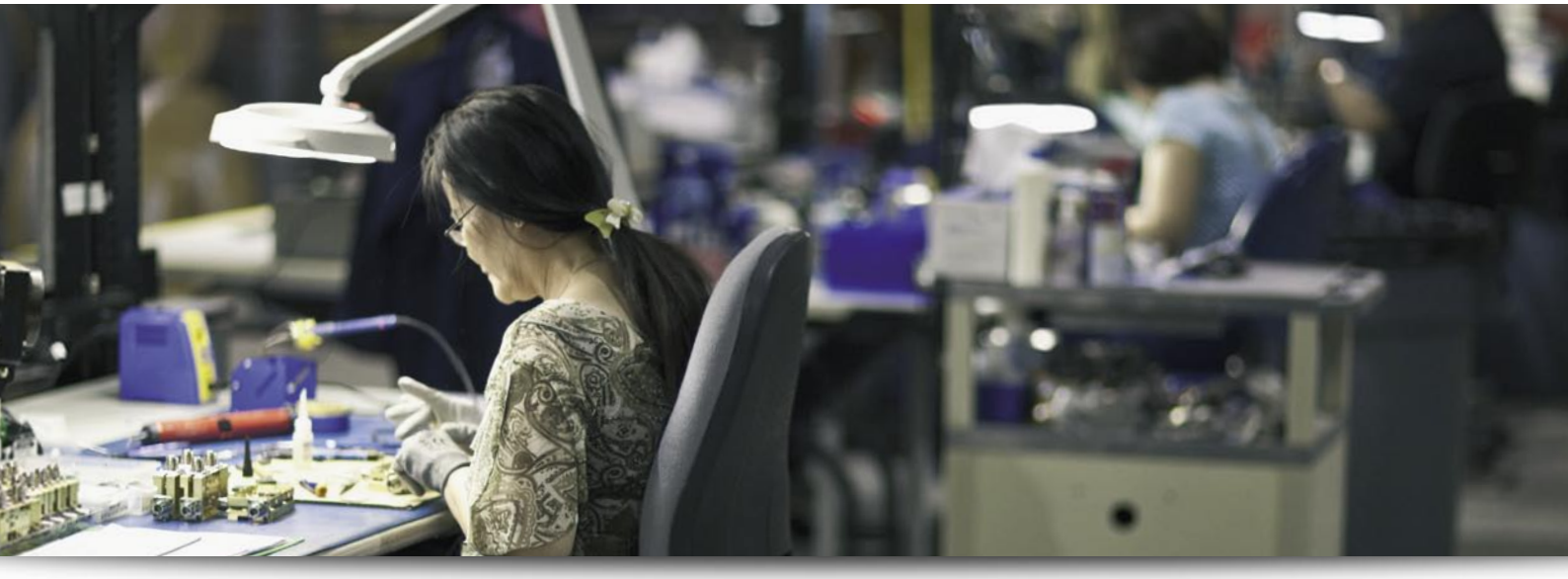
edition econsense

Respecting Human Rights



Tools & Guidance Materials for Business

econsense
Forum for Sustainable Development of German Business

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econsense is an association of leading, globally active companies and organisations of German business specializing in the area of sustainable development and corporate social responsibility (CSR). Founded in 2000 on the initiative of the Federation of German Industries (BDI), the goal of econsense is to provide a dialogue platform and think tank, with the dual objectives of advancing sustainable development in business and assuming social responsibility.

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Abbreviations

UNGPs	United Nations Guiding Principles on Business and Human Rights
UNGC	United Nations Global Compact
OHCHR	Office of the High Commissioner for Human Rights
IBLF	International Business Leaders Forum
BLIHR	Business Leaders Initiative on Human Rights
GBI	Global Business Initiative on Human Rights
BHRRC	Business & Human Rights Resource Centre
IFC	International Finance Corporation
DIHR	The Danish Institute for Human Rights
BSR	Business for Social Responsibility
GRI	Global Reporting Initiative
IHRB	Institute for Human Rights and Business
DGCN	German Global Compact Network
DIM	The German Institute for Human Rights

In recent years there have been important accomplishments in answering the unclarified questions regarding the responsibilities of business for human rights. Two very important milestones were achieved, the endorsement by the UN Human Rights Council of Professor John Ruggie's "Protect, Respect and Remedy" Framework in 2008 followed by the UN Guiding Principles (UNGPs) in 2011.

As it is stated in the UNGPs, the primary responsibility to uphold and enforce human rights rests with the States (responsibility to protect). On the other hand, businesses must also meet their corporate responsibility to respect human rights. In order to do so there is a necessity for clarity on how this can be achieved. For this purpose, many organizations working in the field of business and human rights have begun to assist companies by providing guidance in the form of tools and guides. This has resulted in a large variety of related materials published by many organizations very different in nature. It is possible to find guidance from national human rights institutions as well as business associations and even consultancies. The guidance itself is sometimes in the form of a traditional report, other times as an online tool, an interactive website and so on.

Companies interested in embedding human rights within their corporate structures may face difficulties in finding the instruments they need and in identifying which tools are suitable for the stage they plan to work on. Also, this task requires a substantial amount of time and effort that sometimes company managers lack. With this in mind, econsense presents this report which provides an overview of a selected collection of human rights due diligence instruments.

To facilitate the tool selection process, which a manager might have to carry out, this report seeks to guide readers through the existing tools and guidance materials by providing key information on each instrument. For the reader's convenience the online version of this publication provides direct links throughout the report to the different instruments just by clicking on them. It is important to note that not only is guidance material reviewed but real company experiences on implementing human rights are presented in the last section of the report.

The main objective of this report is to

- assist the business sector in human rights due diligence by providing an overview of current tools and guidance materials for this issue.

The report contains precise information on

- the main components of the corporate responsibility to respect human rights according to the Ruggie Framework,
- introductory materials on the human rights and business topic,
- what human rights due diligence is about,
- different tools and guides that may be used at the different stages of respecting human rights,
- the main differences between the human rights impact assessment tools, and
- the results of a questionnaire that was conducted during the development of this report.

Using tools and guidance may help to improve a company's position when it comes to having a human rights approach within their company.

In this report we have set out to help companies in moving forward in their approach to human rights. The path businesses may take in implementing human rights may vary and it is good for them to know what options are out there to go about this task. econsense will actively concern itself with business and human rights practice and continue to advance in the field together with its member companies and other stakeholders.

Part 1

Introduction – What's Happening with Business and Human Rights?

In order to manage their processes properly, businesses need guidance to better understand what is expected of them and how they can avoid the infringement of human rights. For this purpose a framework for business and human rights was successfully tabled by the UN Special Representative, Professor John Ruggie. In 2008 the *Protect, Respect and Remedy: A Framework for Business and Human Rights*[1] was unanimously endorsed by the UN Human Rights Council. The Framework clarified the respective roles of States and businesses, its three pillars being: 1) the State's duty to protect human rights, 2) the corporate responsibility to respect human rights and 3) access to remedy where human rights are violated. In the years following, the UN Guiding Principles on Business and Human Rights (UNGPs) were developed to put Ruggie's Framework into operation; these were unanimously endorsed in 2011. The *Protect, Respect and Remedy Framework* and its *Guiding Principles*[2] serve as a new basis for discussions, and are the first widely accepted answer to the previously unclarified questions of the responsibilities of businesses for human rights, as well as the level playing field accepted by almost all stakeholders. Business enterprises with a proactive approach towards human rights can lead to positive impacts for the business itself. Some examples provided by the UN Global Compact and the Office of the High Commissioner for Human Rights (2013) in their *Human Rights and Business Learning Tool*[3] are: improved stakeholder relations; improved employee recruitment, retention and motivation; improved risk assessment and management; reduced risk of consumer protests; enhanced corporate reputation and brand image; a more secure license to operate; strengthened shareholder confidence; and more sustainable business relationships with governments, business partners, trade unions, sub-contractors and suppliers.

The corporate responsibility to respect human rights is not an easy assignment to undertake. Seeing the common ground between a company's operations and human rights is not always straightforward. It takes time to understand the topic and how it is linked to business processes. Another challenge is getting everybody on board, as coordination between functions is necessary. With growing public attention on human rights impacts, many organizations have begun to develop tools and guidance materials for businesses in order to address this topic. This has led to an extensive selection of these materials, coming from very different providers. For business managers who seek guidance on this issue, it has become a difficult task to decide what to use and which organizations to trust. econsense, who actively seeks to advance the human rights topic among its member companies, will provide guidance by presenting an overview of available tools and materials related to realizing the corporate responsibility to respect human rights.

Aim

This report has been written for companies that wish to meet their responsibility to respect human rights in a very structured manner. More specifically, the aim of this publication is to assist the business sector in human rights due diligence through an overview of current tools and guidance materials in this matter. It has been written with the business manager in mind. The information is presented in a way that takes into account the busy schedule that managers are faced with on a daily basis. We want to get right to the point, which is why we focus on delivering precise guidance on what is available out there for companies.

Also, we wish to share some findings regarding the implementation of human rights due diligence and the use of the mentioned tools and guidance materials, so that businesses can learn from other businesses.

The key questions this report will answer are the following:

- What are tools and guidance materials that can be used at the different stages of human rights due diligence?[4]
- What are the selected tools and guidance materials about?

Methodology

This project commenced with a systematical online literature review.[5] Over 120 tools and resources on human rights due diligence were reviewed and categorized. These can be found in the annex of the report.
After the initial research was finalized, a draft list of tools and guidance materials was created. The tools were selected if they met all four of the following set of criteria:

- in accordance with the Ruggie Framework,
- from well-known organizations working in the field of business and human rights,
- frequently cited in related publications, and
- explicitly for business managers.

The next step included expert interviews with individuals affiliated to well-known organizations working in the field of business and human rights. The agreement to be interviewed does not equate with endorsement of the findings of this report. The main objective of these interviews was to share and discuss the draft list of tools and guidance materials. Additionally, we received insight in the efforts made by these organizations to promote the implementation of the UNGPs. The experts were interviewed either in person or by a telephone call. The following people participated at this stage (in alphabetical order):

[1] http://www.reports-and-materials.org/sites/default/files/reports-and-materials/Ruggie-report-7-Apr-2008.pdf
[2] http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf
[3] http://human-rights-and-business-learning-tool.unglobalcompact.org/site/
[4] econsense is not recommending the selected tools and guidance materials but has chosen this platform to showcase them.
[5] Due to time and budget constraints not ALL available tools and guidance materials were reviewed.

- Cathrine Bloch Poulsen-Hansen (The Danish Institute for Human Rights)
- Rachel Davis (Shift)
- Madeleine Koalick (twentyfifty Limited)
- Gwendolyn Remmert (Global Compact Network Germany)
- Margaret Wachenfeld (Institute for Human Rights and Business)

Lastly, in order to gather feedback from companies on their experiences, an online questionnaire was conducted. The sample was comprised of the econsense member companies as well as the companies from the German Global Compact Network. A total of 45 responses were received and after data cleansing 39 of them were analyzed.

Part 2

Basics on the Corporate Responsibility to Respect Human Rights

Companies have the responsibility to ensure that adverse human rights impacts are identified and addressed in their operations. To understand how this can be achieved, we take a look at the "Respect" pillar proposed by Ruggie. For companies to fulfill their responsibility to respect human rights there are three main components:

1. Expressing their commitment of embedding respect for human rights within their company through a **policy statement**
2. Carrying out **human rights due diligence** in order to identify, prevent, mitigate and account for potential human rights impacts. This includes processes for
   a. assessing impacts,
   b. integrating and acting upon the findings,
   c. tracking responses, and
   d. reporting performance
3. Providing **remediation** where business enterprises have been identified as having caused or contributed to adverse human rights impacts

As it is mentioned by Morrison and Vermijs (2011) "... central to company's meeting their responsibilities is the concept of human rights due diligence" (p. 7).[6] This central concept is going to be the focus of this report, including the main and supporting components of the process.

Getting Started

Before presenting the different tools and guidance materials intended for each of the Ruggie stages of respecting human rights, it is best to have a basic understanding on what exactly human rights mean to business. There are several instruments intended for this purpose and we would like to highlight a few fundamental ones for companies.

A good place to start is reading the *Guiding Principles on Business and Human Rights: Implementing the United Nations "Protect, Respect and Remedy" Framework* and to take a look at two supporting documents as well. These are:

- *The UN Guiding Principles on Business and Human Rights, An Introduction* by The UN Working Group on Business and Human Rights (2013). This short document summarizes the content of the UNGPs.[7]
- *The Corporate Responsibility to Respect Human Rights: An Interpretive Guide* by the OHCHR (2012).This guide provides an additional background explanation of the UNGPs to support a full understanding of their meaning and intent and for their effective implementation. This publication focuses on the corporate responsibility to respect human rights.[8]

For a better understanding of the human rights topic in a business context, consider reading *Human Rights Translated, A Business Reference Guide* published by Castan Centre for Human Rights Law, IBLF, OHCHR and UNGC (2008).[9] Through the use of short case studies and suggested actions, this publication illustrates how human rights are relevant in a corporate context and how human rights issues can be managed.

For further initial guidance take a look at the recently published *Respecting Human Rights: An Introductory Guide for Business* from the DGCN, twentyfifty Ltd., and DIM (2013).[10] The publication examines the human rights impacts of business activities, fundamental human rights principles and also the human rights that are particularly relevant in business context. There are case studies illustrating how business has addressed these rights in practice and the steps taken to fulfill their responsibilities.

You may want to visit the *Business and Human Rights Learning Tool* developed by the UNGC and OHCHR (2013). This online tool is a course of five modules designed to help managers in companies understand the importance and relevance of human rights and also integrate the Global Compact principles into everyday business. These web-based modules feature exercises and real practice examples.

If you seek more introductory materials, the "Getting started" portal created by the Business & Human Rights Resource Centre may be useful.[11] It provides an introduction to the field of business and human rights including: introductory reports, speeches, guides, introductory materials categorized by issue and a guide to their website.

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[6] http://www.ihrb.org/pdf/The_State_of_Play_of_Human_Rights_Due_Diligence.pdf

[7] http://www.ohchr.org/Documents/Issues/Business/Intro_Guiding_PrinciplesBusinessHR.pdf

[8] http://www.ohchr.org/Documents/Publications/HR.PUB.12.2_En.pdf

[9] http://www.unglobalcompact.org/docs/news_events/8.1/human_rights_translated.pdf

[10] http://www.globalcompact.de/sites/default/files/themen/publikation/respectinghumanrights_148x220_131029_download.pdf

[11] Business & Human Rights Resource Centre draws attention to human rights impacts (positive & negative) of over 5100 companies, operating in over 180 countries. They also provide guidance materials and examples of good practice.

Human Rights Due Diligence

According to the UNGPs, business enterprises should carry out human rights due diligence in order to identify, prevent, mitigate and account for how they address their human rights impacts. To do so Ruggie states that this process should include: assessing actual and potential impacts, integrating and acting upon the findings, tracking responses, and communicating how impacts are addressed.

Many management systems that a company may have can actually be linked with these due diligence steps, so it is important to analyze the current systems. The UNGPs do not require a stand-alone approach; integrating human rights into corporate processes is also a possibility. There is no standard way of conducting human rights due diligence; businesses are very diverse and they must decide what is best suited for them.

The Process of Respecting Human Rights

It is important to note that human rights due diligence is not a one-time thing but an on-going process. As it is mentioned in one of the Sector Guides of the European Commission, *Oil & Gas Sector Guide on Implementing the UN Guiding Principles on Business & Human Rights* (2013)[12] developed by Shift and the IHRB, "Human rights due diligence should start at the earliest pre-contract stages of a project's lifecycle and continue through operations, to the project's decommissioning and post-closure stages. It is about on-going processes, not one-off events such as an impact assessment at the start of a new project, or an annual report" (p. 14).

Human rights due diligence is not an isolated process, which is why we will feature tools and guidance materials that belong to due diligence in particular but also to the associated stages of the corporate responsibility to respect. Next, we present a diagram with an overview of the human rights due diligence process including two more steps, policy and grievance. In this way we can show the full picture of what the corporate responsibility to respect human rights is all about.

[12] http://www.ihrb.org/pdf/eu-sector-guidance/EC-Guides/O&G/EC-Guide_O&G.pdf

The tools and guidance materials are listed in alphabetical order and will be categorized with the following symbols:

- Specific information
- Written report or guidance
- Web-based tool
- Best practice compilation

An in Depth Look at the Tools & Guidance Materials [13]

In the section to come we zoom in on the tools and guidance materials that we have selected as relevant for each of the steps of respecting human rights. We will provide an overview of each resource with information such as: what it delivers, structure, approach and results.[14]

Following the Impact Assessment section, there is a comparison of the four tools that were selected to better understand the differences in approaches.

For specific ratings of these tools and guidance materials, which were given by the companies that answered the questionnaire, please refer to Part 3 of this report.

Policy

1 Company Policies

Business & Human Rights Resource Centre (2014)[15]

http://www.business-humanrights.org

What it delivers

The Business and Human Rights Resource Centre has a section dedicated to company policies. This database of current human rights policies from companies of different sectors and countries provides examples that may be useful when creating or updating your company's human rights policy.

Structure

In this section the BHRRC website contains
- running list of company human rights policy statements, and
- section on company policies on our UN Guiding Principles Portal.

In-depth areas:
- Guidance on human rights policies
- Commentaries on human rights policies

Approach

The running list provides direct links to policies that explicitly refer to human rights. More than half of the econsense member companies are mentioned.[16] The only distinction that is made among the policies listed is between company policies that refer to "The Universal Declaration of Human Rights" and ones that don't.

Below the running list, it is possible to access information about human rights policy linked to the UNGPs and there are links to tools and guidance as well as to examples of implementation and uses.

The section on guidance on human rights policies features five links to materials such as a *Letter from Mary Robinson to corporate CEOs regarding public commitments to human rights* (2009-2010) and the guide *How to Develop a Human Rights Policy* from the UNGC (2011) that we review next.

The other section on commentaries on human rights policies includes a list of publications from different organizations, such as the Global Business Initiative on Human Rights and Business for Social Responsibility. For example, you can find a link to a one-page commentary document written by a director of the Global Business Initiative on Human Rights, Kathryn Dovey, called *Building a strong human rights policy from within* (2010).[17]

More information:
http://www.business-humanrights.org/ToolsGuidancePortal/Policies

2 How to Develop a Human Rights Policy

UNGC & OHCHR (2011), 26p

http://www.unglobalcompact.org
www.ohchr.org

What it delivers

This guide developed by the United Nations Global Compact is intended to assist businesses in the development and implementation of a human rights policy. It seeks to outline why companies should respect human rights, the principal reasons for adopting a human rights policy, its key ingredients and a best-practice process for developing one.

Structure

- What is a Human Rights Policy?
- Why Respect Human Rights?
- Why Develop a Human Rights Policy?
- Getting Started
- What are the Key Ingredients of a Good Human Rights Policy?
- Next Steps – Path to Implementation

Approach

The first topic addresses what a human rights policy actually is. Then, the following section examines the reasons why companies should respect human rights. Next, some motives are reviewed on why companies should develop a human rights policy, including the following: to provide a basis for embedding the responsibility to respect through all business functions, to respond to relevant stakeholder expectations, to identify policy gaps and initiate a process that alerts the company to new areas of human rights risk.

[13] All descriptions are based on the information contained in the guides and tools themselves.

[14] Please note that not all of these elements are provided for each resource.

[15] The years displayed throughout the tools and guides pertain to the year of publication or of last update.

[16] ALSTOM, BASF, Bayer, BMW Group, Coca-Cola, Daimler, Danone, Deutsche Bahn, Deutsche Post DHL, Deutsche Telekom, DuPont, E.ON, KPMG, Linde Group, PricewaterhouseCoopers, SAP, and Siemens. (April 2014)

[17] http://www.reports-and-materials.org/Kathryn-Dovey-commentary.pdf

The getting started section includes insight and recommendations for developing a policy. There are six key steps proposed; the precise order can vary and the steps may overlap as well.

Source: own representation on the basis of UNGC, OHCHR. (2011). *How to Develop a Human Rights Policy*. Retrieved from the United Nations Global Compact website: http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/HR_Policy_Guide.pdf

There is a list that suggests the minimum elements that a policy should have. According to *How to Develop a Human Rights Policy* (2011):

All policies – whether stand-alone or integrated – should at a minimum comprise:

- An explicit commitment to respect all human rights which refers to international human rights standards, including the Universal Declaration of Human Rights.
- Provisions on labour/workplace rights.
- Provisions on non-labour rights. These will reflect human rights priorities and are likely to be particular to the company's industry/areas of operations. (p. 14).

Also, several examples of corporate policy statements are featured and a list is given of the key human rights related areas regularly covered in human rights policy documentation.

At the end there is a focus on implementation that covers the human rights due diligence steps that a company should follow in order to respect human rights. It is stressed that implementation is crucial and that a human rights policy should be more than just a piece of paper – companies should act in ways that are consistent with their policy.

There is a highlighted section towards the end dedicated to small- and medium-sized enterprises.

Impact Assessment

1 Conducting an Effective Human Rights Impact Assessment

BSR (2013), 30p

http://www.bsr.org

What it delivers

The report outlines BSR's recommended approach to human rights impact assessments (HRIAs) containing guidelines, key process steps, examples and lessons BSR has learned in conducting human rights impact assessments in various industries, including information and communications technology, energy and extractives, health care, agriculture, and media. The publication has four key components: guidelines, real company examples, human rights impact assessment levels and steps. It is mentioned that their HRIA approach is a framework that should be carefully tailored to a company's unique risk profile and operating context; it is not intended as an off-the-shelf tool or checklist.

Structure

- Introduction
- Guidelines
- HRIA levels
- Steps

Approach

The report commences by explaining what an HRIA is and why companies should conduct one. Then, each of the guidelines that they have developed is explained, incorporating in-practice examples. For the last two years BSR has been working with companies on HRIAs that align with the UNGPs. Based on this experience, BSR proposes eight guidelines to keep in mind when conducting an HRIA:

1. Customization: Develop a customized approach based on existing company practices, strategies, risk profile, language and culture.
2. Integration: For an optimization of resources and embedding human rights into business operations, integration of HRIAs into other company processes and systems is critical.
3. Ownership: Human rights due diligence is an ongoing process and human rights risks may change in time. For this it is advisable for companies to take ownership of the HRIA process. To build this ownership BSR mentions three elements: early and cross-functional engagement, executive support and capacity building.
4. Focus: Effective and efficient HRIAs begin with a comprehensive view of all human rights but should quickly focus on the most relevant issues.
5. Risks and opportunities: As HRIAs may uncover impacts

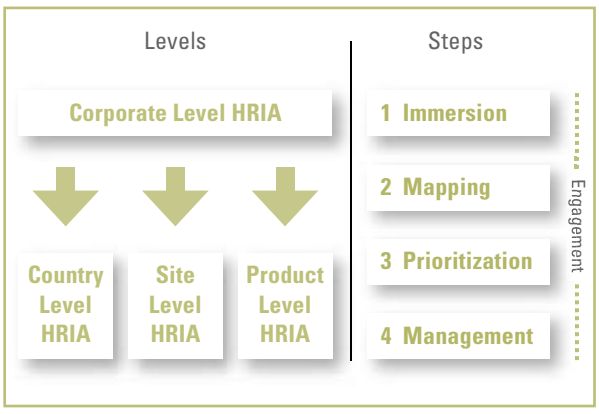
and risks, they can also identify opportunities to advance human rights protections.

6. Meaningful Engagement: Key elements to building meaningful engagement with rights holders and other stakeholders includes mapping the landscape, taking into account the local and cultural context, having a participatory process, giving stakeholders a chance to share their views, and following up and communicating.
7. Transparency: Being transparent about the company's human rights performance and communicating about the HRIA process can help to build trust with stakeholders.
8. Strategic alignment: Not just focusing on company's existing operations but taking into account where the company is headed makes an HRIA more effective.

The next section is about the four human rights impact assessment levels that they have identified: corporate, country, site and product. The corporate level includes all of the company's operations and functions. Then, based on the scope of their impacts, companies can choose further assessment levels, so each company decides which countries, sites or products to assess in more depth. They recommend that companies should start with a corporate-level HRIA and then identify whether to perform a specific HRIA.

In the following segment BSR proposes a step-by-step process:

1. Immersion: Immersing in the company context and in human rights in order to understand the general business and human rights context.
2. Mapping: Identifying the most relevant human rights issues for the company; BSR has developed a mapping tool.
3. Prioritization: Determining the order in which the identified issues should be addressed.
4. Management: Building an approach to addressing impacts, managing risks, and strengthening the company's human rights strategy, policies, processes, communications and stakeholder engagement.



Source: own representation on the basis of BSR. (2013). *Conducting an Effective Human Rights Impact Assessment.* Retrieved from: http://www.bsr.org/reports/BSR_Human_Rights_Impact_Assessments.pdf

2 Guide to Human Rights Impact Assessment and Management

IBLF, IFC, & UNGC (2010)

www.iblf.org
www.ifc.org
http://www.unglobalcompact.org

What it delivers

This guide is presented in two different formats, as an interactive webpage and a PDF version. According to its publishers the guide can assist companies as a risk-management tool, an engagement tool and a decision-making tool. It provides guidance on how to identify potential and/or existing human rights risks, assess potential and/or existing human rights impacts, and integrate findings from the assessment into the company's management system.

The *Guide to Human Rights Impact Assessment and Management* (HRIAM) offers general guidance to companies of any size, industry sector, country of origin and/or type of activity. It is recommended that the *Guide to HRIAM* be used ideally at the beginning stages of the planned business development or alongside other due diligence activities, before committing financial investment.

Structure

- About the Guide to HRIAM
- What are human rights?
- Guide to HRIAM

Approach

The *Guide to HRIAM* includes a seven stage framework. Each of the steps include relevant topics for that stage, examples are given below. Companies may decide to enter the *Guide to HRIAM* process at different stages.

1. Preparation (the challenges, opportunities, triggers for conducting an HRIA, among others)
2. Identification (business relationships, contractors, suppliers, among others)
3. Engagement (stakeholder analysis, engaging with employees and workers, engaging with vulnerable groups, among others)
4. Assessment (establishing the framework of the assessment, defining the scope of the assessment, among others)
5. Mitigation (developing appropriate improvement action plans and presenting the action plans and recommendations to management)
6. Management (integrating human rights within a management system, integrating human rights within company functions, developing a workplace culture that considers human rights, among others)
7. Evaluation (evaluating a company's human rights impacts, reporting back to affected stakeholders and review the evaluation)

Source: own representation on the basis of IBLF, IFC, UNGC. (2010). *Guide to Human Rights Impact Assessment and Management.* Retrieved from: www.ifc.org/hriam

The *Guide to HRIAM* also includes practical tools and tables to complement the process:

- Human Rights Impact Mitigation and Management Tool: Helps companies draft an action plan for addressing impacts, based on their own human rights impact assessment and capacity. It is presented in a table format and you can find some generic examples for guidance.
- Human Rights Impact Assessment Tool: This tool should be used during the mitigation and management stages of the Guide to HRIAM and also during the completion of the above mentioned tool. It is also in a table format and it requires the following information: human rights/articles/definition, source of the risks and impacts, affected stakeholders and stage of the project's lifecycle.
- Human Rights Impact Assessment and Management Table: Provides information on the relation between human rights articles, examples of business risks and impacts/business opportunities, and the relevant paragraphs from IFC Policy and Performance Standards on Environmental and Social Sustainability.
- The Guide to HRIAM Scenarios: Created to provide relevant context, these present a range of human rights allegations against a fictional company. There are scenarios for twelve industry sectors. Through interactive exercises their aim is to stimulate thinking on potential and existing human rights challenges faced by companies and help companies assess their capacity to address such challenges.

3 Human Rights Compliance Assessment

DIHR (2010)

http://www.humanrights.dk

What it delivers

The *Human Rights Compliance Assessment (HRCA)* is an assessment tool developed by the Danish Institute for Human Rights to help companies assess their level of compliance with international human rights standards. The *HRCA* is in a language for companies and structured to speak to different business functions. It is an online tool consisting of questions and indicators. Full access of the tool is available for a fee; however, there is free access to a condensed version called the *Quick Check*.

Structure

The tool is a web application that contains a database of questions and specialized checklists. Each question has from one to eight indicators, which deal with company policies, procedures and performance.

Approach

The development of the tool included direct engagement with the business community and NGOs over a six-year process. It was launched in 2005 and fully updated in 2010. The tool today consists of a database of around 200 questions and approximately 1000 indicators, incorporating all internationally recognized human rights and dealing with the impact on all stakeholders. These are continuously updated, incorporating feedback from company users and developments in international human rights.

You can build your own tailored checklists according to the company's size, activities and countries of operation. It is possible to create different users within the company and assign them questions.

The following customized checklists are available:

- The Dalit Discrimination Check
- The Company Housing HRCA
- Human Rights Assessment tool for Pharmaceutical Companies
- Extractives Sector Checklist
- The South Africa HRCA, The Balkan Quick Check, and The China Business and Social Sustainability Check (not in the database but can be found online)

Complementing this tool is the *Human Rights and Business Country Guide* made up of guides containing country specific information and due diligence recommendations based on the HRCA on human right issues.[18] The condensed version, the *Quick Check*, includes approximately 10% of the questions from the full version. It touches some of the most essential human rights issues that businesses are faced with. This short version offers guidance by pointing out areas in need of immediate action. It may be used as a starting point and serve as an introduction to human rights compliance assessments.

Result

After completing the questions a report is generated where the areas of compliance and non-compliance are summarized. The answers are displayed with a traffic light system: Red light means non-compliance, yellow light means partial compliance, green light is in compliance and there is also an incomplete option. There are suggestions given and numeric scores that assist companies in tracking their performance from year to year.

More information:
https://hrca2.humanrightsbusiness.org/Page-HumanRightsComplianceAssessment-35.aspx

4 Human Rights Impact Assessment Toolkit

Nomogaia (2012)

http://nomogaia.org

What it delivers

The *Human Rights Impact Assessment Toolkit,* developed by Nomogaia, presents a format for human rights impact assessment in order to systematically identify, predict and respond to the potential human rights impacts of a business operation, capital project, government policy or trade agreement. This free tool is designed to complement other impact assessments and due diligence processes and it is framed by international human rights standards.

Structure

The toolkit contains a PDF that explains everything you need to know about the tool, a Word document that is a guided template and an Excel document that is the catalog template. There are video tutorials available for guidance.

Approach

The methodology proposed consists of four phases:

Source: own representation on the basis of Nomogaia. (2012). *Human Rights Impact Assessment: A toolkit for practitioners conducting corporate HRIAs* (p. 7). Retrieved from: http://nomogaia.org/tools/

The first phase is desktop-based for gathering brief information on the project's fundamentals and general outlines of the context. The idea is to complete the information needed in the different tables that are available.

First, there is a local overview with categories such as project location, type, strength of local government, infrastructure, climate, landscape, major crops, seasons, population, local economy, employment, among others. Then, there is a national overview that includes information such as type of government, basics of legal structure, duration of administration, corruption, presence of military/police and history of conflict, education levels and literacy, etc. The next overview is on the specific project and some things to include would be labor rules, relevant affiliations, employment/workforce size and literature produced by/for project.

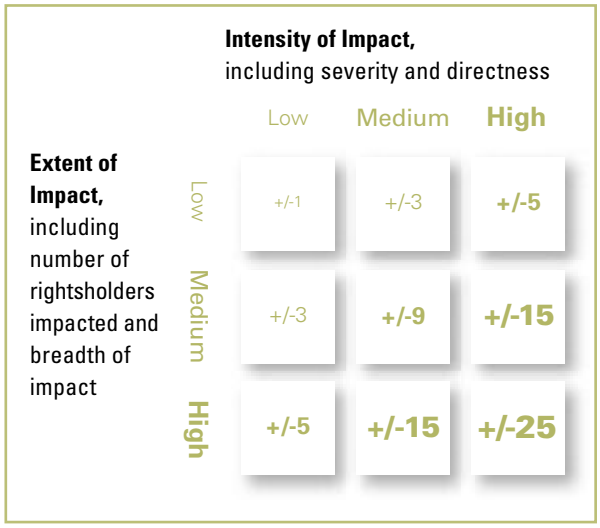
The second phase consists of the preparation of topic catalogs, for which they provide an Excel worksheet to fill out. The human rights issues are divided into six categories and their related topics and subtopics. The six broad categories are Labor, Health, Education, Economy, Political/Legal, and Social/Economic. Each subtopic is associated with the rights most likely to be impacted, the rights holders most likely to feel effects and an "impact score".

[18] Please refer to p. 23 of the report for a direct link to the Human Rights and Business Country Guide homepage.

Here is the information incorporated in the catalog:

- Category
- Topic
- Subtopic
- Input
- Source
- Impacted Rights
- Impacted Rightsholders
- Score

The matrix below is used to calculate the score; these scores then generate ratings.



Source: own representation on the basis of Nomogaia. (2012). *Human Rights Impact Assessment: A toolkit for practitioners conducting corporate HRIAs* (p. 18). Retrieved from: http://nomogaia.org/tools/

Phase three is for examining and verifying the human rights ratings. When a score is entered then a software program develops a color-coded rating for each human right. It is recommended to consult rights holders to verify the ratings, since they are valuable experts on their own human rights. Also, company feedback during this assessment is important since processes and information are constantly updated, and government feedback can also be useful.

Results

The last phase is implementation and monitoring. In the final report there are recommendations for improvements available. Monitoring is considered a necessary component of the assessment and it is important to follow up on the issues as the project develops.

Comparing the Human Rights Impact Assessment Tools and Guidance Materials

This section was developed to summarize some of the main differences that exist between the approaches to impact assessment from the tools we just presented. This may be valuable for readers that face the task of selecting which tool/s to use. The following information is provided: a brief description of the tools, who the publisher is, the cost, overall approach, whether stakeholder engagement is included in the process and opinions from other sources.

1 Conducting an Effective Human Rights Impact Assessment – BSR (2013)

A guide written for company managers presenting a framework consisting of eight guidelines that illustrates BSR's experience with HRIAs.

- BSR – The Business of a Better World: Global network of more than 250 member companies
- Cost: Free
- Approach: Descriptive guidelines
- Stakeholder engagement: Included

2 Guide to Human Rights Impact Assessment and Management – IBLF, IFC &UNGC (2010)

A method for assessing human rights impacts through a seven stage process with the help of tables and exercises.

- IBLF, IFC, & UNGC: A global members' organization of multinational companies, an international financial institution and a corporate responsibility initiative of more than 250 member companies
- Cost: Free
- Approach: Descriptive guidelines complemented with analytical instruments
- Stakeholder engagement: Included

Opinions:

- Roling and Koenen (2010): "The guide is very much focused on processes, acknowledging that the specific issues and needs vary according to context" (p.12).[19]
- Hamm and Scheper (2012): "The Guide avoids quantitative requirements or checklists. Instead, it describes necessary steps and underlines that a company must develop its own key performance indicators ..." (p. 30).[20]

[19] http://www.reports-and-materials.org/sites/default/files/reports-and-materials/Impact-assessments-CSR-Europe-June-2010.pdf

[20] http://www.humanrights-business.org/files/hria_english_final_1.pdf

3 Human Rights Compliance Assessment – DIHR (2010)

An online multiple choice questionnaire to help companies in identifying their impacts on human rights.

- DIHR: National Human Rights Institution
- Cost: Full version for a fee and condensed version (Quick Check) free
- Approach: Analytical instrument (checklists)
- Stakeholder engagement: Not included

Opinions:

> Roling and Koenen (2010): "The most comprehensive available tool for companies to check their human rights performance ..." (p. 10).

> Hamm and Scheper (2012): "The instrument is thus more oriented to a high degree of standardisation and easy use by managements with no great familiarity with human rights ..." (p. 26).

▶ Lenzen and d'Engelbronner (2009): "The tool gives structure to human rights issues and clarity on which actions are needed, making it helpful in monitoring and certification processes. The HRCA can be combined with other HRIA tools as it creates a practical component for the HRIA process" (p. 22).[21]

> Hamm and Scheper (2012) on the Quick Check: "The findings have at most an indicative character, but can certainly be useful in setting priorities in companies" (p. 25).

4 Human Rights Impact Assessment Toolkit – Nomogaia (2012)

A four-stage process including the necessary tools to see it through.

- Nomogaia: A non-profit research and policy organization
- Cost: Free
- Approach: Descriptive guidelines complemented with analytical instruments
- Stakeholder engagement: Included

Opinions:

> Hamm and Scheper (2012): "The HRIA is designed to help identify both positive and negative aspects of the impact on human rights in a project-specific and context-based way, to develop options for remedies in the case of problems, and to enhance positive effects on human rights" (p. 55).

[21] http://www.humanrightsimpact.org/fileadmin/hria_resources/Business_centre/HRB_Booklet_2009.pdf

Real Practice Examples of Human Rights Impact Assessment

- *Talking the Human Rights Walk: Nestlé's Experience Assessing Human Rights Impacts in its Business Activities,* DIHR and Nestlé (2013).

  Nestlé and the DIHR worked together to assess and address Nestlé's actual and potential impacts in seven country operations. The paper describes the steps taken by Nestlé to meet its responsibility to respect through the assessment of its human rights impacts. They present the methodology that was applied to the overall HRIA process, the aggregated HRIAs findings, the actions taken by Nestlé at the country and corporate levels to address them and a number of lessons learned throughout this process.

More information:
http://www.nestle.com/asset-library/documents/library/documents/corporate_social_responsibility/nestle-hria-white-paper.pdf

- *Assessing Human Rights Impacts: Kenya Pilot Project Report November 2012,* Kuoni, twentyfifty Ltd. and Tourism Concern (2012).

  This is a summary report of the human rights impact assessment realized by Kuoni, a tourism company with operations in more than 50 countries. The pilot country selected for the project was Kenya. With the support of management consultancy twentyfifty Ltd., the NGO Tourism Concern and input from other key stakeholders, an approach to assessing human rights impacts in a tourism destination was developed and implemented. The report shares the impact assessment process, a summary of findings and outputs, lessons learned and ways forward.

More information:
http://www.kuoni.com/docs/assessing_human_rights_impacts_0.pdf

Country Risks

For information on country contexts regarding human rights, there are several paid and unpaid providers. Below we list three important publicly available sources.

- Amnesty International, *Human Rights by Country*
- Danish Institute for Human Rights, *The Human Rights and Business Country Guide*
- Human Rights Watch, *Country Reports*

More information:
http://www.amnesty.org./en/human-rights
http://hrbcountryguide.org/
http://www.hrw.org/browse_by_country

Integration

1 A Guide for Integrating Human Rights into Business Management – 2nd Edition

BLIHR, UNGC & OHCHR (2009)

www.blihr.org
www.unglobalcompact.org
www.ohchr.org

What it delivers

This guide is an online tool that was developed by the Business Leaders Initiative on Human Rights, the UN Global Compact and the Office of the High Commissioner for Human Rights. The aim of the guide is to offer practical guidance to companies that seek to take a proactive approach to human rights within their business operations. This online guide is intended to help in embedding and operationalizing human rights within companies.

This guide supports business leaders and managers in understanding human rights in business practice and it is written by businesses for businesses. It delivers a step-by-step approach with concepts, tools, advice, case studies and recommendations oriented towards the integration of human rights within a company. Hamm and Scheper (2012) stated that "the instrument is thus chiefly meant as a practical aid for companies to familiarize themselves with a human rights perspective" (p.27).

Structure

There are headings laid out horizontally with the website's core sections. Each section contains concepts, supporting tools, advice, case studies and references. When clicking on a heading you will be able to see an overview of the topic, a list of steps, key messages and benefits. The different sections are as follows:

- About
- Global Business Case
- Strategy
- Policies
- Processes & Procedures
- Capacity & Capability
- Tracking Performance

Approach

The methodology is a step-by-step approach to human rights within business strategy, policy, processes and procedures. The idea is to facilitate the incorporation of human rights into management systems and decision-making processes and not to provide new management systems.

The topics related to the integration of human rights in business have been divided into six sections that resonate with how companies operate. The core sections provided by the guide are:

- Global Business Case: An outline of the business case for companies to respect internationally recognized human rights, within their sphere of influence, by providing key trends in the business world.
- Strategy: Development of a company's strategic response to human rights beginning with a review of existing core business strategies using a "rights-aware" lens and then going through tools, guidance and case studies for developing a human rights strategy.
- Policies: Development of a human rights policy or adapting existing policies.
- Processes & Procedures: The implementation of the commitment to human rights is at the core of the guide along with the integration of human rights considerations into existing processes and the development and adoption of new practices.
- Capacity & Capability: Development of the capacity and capability to identify and respond effectively to human rights risks and opportunities.
- Tracking Performance: Guidance on how a company and its stakeholders can track its performance with regard to human rights, including case studies and reviews of report structures.

This guide may be used with complementary resources: The Human Rights Matrix (currently under review) and the Human Rights Accountability Guide.[22]

More information:
http://www.integrating-humanrights.org/home

2 Organisational Capacity Assessment Instrument (OCAI)

twentyfifty Ltd. & DGCN (2012)

www.twentyfifty.co.uk
www.globalcompact.de

What it delivers

The *OCAI* is a web-based tool that aims to help assess and improve the capacity to manage human rights impacts within a company. The management consultancy twentyfifty Ltd. in cooperation with the DGCN developed this online tool that was launched in 2011 and revised in 2012. They remark that the tool is intended for raising awareness about the company's current position, to identify consistencies and discrepancies across the company, and to define a vision on how to move forward.

The format of the *OCAI* is a self-assessment questionnaire containing 22 questions along the elements of the UNGPs' corporate responsibility to respect human rights. According to its developers, using this tool can help to gain insight into your company's management performance and also in creating an action frame for the implementation of the United Nations Global Compact's first two principles.

[22] http://www.humanrights-matrix.net/
http://www.humanrights-matrix.net/assets/Accountability_Guide_2008.pdf

Structure

The *OCAI* available in German, English and Spanish and also a PDF version in Russian, more translations (e.g. Chinese, Portuguese and Arabic) will follow. On the main page of the tool there is an overview of what it consists of and what you receive after completing the assessment. There are three background sections:

- FAQs – How to use this tool
- Background – Human Rights and Business
- How the OCAI has been developed

At the bottom of the page you can find the tab for starting the assessment. Once you have clicked, you will begin the questionnaire and at the end you will have the possibility to download a summary of your results.

Approach

Before beginning the assessment it is important to note that it can be applied to the entire company or a smaller unit like a subsidiary, site, business unit or business partner. According to the developers, the companies that road-tested it found that the greatest value comes from undergoing the assessment within a dialogue process and not just as a ticking the box exercise. For example, completing the questionnaire can be done through an interactive workshop including representatives from the different business functions.

The questions are grouped by the main topics of the corporate responsibility to respect human rights from the UN Guiding Principles. There are five categories of questions: statement of policy, assessing actual and potential human rights impacts, integration of respect for human rights, tracking and communicating performance and grievance mechanisms. In each topic you can find background information containing the corresponding principle from the UNGPs, an explanation of the topic and a link to related resources.

In each question you must evaluate where your company currently stands choosing from a range of answers that go from "Non-Responsive" to "Human Rights Promoter".

Level 1 – Non-responsive
Level 2 – Reactive
Level 3 – Efficient Management
Level 4 – Proactive Experimentation
Level 5 – Strategic Integration
Level 6 – Human Rights Promoter

Source: own representation on the basis of twentyfifty Ltd. & DGCN. (2012). *Organisational Capacity Assessment Instrument (OCAI).* Retrieved from: http://www.globalcompact.de/tools/ocai

There are brief descriptions provided for each level. Below the questions you can indicate the level that you aspire to. Here is an exemple:

What is covered by your statement of policy? Which areas and stakeholder groups are addressed?

Level 1	No human rights matters addressed by a statement of policy.
Level 2	Company-wide business principles and / or code of ethics include a general statement on the human rights responsibilities of the company and refer to some human rights-related issues such as labour rights of employees.
Level 3	Statement of policy recognises that company can have an impact on all internationally recognised human rights and gives guidance on those human rights issues the company will most likely have an impact on. Refers at a minimum to International Bill of Human Rights and ILO Core Labour Standards. Clearly stipulates the human rights expectations of personnel, business partners and other parties directly linked to the company's operations, products or services.
Level 4	Statement of policy clearly identifies specific areas of its operation or locations that require particular attention and gives further guidance. Includes info on how company assesses and manages its potential and actual human rights impacts and clearly defines responsibilities and monitoring actions.
Level 5	Statement of policy outlines human rights due diligence processes and incorporates information on how the company intends to work with business partners and communities to understand and manage its human rights impacts and build capacity to realise corporate sustainability goals. Operational policies, procedures and guidelines throughout the company (have been revised to) reflect the human rights policy statement.
Level 6	Policy scope includes working with a wider range of stakeholders to create a human rights respecting society.

Source: own representation on the basis of twentyfifty Ltd. & DGCN. (2012). *Organisational Capacity Assessment Instrument (OCAI).* Retrieved from: http://www.globalcompact.de/tools/ocai

Throughout the tool, definitions for the most important terms (e.g. human rights due diligence, impact etc.) are provided.

Results

After finalizing the questionnaire you may generate a report that provides a summary of your results and some recommendations on how to move forward. With this you may have a better understanding of where your company is and where it aims to be. You can use this document internally, for example for raising awareness on the topic.

Real Practice Examples of Company Experiences

Due to the small number of tools on integration, a possible approach is to learn from other companies and how they have implemented human rights. For this we present the following resources:

- *Business Voice Series,* GBI (2010)

  This project focuses on sharing experiences on the implementation of human rights in business. This is done through a series of interviews with business leaders all over the world. The website currently provides ten cases that include the podcast interviews and transcripts. The companies featured are Cerrejón, BASF, Novo Nordisk, A.P. Moller Maersk, General Electric Company, The Coca-Cola Company, Total S.A. and ABB.

More information:
http://www.global-business-initiative.org/work/business-voice/

- *Embedding Human Rights in Business Practice,* UNGC and OHCHR (2013)

  A series of case studies that explore the practical implementation of the Global Compact's human rights principles, providing detailed examples from a diverse range of industries. There are four volumes of the series (2004, 2007, 2009 and 2013) including more than forty case studies in total, making it possible to see the evolution of approaches. In each case you find a list of the human rights issues addressed, the human rights management practices addressed, and the standards, tools and initiatives mentioned. Since the last volume is the only one after the UN Guiding Principles, it also includes the relevant guiding principles that apply to each case.

More information:
http://www.unglobalcompact.org/resources?utf8=%E2%9C%93&resource_search%5Bkeyword%5D=embedding+human+rights+in+business+practice&commit=Search

Tracking & Reporting

1 A Resource Guide to Corporate Human Rights Reporting

Realizing rights, UNGC & GRI (2009), 26p

www.realizingrights.org
www.unglobalcompact.org
https://www.globalreporting.org

What it delivers

This guide aims to deliver detailed information on human rights reporting, including examples and recommendations that will support further understanding of this topic. It has been written for companies that do not have extensive human rights reporting experience and need help in beginning a process of identifying human rights-relevant issues within their company and translating these into meaningful and effective reporting.

Structure

- Introduction
- Section 1: The Business and Human Rights Debate
- Section 2: Human Rights Reporting – Key Issues and Challenges
- Section 3: Guidance on Human Rights Reporting
- Conclusion

Approach

Section one discusses the connection between business and human rights, including information on the internationally recognized human rights standards.

The following section begins by addressing the scope of human rights reporting. They state that there are two basic factors to consider in determining the scope:

- Rights that are typically relevant to a company and business sector
- Stakeholders who are affected by the company's activities

They discuss that stakeholders are not only interested in the reporting of a company's direct impacts but on their indirect impacts as well, which poses as a challenge for companies. Some of the challenges in capturing performance of human rights in a business context are reviewed.

A Resource Guide to Corporate Human Rights Reporting (2009) states that there are three general types of performance indicators:

1. Indicators of the extent of implementation of processes within a company – A demonstration how widely an organization has applied processes and procedures.
2. Indicators of incidents – A reflection of the frequency with which the activities of a company result in a problem or abuse of rights, these indicators have the benefit of providing a pattern over time.

3. Indicators of results or other dimensions of human rights performance – Generally related to changes in the quality of life of stakeholder groups in areas of relevance to human rights that can be measured in terms of outputs (e.g., number of children receiving schooling) or outcomes (e.g., diversity of senior management/board members). (p.10-11)

The last section provides practical aspects of the issues covered in section two. There is guidance on choosing a reporting focus and some tips on what a successful disclosure of affected stakeholders and identified rights looks like. Next, they discuss the stakeholders that should be chosen to report on and a list of questions to help identify these groups is included.

In terms of the prioritization of rights for the purpose of reporting, they include a list of questions that may help determine which human rights are the most relevant. There is a segment on addressing complicity in human rights abuses, mentioned as a challenge in section two, that gives some recommendations on what to provide report readers on this topic.

There is guidance on the disclosure of human rights due diligence, the key components being company- or group-level assessment of potential human rights impacts, human rights policies, integration and tracking performance. They explain why this information is important and why stakeholders want to know and give suggestions for disclosing information on this topic.

In the appendix you can find a further reading section with selected tools and resources on business and human rights, some of which are particularly relevant for reporting on human rights.

More information:
https://www.globalreporting.org/resourcelibrary/A-Resource-Guide-to-Corporate-Human-Rights-Reporting.pdf

2 G4 Sustainability Reporting Guidelines

GRI (2013), 94p/266p

https://www.globalreporting.org

What it delivers

The *G4 Guidelines* offer guidance for the preparation of sustainability reports by organizations, regardless of their size, sector or location. Developing these sustainability reports can help organizations to set goals, measure performance and manage change. As it is stated by the Global Reporting Initiative (2013), the aim of G4 is "to help reporters prepare sustainability reports that matter, contain valuable information about the organization's most critical sustainability-related issues, and make such sustainability reporting standard practice".

The latest reporting framework developed by the GRI proposes a strong focus of reporting on topics that are material to the business and its stakeholders; topics that reflect the organization's significant economic, environmental and social impacts; or topics that substantively influence the assessments and decisions of stakeholders. Their intention is for sustainability reports to be centered on matters that are really critical in order to achieve the organization's goals and manage its impacts on society. It is important to note that the G4 Guidelines were developed through a global multi-stakeholder process and in alignment with internationally recognized reporting related documents.

Structure

On the GRI website there is a brief introduction to G4 and a presentation on its main features.[23] The *G4 Guidelines* contain two parts:

- Reporting Principles and Standard Disclosures
- Implementation Manual

There are ten translations of the *G4 Guidelines*, including a German one, and ten *G4 Sector Disclosures* presenting sector specific content. There is also a new online tool that presents the content of the *G4 Guidelines* in an easy-to-navigate format.

Approach

In the in depth look at the G4 we will focus on the human rights content. The sub-category on human rights is in the Specific Standard Disclosures, within the social category.

This sub-category covers the extent to which processes have been implemented, incidents of human rights violations, and changes in stakeholders' ability to enjoy and exercise their human rights. Some of the human rights issues that are included are non-discrimination, gender equality, freedom of association, collective bargaining, child labour, forced or compulsory labour, and indigenous rights.

The *G4 Guidelines* state that in assessing which human rights are relevant for reporting, the organization should consider all human rights. Not all human rights related issues are exclusive to this sub-category; many aspects that provide insight into human rights performance and impacts can be found in other sub-categories.

In the Implementation Manual there is guidance available on how to prepare the information to be disclosed and how to interpret various concepts of the *G4 Guidelines*. In the human rights sub-category there is an introduction, linkages with the OECD Guidelines for Multinational Enterprises, United Nations Global Compact "Ten Principles" and further resources are provided. Then each of the topics included, for example child labour, contain an overview, specific guidance and information on the indicators.[24]

[23] https://www.globalreporting.org/resourcelibrary/GRI-An-introduction-to-G4.pdf
https://www.globalreporting.org/resourcelibrary/main-features-of-g4.pdf

[24] GRI. (2013). *G4 Sustainability Reporting Guidelines: Implementation Manual* (p. 173-197).

Guidance on Indicators:

Human Rights Indicators: A Guide to Measurement and Implementation, OHCHR (2012)

This 188-page guide focuses on human rights indicators. Created by the Office of the High Commissioner for Human Rights it seeks to help in the development of quantitative and qualitative indicators for measuring progress in the implementation of international human rights norms and principles. The guide presents a framework for human rights indicators that is recommended by different human rights mechanisms and also used by various actors. There are concrete examples of indicators, practical tools and illustrations.

More information:
http://www.ohchr.org/Documents/Publications/Human_rights_indicators_en.pdf

Understanding Similarities between Reporting Frameworks:

Making the Connection: Using the GRI G4 Guidelines to Communicate Progress on the UN Global Compact Principles, UNGC & GRI (2014)

Participants of the UN Global Compact are required to communicate annually on their progress in implementing the Global Compact principles. This is achieved through the preparation of a Communication of Progress (COP). This publication aims to assist companies in using the *GRI G4 Guidelines* as the reporting language in preparing their COP. Complementary goals can be accomplished as companies can guide their sustainability strategy and actions using the Global Compact Principles and then using G4 to communicate their progress to stakeholders.

More information:
http://www.unglobalcompact.org/docs/communication_on_progress/Tools_and_Publications/Making_the_Connection_G4.pdf

Initiatives to Observe:

Measuring Business & Human Rights, Ann-Sofie Cloots (Cambridge Univ.), Charline Daelman (KU Leuven), Damiano de Felice (LSE) and Irene Pietropaoli (Middlesex Univ.)

This is a research project which aims to advance the capacity of all corporate stakeholders to measure the degree to which companies meet their responsibility to respect human rights. According to the developers the production of valid and reliable measurement tools of corporate behavior is something that can be useful for companies that want to track their progress in the implementation of the UNGPs, among other benefits.

More information:
http://www.business-humanrights.org/Documents/Measuring_Business_and_Human_Rights

Human Rights Reporting and Assurance Frameworks Initiative (RAFI), Shift and Mazars

This is a consultative initiative to develop public reporting and assurance frameworks based on the UNGPs. The frameworks are intended to be relevant to, and viable for, all companies and auditors/assurance providers in any region. As stated by its creators this initiative aims to answer the question as to what good reporting on company alignment with the UNGPs, and good assurance of such reports, should involve.

More information:
http://shiftproject.org/project/human-rights-reporting-and-assurance-frameworks-initiative-rafi

Grievance

1 Management of Complaints Assessment (MOC-A)

CSR Europe (2013)

www.csreurope.org

What it delivers

Based on the UNGPs the *MOC-A* tool is designed to help companies to assess their processes for dealing with complaints coming either from the workforce or affected communities. With this tool companies can see how effective their grievance mechanisms are and identify areas for improvement. As stated by CSR Europe, to address the need to enhance the internal process of dealing with complaints and illustrate the practical application of the eight effectiveness criteria outlined in the UNGPs (Principle 31), the *MOC-A* tool:

- translates the 8 UN effectiveness criteria into 21 process requirements for companies,
- evaluates maturity of individual company practices with practical examples for each level, provides company position against peers, and allows for identification of gaps and areas for improvement, coupled with an illustration of existing good practices.

The tool is subjected to a fee. Quotes are available on demands.

Structure

Participating companies receive an individual benchmark report evaluating their performance related to the eight effectiveness criteria and the corresponding process requirements, which allows them to identify areas for improvement and provides benchmark graphics that compares their position against peers. In addition, CSR Europe offers the possibility for stakeholder dialogues tailored to individual company needs.

Approach

Based on two interviews conducted by CSR Europe staff in a confidential setting, the assessment answers three main questions:

- How effective is your process?
- How do you perform in relation to peers?
- Where are your gaps?

Each company practice is classified according to three levels of maturity: "beginner", "advanced" or "effective".

For more information on CSR Europe's work on grievance mechanisms the report *Assessing the Effectiveness of Company Grievance Mechanisms, CSR Europe's Management of Complaints Assessment (MOC-A) Results* is available online.

Results

After completing the interviews the data is analyzed and participating companies receive a draft benchmark analysis evaluating their performance for final check. Companies also have a follow-up interview to discuss their results and next steps.

More information:
http://www.csreurope.org/management-complaints-assessment-service-available-all-members

2 Operational level grievance mechanisms: IPIECA Good Practice Survey

IPIECA (2012), 32p

www.ipieca.org

What it delivers

There are a growing number of publications on community grievance mechanisms and this survey aims to summarize them, extracting key insights and placing them together in one document. This publication helps companies go through the relevant literature on the topic, so they can move forward with their implementation efforts.

Focusing on what practitioners need, this *Good Practice Survey* was written containing the criteria for effective grievance handling, basic procedural steps, elements of good practice and integration with existing management systems. This guidance may be used by companies from different sectors, although it does focus on some aspects that are most relevant to the oil and gas industry.

Structure

Introduction
Section 1: Understanding Grievance Mechanisms
Section 2: Design and Implementation
Section 3: Management Framework

Approach

The first segment discusses grievance mechanisms in general presenting the business case, the foundational principles, procedural steps and potential attributes of good practice. In explaining the business case there are some points given to what a well-functioning grievance mechanism includes. For example, having a correct grievance mechanism in place promotes early identification and resolution of complaints and reduces the potential that these have to escalate. According to the authors, grievance mechanisms are part of stakeholder engagement and so in this section the links between both concepts are reviewed. Also it is stated that grievance handling along with stakeholder engagement and impact assessment are complementary processes.

There is a section focused on the effectiveness criteria for non-judicial grievance mechanisms of the UNGPs, and each criterion is summarized.

Basic process steps were selected that are common to operational level grievance mechanisms:

1. Receive
2. Assess and design
3. Acknowledge
4. Investigate
5. Respond
6. Consider recourse or appeal
7. Follow up and close out

The publication moves on to potential elements of good practice. They created a table where they compiled suggested good practices and indicated how they contribute by bringing the mechanism closer to the effectiveness criteria.

The following section is centered on the design and implementation, explaining the overall process for creating a grievance mechanism. Based on current practice they propose four steps to follow for developing an effective grievance mechanism. These are shown below.

1. Form design team, engage stakeholders

- Form a crossfunctional team
- Define scope, time frame and deliverables
- Engage internal and external stakeholders

2. Assess risk

- Assess affected communities and impacts
- Assess possible grievances
- Assess implications for design and resourcing

3. Design and implement

- Understand existing approach to grievances
- Design mechanism
- Implement

4. Review and improve

- Seek feedback from stakeholders
- Assess grievance data
- Gather lessons
- Revise mechanism as required

Source: own representation on the basis of IPIECA. (2012). *IPIECA Good Practice Survey* (p. 16). Retrieved from: http://www.ipieca.org/publication/operational-level-grievance-mechanisms-good-practice-survey

In some situations relationships between companies and communities may lack trust and some strategies for enhancing it are given.

Section three goes through the management framework, resources and integration with existing systems. Here the authors state that in order for a grievance mechanism to be effective then these should be integrated into a company's management framework. They consider a mechanism for grievance as a business process which requires a management framework. This framework includes policy, standard operating procedure, people, training, systems, tools and resources, learning and assurance, culture and commitment. Each of these is discussed in further detail in the publication.

Much of the available guidance on grievance mechanisms has not been tested and IPIECA has initiated a series of pilot implementation projects within the oil and gas industry. In this way different approaches to grievance mechanisms in various operating contexts will be field-tested. The results will be published upon completion of the project.

ACCESS Facility website http://accessfacility.org

This website provides a platform for a broad range of stakeholders who seek to prevent and resolve conflicts, with a rights-compatible approach, between businesses and communities. ACCESS Facility is a non-profit organization that collects and curates academic research, case studies, regulatory and institutional frameworks.

There is a "Case Story Library" that offers stories on how grievances were addressed by companies and communities. Some cases were originally presented by the Baseswiki website, no longer active, that intended to improve access and foster the development of rights-compatible mechanisms for addressing grievances.

There is a section on mechanisms where non-judicial grievance mechanisms have been mapped out and summarized.

ACCESS Facility also provides a list of dialogue facilitators who are experienced professionals in the field.

European Commission Human Rights Sector Guides

Shift and IHRB (2013)

These guides not only offer sector specific guidance but general guidance as well. It is possible to extract valuable insight from various sections throughout the *Guides* that is not exclusive to any sector. We will take a look at the Remediation and Operational-Level Grievance Mechanisms segment of the three *Sector Guides*.

As in all the other sections that are included in the third part of the *Guides*, there is information on what the UNGPs expect, why this element is important and what are the steps involved. They propose three steps:

1. Building a Systematic Approach to Remediation

   The concepts of "remediation" and "remedy" are defined. Then, the extent and limits of a company's responsibility to remediate is discussed. Examples are given of things that could go wrong so the rationale for a systemic approach to remediation is given. Also, the role of operational-level grievance mechanisms is explained and how this supports a company's due diligence.

2. Mapping and Working with the External Remediation Process

   It is suggested to map the landscape of grievance mechanisms. There is some commentary on interacting with state-based and other external grievance mechanisms. Then, different grievance mechanisms are discussed depending on the Sector Guide (e.g. supplier-level grievance mechanisms, contractor-level grievance mechanisms, industry association mechanisms, etc.).

3. Designing Effective Operational-Level Grievance Mechanisms

   It is stated that it is possible to build on existing company mechanisms. Deciding whether to have one or multiple mechanisms and the importance of building internal support are discussed. There is a section on defining the scope of a mechanism and another on escalation of complaints. Also, depending on the Sector Guide some approaches are given for handling complaints where there are dispersed customers or users, grievance mechanisms for workers, grievance related to suppliers, designing an effective grievance mechanism, grievances related to business relationships and grievances related to business partners.

After, there is some guidance including preliminary steps for companies that are starting out, followed by some questions to help test the alignment of the company's remediation processes with the UNGPs.

More information:
http://www.ihrb.org/publications/reports/ec-sector-guides/

Remediation, Grievance Mechanisms and the Corporate Responsibility to Respect Human Rights

Shift (2014)

Shift and Harvard Kennedy School's CSR Initiative recently co-hosted a workshop with business leaders on remediation and grievance mechanisms. This report contains a summary of highlights on the outcomes achieved in that session regarding the responsibility of companies to address human rights impacts. Joining forces with Shift, companies brought their experiences and the challenges they have faced with this issue. The workshop intended to create practical and creative ideas for companies on approaching remediation in the context of the UNGPs.

More information:
http://shiftproject.org/publication/remediation-grievance-mechanisms-and-corporate-responsibility-respect-human-rights

HIGHLIGHTED ISSUE: Child Labour

We have chosen to discuss one human rights issue in particular, child labour. This sensitive topic touches many companies across different industry sectors. There is an estimated 168 million child laborers worldwide representing almost 11 per cent of all children from 5–17 years of age.[25]

Given the importance of this issue there is guidance available that has been developed specifically on children's rights and business, we will review some of these materials next.

A good first step is to take a look at Children's Rights and Business Principles developed by UNICEF, Save the Children and the UNGC.[26] A framework is provided so that businesses can understand and address their impacts on the rights and well-being of children. These principles are derived from internationally recognized human rights of children, such as the Convention on the Rights of the Child and its Optional Protocols,

[25] International Labour Office, International Programme on the Elimination of Child Labour (IPEC). (2013). *Marking progress against child labour – Global estimates and trends 2000–2012*. Geneva: ILO.

[26] http://www.unglobalcompact.org/docs/issues_doc/human_rights/CRBP/Childrens_Rights_and_Business_Principles.pdf

Children's Rights and Business Principles

1. Meet their responsibility to respect children's rights and commit to supporting the human rights of children
2. Contribute to the elimination of child labour, including in all business activities and business relationships
3. Provide decent work for young workers, parents and caregivers
4. Ensure the protection and safety of children in all business activities and facilities
5. Ensure that products and services are safe, and seek to support children's rights through them
6. Use marketing and advertising that respect and support children's rights
7. Respect and support children's rights in relation to the environment and to land acquisition and use
8. Respect and support children's rights in security arrangements
9. Help protect children affected by emergencies
10. Reinforce community and government efforts to protect and fulfil children's rights

and were developed in consultations with different groups including children, business, investors, trade unions, national human rights institutions, among others.

A key resource is one of UNICEF's websites named *CSR, Corporate Social Responsibility: advancing children's rights in business*.[27] This webpage contains news, events, links to resources for business, a child rights and business video, the Principles, tools for companies, and information on an innovation and action workshop that was held last year.

Last year, UNICEF released a set of child rights implementation tools on the different steps that are part of the corporate responsibility to respect human rights of the UNGPs. These are:

- *Children Are Everyone's Business: Workbook 2.0* is a tool that sets out to guide companies in their process of understanding and integrating children's rights within their business.
  http://www.unicef.org/csr/css/Workbook_2.0_231213_Web.pdf
- *Children's Rights in Policies and Codes of Conduct: A tool for companies* gives orientation on ways of incorporating children's rights in existing company policies or having a stand-alone approach.
  http://www.unicef.org/csr/160.htm
- *Children's Rights in Impact Assessments: A tool for companies* created by UNICEF and the DIHR helps companies address potential or actual impacts on the rights of children, integrate children's rights into other assessments, have stand-alone child rights impact assessments and provides guidance on specific actions that a company can take in order to address the risks on the rights of children that have been identified. This publication also contains information on children's rights in integration and also the rights of children in remediation.
  http://www.unicef.org/csr/156.htm
- *Children's Rights in Sustainability Reporting* seeks to assist companies in understanding how to report on the human rights of children and using the GRI framework to identify elements that may be used for reporting on these rights.
  http://www.unicef.org/csr/148.htm

Human Rights and Business Dilemmas Forum

UNGC and Maplecroft

The UN Global Compact and the consulting firm Maplecroft created this website to motivate discussion on real-world dilemmas that companies may face while supporting human rights when operating in emerging economies. The website focuses on human rights issues that commonly arise in emerging economies and stimulates multi-stakeholder interaction. The human rights issues are categorized as dilemma themes. These are displayed by theme and also by an interactive map. Each dilemma includes an explanation, case studies, forum and resources. Some dilemmas provide training tools and surveys.

More information:
http://human-rights.unglobalcompact.org/

[27] http://www.unicef.org/csr/

Questionnaire Results

As mentioned in Part One, in order to gather feedback from companies on their experiences, an online questionnaire was conducted. The sample was comprised of the econsense member companies as well as the companies from the German Global Compact Network. A total of 45 responses were received and after data cleansing 39 of them were analyzed.

Benchmark data:

- Survey participants: econsense project group "Business and Human Rights" & corporate participants of the German Global Compact Network
- Survey period: 09.04.-25.04.2014
- Survey type: Online survey
- Random sampling (after data cleansing): n=39 participants
- Goal: Overview of the use of current tools and guidelines that support the implementation of the United Nations (hereinafter UN) Guiding Principles on Business and Human Rights

Key results:

- The response rate and the composition of the random sample demonstrate how companies are systematically addressing the issue of business and human rights – regardless of their size. Even small- and medium-sized enterprises are beginning to address the issue. Participants predominantly considered the observance of human rights standards as important for the long-term success of their business.
- The high degree of abstraction of the UN Guiding Principles illustrates the complexity of the topic of business and human rights. Although the majority of companies surveyed is familiar with the operational principles of respecting and protecting human rights and has in many cases already taken measures, there are differences in the interpretation and application of these principles on a practical level. In addition, details were only sporadically given regarding collaboration with internal and external stakeholders.
- The level of awareness of the surveyed tools and guidelines supporting businesses is high. However, practical experience – especially with regard to the available tools – was generally scarce. Fee-based tools in particular are rarely used. Instruments that boast a high level of awareness and intensity of use include company-wide databases with practical examples or tools as well as overall thematic introductions.

Summary of results

Participating companies

Although more than half of the companies surveyed can be classified as large companies (> 20,000 employees), the survey results illustrate that even small- and medium-sized enterprises are addressing with human rights issues: around 13% of companies surveyed belong to the size category up to 250 employees.

Relevance of the subject of business and human rights

The results suggest that the issue of human rights is considered increasingly important for the success of a company (Question: How important are human rights for the current success of your business?). On a scale of 1 to 8 (1=irrelevant to 8=very important), the mean value was 5.74 (n=38). Important business-relevant effects for the company can, for example, be a lower reputational risk, supply security, but also greater employee loyalty.

Success factors and barriers

In the survey, participants were asked to identify important promoters and obstacles in the operational implementation of human rights due diligence in accordance with the UN Guiding Principles.

The answers can be clustered as internal and external factors. Important **external success factors** therefore include:

- UN Guiding Principles on Business and Human Rights (as a formulated expectation of companies)
- Stakeholders expectations of the company – in particular NGOs, customers, but also investors and shareholders
- Participation in initiatives that involve a public commitment to human rights – in particular the UN Global Compact and sustainability reporting according to GRI
- Classification in appropriate ratings
- Participation in networking activities/sharing of know-how
- Compliance and regulatory requirements
- Reputational risks

Internal success factors included the following in particular:

- Commitment of the business management (Board) and support from the upper and middle management
- Positioning within the issue of human rights as a competitive advantage
- Integration of the subject as a core element of a company-wide sustainability strategy
- Embodiment in the company's own codes of conduct

All of these factors lead to an improved implementation of human rights due diligence within the company. Public pressure and the associated reputational risks are increasing, not least because of tragic accidents in complex supply chains. The capital market also increasingly expects companies to address the issues of sustainability and the environmental and social impacts of economic activities. A large number of participants stressed in particular the role of internal and external commitment at management level, e.g. by joining the UN Global Compact. Reporting according to the Global Reporting Initiative (hereinafter GRI) guidelines, which set companies and organisations corresponding indicators for the preparation of sustainability reports, is a further promoter. This raises awareness on important questions in the area of human rights, among other things. Finally, network memberships and learning forums were also highlighted as helpful.

At the same time, participants say that there are numerous obstacles in the implementation of a human-rights-based approach in the sense of the UN Guiding Principles in companies. These included in particular:

- Different national and cultural understandings of human rights in different countries and regions
- A lack of awareness of the relationship between economic activities and human rights and lack of knowledge about the potential negative impacts of companies on human rights – including among employees, suppliers, but also customers
- A lack of specialised capacities
- The difficult connection between the subject and the business case

Particular obstacles were cited specifically with regard to the supply chain. These were evident especially when tackling the challenges faced in the context of establishing and integrating human rights requirements into existing processes: complexity, variance and size as well as expansion of supply chain, monitoring and tracking, as well as the definition or delimitation of one's own sphere of influence.

These results illustrate that methods adapted to the specific human rights context are required in both companies as well as their supply chains in order to be able to exercise the reasonable measure of due diligence in each case. Especially for the implementation in specific national contexts at corporate locations or in the supply chain, company-wide, industry-specific cooperation could be more effective here than an individual approach.

Integration of the Guiding Principles in the business processes

According to Principle 15 of the UN Guiding Principles, companies are required to commit to respecting human rights within the framework of a policy, implement a human rights due diligence process and establish procedures to enable the remediation of human rights abuses. The survey results show that the majority of companies (over 60%) are currently working on the development of a corporate strategy or corporate policy on human rights. Some 40% also report on their handling of human rights due diligence as part of their corporate reporting.

According to the requirements of the Guiding Principles, the survey determined (1) what specific implementation steps have already been taken by the company and (2) how and by which means this has been completed or is currently being completed. The following steps defined by the UN Guiding Principles were surveyed:

a. Human rights policy
b. Impact assessment
c. Integration in the company
d. Tracking of measures
e. Reporting
f. Complaints and mitigation procedures (grievance)

Almost three quarters of the companies surveyed (71%) reported on actively addressing at least 4 of these 6 steps in their company. Work on the steps "Integration" and "Tracking" was the least pronounced. Around 50% claimed to be working on "Impact assessments". As regards the actual implementation, the results can be summarised as follows:[28]

Step	Summary of the survey results
Policy	- Often developed in internal workshops or working groups settings - Often integrated into existing documents, such as codes of conduct or company policies
Impact assessment	- Concrete information often related to risk assessment or compliance audits and appropriate staff audits - To date, specific impact assessments are only seldom carried out
Integration	- Integration measures focus strongly on the employee level - According to the obstacles mentioned above strong focus on training and capacity building - External peer-to-peer learning was cited as helpful
Tracking	- Considerable divergence between the information given, including regarding supply chain monitoring, audits and certification, health & safety data or using own tracking instruments currently under development
Reporting	- The majority reported using GRI and according to the COP guidelines of the Global Compact - Some participants gave information on data collection through grievance mechanisms
Grievance	- 50% use existing hotlines/whistleblowing systems for combating corruption - Most of the mechanisms are directed primarily at employees - Some systems were mentioned by participants that are currently being developed, including industry-specific initiatives

The results show that the majority of companies surveyed is familiar with the operating principles of respecting and protecting human rights and has in many cases already taken measures for many of these elements. Two aspects are particularly striking:

- How the Guiding Principles and individual process steps are addressed varies greatly from one company to the next. This is particularly evident in the area human rights impact assessments.

[28] Only about one third of the survey participants provided detailed answers to this question.

- Collaboration with stakeholders in the development of measures for the process steps is still weak.

Partner in the implementation

Asking the companies about the organisations with which they cooperate revealed a focus on work in networks and sector-specific initiatives. They are satisfied with these activities by and large. Companies often also work with non-governmental organisations and/or social institutions. Striking is that only few companies claim to collaborate with management consultancies or specialised service providers. It is not clear whether this is due largely to a lack of demand or an inadequate supply. The focus of external cooperation is thus on peer-to-peer learning and collaboration with selected industry- and/or topic-specific non-governmental organisations.

Instruments and guidelines for the implementation of human rights due diligence

The majority of the surveyed instruments and guidelines in support of in-company human rights work are known. However, extensive practical experience – especially as regards the available tools – was generally scarce. Fee-based tools in particular are rarely used. Instruments with a high level of awareness and intensity of use include company-wide databases with practical examples or tools. The following tools in particular are regarded as very useful:

- UNGC/Maplecroft – Human Rights and Business Dilemmas Forum (http://human-rights.unglobalcompact.org/
- Business & Human Rights Resource Centre – database of company human rights policies (http://www.business-humanrights.org/Categories/Companypolicysteps)
- BLIHR/UNGC/OHCHR – A Guide for Integrating Human Rights into Business Management (http://www.integrating-humanrights.org/)

The intensity of use of the guidelines reflects the focus of the companies on the development of a strategy or corporate policy on human rights and on the reporting, but also on raising awareness. The evaluation of the surveyed tools and guidelines is summarised in the tables below.

Which of the following tools and web pages have you worked with and how would you rate them (5=excellent bis 1=very poor)?

Name of tool/web page	Mean Value	Amount of Ratings
UNGC/Maplecroft – Human Rights and Business Dilemmas Forum	3,9	11
Business & Human Rights Resource Centre – Database of company human rights policies	3,6	14
BLIHR/UNGC/OHCHR – A Guide for Integrating Human Rights into Business Management	3,6	14
UNGC/OHCHR – Business and Human Rights Learning Tool	3,6	9
DIHR – Human Rights Compliance Assessment & the HRCA Quick Check	3,6	9
NOMOGAIA – Human Rights Impact Assessment Toolkit	3,5	2
CSR Europe – Management of Complaints Assessment (MOC-A Tool)	3,3	10
ACCESS Facility website	3,3	3
IBLF/IFC/UNGC – Guide to Human Rights Impact Assessment and Management	3,1	10
German Global Compact Network/twentyfifty Ltd. – Organizational Capacity Assessment Instrument	3,1	10

Which of the following guidance material have you worked with and how would you rate them (5=excellent bis 1=very poor)?

Name of Guidance Document	Mean Value	Amount of Ratings
Deutsches Global Compact Netzwerk/Deutsches Institut für Menscherechte/twentyfifty Ltd – Respecting Human Rights: An Introductory Guide	3,8	11
IHRB/GBI – State of Play: The Corporate Responsibility to Respect Human Rights in Business Relationships	3,7	4
BSR – Conducting an Effective Human Rights Impact Assessment	3,7	7
UNGC – How to Develop a Human Rights Policy	3,7	16
OHCHR – The Corporate Responsibility to Respect Human Rights: An Interpretive Guide	3,6	10
GRI – G4 Sustainability Reporting Framework	3,4	25
OHCHR – Human Rights Indicators: A Guide to Measurement and Implementation	3,4	7
UNGC/GRI – Making the Connection - Using GRI's Guidelines to Create a COP	3,4	16
UNGC/GRI/Realizing Rights – A Resource Guide to Corporate Human Rights Reporting	3,3	8
Harvard Kennedy CSR Initiative – Embedding Rights Compatible Grievance Processes for External Stakeholders Within Business Culture	3,0	1

Conclusions

There have been many changes in human rights and its implications for the business sector. With continuous change in society, the rules of play are being rewritten and today what is seen as a successful business is no longer based solely on its profits. Companies are expected to be "good corporate citizens" and be run by ethical leaders that are able to integrate a human rights approach within their business.

With the endorsement of Ruggie's Framework a clear standard was established that would set in motion the process of business enterprises embedding human rights within their corporate structures.

This guide intended to offer useful information for companies that are taking a human rights approach. Searching for guidance and support can be overwhelming and time consuming; this guide sets out to alleviate this task providing an overview of relevant resources available. The intent has been to lead companies in the right direction towards a deeper understanding of what human rights mean in a business context.

Throughout the process of embedding human rights into corporate processes, the learning aspect is very important. It is important to get familiarized with the issues and take advantage of the growing body of publications from experts in the business and human rights arena. Also, it is key to understand what a company can do to implement the UNGPs and how it can move towards a strategic approach.

Even when using the same guidance and seeking the same end result, companies may take different paths in implementing the UNGPs. It is a matter of seeing what fits best and taking into account the company's culture and context. As Ewing (2013) points out, "executives who can translate 'Protect, Respect and Remedy' effectively for their company, will create a competitive advantage as human rights go mainstream for business" (p. 9).

In time there will be more company experiences in implementing Ruggie's Framework, more lessons will be learned and expertise will grow within the business world. Thus, having a solid foundation of knowledge on the human rights topic is an advantage for confronting change. So using this guide to gain a better comprehension can be an important asset for the company.

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The following information is provided for each tool/guidance material: organization responsible, year of publication (or last update), name, a brief description and the link of where it is found. The tools have been placed in order from most recent to oldest. Tools and guidance materials in the grey boxes are the ones featured in the report.

Basics on Human Rights and Business

1	UNGC	2013	*Some Key Business and Human Rights Guidance Materials and How to Use Them*	Short summary document about key business and human rights guidance tools and materials.
	http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/Some_key_business_and_human_rights_guidance_materials_and_how_to_use_them.pdf			
2	UN Working Group on Business and Human Rights	2013	*UN Guiding Principles on Business and Human Rights: An Introduction*	Summarizes the Guiding Principles on Business and Human Rights and describes the mandate of the UN Working Group on Business and Human Rights.
	http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/IntroToGPs.pdf			
3	UN/OHCHR	2012	*The Corporate Responsibility to Respect Human Rights: An Interpretive Guide*	The interpretive guide was designed to support the process of effective implementation of the UNGPs. It focuses on the Guiding Principles that address the corporate responsibility to respect human rights.
	http://www.ohchr.org/Documents/Publications/HR.PUB.12.2_En.pdf			
4	UN/OHCHR	2011	*Guiding Principles for Business and Human Rights: Implementing the United Nations "Protect, Respect and Remedy" Framework*	A set of guidelines for States and companies to prevent and address human rights abuses committed in business operations.
	http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf			
5	BHRRC	–	*Getting Started Portal*	An introduction to the field of business & human rights. Sections include: Business & Human Rights – A brief introduction, 14 reports to get started, By issue, Guide to the Resource Center website.
	http://business-humanrights.org/en/getting-started-0			

Understanding Human Rights in Business

1	UNGC/OHCHR	2013	*Business and Human Rights Learning Tool*	A course of five web-based modules designed to help managers in companies to understand the importance and relevance of human rights. It integrates exercises and case studies on current trends and expectations towards business on implementation of human rights principles, as reflected in the UN Protect-Respect-Remedy Framework.
	http://human-rights-and-business-learning-tool.unglobalcompact.org/site/			

2	CIDSE	2013	*Human Rights Due Diligence: Policy measures for effective implementation*	This CIDSE briefing explains what human rights due diligence is and, referring to examples of existing practice in due diligence, how it should be implemented by businesses and the essential role of States in this regard. Taking examples of concrete situations on the ground, it argues that if effectively implemented, human rights due diligence can help to prevent and address human rights abuses.
	http://www.cidse.org/publication/item/505-human-rights-due-diligence-policy-measures-for-effective-implementation.html			
3	CEGESTI/Responsible Business Project/The Netherlands Ministry of Foreign Affairs	2013	*Practical Guide for Human Rights and Business*	This guide seeks to contribute to the disclosure of the guiding principles, in a way that will facilitate understanding its meaning and objective, particularly towards the business sector. The guide focuses on the enterprises' responsibility to respect human rights.
	http://www.negociosresponsables.org/documentos/guias/download_guias_derechos_humanos_y_empresas/Practical_Guide_for_Human_Rights_and_Businesses_Individual.pdf			
4	Global Compact Network Germany/ twentyfifty Ltd./ German Institute for Human Rights	2013	*Respecting Human Rights: An Introductory Guide for Business*	Examines human rights principles and explains the role that business should play in respecting these rights. The publication also contains case studies illustrating how business has addressed these rights in practice and explains steps that were taken to fulfill the responsibility to uphold and support human rights.
	http://www.globalcompact.de/sites/default/files/themen/publikation/respectinghumanrights_148x220_131029_download.pdf			
5	Anthony Ewing (A Member of the Global Compact Human Rights Working Group)	2013	*What Executives Need to Know (and Do) About Human Rights*	This article explains the ten things executives and their advisers need to know about human rights.
	http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/what-executives-need-to-know.pdf			
6	UNGC Netherlands	2010	*How to do Business with Respect for Human Rights*	This publication builds on the Protect, Respect and Remedy framework and aims to be a background document for companies by elaborating some of the main topics in the discussion on business and human rights. The descriptions, learnings and guidance points collected in this guidance are based on the experiences of ten multinational companies of the Global Compact Network Netherlands.
	http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/how_to_business_with_respect_for_human_rights_gcn_netherlands_june2010.pdf			

7	ESADE/School for a Culture of Peace	2009	*A Practical Handbook on Business and Human Rights*	This guide aims to provide information and reflections on current business and human rights issues and help them to manage these issues in the framework of their CSR policy. It is intended for both companies that have already taken the first steps in managing their human rights policies and those that intend to do so in the medium term.

http://escolapau.uab.es/guia.html

8	UNGC/OHCHR/ IBLF/Castan Centre for Human Rights Law	2008	*Human Rights Translated: A Business Reference Guide*	This publication summarizes the rights contained in the two main human rights covenants and explains their relevance in a business context. Each description of a right is illustrated by one or more short case studies demonstrating how the right can be relevant to business, and is supplemented by suggested practical actions.

http://www.unglobalcompact.org/docs/news_events/8.1/human_rights_translated.pdf

Human Rights Management Practices General

1	Equality and Human Rights Commission	2014	*A Guide to Business and Human Rights: How human rights can add value to your business*	This guide explains what human rights are relevant to business. It sets out six steps to help you identify and manage human rights impacts in your business operations. It also explains how nine key human rights may be relevant to your business.

http://www.equalityhumanrights.com/sites/default/files/publication_pdf/A%20guide%20to%20business%20and%20human%20rights_1.pdf

2	INCAS Consulting Ltd	2012	*Corporate Implementation of the Guiding Principles*	A guide on how to review company performance and implement the guiding principles on business and human rights. It is the first INCAS in Practice Series publication for 2012, and part of INCAS Consulting Ltd's commitment to promote debate on good practice in the field of business and human rights.

http://www.business-humanrights.org/media/documents/incas-guiding-principles-guide-2012.pdf

3	UNGC/IBLF/OHCHR/BLIHR/GBI	2010	*A Human Rights Management Framework*	Overall guide to good management practices on respecting and supporting human rights. This poster captures key good business and human rights management practices that are elaborated in more detail in A Guide for Integrating Human Rights Into Business Management, as well as in the IBLF's publication Human Rights: It Is Your Business.

http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/HR_E_Framework_Poster_A2.pdf

4	BLIHR	2010	*Matrix (currently under revision)*	The Human Rights Matrix is an initial self-assessment and learning tool that enables a company to begin to understand and address its human rights performance, by identifying its policies on human rights and the approaches it has taken towards human rights. A strategy tool that will help you SIMPLIFY, VISUALISE, ASSESS AND MANAGE your human rights programs and performance.
	http://www.humanrights-matrix.net/index.html			
5	UNGC/DIHR/ Confederation of Danish Industry /Ministry of Economic and Business Affairs/ Danish Industrialisation Fund for Developing Countries	–	*Global Compact Self Assessment Tool on Human Rights*	The Global Compact Self Assessment Tool is designed for use by all companies who are committed to upholding social and environmental standards in their operations. It is designed to help companies identify due diligence processes needed at the level of each right, including tailored key performance indicators for evaluating company policy, company procedures and company performance.
	http://www.globalcompactselfassessment.org/			

Policy

1	BHRRC	2014	*Database of company human rights policies*	The Business and Human Rights Resource Center has a section dedicated to company policies. It contains links to more than 100 company policy statements explicitly referring to human rights.
	http://www.business-humanrights.org/ToolsGuidancePortal/Policies			
2	UNGC	2011	*How to Develop a Human Rights Policy*	Provides instruction on how businesses can develop and implement a human rights policy within their companies.
	http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/HR_Policy_Guide.pdf			
3	Nomogaia	–	*Human Rights Policy Tool*	Nomogaia has produced a "starter" human rights policy, it reflects the standards set by the UN Guiding Principles for Business and Human Rights.
	http://nomogaia.org/tools/			

Human Rights Risks

1	Shift	2014	*Business and Human Rights Impacts: Identifying and Prioritizing Human Rights Risks*	This report summarizes the key lessons learned from a workshop facilitated by Shift on identifying and prioritizing human rights risks.
	http://shiftproject.org/publication/business-and-human-rights-impacts-identifying-and-prioritizing-human-rights-risks			
2	Human Rights Watch	2014	*Human Rights Watch Reports*	Human Rights Watch speaks with local human rights advocates, journalists, country experts, and government officials and publishes their findings in more than 100 reports and hundreds of news releases each year.
	http://www.hrw.org/browse_by_country			
3	Maplecroft	2014	*Human Rights Risk Atlas*	The Human Rights Risk Atlas 2014 is an ideal tool to assess, quantify and compare human rights risks and responsibilities in 197 countries around the world with scorecards for each country and maps for each theme.
	http://maplecroft.com/themes/hr/			
4	DIHR	2014	*The Human Rights and Business Country Guide*	The Human Rights and Business Country Guide provides country-specific guidance to help companies respect human rights and contribute to development. The Country Guide provides a systematic overview of human rights issues for particular attention by companies. Free access to the information.
	http://hrbcountryguide.org/			
5	IHRB	2011	*From Red to Green Flags – The corporate responsibility to respect human rights in high-risk countries*	Companies operating in weak governance zones or dysfunctional states face multiple human rights risks, and their actions may pose risks to others. This report explores the specific human rights dilemmas and challenges facing companies operating in such contexts and provides detailed guidance for business leaders in meeting their human rights responsibilities.
	http://www.ihrb.org/news/2011/from_red_to_green_flags.html			
6	DIHR	2010	*Decision Map: Doing Business in High-Risk Human Rights Environments*	This publication aims to help companies consider human rights issues systematically before undertaking operations in states with poor human rights records. It seeks to provide the business community with a consistent framework for viewing their human rights responsibilities abroad.
	http://www.humanrightsbusiness.org/files/Publications/doing_business_in_highrisk_human_rights_environments__180210.pdf			

7	Harvard Kennedy CSR Initiative	2009	*Due Diligence for Human Rights: A Risk-Based Approach*	This paper summarizes due diligence as it is understood by many companies today, and how that model can be extended to assessing human rights risks as companies seek to meet the corporate responsibility to respect human rights under the UN „Protect, Respect and Remedy" Framework.

http://www.hks.harvard.edu/m-rcbg/CSRI/publications/workingpaper_53_taylor_etal.pdf

8	UNGC/DIHR	2009	*The Arc of Human Rights Priorities: A New Model for Managing Business Risk*	The Arc of Human Rights Priorities is a new approach to in-company human rights management. The Arc builds upon the Sphere of Influence concept, and is designed to allow companies to focus their resources on the most urgent human rights issues in their operations.

http://www.unglobalcompact.org/docs/issues_doc/human_rights/Human_Rights_Working_Group/9June09_Arc_of_Human_Rights_Priorities_-_Road_Testing_Version.pdf

9	Amnesty International	–	*Human Rights in Countries*	Amnesty International monitors the state of human rights in more than 150 countries. The research teams, based in London, conduct investigative missions throughout the world and publish an Annual Report summarizing their work.

http://www.amnestyusa.org/our-work/countries

Human Rights Impact Assessment

1	BSR	2013	*Conducting an Effective Human Rights Impact Assessment*	The report includes eight guidelines for conducting effective HRIAs, practical examples, and step-by-step guidance. This HRIA approach is designed to be tailored to a company's unique risk profile and operating context. It is not intended as an off-the-shelf tool or checklist.

http://www.bsr.org/reports/BSR_Human_Rights_Impact_Assessments.pdf

2	Aim for Human Rights	2013	*Human Rights Impact Resource Centre*	The Human Rights Impact Resource Centre (HRIRC) is an online interactive platform that provides centralised access to a broad range of information and expertise on Human Rights Impact Assessment.

http://www.humanrightsimpact.org/top-navigation-menu/about-us/

3	DIHR/Nestlé	2013	*Talking the Human Rights Walk*	This paper describes the steps that Nestlé has undertaken together with DIHR to assess and address its actual and potential impacts in 7 country operations.

http://www.nestle.com/asset-library/documents/library/documents/corporate_social_responsibility/nestle-hria-white-paper.pdf

4	Kuoni	2012	*Assessing Human Rights Impacts: Kenya pilot project report November 2012*	This is a summary report of the human rights impact assessment realized by Kuoni, a tourism company with operations in more than 50 countries, with the support of management consultancy twentyfifty Ltd. The pilot country selected for the project was Kenya.
	http://www.kuoni.com/docs/assessing_human_rights_impacts_0.pdf			
5	Nomogaia	2012	*Human Rights Impact Assessment Toolkit*	It aims to provide guidance on HRIA while simultaneously presenting the format for an actual assessment. It escorts you through a four-phase process of human rights impact assessment, starting with data gathering and scoping, and culminating with a set of rights scores contrasting baseline human rights conditions and impacts.
	http://nomogaia.org/tools/			
6	INEF (Institute for development and peace)	2012	*Human Rights Impact Assessment for Implementing Corporate Responsibility*	This paper addresses basic conceptual and practical issues with respect to HRIA. The paper categorizes existing HRIA approaches according to their way of approaching these challenges. It concludes with policy recommendations.
	http://www.humanrights-business.org/files/hria_english_final_1.pdf			
7	Rights and Democracy	2011	*Getting it Right: Human Rights Impact Assessment Guide*	This guide provides a step-by-step process for those wishing to take stock of the positive and negative human rights impacts of an investment project in their community. It also provides a virtual library, examples of research techniques, and a detailed, interactive process for selecting assessment indicators.
	http://hria.equalit.ie/en/			
8	IBLF/IFC/UNGC	2010	*Guide to Human Rights Impact Assessment and Management*	Developed for companies committed to assessing and managing the human rights risks and impacts of their business activities, it provides guidance on how to: Identify potential and/or existing human rights risks, assess potential and/or existing human rights impacts and integrate findings from the assessment into the company's management system.
	www.ifc.org/hriam			
9	CSR Europe	2010	*Human Rights Impact Assessment: A tool towards better business accountability*	An overview of the state of affairs of HRIA instruments and methodologies, including an analysis of how HRIAs can contribute to the business and human rights agenda. Also, how the development of HRIAs might be taken further.
	http://www.reports-and-materials.org/Impact-assessments-CSR-Europe-June-2010.pdf			

10	DIHR	2010	*The HRCA Quick Check & Human Rights Compliance Assessment*	The HRCA is a comprehensive tool designed to detect human rights risks in company operations. It covers all internationally recognized human rights and their impact on all stakeholders, including employees, local communities, customers and host governments.

https://hrca2.humanrightsbusiness.org/Page-HumanRightsComplianceAssessment-35.aspx

11	Aim for Human Rights	2009	*Guide to Corporate Human Rights Impact Assessment Tools*	This guide presents an overview of the existing HRIA tools that corporations and managers can use to implement human rights norms within the business practices and policies. It gives advice to select the tool(s) that assure the best HRIA process for the corporation.

http://www.humanrightsimpact.org/fileadmin/hria_resources/Business_centre/HRB_Booklet_2009.pdf

12	IFC	2009	*Introduction to Health Impact Assessment*	This introductory guidebook provides companies with a basic overview on how to engage communities via Health Impact Assessments (HIAs). This publication is meant to be used by companies who are concerned about potential health impacts on local communities due to their operations, but is not meant to be a guide on occupational health and safety.

http://www.ifc.org/wps/wcm/connect/a0f1120048855a5a85dcd76a6515bb18/HealthImpact.pdf?MOD=AJPERES&CACHEID=a0f1120048855a5a85dcd76a6515bb18

Integration

1	twentyfifty Ltd. / DGCN	2012	*Organizational Capacity Assessment Instrument (OCAI)*	This tool is intended to help companies assess and improve capacity to manage their human rights impacts. The OCAI consists of a self-assessment questionnaire with 22 questions centred on the major elements of the corporate responsibility to respect human rights as outlined in the UN Guiding Principles.

http://www.globalcompact.de/tools/ocai

2	BLIHR/UNGC/ OHCHR	2009	*A Guide for Integrating Human Rights into Business Management 2nd Edition*	An online tool that offers practical guidance to companies wanting to take a proactive approach to human rights within their business operations and to develop an understanding of human rights in business practice.

http://www.integrating-humanrights.org/home

Tracking & Reporting

1	UNGC/GRI	2014	*Making the Connection - Using GRI's Guidelines to Create a COP*	This guide describes how to use the GRI Sustainability Reporting Guidelines to prepare a Communication on Progress (COP). It addresses how to fulfill the elements of the GC Active and GC Advanced levels of the UN Global Compact differentiation programme, how to meet the requirements to be ‚in accordance' with G4, and includes detailed cross-referencing between GRI indicators and GC Advanced criteria.
	http://www.unglobalcompact.org/docs/communication_on_progress/Tools_and_Publications/Making_the_Connection_G4.pdf			
2	GRI	2013	*G4 Sustainability Reporting Guidelines*	This reporting framework was developed by the Global Reporting Initiative (GRI) and provides companies with principles and guideposts for reporting sustainability, including economic, environmental and social performance.
	https://www.globalreporting.org/reporting/g4/Pages/default.aspx			
3	UNGC	2013	*Human Rights Indicators: A Guide to Measurement and Implementation*	This guidance has been developed to provide practical information on how companies can improve reporting on their implementation efforts, especially within the context of their annual Communication on Progress (COP).
	http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/HR_COP_Reporting_Guidance.pdf			
4	OHCHR	2012	*Assessing Human Rights Impacts: Kenya pilot project report November 2012*	The publication aims to assist in developing quantitative and qualitative indicators to measure progress in the implementation of international human rights norms and principles.
	http://www.ohchr.org/Documents/Publications/Human_rights_indicators_en.pdf			
5	UNGC/GRI/ Realizing Rights	2009	*A Resource Guide to Corporate Human Rights Reporting*	This collaborative publication offers a practical guide on steps that companies can take to improve their coverage of human rights as part of their sustainability reports and was developed through extensive expert consultation.
	https://www.globalreporting.org/resourcelibrary/A-Resource-Guide-to-Corporate-Human-Rights-Reporting.pdf			
6	UNGC/GRI/ Realizing Rights	2009	*Corporate Human Rights Reporting – An Analysis of Current Trends*	This publication is a survey of recent sustainability reports by over 50 leading companies. It examines trends in current corporate disclosures on human rights and highlights good practice examples as well as ongoing shortcomings in reporting in this area.
	https://www.globalreporting.org/resourcelibrary/Human_Rights_analysis_trends.pdf			

7	Shift/Mazars	in Development	*Human Rights Reporting and Assurance Frameworks Initiative (RAFI)*	Shift and Mazars, in liaison with the Human Rights Resource Centre for ASEAN, have launched a global, consultative initiative to develop public reporting and assurance frameworks based on the UN Guiding Principles. The proposed frameworks will be public available to all companies and assurance providers to use in their work.
	http://shiftproject.org/project/human-rights-reporting-and-assurance-frameworks-initiative-rafi			
8	Ann-Sofie Cloots (Cambridge Univ.), Charline Daelman (KU Leuven), Damiano de Felice (LSE) and Irene Pietropaoli (Middlesex Univ.)	in Development	*Measuring Business & Human Rights*	A research project which aims to advance the capacity of all corporate stakeholders to measure the degree to which companies meet their responsibility to respect human rights.
	http://www.business-humanrights.org/Documents/Measuring_Business_and_Human_Rights			

Grievance

1	Shift	2014	*Remediation, Grievance Mechanisms and the Corporate Responsibility to Respect Human Rights*	This workshop focused on the concept of remediation and grievance mechanisms in the context of the UN Guiding Principles and the corporate responsibility to respect human rights and forms part of Shift's Business Learning Program, aimed at supporting the implementation by companies of the UN Guiding Principles on Business and Human Rights.
	http://shiftproject.org/publication/remediation-grievance-mechanisms-and-corporate-responsibility-respect-human-rights			
2	CSR Europe	2013	*Management of Complaints Assessment (MOC-A)*	This tool has been developed to help companies assess their levels of maturity in dealing with internal and external complaints and improve the way in which they do so. Free of charge for members.
	http://www.csreurope.org/management-complaints-assessment-service-available-all-members			
3	IPIECA	2012	*Operational level grievance mechanisms: good practice survey*	This publication draws together key insights on designing and implementing community grievance mechanisms. The survey will inform a series of pilot projects sponsored by member companies to test different approaches to implementation on the ground.
	http://www.ipieca.org/publication/operational-level-grievance-mechanisms-good-practice-survey			

4	Harvard Kennedy CSR Initiative	2011	*Piloting Principles for Effective Company-Stakeholder Grievance Mechanisms: A Report of Lessons Learned*	This report sets out key lessons learned from five pilot projects that tested the practical applicability of the principles for effective operational-level grievance mechanisms involving businesses and their stakeholders proposed by the Special Representative of the UN Secretary-General for Business and Human Rights (SRSG), Professor John Ruggie.

http://shiftproject.org/sites/default/files/report_46_GM_pilots.pdf

5	IFC	2009	*Addressing Grievances from Project-Affected Communities*	This good practice note provides an expanded guidance framework for companies in dealing with stakeholder engagement. Dealing specifically with the design and implementation of grievance mechanisms. This document highlights a number of case studies from IFC clients, including some from the extractive and manufacturing industries.

http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_gpn_grievances

6	Harvard Kennedy CSR Initiative	2009	*Embedding Rights Compatible Grievance Processes for External Stakeholders Within Business Culture*	This report is designed to aid companies in adapting internal integrated conflict management (ICM) programmes for use to engage with external stakeholders. The report is written from the perspective of corporate counsel and focuses on ICM as a form of alternative dispute resolution (ADR).

http://www.hks.harvard.edu/m-rcbg/CSRI/publications/report_36_sherman_grievance.pdf

7	ICMM	2009	*Human Rights in the Metals and Mining Industry: Handling and Resolving Local Level Concerns and Grievances*	This publication focuses on the development and improvement of grievance mechanisms. It provides helpful examples of good practices and seeks to give companies guidance on topics ranging from the establishing of design principles to on-the-ground engagement with affected communities.

http://www.icmm.com/page/14809/human-rights-in-the-mining-and-metals-industry-overview-management-approach-and-issues

8	Harvard Kennedy CSR Initiative	2009	*Mapping Grievance Mechanisms in the Business and Human Rights Arena*	This report summarizes a wide range of existing non-judicial grievance mechanisms that are relevant to resolving business and human rights disputes. It includes sectoral, multi-sectoral, national, regional and international mechanisms.

http://shiftproject.org/publication/mapping-grievance-mechanisms-business-and-human-rights-arena

9	Harvard Kennedy CSR Initiative	2008	*Rights-compatible grievance mechanisms: A Guidance Tool for Companies and Their Stakeholders*	This guidance tool provides a set of principles, coupled with specific guidance points, to assist companies across sectors and contexts to build effective, rights-compatible grievance mechanisms at the operational level.

http://www.reports-and-materials.org/Grievance-mechanisms-principles-Jan-2008.pdf

10	ACCESS	-	*ACCESS Facility web page*	ACCESS Facility is a global nonprofit organisation that supports rights-compatible, interest-based problem solving to prevent and resolve conflicts between companies and communities. ACCESS explores better ways of working together among companies, communities and governments. It is a neutral space in which a broad range of stakeholders can learn, explore, share ideas, forge relationships, and find solutions that work for them.
	http://accessfacility.org/			

Implementing Human Rights in Business

1	econsense / CSR Europe	2013	*Business and Human Rights Workshop – Putting the Ruggie-Framework and the Guiding Principles into Practice*	This report comes from a workshop entitled Business and Human Rights - Putting the Ruggie-Framework and the Guiding Principles into Practice. The report highlights the practices of 10 companies around developing a human rights policy, conducting due diligence, dealing with complaints and addressing human rights along the supply chain.
	http://www.econsense.de/sites/all/files/Documtenation%20Workshop%202013_0.pdf			
2	UNGC / OHCHR	2013	*Embedding Human Rights in Business Practice*	This series explores the practical application of the Global Compact's human rights principles using concrete examples of company experiences. It offers detailed examples of what businesses are doing to implement human rights within their own operations and spheres of influence. There are currently 4 volumes.
	http://www.unglobalcompact.org/resources?utf8=%E2%9C%93&resource_search%5Bkeyword%5D=embedding+human+rights+in+business+practice&commit=Search			
3	UNGC / AccountAbility	2013	*Webinar Recordings*	A series of Webinar Recordings on different business and human rights issues.
	http://www.unglobalcompact.org/Issues/human_rights/guidance_material_continued.html#webinars			
4	Shift	2012	*Embedding Respect for Human Rights within a Company's Operations*	A report on a workshop. The purpose of the workshop was to explore the challenge of embedding the responsibility to respect human rights in business enterprises.
	http://shiftproject.org/sites/default/files/Workshop%20Report%20Final.pdf			
5	IHRB	2011	*The State of Play of Human Rights Due Diligence*	A snapshot of the current state of human rights due diligence at over 20 multinational companies. It examines how the methods of applying human rights due diligence are evolving and a prognosis of where human rights due diligence will be in five years.
	http://www.ihrb.org/pdf/The_State_of_Play_of_Human_Rights_Due_Diligence.pdf			

6	GBI/UNGC	2010	*Business Voice Series: Testimonials by Business Leaders*	A collection of interviews by business leaders around the world on the mainstream importance of human rights. The interviews focus on how to perform various aspects of human rights due diligence in practice. They are designed to be of practical assistance to other business leaders from across sectors and geographies.
	http://www.global-business-initiative.org/work/business-voice/			
7	BHRRC	-	*Implementation of UN Guiding Principles: Companies*	A list of tools & guidance, examples of implementation and other statements by companies.
	http://www.business-humanrights.org/Documents/UNGuidingPrinciples/Implementation-Companies#100462			

Specific Issues

1	EHTN/UN.GIFT	2013	*eCourse on Human Trafficking*	Designed for business managers and employees, this free online course helps understand what human trafficking is, how to identify where human trafficking might be a risk to their business, and identify action to address this risk.
	http://www.ungift.org/knowledgehub/en/tools/elearning-tool-for-the-private-sector.html			
2	Institute for Human Rights and Business/ Calvert Investments/Interfaith Center on Corporate Responsibility	2013	*Investing the Rights Way: A Guide for Investors on Business and Human Rights*	This publication examines how the Guiding Principles on Business and Human Rights can help investors assess and address human rights risks in their portfolios and engage the companies they hold.
	http://www.ihrb.org/pdf/Investing-the-Rights-Way/Investing-the-Rights-Way.pdf			
3	IHRB/GBI	2012	*State of Play: The Corporate Responsibility to Respect Human Rights in Business Relationships*	This publication examines a group of 14 international companies and how they address the human rights impacts associated with their daily interactions with business partners of all sizes around the world. The joint report examines how the UN Guiding Principles on Business and Human Rights can and should inform business relationships in different sectors and locations across the world.
	http://www.ihrb.org/pdf/state-of-play/State-of-Play-Full-Report.pdf			
4	SAI/ICCO	2012	*United Nations Guiding Principles on Business and Human Rights; A Six-Step Approach to Supply Chain Implementation Handbook & Toolkit*	The Handbook is designed to help companies operationalize the UN Guiding Principles. It was developed in response to the growing need for companies who struggled with transforming the principles into daily practice. The Handbook and Toolkit will help companies address questions concerning scope and the practical integration of their responsibility to respect human rights in their supply chain.
	http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&pageId=1315#.UJKbfYbpXJt			

5	UNGC/UN Women	2011	*Women's Empowerment Principles – Equality Means Business*	A set of principles for business offering guidance on how to empower women in the workplace, marketplace and community. They emphasize the business case for corporate action to promote gender equality and women's empowerment.
	http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/WEP_EMB_Booklet.pdf			
6	UNGC/UN.GIFT/ ILO/IOM	2010	*Human Trafficking and Business: Good Practices to Prevent and Combat Human Trafficking*	Guides business on how to avoid being implicated in human trafficking through the use of their products, services or facilities, as well as how to make a positive contribution.
	http://www.ungift.org/docs/ungift/Private_Sector_Web.pdf			
7	UNGC/Pacific Institute	2010	*The Human Right to Water: Emerging Corporate Practice and Stakeholder Expectations*	Designed to provide information that will inform both how individual companies can respect the human right to water, as well as how the Mandate itself can meaningfully contribute to business' ability to effectively address this issue.
	http://www.unglobalcompact.org/docs/issues_doc/Environment/ceo_water_mandate/Water_Mandate_Human_Rights_White_Paper.pdf			
8	IFC/GRI	2009	*Embedding Gender in Sustainability Reporting, A Practitioner's Guide*	This publication is designed to gives CSR managers and others practical guidance on how to embed gender equality into sustainability reporting under the GRI Sustainability Reporting Framework. The report suggests best practices and measurement frameworks for promoting gender equality.
	https://www.globalreporting.org/resourcelibrary/Embedding-Gender-In-Sustainability-Reporting.pdf			
9	CSR Europe	2009	*Practising Gender Equality in Careers*	This toolkit provides practical suggestions for the implementation of an effective management system for equal gender opportunities, covering policies, organisational structures, measurement systems, communications and career development tools.
	http://www.csreurope.org/practising-gender-equality-careers-2009			
10	BSR	2008	*International Labour Migration: A Responsible Role for Business*	This report provides companies with examples and a framework for action to identify risks related to labour migrants both within their own operations and their supply chain.
	http://www.bsr.org/reports/BSR_LaborMigrationRoleforBusiness.pdf			
11	DIHR	2006	*Complicity in Human Rights Violations: A Responsible Business Approach to Suppliers*	One of the most complex human rights problems for companies is complicity in violations committed by suppliers. This working paper presents information and approaches for companies who seek to perform due diligence on supplier complicity and enlarge the scope of their human rights policies.
	http://www.humanrightsbusiness.org/files/Country%20Portal/complicity_in_human_rights_violations_a_responsibile_approach_to_suppliers_m._jungk_march_2007.pdf			

12	UNGC	-	*Conflict Zones*	For a list of resources for companies operating in conflict zones or countries with weak human rights protections, see the UN Global Compact's issue page on Business and Peace.
	http://www.unglobalcompact.org/Issues/conflict_prevention/guidance_material.html			
13	BHRRC	-	*Guidance by issue section*	Guidance material divided in almost 30 different human rights related issues.
	http://www.business-humanrights.org/ToolsGuidancePortal/Issues			
14	UNGC/ Maplecroft GE Foundation	-	*Human Rights and Business Dilemmas Forum*	An online, multi-stakeholder forum that discusses a range of real-world dilemmas confronting business and analyses an array of approaches taken by different companies across different sectors. It also includes interactive workbooks, training tools and case studies.
	http://human-rights.unglobalcompact.org/			
15	UNGC	-	*Human Rights Working Group page*	A number of good practice notes on different human rights issues.
	http://www.unglobalcompact.org/Issues/human_rights/Human_Rights_Working_Group.html			
16	IHRB	-	*Publications-Reports section*	Many issue specific reports on the IHRB web page.
	http://www.ihrb.org/publications/reports/			
17	UNGC/CSR Europe	-	*Sustainable Supply Chains: Resources & Practices website*	The purpose of this website is to make it easier for practitioners to search and find relevant information to assist them in the process of embedding sustainability issues - human rights, labour, environment and anti-corruption - into supply chains. At the same time, the website enables organizations, companies and others to share information about their supply chain initiatives and resources.
	http://supply-chain.unglobalcompact.org/site/index			
18	IBLF/BSR	-	*Voluntary Principles on Security and Human Rights*	The Voluntary Principles on Security and Human Rights are a set of principles designed to guide companies in maintaining the safety and security of their operations within an operating framework that encourages respect for human rights.
	http://www.voluntaryprinciples.org/			

Child Labour

1	UNICEF	2013	*Children Are Everyone's Business Workbook 2.0*	A comprehensive tool designed to guide companies through the ongoing process of learning about and integrating children's rights into business policies and management processes. It follows and builds on the Children's Rights and Business Principles and provides practical guidance for implementing the Principles.
	http://www.unicef.org/csr/css/Workbook_2.0_231213_Web.pdf			

2	UNICEF/DIHR	2013	*Children's Rights in Impact Assessments*	This tool offers a number of criteria that companies can use to review critical areas of potential or actual impact on children's rights, and identify actions for improvement. In addition, the tool offers guidance on specific actions a company can take to integrate respect and support for children's rights in their business operations and value chain.
	http://www.unicef.org/csr/css/Children_s_Rights_in_Impact_Assessments_Web_161213.pdf			
3	UNICEF/Save the Children	2013	*Children's Rights in Policies and Codes of Conduct*	This tool recommends ways for all businesses to incorporate children's rights into their policies and codes of conduct, based on the Children's Rights and Business Principles. It is intended to be flexible and adaptable, and includes elements that companies can adopt and integrate as appropriate, based on their biggest areas of risk and opportunity.
	http://www.unicef.org/csr/css/Children_s_Rights_in_Policies_26112013_Web.pdf			
4	UNICEF	2013	*Children's Rights in Sustainability Reporting*	This tool is intended to help companies report and communicate on how they are respecting and supporting children's rights. The tool provides child rights extensions to existing GRI indicators in order to enable companies to report on children's rights using existing reporting frameworks.
	http://www.unicef.org/csr/css/Children_s_Rights_in_Sustainability_Reporting_231213_Web.pdf			
5	UNGC/UNICEF/ Save the Children	2012	*Children's Rights and Business Principles*	The first comprehensive set of principles to guide companies on the full range of actions they can take in the workplace, marketplace and community to respect and support children's rights.
	http://www.unglobalcompact.org/docs/issues_doc/human_rights/CRBP/Childrens_Rights_and_Business_Principles.pdf			
6	UNICEF	2012	*Pilot Workbook: Children are Everyone's Business*	The Workbook is a practical handbook to help companies understand and address their impact on children's rights and a handbook for anyone with an interest in understanding the close interlinkages between business and children's rights.
	http://www.unicef.org/csr/css/CSR_Workbook_A4_LR_low_res.pdf			
7	ILO	2007	*Eliminating Child Labour - Guides for Employers: Guide One, Introduction to the issue of child labour*	The first guide provides definitions, an explanation of the causes and the consequences of child labour, and the rationale for why enterprises should not employ children. In short, it provides an understanding of the issues. The two subsequent guides explain what can be done about child labour from the business point of view.
	http://www.ilo.org/public/english/dialogue/actemp/downloads/projects/child_guide1_en.pdf			
8	ILO	2007	*Eliminating Child Labour - Guides for Employers: Guide Two, Enterprises*	Guide Two is addressed to enterprises and explains their options and possible strategies for eliminating child labour.
	http://www.ilo.org/public/english/dialogue/actemp/downloads/projects/child_guide2_en.pdf			

9	ILO	2007	*Eliminating Child Labour - Guides for Employers: Guide Three, Employers' Organizations*	Guide Three is about the collective role that employers' organizations and other business associations can play in helping their members on this important topic.

http://www.ilo.org/public/english/dialogue/actemp/downloads/projects/child_guide3_en.pdf

Sectors

1	European Comission/ IBHR/Shift	2013	*Sector Guides on Implementing the UN Guiding Principles on Business and Human Rights*	The European Commission has published practical human rights guidance for enterprises in 3 business sectors: Employment and Recruitment Agencies, Information and Communication Technology and Oil and Gas. Each Guide offers practical advice on how to implement the corporate responsibility to respect human rights in day-to-day business operations in each industry through step-by-step guidance.

http://www.ihrb.org/publications/reports/ec-sector-guides/

2	DIHR	2010	*Values Added: The Challenge of Integrating Human Rights in the Financial Sector*	This publication outlines the challenges and potential for integrating human rights concepts to the work of financial institutions.

http://www.humanrights.dk/publications/values-added-challenge-integrating-human-rights-financial-sector

3	BHRRC	-	*Sector-specific Guidance*	Guidance divided into 13 different sectors.

http://www.business-humanrights.org/ToolsGuidancePortal/Sectors

4	ICMM	-	*ICMM webpage, publications section, topic: human rights*	Varios publications on human rights in the mining and metal industry.

http://www.icmm.com/publications

5	IPIECA	-	*Library*	Online library including free publications available for download.

http://www.ipieca.org/library?tid%5B%5D=7&date_filter%5Bvalue%5D%5Byear%5D=&keys=&x=11&y=13

Stakeholder Engagement

1	Shift	2013	*Bringing a Human Rights Lens to Stakeholder Engagement: Shift Workshop Report No 3*	This report is a summary of the third in a series of workshops with business leaders, co-hosted with the Corporate Social Responsibility Initiative of Harvard's Kennedy School of Government. This workshop focused on the issue of stakeholder engagement and sought to generate practical guidance for companies on what it means in practice to bring a human rights lens to stakeholder engagement.

http://www.hks.harvard.edu/m-rcbg/CSRI/research/publications/Shift-Workshop-Report-3-Bringing-a-Human-Rights-Lens-to-Stakeholder-Engagement.pdf

2	UNGC	2010	*Setting up a Multi-Stakeholder Panel as a Tool for Effective Stakeholder Dialogue*	This good practice note shares lessons learned by companies that have set up multi-stakeholder panels to encourage and improve stakeholder dialogue, both locally and globally. The note also identifies advantages, challenges and good practices.

http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/Stakeholder_Panels_Good_Practice_Note.pdf

3	IFC	2009	*Addressing Grievances from Project-Affected Communities*	This good practice note provides an expanded guidance framework for companies in dealing with stakeholder engagement. Dealing specifically with the design and implementation of grievance mechanisms, this publication addresses principles and issues that companies of any type or size may have to address when engaging in dialogue with affected communities. This document highlights a number of case studies from IFC clients, including some from the extractive and manufacturing industries.

http://www.ifc.org/wps/wcm/connect/cbe7b18048855348ae6cfe6a6515bb18/IFC%2BGrievance%2BMechanisms.pdf?MOD=AJPERES&CACHEID=cbe7b18048855348ae6cfe6a6515bb18

4	CSR Europe / RSE / The European Alliance for CSR	2009	*Proactive Stakeholder Engagement: A Practical Guide for Companies and Stakeholders*	A didactic guide to accompany actors in: better identifying the issues raised through engagement with stakeholders and choice of good practices; selecting their partners, by prioritising the mapping of issues, actors and tools; asking the right questions to enable internal implementation of commitments.

http://www.csreurope.org/system/files/Proactive%20Stakeholder%20Engagement%20-%20CSR%20Europe%20%282009%29.pdf

5	IFC	2007	*Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets*	This handbook offers good practice „essentials" for building and sustaining constructive stakeholder relationships as a means of risk mitigation, new business identification, and enhancing development outcomes. Over thirty case examples from private sector operations across regions and sectors illustrate various aspects of the engagement process.

http://www.scribd.com/doc/16903354/Stakeholder-Engagement-A-Good-Practice-Handbook-for-Companies-Doing-Business-in-Emerging-Markets-May-2007-#fullscreen

6	AccountAbility / UNEP	2006	*From Words to Action: The Stakeholder Engagement Manual*	The handbook outlines a comprehensive approach to successful and strategically aligned engagement, and includes a broad range of practical tools and templates. The Guide illuminates various groups' perspectives on engagement, and provides an in-depth examination of stakeholder engagement processes, their opportunities and challenges.

http://www.accountability.org/images/content/2/0/207.pdf
http://www.accountability.org/images/content/2/0/208.pdf

7	BSR	2001	*Guide to Engaging with NGOs* http://www.commdev.org/files/1922_file_BSR_Guide_to_Engaging_NGOs.pdf	As companies with global operations seek to enhance their corporate social responsibility efforts, many are finding value in dialogue and other engagements with nongovernmental organizations, or NGOs. This guide, developed by Business for Social Responsibility (BSR) and based on input from its company members, creates a framework for understanding the growth and evolution of these partnerships.
8	IFC	2000	*Investing in People: Sustaining Communities Through Improved Business Practice* http://www.ifc.org/wps/wcm/connect/1dc2e10048865811b3fef36a6515bb18/CommunityGuide.pdf?MOD=AJPERES&CACHEID=1dc2e10048865811b3fef36a6515bb18	This guidance publication is designed to allow private sector entities to more effectively engage with local communities and other stakeholders so as to foster sustainable development in areas affected by the entities' operations. It provides both overarching principles as well as good practice examples drawn from IFC clients.

Before Ruggie Framework

1	Human Rights Watch/Center for Human Rights and Global Justice	2008	*On the Margins of Profit* http://www.hrw.org/reports/2008/02/18/margins-profit-0	It illustrates how everyday business decisions have significant implications for the human rights of workers, local communities, suppliers, and consumers.
2	Aim for Human Rights	2007	*Best Practice Guide to the Human Rights Compliance Assessment* http://www.larrge.eu/uploads/tx_larrgeguide/HRB_Best_Practice_Guide_def.pdf	The guide is based on practical experiences of companies with the Human Rights Compliance Assessment tool. It illustrates how the Human Rights Compliance Assessment has been applied within the management system of these companies.
3	Rights and Democracy	2007	*Human Rights Impact Assessments for Foreign Investment Projects: Learning from Community Experience in the Philippines, Tibet, the Democratic Republic of Congo, Argentina, and Peru* http://publications.gc.ca/collections/collection_2007/dd-rd/E84-21-2007E.pdf	This publication explores the relationship between foreign investment and human rights, it is based on a draft methodology of impact assessment as applied to five case studies.
4	BLIHR/UNGC/ OHCHR	2006	*A Guide for Integrating Human Rights into Business Management, 1st Edition* http://www.unglobalcompact.org/resources/13	The publication is based on the accumulated experience of the ten companies in the BLIHR on implementing human rights. This experience is supplemented with practical examples of human rights implementation.

5	Chris Avery (Founder & director of the BHRRC)	2006	*The difference between CSR and human rights*	Chris Avery's view on the relationship between CSR and human rights.
	http://www.reports-and-materials.org/Avery-difference-between-CSR-and-human-rights-Aug-Sep-2006.pdf			
6	IBLF	2005	*Human Rights: It is your Business*	This paper summarizes societal expectations of business with respect to human rights and describes evolving good practice on how the corporate response can be managed effectively and efficiently.
	http://commdev.org/files/1154_file_Human_Rights_It_Is_Your_Business.pdf			
7	CSR Europe / BSR	2001	*Measuring and Reporting on Corporate Performance on Human Rights*	This joint publication describes efforts to develop ways of measuring companies' performances on human rights. The report sets out why such measurements are important and raises questions concerning the difficulties of quantifying progress
	http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/Measuring_Human_Rights.pdf			
8	Amnesty International / The Prince of Wales Business Leaders Forum	2000	*Human Rights: Is it any of your Business?*	A comprehensive and practical introduction to the human rights issues and dilemmas that affect companies across their operations. Targeted at company managers.
	http://www.amnesty.org/es/human-rights-education/resource-centre/download/SEC01%2C022%2C2008/en/pdf			
9	Amnesty International	1998	*Human rights principles for companies*	This document deals with the responsibility multinational companies have to promote and protect human rights in their own operations. It recommends the development of explicit company policies, training, consulting non-governmental organizations and impact assessments.
	http://www.amnesty.org/en/library/asset/ACT70/001/1998/en/8d6c82f3-e81c-11dd-9deb-2b812946e43c/act700011998en.pdf			

	Name of Organization > Section of Website	Link
1	Amnesty International	http://www.amnesty.org/
2	BLIHR	http://www.business-humanrights.org/Categories/Companypolicysteps/Other/BusinessLeadersInitiativeonHumanRightsBLIHR
3	Business and Human Rights Resource Center	http://www.business-humanrights.org/Home
4	Business in the Community > Resources	http://www.bitc.org.uk/our-resources/research-reports
5	Business of a better world	http://www.bsr.org/en/
6	Center for Human Rights and Global Justice	http://chrgj.org/
7	CSR Europe > Business tools and practices	http://www.csreurope.org/get-equipped
8	Deutsches Global Compact Netzwerk > Ressourcen	http://www.globalcompact.de/ressourcen?tid_1=All
9	Deutsches Institut für Menschenrechte > Publikationen	http://www.institut-fuer-menschenrechte.de/en/publications.html
10	ESCR-Net > Issues & Resources	http://www.escr-net.org/cat/i/1328
11	Ethical Corporation > All articles about human rights	http://www.bsr.org/en/topic/channel/all/human-rights
12	Ethical Trading Initiative	http://www.ethicaltrade.org/
13	European Commission > Business and Human Rights	http://ec.europa.eu/enterprise/policies/sustainable-business/corporate-social-responsibility/human-rights/index_en.htm
14	Global Business Initiative on HR	http://www.global-business-initiative.org/
15	Global Exchange	http://www.globalexchange.org/
16	Global Witness	http://www.globalwitness.org/
17	Harvard Kennedy School > Corporate Social Responsibility Initiative > Research and Publications	http://www.hks.harvard.edu/m-rcbg/CSRI/research/research.html
18	Human Rights Watch > Publications	http://www.hrw.org/publications/reports
19	ICCA > Publications	http://cca-institute.org/publications/
20	IFC > Publications	http://www.ifc.org/wps/wcm/connect/Publications_EXT_Content/IFC_External_Publication_Site/Publications_Listing_Page?languagesubjectsregions=&languages=All+Languages&subjects=All+Subjects&regions=All+Regions
21	Institute for Human Rights and Business > Publications > Reports	http://www.ihrb.org/publications/reports/index.html
22	International Alert	http://www.international-alert.org/
23	International Labor Organization > Library	http://www.ilo.org/public/english/support/lib/index.htm
24	IPIECA > Library	http://www.ipieca.org/library?tid%5B%5D=7&date_filter%5Bvalue%5D%5Byear%5D=&keys=&x=11&y=13
25	LSE Human Rights	http://www.lse.ac.uk/humanRights/home.aspx
26	Nomogaia > Tools	http://nomogaia.org/tools/#item5
27	OECD	http://www.oecd.org/
28	Realizing Rights	http://www.realizingrights.org/
29	Right2respect	www.right2respect.com
30	Shift > Resources	http://shiftproject.org/resources
31	Social Accountability International	http://www.sa-intl.org/
32	The Danish Institute for Human Rights > Publications & Reports	http://www.humanrightsbusiness.org/publications+-c12-+results
33	Twentyfifty Ltd.	www.twentyfifty.co.uk
34	United Nations Global Compact > About Us > Tools & Resources > Human Rights	http://www.unglobalcompact.org/AboutTheGC/tools_resources/humanrights.html
35	United Nations Global Compac > Issues > Human Rights > Guidance Material	http://www.unglobalcompact.org/Issues/human_rights/Tools_and_Guidance_Materials.html#general