from ActionAid Australia. ActionAid Australia will hand over the data by agreement to Dr Lucy Fiske and Dr Rita Shackel. Drs Fiske and Shackel will manage and retain the research data and materials consistent with the University of Sydney Ethics requirements.

vii. For further information

or any questions or problems that arise please ensure you contact Carol Angir carol.angir@actionaid.org or Casey McCowan casey.mccowan@actionaid.org
2.4 Guidelines for Documentation of Interviews and Research Processes
Guidelines for Documentation of Interviews and Research Processes

A. Before the Interview

• The researchers should keep notes of any information relevant to the overall context of the interview and the particular research site e.g. has there been a recent surge of violence in the research site?; details of where the interview is being conducted e.g. school house, community hall, woman's house; whether it was difficult to access the research site? etc. This type of information should form part of the researcher’s field notes (see 2.5 Fieldwork Notes Pro forma included in this Fieldwork Handbook) (some of this information may also be recorded at the time of the interview or immediately after the interview has taken place).

• Details of how the participant was recruited should be recorded i.e. the sampling and recruitment methods should be well documented, for example, was the woman recruited via ActionAid or through some other NGO or agency or through snowballing. Details of scheduling of KI meetings should also be recorded.

B. During the Interview

• At the outset (or at the end) of the interview the woman’s demographic information should be recorded.

• The process for obtaining informed consent should be documented.

• The interview should be audio recorded where consent has been provided by the participant.

• In addition to the audio recording of the interview notes of the interview should also be taken (these notes should clearly reflect what the woman has said – they should be in the woman’s actual words to the extent possible). Additionally the researcher may make her own impressionistic/observational notes during the interview but more typically such reflections will be documented immediately after the interview has been completed.

• If a woman becomes upset or distressed during the interview this should be documented and how this situation was responded to should also be recorded e.g. was the interview suspended while the woman spoke to a counselor or did the woman just take some time out?

C. After the Interview

• Immediately after the interview (or as soon as possible) each researcher involved in the interview should complete her fieldwork notes. The researchers should debrief and share any concerns or issues emerging from the interview.

• The interview should be coded (see 1.2 Fieldwork Sampling and Coding Guidelines outlined in this Fieldwork Handbook).
• Any adverse events before, during or after the interview should be documented including any security or safety issues or concerns.

• Any referrals provided to the woman e.g. to counseling or health services should be recorded.

• Any follow-up contact with the woman by the researchers should also be documented e.g. if a woman makes contact again with the researchers seeking further information or additional referrals.

• Researchers should document the themes emerging from the interview.

• Researchers may also wish to keep a fieldwork diary for themselves, which can document their own feelings, thoughts and learnings during conduct of the research.

• Following the interview the audio recordings will be transcribed and translated in English.
2.5 Guidelines for Documentation of Interviews and Research Processes
Fieldwork Notes Pro-Forma

Interviewer: ___________________________________________________________________________

Participant Code*: ____________________________________________________________________

Participant Recruited through: ___________________________________________________________________

Language of interview: _________________________________________________________________

Interpreter present: Y / N

Counsellor present: Y/N

Others present during interview: _________________________________________________________

Recording information: ________________________________________________________________

Include the following information in your notes:
- any advice given to the participant
- referral(s) given
- interviewer’s objective observations
- interviewer’s subjective impressions/thoughts
- any other information which you think may be relevant or helpful for people reading the transcript at a later time/place

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

* First letter of the woman’s first name followed by the last letter of the woman’s first name (as recorded on the consent form) , first letter of the interview location, first letter of country and date - with a hyphen separating each part of the code. For example if you interviewed both Pamela and Polly in Nyiragongo, DRC on 3 November 2013, the codes will respectively be ‘PA – N – D – 03 – 11 – 2013’ and ‘PY – N – D – 03- 11- 2013’
2.6 Some Principles for Conducting Research During Crisis
Some Principles for Conducting Research During Crisis

During the research period the research team might encounter instances where the communities are undergoing emergency situations or conflict situations. It is important to take note of the following.

Take time to understand what is happening in the context. Each country program will undertake a risk analysis specific to each research site and this research project as per ActionAid policy, and this document may be shared with the Australian based team. The research team should consult with local staff and get their feedback and analysis in the event that they learn of an ongoing crisis or potential crisis. It is necessary to check with the local research team from the country what would be the best possible time to interact with the community or to postpone or cancel the visit all together.

It is therefore important during planning and preparation that the researchers check with local staff on the following issues:

• What is the current status of women and communities in the affected context?
• Is this the best time to conduct the research and if there are limiting factors what are they?
• Is there any intervention taking place to address the situation?
• What is the state doing to address the situation and are women and communities open to discuss their experiences?
• Do you need to review the research questions to ensure that you avoid addressing the sensitive issues that might put the communities at risk?
• In emergency situations find out if the potential respondents will be accessible or not?
• Check if the context is safe to access or conduct research both for the communities and researchers.

In the event that there is a live emergency or conflict consider the following:

• Calling off the research or any scheduled research activity if there are any security risks or concerns.
• In emergency discuss with staff possibility of rescheduling activity.
• Write a status report and share it with the person coordinating the research so that the donor and all key actors are informed of the possible delay or change of plans.
• Get advice from the research team on how to move forward. If you need to reschedule the visit please get formal feedback from the local staff confirming that you can conduct the research.
• If you are already collecting data and you encounter situations where women or girls have encountered violence please ensure that the local staff addresses the issue so that the survivor gets protection and immediate assistance.
• Do not interview or take any photographs of any survivors who have just experienced violence in a live crisis and who are deemed as possibly not able to give informed consent. A key factor in making such a decision is ensuring that no harm is done to the prospective women participant and the interviewer.
• You can however take notes from your observation.
• In the event that there is a security concern or high risk that can cause harm to you or communities please avoid the location completely.
2.7 List of in-country referral services
### 2.7 List of in-country referral services

<table>
<thead>
<tr>
<th>SUPPORT SERVICES</th>
<th>NYIRAGONGO</th>
<th>KABARE</th>
<th>IDJWI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal support /aid/access to justice</td>
<td>AFDI legal clinic, DFJ, ABA</td>
<td>ASSODECI through Reflect circles, Commission justice et paix, Hérîtîer de la justice, RFDP</td>
<td>Commission Justice et paix, noyau de défense de droit de l’homme</td>
</tr>
<tr>
<td>Psychosocial support</td>
<td>AFDI through Reflect circles, DFJ</td>
<td>ASSODECI through Reflect circles, Panzi General hospital</td>
<td>Ruhuke Kuguma through Reflect circles, Kashara and Mugote health center,</td>
</tr>
<tr>
<td>Health care support</td>
<td>HEAL AFRICA</td>
<td>Panzi General hospital, Mukongola hospital</td>
<td>Monvu hospital, Kashara and Mugote health center,</td>
</tr>
<tr>
<td>HIV/AIDS care and support</td>
<td>HEAL AFRICA</td>
<td>Panzi General hospital, Mukongola hospital</td>
<td>Monvu hospital, Kashara and Mugote health center,</td>
</tr>
<tr>
<td>Property and land ownership and ownership of productive resources</td>
<td>DFJ, AFDI</td>
<td>ASSODECI through Reflect circles, Commission justice et paix, Hérîtîer de la justice</td>
<td>Reflect circles, Commission justice et paix,</td>
</tr>
<tr>
<td>Protection</td>
<td>MONUSCO, Sauti ya Mama Mkongomani</td>
<td>RFDP (Réseau des Femmes pour la Défense de droit et la Paix)</td>
<td>Association pour le développement et la défense des droits humains</td>
</tr>
<tr>
<td>Micro financing and economic empowerment initiatives.</td>
<td>AFDI through REFLECT CIRCLES</td>
<td>ASSODECI through Reflect circles</td>
<td>Ruhuke Kuguma through Reflect circles, cooperative ukuguma,</td>
</tr>
<tr>
<td>Interest to join local women’s rights organizations</td>
<td>Sauti ya Mama Mkongomani, Reflect circles</td>
<td>Reflect circles,</td>
<td>Reflect circles, Panzi foundation</td>
</tr>
</tbody>
</table>
Section III: Research tools and instruments

3.1 One Page Summary of Women Affected by Violence Interview Schedule
3.2 WAV Participant Information Sheet (English & translated versions)
3.3 WAV Consent Form (English & translated versions)
3.4 WAV Interview Schedule
3.5 KI Participant Information Sheet (English & translated versions)
3.1 One Page Summary of Women Affected by Violence Interview Schedule
One Page Summary of Women Affected by Violence Interview Schedule

This page provides a summary of the interview process with women affected by violence. It outlines the approach to the interview, objectives of the interview and summarises the types of questions we would like to ask women.

**APPROACH to the interview:**

- The interview is semi-structured = the Interview Schedule is a road map ONLY!!
- You should decide what questions to ask and their order based on the particular woman you are interviewing and her needs.
- You do not have to ask the questions using the words in the interview schedule – ask the question in the way that will make most sense to the woman.
- Make sure the woman is safe, comfortable and that the interview is well documented (record where allowed and take detailed notes of what is said and what you observe).

**PROCEDURE**

- OBTAIN INFORMED CONSENT – Read/give the woman the PIS and read/give consent form – effect consent form through signature or verbally.
- Obtain permission to record interview – when gained START RECORDING.
- In the case of focus groups – negotiate ground rules.
- Obtain demographic information.

**BY THE END OF THE INTERVIEW** you should have asked the participant(s) sufficient questions to have obtained information about:

- The woman’s experience and her community’s experience of the conflict
- How the woman and her community has coped with/responded to the conflict/violence
- What justice means to her
- What experience the woman/community has had of transitional justice/traditional justice/other forms of justice including psychosocial support and health care.

**THE FOLLOWING ARE THE OVERARCHING KEY PILLARS/THEMES THAT SHOULD GUIDE QUESTIONS DURING THE INTERVIEW:**

Qs re justice generally: What are women’s needs and how are women experiencing different types of justice: legal, political, economic, social, health

Qs re TJ: How are/could TJ mechanisms ensure accountability, institutional reform, truth telling, reparations, reconciliation, non-recurrence?

**SUMMARY OF QUESTIONS TO ASK WOMEN DURING THE INTERVIEW**

<table>
<thead>
<tr>
<th>A. Experiences of violence</th>
<th>B. Justice</th>
<th>C. Transitional Justice</th>
<th>D. Local traditional justice</th>
<th>E. Other forms of justice</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe conflict/peace building/current country/community context</td>
<td>What does justice mean to you? Is it important? Why?</td>
<td>Types of TJ mechanisms that have been put in place (specifically for SGBV?)</td>
<td>Local community response to violence?</td>
<td>Access to psychosocial support? Important?</td>
</tr>
<tr>
<td>Your experience of this/feelings about situation?</td>
<td>What do you need to feel you have obtained justice?</td>
<td>Have you participated in any? Have other women? Details/why not? If so did you/your community get justice? Why/not (Fair? Obstacles/challenges?)</td>
<td>Support for women? Effectiveness? Why/not?</td>
<td>Adequacy? Improvements?</td>
</tr>
<tr>
<td>Impact on your security/wellbeing (past &amp; present)?</td>
<td>Have you/your community experienced justice?</td>
<td>Response of others/community to women’s involvement in such? (re sexual crimes?) Impact on decision to participate</td>
<td>Recommendations to achieve justice?</td>
<td>Economic development programs e.g. land reform initiatives? Important?</td>
</tr>
<tr>
<td>What response would you like to see? What would make you feel better?</td>
<td>What barriers/challenges have you/your community faced in obtaining justice?</td>
<td>Have you participated in any forums re TJ (e.g. NGOs)? Have you been asked about TJ before?</td>
<td>Women’s role in delivering TJ? How could women’s role be extended? Makes a difference?</td>
<td>Adequacy? Improvements?</td>
</tr>
</tbody>
</table>
3.2 WAV Participant Information Sheet (English & translated versions)
Making Transitional Justice Work for Women in Kenya, Uganda and DRC

PARTICIPANT INFORMATION STATEMENT
Women Affected by Violence

(1) What is the study about?

You are invited to participate in a study that examines how well transitional justice processes provide justice for women in Kenya, Uganda and DRC. We are interested in what women in each of these countries think about the ways in which local, national and international programs provide justice for women after conflict, and how these programs can be improved. We would like to know what things are most important for women dealing with the effects of mass violence and human rights violations. We wish to hear directly from women affected by violence and, by talking to many women in three countries, we will present reports to non-government organisations, international organisations and governments. Our reports will be presented in a way that no individual woman is identified. We hope that this will help people who work in justice after violence understand women's lives and needs better and will help to make programs that are more sensitive to women's justice needs and priorities.

(2) Who is carrying out the study?

The study is being conducted by a team of researchers from Australia, Dr Rita Shackel from the Law School at the University of Sydney, Dr Lucy Fiske from the Centre for Human Rights Education, Curtin University and Carol Angir from ActionAid (Australia). Locally, the study is being conducted by researchers with experience in women's rights, including Helen Mpinga from ActionAid Uganda, Olivia Omwenge from ActionAid DRC and Mabel Isolio from ActionAid Kenya.

(3) What does the study involve?

If you decide to participate in the research we would like to talk with you for about 1 hour. You can choose if you would like to talk in an individual interview or in a small group of women from your community. We would like to audio record the interview so that we have an accurate record of what you said. However, you may choose to participate in the research without audio recording if you prefer. We will be asking you questions about the ways the conflict has affected your life. We will ask about the ways conflict and violence have affected your livelihood (your ability to make money, stay on your land, work), your social relationships (friendships and family relations with neighbours and your community), your emotional well being, your health and your safety. We will also ask if you have participated in any transitional justice programs such as legal proceedings or traditional approaches. We will ask you for your thoughts on how these were helpful or not and what programs you think would help you and other women in your community. We will also ask if there is anything else you would like to tell us.

You do not have to answer all of these questions. You are free to decide what and how much you want to talk to us about. You have the right to stop the interview at any time if you want to. It is...
possible that some of these questions may make you feel upset. If this happens, you can stop the interview for a short time or completely, or ask not to talk about a particular subject. There will be no consequences for you in stopping the interview and you do not need to explain why. It will not affect your right to access services or any other rights you hold.

Some women may feel unsafe talking about transitional justice programs or may worry that someone in the community won’t want people to talk about the conflict or what has happened since then. We have designed the research to make sure that women are safe to talk with us and everything you say will be kept confidential – meaning that only the interviewer and her supervisor will know your name and that you have participated in the research, they will not tell anyone else that you have spoken with them. Only the interviewer and the researchers named on this document will know who participated and what was said in each interview. You have the right not to participate in this research and there will be no consequences for deciding not to participate.

The interview or small group discussion will occur at a location and time agreed between you and the interviewer.

Information that you provide to the research will be stored in locked filing cabinets and on password protected computers in the offices of Dr Rita Shackel, Dr Lucy Fiske and Carol Angir in Sydney, Australia until the completion of the project in April 2015. After that it will be stored only in a locked filing cabinet in the office of Dr Rita Shackel for seven years. It will then be destroyed.

(4) How much time will the study take?

The interview will take about one hour. A small group discussion will take about 90 minutes.

(5) Can I withdraw from the study?

Being in this study is completely voluntary - you are not under any obligation to consent and - if you do consent - you can withdraw at any time without affecting your relationship with The University of Sydney Law School, Curtin University Centre for Human Rights Education, ActionAid Australia or ActionAid DRC. You do not need to give any reason for withdrawing from the study.

You may stop the interview at any time if you do not wish to continue, the audio (if being taped) will be erased and the information provided will not be included in the study.

If you take part in a focus group and wish to withdraw, it will not be possible to delete your voice from the recording. The researchers will make every effort to identify your voice on the recording and not use anything you have said in the research.

(6) Will anyone else know the results?

All aspects of the study, including results, will be strictly confidential and only the researchers will have access to information on participants except as required by law.

Reports of the study may be submitted for publication and provided to organisations involved in transitional justice, but individual participants will not be identifiable in any reports.

(7) Will the study benefit me?

We cannot and do not guarantee or promise that you will receive any direct benefits from the study. You may receive some indirect benefit as a result of the study providing information and ideas that could improve justice programs for women.

(8) Can I tell other people about the study?

You are welcome to tell other people about the study, but not about anyone else who has participated in the study. You are also welcome to pass on contact details for the coordinator in DRC to other women who may want to participate. If you participated in a small group discussion, you should not tell anyone who else was in your group in order to respect their privacy.
What if I require further information about the study or my involvement in it?

When you have read this information, the researcher will discuss it with you further and answer any questions you may have. If you would like to know more at any stage, please feel free to contact ActionAid DRC’s Women’s Rights Coordinator Olivia Omwenge (Olivia.Omwenge@actionaid.org or by phone +243 817 516 472), Dr Rita Shackel (rita.shackel@sydney.edu.au or by phone 61 2 9351 0368), Dr Lucy Fiske (lucy.fiske@sydney.edu.au or by phone 61 423 175 745) or Carol Angir (Carol.Angir@actionaid.org or by phone 61 2 9565 9175).

What if I have a complaint or any concerns?

Any person with concerns or complaints about the conduct of a research study can contact The Manager, Human Ethics Administration, University of Sydney on +61 2 8627 8176 (Telephone); +61 2 8627 8177 (Facsimile) or ro.humanethics@sydney.edu.au (Email).

You may also contact ActionAid DRC’s Director, Clement Kone on +243 817 516 472 or Clement.Kone@actionaid.org

This information sheet is for you to keep.
3.3 WAV Consent Form (English & translated versions)
Making Transitional Justice Work for Women in Kenya, Uganda and DRC

WOMEN PARTICIPANT CONSENT FORM

I, ...............................................................................................[PRINT NAME], give consent to my participation in the research project: Making Transitional Justice Work for Women in Kenya, Uganda and DRC.

In giving my consent I acknowledge that:

1. The procedures required for the project and the time involved have been explained to me, including any inconvenience, risk, discomfort or side effect, and their implications, and any questions I have about the project have been answered to my satisfaction in a language I understand.

2. I have read the Participant Information Statement and have been given the opportunity to discuss the information and my involvement in the project with the researcher/s.

3. I understand that being in this study is completely voluntary – I am not under any obligation to consent.

4. I understand that my involvement is strictly confidential. I understand that any research data gathered from the results of the study may be published however no information about me will be used in any way that identifies me.

5. I understand that I can withdraw from the study at any time, without affecting my relationship with the researcher(s) or the University of Sydney, Curtin University, ActionAid Australia or ActionAid DRC now or in the future.
6. I understand that I can stop the interview at any time if I do not wish to continue, the audio recording (if being used) will be erased and the information provided will not be included in the study.

I understand that I can stop my participation in the focus group at any time if I do not wish to continue; however as it is a group discussion it will not be possible to exclude individual data to that point.

7. I consent to:

- Audio-recording YES □ NO □

........................................................................................................
Signature

........................................................................................................
Please PRINT name

........................................................................................................
Date
3.4 WAV Interview Schedule
INTERVIEW SCHEDULE FOR WOMEN AFFECTED BY VIOLENCE - DRC

Qualitative data of women’s experiences and their expectations of transitional justice mechanisms in Kenya, Northern Uganda and DRC will be obtained through focus group discussions and interviews with individual women. Interviews with women affected by violence in these communities will be semi-structured. Questions have been formulated to elicit responses to pre-identified themes, but include open-ended questions to also enable collection of data around themes not anticipated in the preparatory phase. These questions may be asked in a different order to that below, and will be shaped by the direction and choices for discussion made by the individual woman. Not all questions will be asked in every interview or focus group. Different wording may be used depending on the context and flow of the interview.

The pre-identified themes relate to different types of justice and the pillars of transitional justice. These different types of justice include legal, political, economic, social and health justice, and are especially concerned with issues of legal and political voice, economic empowerment and psychosocial and emotional well-being in addition to physical health issues. The pillars of transitional justice include accountability, institutional reform, truth-telling, reparations and reconciliation. The focus is on understanding how women see both justice for past violations as well as prevention of ongoing violations and injustices. Questions will thus invite women participants to reflect on existing transitional justice mechanisms as well as consider how the justice needs for women may be better met in the future.

Both the focus groups and individual interviews will be conducted in a similar way using the same interview schedule as a guide for a discussion of issues relating to justice for women.

At the beginning of each interview and focus group the researcher will:

- introduce herself and her institutional affiliation, and introduce the interpreter or any other researchers present (who will also introduce themselves). The woman must give permission in relation to each researcher or other person present during the interview.
- let the focus group participants introduce themselves and describe the role they play in the community.
- provide a copy of the Participant Information Statement to each participant;
- fully explain the purpose of the research;
- fully explain that participation in the research is voluntary and that withdrawal from the research is permissible at any time without any adverse consequences;
- outline the contents and purpose of the interview/focus group discussion;
- seek permission from each participant to take notes and/or audio record the interview or focus group discussion;
- provide the opportunity for the participant/s to remain anonymous;
- obtain the signature of each participant on the Consent Form. Where a written signature is not able to be obtained gain consent by some other means (e.g. fingerprint) or verbally. In the case of a woman participant who is not able to read the participant information statement and consent form the following process should be observed by the researcher to ensure informed consent is obtained:
  - Read the Participant Information Statement to the prospective participant;
  - Read the consent form to the prospective participant;
  - Effect consent through verbal agreement or other appropriate means;

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sydney.edu.au

ABN 15 211 513 464
CRICOS 00026A

Approved November 2013
Where possible contemporaneous notes should be taken of the process followed to gain informed consent from the participant.

- in the case of focus groups the researcher will also outline and negotiate with participants the applicable ‘ground rules’ for conducting the focus group discussion e.g. participants will be reminded to respect the views of others in the group, that only one participant should speak at any one time, that all participants should be treated equally and without discrimination, and that the group should respect the privacy of all participants. The scope of the focus group discussion may also be negotiated with women.

**OUTLINE OF INTERVIEW TOPICS/QUESTIONS**

**Violence Experienced**

1. How would you describe the current situation of conflict in your community/area/country?
2. How would you describe the current context in your community/area/country in relation to building peace?
3. What situation(s) of crisis/conflict has your country experienced in the past few years or within your memory that has affected your security and wellbeing?
4. What has been your experience of the crisis? What has been the experience of the group of women you belong to? What has been the experience of your community (prompt question: e.g. Did you experience the civil war in eastern DRC?).
5. How have you, your group of women and your community been affected by the crisis? (prompts as above, plus types of experiences including being injured, seeing people killed, becoming IDP or refugee, losing family members, being made a widow, property stolen, lost home or access to land, rape or other sexual violence, child born of rape and current family relations etc). Can you give me an example or tell me a story about your experience(s)?
6. Is the violence you have experienced in the conflict still having an impact on your life? (prompts: loss of livelihood, loss of breadwinner, separation of family, child-headed household, physical health problems, emotional trauma, etc).
7. How do you feel about the crisis that is taking place and its impact on you, your group of women and your community?
8. What would you like to now see happen to improve the situation and/or make you feel better? (prompts: are you angry, hurt, sad, afraid, confused, worried, sorry, etc).

**Justice**

9. What does ‘justice’ mean to you?
10. What will you need to feel that you have received justice? (prompts: punishment, accountability, restoring community, finding out what happened and why, having enough food to eat, good health, etc).
11. Have you, or your group of women or the women in your community experienced justice during the crisis and since what has happened to you and other women in your community?
12. What barriers or challenges have you faced in trying to get justice? What about your group of women? Your community?
13. Do you think it is important to have justice? Why?

14. How would gaining justice help you in your life? How would it help your group of women? Your community?

15. What specifically would you like to see put in place to help you, your group of women and your community gain access to justice? (generally and in regards to specific types of justice)? (prompts in relation to above pre-identified themes).

Transitional Justice

16. What types of transitional justice mechanisms or processes have been or are being put in place to deal with the mass human rights violations associated with the crisis? (e.g. to deliver legal, social, economic, political justice).

17. Have they included trials or accusations of sexual crimes or other gender-based violence? If so, do you think this is a helpful way to address justice for these crimes and sexual violence?

18. Have you participated in any of these TJ processes in any way? If not, why not? If so, how? (prompts: given testimony, been a witness, applied for or received reparations). Please describe for me your experience of participation and how you feel about it?

19. Did your participation in this way help you to feel a sense of justice? Do you think the process has been fair? Why or why not?

20. Were there obstacles or challenges for you in participating? If so, describe these and whether and how you were able to overcome them.

21. Have you been to any community meetings, NGO or ICC briefings or workshops about transitional justice? If so tell me about your experience of such meetings – what do you remember? Was it useful or not? How or why/how or why not?

22. In what ways have you found transitional justice processes to be helpful or not helpful in providing justice for you, your group of women or other women in your community? How could they be more helpful?

23. Have you experienced any transitional justice processes designed by women or providing justice specifically for women?

24. Do you know any other women who have participated in transitional justice?

25. Are the women who have testified at transitional justice processes treated differently by their community? (prompts: respected for standing up for their community and themselves, socially excluded for talking about what happened, threatened or attacked for speaking up).

26. To what extent is the response different for sexual compared to non-sexual crimes?

27. To what extent does this affect your decision to participate or not participate in transitional justice?

28. What other types of approaches to transitional justice might be helpful for you and other women in your community?

29. Do you think transitional justice should be led by the UN/international community, national government or local community? Can you tell me why?

30. Has anybody ever asked you before what you think about transitional justice or your justice needs? (prompts: people from the ICC, UN, government, NGOs, or other researchers?).
MAKING TRANSITIONAL JUSTICE WORK FOR WOMEN

ICC (specific questions if not already covered in previous section)

1. What do you know about the ICC and the legal justice that is being pursued in relation to the crisis?
2. Do you know who has been indicted/arrested/tried/ found guilty and what has happened to them?
3. Has anyone from your community been indicted/arrested/prosecuted? If so, what do you think should happen to them?
4. Did any of the crimes relate to sexual violence or violence against women? Do you think perpetrators of sexual crimes should be punished, and if so, how?
5. Do you think perpetrators should be punished for all crimes committed? Why or why not? For those crimes that you think should be punished, what type of punishment do you think would be appropriate?
6. (a) Have you been involved with the ICC? What was your experience and how did you feel about it? (prompts: Have you been a witness or registered as a victim?).
   OR
   (b) If respondent has not been involved with the ICC: Do or did you want to be involved with the ICC? What prevented you from participating? (prompts: lack of knowledge, fear of reprisal, financial constraints, shame at speaking publicly, fear of legal processes/alienation from legal processes).
7. Do you know of any women in your community that have been involved in the ICC? How have these women been treated within the community?
9. Would you like to have more information about the ICC?
10. Do people in your community discuss the ICC?
11. Do you think the ICC is helping to bring justice to DRC? Will it help to bring justice to you, your group of women and other women in your community? How or why? Or why not? How could it be more helpful?
12. Have you been asked your opinion about the ICC before? If so, was it someone from the ICC, the government or an NGO, or a researcher from overseas?

Local traditional justice

1. How has your local community responded to the violence and its impact on women in the community?
2. How has your community supported women’s justice needs?
3. Do you think that local traditional modes of justice have been effective in delivering justice to women in your community? Explain why or why not.

Other forms of justice

1. What recommendations would you make to local traditional justice mechanisms to achieve better justice for women in your community and in DRC?
2. To what extent have you accessed counselling and/or health related services in dealing with what has happened in your community?

3. Do you think more services of this kind are needed?

4. How could these services be improved?

5. Do you think these types of services are important in providing justice to women?

6. To what extent has justice been delivered to you or other women in your community or elsewhere in DRC through economic development programs or land reform initiatives?

7. Do you think these types of programs and initiatives are important in providing justice to women?

8. How could these types of programs be better developed to deliver justice to women?

The role of women in delivering justice

1. Are women playing a role in delivering transitional justice to other women?

2. If yes, what role are women playing in delivering transitional justice?

3. If not, why do you think women are not actually playing any role in transitional justice?

4. Do you think that women can play more of a role in this respect?

5. What role for women’s involvement in delivery of transitional justice do you think would help other women better access justice?

6. Does/would the involvement of women in transitional justice programs make a difference to you or women in your community? Why or why not?

7. Do you know of any women’s organisations that are helping women in your community? If so, tell me about the work being done by these organisations.

Demographic questions

1. age

2. birth place

3. marital status and children

4. language

5. education

6. occupation/livelihood

7. living in city, rural town or rural village

8. religion
3.5 KI Participant Information Sheet
Making Transitional Justice Work for Women in Kenya, Uganda and DRC

KEY INFORMANTS PARTICIPANT INFORMATION STATEMENT

(1) What is the study about?

You are invited to participate in a study examining how well transitional justice processes provide justice for women in Kenya, Uganda and DRC. This project investigates the efficacy of transitional justice for women considering the realities of women’s lives in conflict and post-conflict contexts and their experiences of violence in northern Uganda, Kenya and Democratic Republic of Congo. The research will identify women’s priorities in the transitional justice context and the obstacles that prevent them from accessing justice and human rights. The project will provide an avenue for women’s voices to be heard in the evaluation of existing transitional justice mechanisms and development of alternatives to better meet their justice needs, build resilience and reduce violence against women.

(2) Who is carrying out the study?

The study is being conducted by a team of researchers from Australia, Dr Rita Shackel from the Law School at the University of Sydney, Dr Lucy Fiske from the Centre for Human Rights Education at Curtin University and Carol Angir from ActionAid (Australia). Locally, the study is being conducted by researchers with experience in women’s rights, including Helen Mpinga from ActionAid Uganda, Olivia Omwenge from ActionAid DRC and Mabel Isolio from ActionAid Kenya.

(3) What does the study involve?

If you decide to participate in the research we would like to talk with you for between 30 and 60 minutes. If you agree we would like to audio record the interview so that we have an accurate record of what you said. However, you may choose to participate in the research without audio recording if you prefer. We will ask questions about you and your organisation’s role in transitional justice, about the strengths and limitations of transitional justice programs, justice issues affecting women in post-conflict situations, barriers to women’s participation, effects on women, your thoughts on how transitional justice could be improved and any other information that you would like to share with us that is relevant to developing a better understanding of gender sensitive transitional justice mechanisms.

The interview will be carried out at a location negotiated between you and the interviewer and may be conducted face to face or by telephone or Skype.
Information that you provide to the research will be stored in locked filing cabinets and on password protected computers in the offices of Dr Rita Shackel, Dr Lucy Fiske and Carol Angir in Sydney, Australia until the completion of the project in April 2015. After that it will be stored only in a locked filing cabinet in the office of Dr Rita Shackel for seven years. It will then be destroyed.

Your participation will be confidential unless you choose to be identified. You have the right to choose to participate and deciding not to participate will not carry any adverse consequences for you. You have the right to withdraw at any time without consequence.

(4) How much time will the study take?

The interview will take between 30 minutes and one hour.

(5) Can I withdraw from the study?

Your participation in this study is completely voluntary - you are not under any obligation to consent and - if you do consent - you can withdraw at any time without affecting your relationship with The University of Sydney Law School, Curtin University Centre for Human Rights Education, ActionAid Australia, Kenya, Uganda or DRC.

You may stop the interview at any time if you do not wish to continue, the audio (if applicable) will be erased and the information provided will not be included in the study.

(6) Will anyone else know the results?

Reports of the study including results may be submitted for publication and provided to organisations involved in transitional justice, but individual participants will not be identifiable in any reports unless consent has been specifically provided for identifiable information to be made public. Otherwise, all aspects of the study, including results, will be strictly confidential and only the researchers will have access to information on participants.

(7) Will the study benefit me?

We cannot and do not guarantee or promise that you will receive any direct benefits from the study. The study could provide indirect benefits by generating information which will assist in the work of individuals and organisations involved in transitional justice.

(8) Can I tell other people about the study?

You are welcome to tell other people about the study. You are also welcome to pass on contact details for Dr Rita Shackel, Dr Lucy Fiske or Carol Angir to colleagues who may want to participate.

(9) What if I require further information about the study or my involvement in it?

When you have read this information the researcher will discuss it further with you and answer any questions you may have.

If you would like to know more at any stage, please feel free to contact ActionAid’s Women’s Rights Coordinator, Olivia Omwenge (Olivia.Omwenge@actionaid.org or by phone +243 817 516 472), Dr Rita Shackel (rita.shackel@sydney.edu.au or by phone 61 2 9351 0368), Dr Lucy Fiske (lucy.fiske@sydney.edu.au or by phone 61 423 175 745) or Carol Angir (Carol.Angir@actionaid.org or by phone 61 2 9565 9175).

(10) What if I have a complaint or any concerns?

Any person with concerns or complaints about the conduct of a research study can contact: The Manager, Human Ethics Administration, University of Sydney on +61 2 8627 8176 (Telephone); +61 2 8627 8177 (Facsimile) or ro.humanethics@sydney.edu.au (Email).

You may also contact ActionAid DRC’s Director, Clement Kone on +243 817 516 472 or Clement.Kone@actionaid.org

This information sheet is for you to keep
3.6 KI Consent Form (English & translated versions)
KEY INFORMANT PARTICIPANT CONSENT FORM

I, ........................................................................................... [PRINT NAME], give consent to my participation in the research project: Making Transitional Justice Work for Women in Kenya, Uganda and DRC.

In giving my consent I acknowledge that:

1. The procedures required for the project and the time involved have been explained to me, including any inconvenience, risk, or discomfort, and any questions I have about the project have been answered to my satisfaction in a language that I understand.

2. I have read the Participant Information Statement and have been given the opportunity to discuss the information and my involvement in the project with the researcher/s.

3. I understand that being in this study is completely voluntary – I am not under any obligation to consent.

4. I understand that my involvement is strictly confidential unless I consent to be identified. I understand that any research data gathered from the results of the study may be published however no information about me will be used in any way that is identifiable except to the extent that I have consented below:

☐ I do not consent to any identifiable information about me or any of the information I have provided being disclosed by the researchers.
☐ I consent to the following identifiable information about me and/or the information I have provided during the interview being disclosed:

☐ My identity;
☐ My position and organisational affiliation;
☐ All the information provided during the interview;
☐ Only the following specific information is to be identifiable:

____________________________________________________________

____________________________________________________________

____________________________________________________________

____________________________________________________________

5. I understand that I can withdraw from the study at any time, without affecting my relationship with the researcher(s) or the University of Sydney, Curtin University, ActionAid Australia, ActionAid DRC now or in the future.

6. I understand that I can stop the interview at any time if I do not wish to continue, the audio recording (where applicable) will be erased and the information provided will not be included in the study.

7. I consent to:
   • Audio-recording YES ☐ NO ☐

.........................................................

Signature

.........................................................

Please PRINT name

.........................................................

Date
3.7 KI Interview Schedule
KEY INFORMANT INTERVIEWS - DRC

These questions reflect the themes for semi-structured interviews with key informants in varied contexts. The exact questions to be asked, the way in which they are asked and the order in which they are asked will depend on the context of each specific interview and organisational affiliation of the interviewee and the point in time at which the interview is conducted within the research process. The interview methodology adopts a constructionist approach and thus views the interview as a dynamic exchange that takes shape through the interaction of interviewer and interviewee. Accordingly this list of questions provides a guide to the themes and topics to be covered in each interview, rather than a prescribed list of questions.

A. Existing Transitional Justice Mechanisms

Interviews with key informants will begin by exploring existing Transitional Justice (TJ) mechanisms. This part of the interview will focus on specific TJ mechanisms as relevant to the work and experience of the particular key informant being interviewed (e.g. if interviewing someone who works for ICC, questions will primarily focus on the ICC and its related context).

1. What TJ mechanisms are currently available to women in this community/country to address mass human rights violations which occurred (are occurring) during violent conflict? (i.e. before, during and after the 2008 post-election violence in Kenya; LRA violence in Northern Uganda; civil war in eastern DRC) (e.g. ICC, other legal mechanisms, truth commission, reparations, traditional processes).

2. What processes have been developed to enable women to access or make use of these TJ mechanisms? (e.g. reporting human rights violations, giving evidence, participating in a truth commission hearing, making a reparations claim, participating in a traditional process, etc.) [Use examples relevant to the context of interview].

3. What do you think have been the challenges or barriers for women in accessing these TJ mechanisms? (e.g. inadequate awareness, stigma, literacy, cost, proximity to justice institutions).

4. (a) Which sexual or other gender-based crimes have been specifically addressed by these TJ mechanisms? (b) To what extent have women felt safe to give evidence or provide testimony of their violations?

5. What is the nature of the violence that has occurred against women and/or continues to occur here against women? e.g. direct or structural (poverty, discriminatory laws, etc), extraordinary (e.g. rape or other GBV in war) or ongoing (e.g. domestic violence).

6. What do you think are the justice needs of women in this country/area at the moment? (list the needs, e.g. political, socioeconomic, legal, health – physical and psychological).
7. What are the gaps in existing TJ mechanisms in addressing the justice needs, expectations and priorities of women? (e.g. proximity, cost, conflict sensitive and tangible alternatives).

8. What are the opportunities for women to make use of these TJ mechanisms to address their justice needs and priorities? (e.g. current reforms in legal, police, land and programming e.g. joint donor initiatives, women’s movements and networks, media, feminist female and male champions).

9. To what extent have women been involved in shaping TJ mechanisms and in administering such processes? (i.e. what role do women play in TJ other than as participants seeking justice?).
   (i) Institutional – e.g. membership in commissions.
   (ii) Individual - e.g. women champions on TJ.

B. Potential Transitional Justice Needs and Developments

1. Do you think transitional justice could better address women’s needs and priorities? If so, how could this be achieved?

2. Have other types of TJ mechanisms been proposed? If so how might these address women’s justice needs and priorities?

3. What do you see as the barriers or challenges for women in addressing their justice needs and priorities in relation to mass human rights violations in the past and future prevention of violence against women?

C. Justice, Women’s Rights and Violence Against Women

1. Can you describe in more detail the types of justice needs of women in this community/area and how these different needs are specifically and more generally being addressed? (e.g. political, socioeconomic, legal, health – physical and psychological).

2. What is the nature of the violence that has occurred against women and/or continues to occur here against women? e.g. direct or structural (poverty, discriminatory laws, etc), extraordinary (e.g. rape or other GBV in war) or ‘ordinary’ (e.g. domestic violence).

D. Organisational Information

1. What work/activities does your organisation undertake in relation to transitional justice/women’s rights/violence against women? (e.g. advocacy, awareness creation, legal clinics, legal representation, civic education, research, IEC materials development, media campaigns etc).

2. Does your organisation work in conjunction with other organisations in transitional justice/women’s rights/violence against women? If so, which ones? How do you work together?

3. Does your organisation relate with the ICC, and if so, how? Do you support women in accessing justice through the ICC? What has been your experience of the ICC and how it relates with women in the community?
4. What are the challenges you and/or your organisation face in addressing the justice needs, expectations and priorities of women?

5. What are the opportunities you see for you and/or your organisation to more effectively address the justice needs and priorities of women?

6. What gaps do you think need to be filled to provide enhanced systemic support to enable women access to justice in the country?
Contact

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