

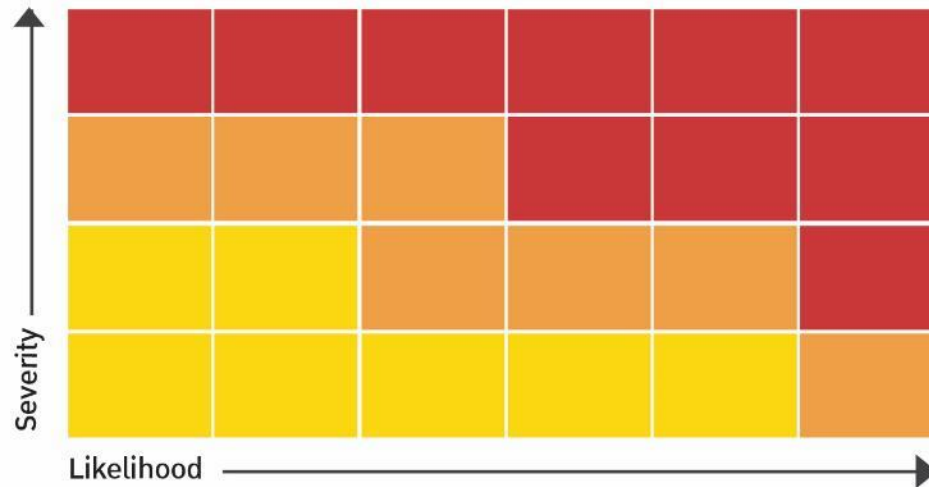
# Key takeaways

Day #1

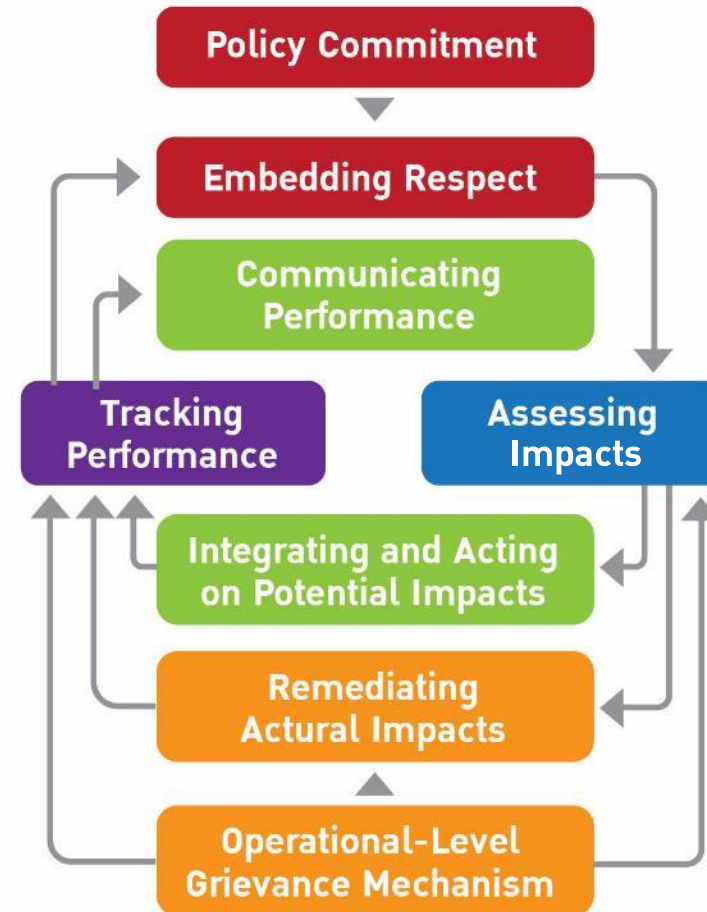
2<sup>nd</sup> March, 2021

Integrating human rights into risk management of investors and banks  
Learn about the due diligence process through case studies and international best practices

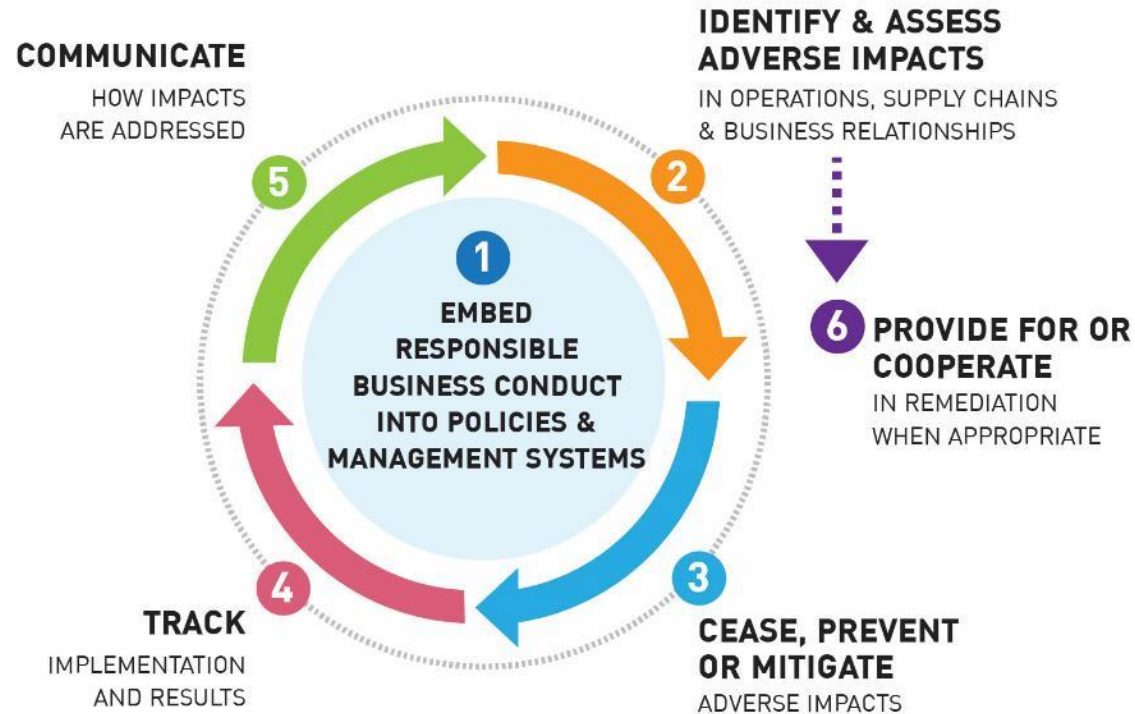
## ① Human Rights in Business Heat Map



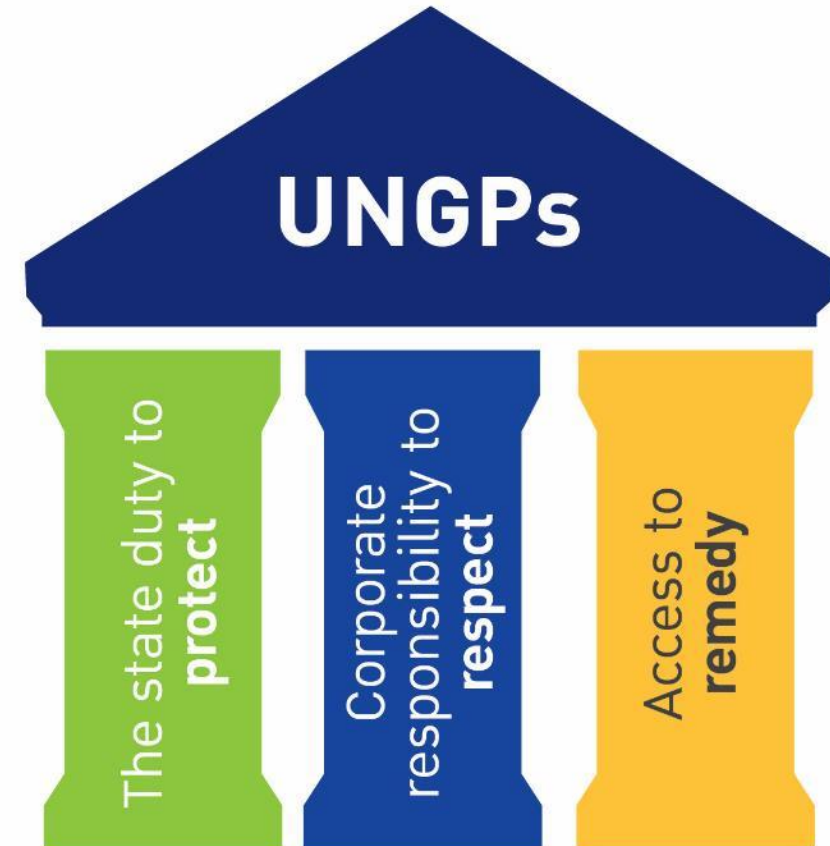
## ② Common Framework in putting Human Rights into business picture



# Guiding principles



OECD Responsible Business Conduct



UN Guiding principles on Business and Human Rights





## Oil and Gas Sector Guide on Implementing the UN Guiding Principles on Business and Human Rights



## Analytical Framework for Assessing Potential Impacts of Company Activities on Stakeholder Groups

	Company Workers	Supply Chain/ Contractor Workers	Affected Communities	Vulnerable or Marginalised Groups	Other Relevant Groups...
Land Acquisition/ Resettlement	E.g., Staff are required to carry out resettlement processes amidst strong resistance and conflict with affected communities, exposing them to risks to their safety – <i>Rights to Life, Liberty and Security of the Person, Right to Highest Attainable Standard of Health</i>	E.g., Contractor staff from local communities are involved in activities to acquire land in the face of local opposition, exposing them to retaliation by other community members – <i>Right to Security of the Person</i>	E.g., Compensation policies and processes are flawed, such as compensating for crops not land, below market rate compensation, or failure to compensate individuals who hold customary title to the land – <i>Right to an Adequate Standard of Living, Right to Housing</i>	E.g., Land acquisition process does not allow sufficient time to consult meaningfully with indigenous peoples, and obtain their consent where necessary – <i>Rights of Indigenous Peoples, including Right to Self-Determination and Cultural Property rights</i>	
Drilling/ Seismic Testing	E.g., Staff are pressured to obtain access agreements from resistant local landowners under extreme time pressure, leading to severe stress – <i>Right to Highest Attainable Standard of Health</i>	E.g., In remote areas, contractor staff are provided with poor living and housing conditions in worker camps – <i>Right to Just and Favourable Conditions of Work, Right to Highest Attainable Standard of Health</i>	E.g., Communities have restricted access to land/ fishing grounds due to drilling/ dredging activities/ seismic campaigns and are not provided with appropriate compensation – <i>Right to an Adequate Standard of Living, Right to Food, Right to Liberty of Movement</i>	E.g., Seismic testing results in destruction of sacred sites or places of cultural heritage belonging to indigenous peoples – <i>Rights of Indigenous Peoples, including Right to Self-Determination and Cultural Property rights</i>	
Construction of Facilities/Pipelines	E.g., Staff are pressured to work excessive amounts of overtime, or to abstain from taking religious holidays, to meet a project schedule – <i>Right to Just and Favourable Conditions of Work, Non-discrimination</i>	E.g., Migrant workers' passports are taken away by recruitment and employment agencies supplying workers for construction, and/or such workers are subjected to high fees, placing them in a position of bonded labour – <i>Freedom from all forms of Forced or Compulsory Labour</i>	E.g., Access to land needed for cattle grazing is restricted due to a pipeline route, with inadequate consultation and compensation; or the pipeline route blocks children's route to school, with inadequate consultation and mitigation measures – <i>Right to an Adequate Standard of Living, Right to Education</i>	E.g., Failure to prepare for influx of mostly male construction workers results in increased sexual exploitation/abuse against local women and children and a rise in HIV/ AIDS – <i>Rights to Life, Liberty and Security of the Person, Prohibition Against Torture, Cruel, Inhuman or Degrading Treatment, children's rights (eg Freedom from Sexual Exploitation), Right to Highest Attainable Standard of Health</i>	
Environmental Management	E.g., Staff are exposed to petrochemicals without adequate preparation and training for handling potential industrial risks – <i>Right to Highest Attainable Standard of Health</i>	E.g., Contractor staff lack adequate protective equipment during the clean up of spills/leakages – <i>Right to Highest Attainable Standard of Health, Right to Just and Favourable Conditions of Work</i>	E.g., Air and water emissions are not effectively controlled, impacting on local community's land and environment – <i>Right to an Adequate Standard of Living, Right to Highest Attainable Standard of Health, Right to Food, Right to Access to Clean Water and Sanitation</i>	E.g., Due to the new location where communities have been resettled, women and children are required to travel greater distances to secure water supplies without protection – <i>Rights to Life, Liberty and Security of the Person, Right to Adequate Standard of Living, Right to Water and Sanitation</i>	



## The CEO Water Mandate

### Guidance for Companies on Respecting the Human Rights to Water and Sanitation:

Bringing a Human Rights Lens to Corporate Water Stewardship

January 2015  
BETA VERSION



**Shift**  
Putting Principles into Practice

#### Case Example 1:

**Lack of access to water and/or sanitation services in the workplace—** Some workplaces lack adequate sanitation facilities or access to potable water. This can lead to more severe impacts on migrant or other workers who live on-site in company dormitories. A lack of sanitation facilities may particularly impact women.

#### Impacts on Dimensions of the HRWS

- ☒ Availability
- ☒ Accessibility
- ☒ Quality and Safety
- ☒ Acceptability
- ☐ Affordability

CAN ALSO LEAD TO...

#### Impacts on Associated Human Rights

May include:

Impacts on **right to health** if inadequate nutrition and/or hygiene results from insufficient water or sanitation facilities. These impacts may be particularly severe for some individuals, such as those living with health conditions (e.g., HIV).

Impacts on the **right to life** in extreme cases, where the lack of access to water prevents implementation of proper safety procedures (e.g., in responding to accidents).

Particular impacts on **women's rights to privacy and physical safety**, if there is inadequate provision for menstrual hygiene or the location and design of latrines fails to take account of their needs.

#### Impact as understood in Corporate Water Stewardship Terms

Inadequate or nonexistent water or sanitation services and facilities for employees. This may include inadequate access for workers in factories, as well as for farmers in agricultural employment contexts.



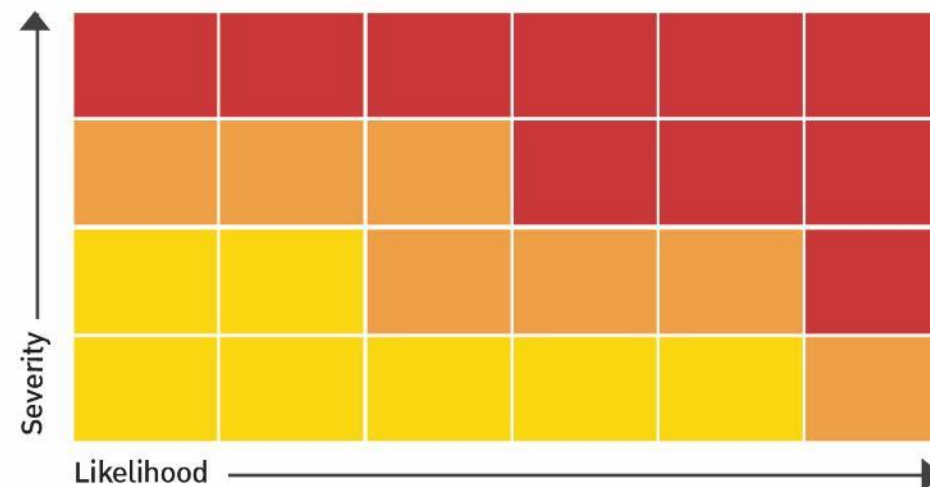
- food for thought

## HR assessment for Heat Map Development: **Fishery Industry**

	Best practices	Corresponding human rights	Current	Areas for improvement
1 Human Resources				
Salaries	Above minimum and living wage	1. Rights to work 2. Rights to standard of living		
Gender	Gender balance	1. Rights to work		
Disability	Employ vulnerable			
2 Community Impact				
Communitiy	Existing of formal grievance mechanism to express concern	1. Rights to freedom of expression 2. Rights to fair hearing		
3 Sourcing of raw materials				
Labour	<ul style="list-style-type: none"><li>• Fair labours</li><li>• Improvement of labour livelihoods</li></ul>	<ul style="list-style-type: none"><li>• All rights</li></ul>		

- food for thought

## Human Rights Risk (Heat) Map for Prioritizing Action



# Six prominent speakers



**Dr. Harpreet Kaur,**  
UNDP



**Barbara Bijelic,**  
OECD



**Matthew McAdam,**  
PRI



**Rosemary Bissett,**  
National Australia Bank



**Jaideep Singh,**  
APG Asset Management



**Ghislaine Nadaud**  
Visiting Researcher at  
Asia Pacific Centre for  
Environmental Law -  
National University  
of Singapore

## Joint Webinar on Integrating Human Rights into Risk Management

### 2 and 4 MARCH 2021

Integrating human rights into risk management of investors and banks  
Learn about the due diligence process through case studies and international best practices

**2 MARCH 2021**

09:30-09:40 Opening remarks  
"Dr.Srikanya Yathip"  
Government Pension Fund [GPF]

**Introduction on human rights**

09:40-10:10 Overview of human rights (UNDP)

10:10-10:30 Significant human rights for investors and banks (UNDP)

**Managing human rights risks for investors and banks**

10:40-11:00 Framework for banks (OECD)

11:00-11:20 Framework for investors (PRI)

11:20-11:40 Sharing experiences of international banks (NAB)

11:40-12:00 Sharing experiences of international investor (APG AM)

**Deep dive on human rights due diligence by sectors/themes and showcases on how policies are applied in practice**

13:30-14:50

- Agriculture and fisheries
- Supply chain
- Modern slavery & human trafficking

14:50-15:00 Closing remarks  
"Dr.Srikanya Yathip"  
Government Pension Fund [GPF]

**4 MARCH 2021**

10:30-11:00 Opening remarks & Key takeaways from Day 1  
"Dr.Srikanya Yathip"  
Government Pension Fund [GPF]

**The roles of asset owners on human rights**

11:00-11:20 Sharing experience from practitioners  
"Dr.Srikanya Yathip"  
Government Pension Fund [GPF]

**ESG assessments and tools for investors**

11:20-11:40 MSCI ESG Ratings: Tool for investors [MSCI]

11:40-12:00 Quantifying social and environmental impacts of investments [Schrodgers]

**How Thai corporates are tackling human rights challenges**

13:30-13:45 Keynote speech  
"Dr.Pakorn Peetathawatchai"  
The Stock Exchange of Thailand (SET)

13:45-13:55 Financial inclusion at the Bank of Sustainability (KBANK)

13:55-14:05 Tackling modern slavery risks in supply chains (TU)

14:05-14:15 Building the future for children (SIRI)

14:15-14:45 **Panel:**

- Key challenges for Thai corporates in managing human rights and social risks
- The way forward on Human right (GPF, KBANK, TU, SIRI)

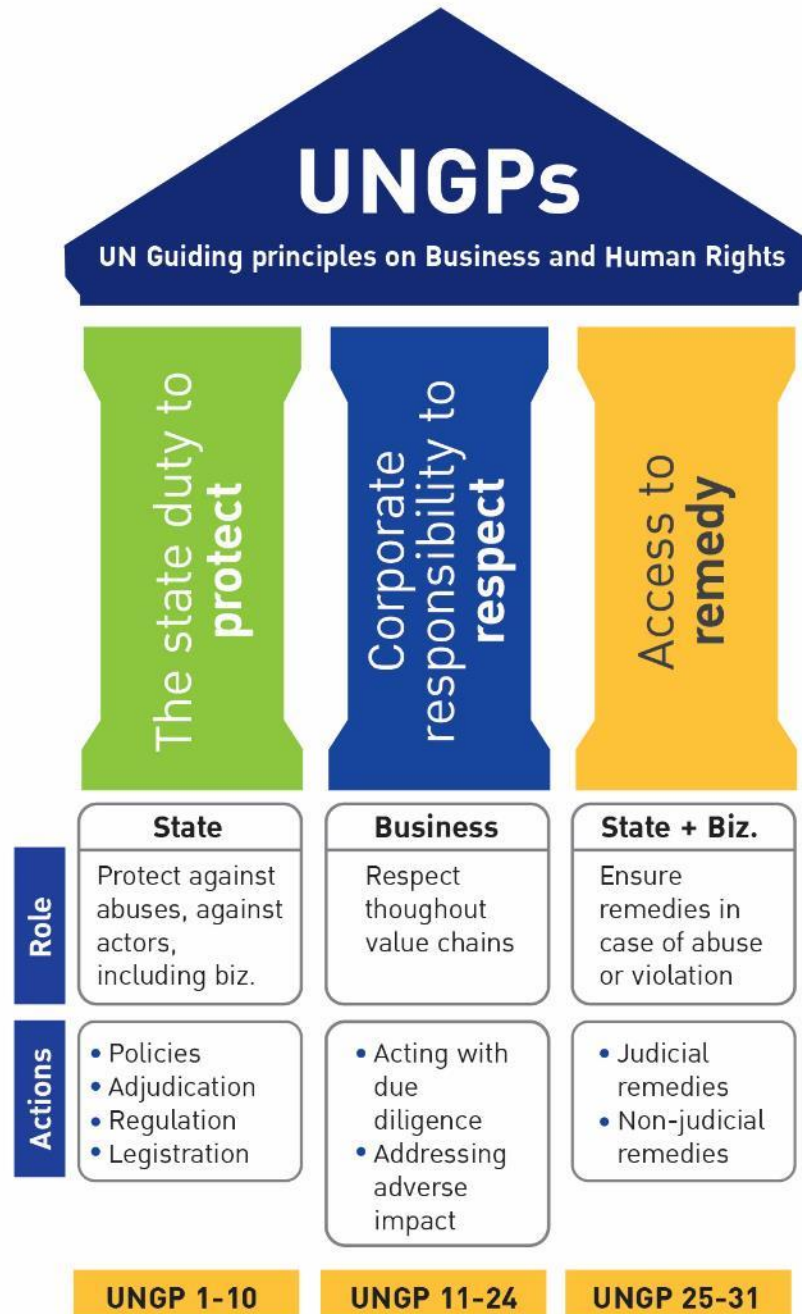
14:45-15:00 Key summary and closing remarks  
"Dr.Srikanya Yathip"  
Government Pension Fund [GPF]

**REGISTER**

Should you require more webinar information, please scan our QR code or contact [seminar@gpf.or.th](mailto:seminar@gpf.or.th) or Tel: +66 65 236 5599



**Dr. Harpreet Kaur,**  
UNDP



### The corporate responsibility to respect

1. Avoid infringing on human rights (do no harm)
2. Address adverse human rights impact

### Expected actions

1. **Policy commitment** (management approval, comprehensive, inclusive implementation, consistency, accountability and review)
2. **Human rights due diligence**
3. **Process to enable remediation** of any adverse human rights impacts
4. **Avoid causing or contributing** to adverse human rights impact
5. **Seek to prevent or mitigate** adverse impacts that links to operations, products or services

Source: pictures : <https://rhr-ca.com/Home/AboutUs>

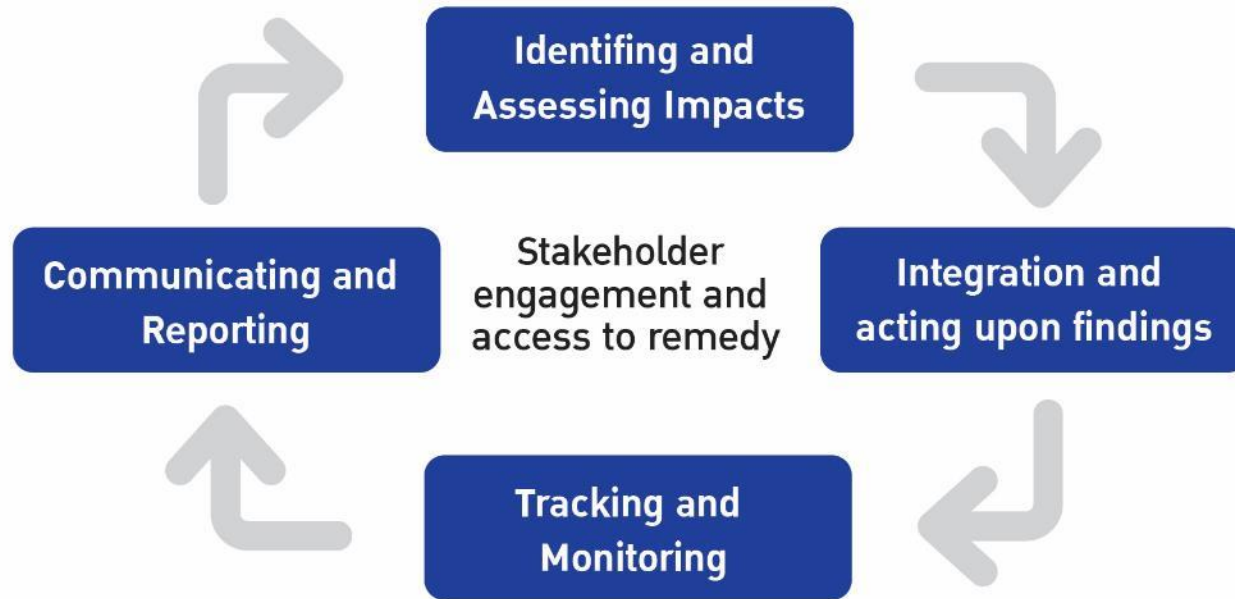




**“Justice delayed is Justice denied.”**

**Dr. Harpreet Kaur,**  
UNDP

*Policy commitment to Human rights*



**Human rights due diligence – the steps**

## **Risk for human rights for the financial sectors**

1. Discrimination in lending practices
2. Customer due diligence
3. Sector due diligence
4. Bribery and corruption
5. Large-scale infrastructure and land developments
6. Commodities investing
7. Customer and employee privacy
8. Supply chains and modern slavery/human trafficking

## **UNEP FI's Tools on Human Rights for Financial institutions**

<https://www.unepfi.org/social-issues/human-rights-tool/>

## **OHCHR's guidance**

<https://www.ohchr.org/Documents/Issues/Business/InterpretationGuidingPrinciples.pdf>

## **the website tracks companies on their human rights record and provide tools ad resources**

[www.business-humanrights.org](http://www.business-humanrights.org)

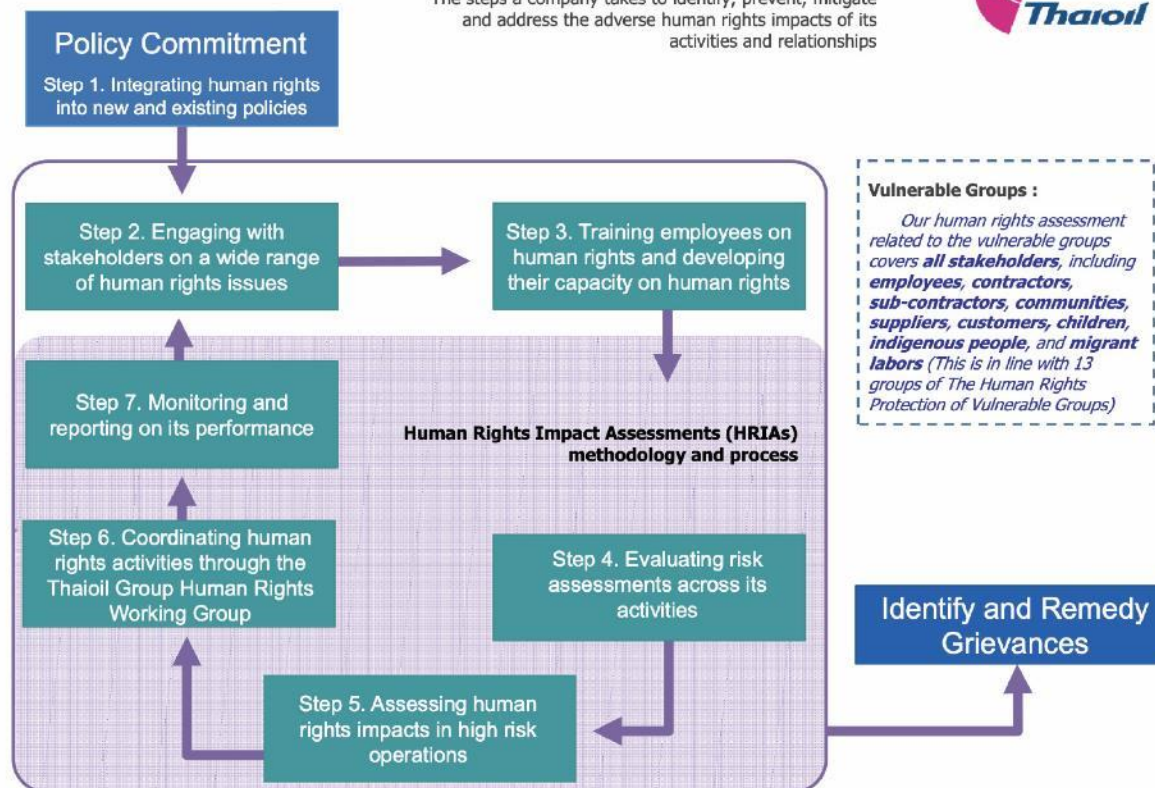
### **OtherResources**

1. [https://media.business-humanrights.org/media/documents/files/documents/2017\\_12\\_Thun\\_Group\\_of\\_Banks\\_Paper\\_UNGPs\\_13b\\_and\\_17.pdf](https://media.business-humanrights.org/media/documents/files/documents/2017_12_Thun_Group_of_Banks_Paper_UNGPs_13b_and_17.pdf)
2. <https://www.banktrack.org/>



## Thaioil Group's 7-steps Human Rights Due Diligence

The steps a company takes to identify, prevent, mitigate and address the adverse human rights impacts of its activities and relationships



## Human Rights Impact Assessments and Management (HRIAM)

Step 5. Assessing human rights impacts in high risk operations



Step 4. Evaluating risk assessments across its activities

Step 6. Coordinating human rights activities through Thaioil Group Human Rights Working Group

Step 7. Monitoring and reporting on its performance

### 1. Thaioil Group's approach to human rights.

- 1.1 Thaioil Group's corporate commitments.
- 1.2 Thaioil Group's 7 Steps Human Rights Due Diligence Program.
- 1.3 Human rights impact assessments (HRIAs).

### 2. HRIAs methodology and process.

- 2.1 Aligning with the UN Guiding Principles on Business and Human Rights.
- 2.2 Form scoping risks to tracking remediation actions.

### 3. Scoping human rights risks.

- 3.1 Understanding Company-level human rights issues.
- 3.2 Identifying Thaioil Group's business activities.
- 3.3 Mapping external stakeholders.

### 4. Assessing actual and potential human rights impacts.

- 4.1 Assessing human rights impacts through 6 functional areas (stakeholder owner).
- 4.2 Covering Thaioil Group's facilities and supply chains.
- 4.3 Engaging with rights-holders and stakeholders.

### 5. Integrating and acting upon the findings.

- 5.1 Best practices and areas for improvement identified.
- 5.2 Remediation actions implemented at the operations and Company-levels.
- 5.3 Area-specific case studies (if any).

### 6. Tracking responses and communicating how impacts are addressed.

- 6.1 HRIAs Reports and Action Plans.
- 6.2 The challenge of communicating results.

### 7. Mainstreaming human rights into Thaioil Group's policies and procedures.





Sustainability (Corporate)  
SME (Business)

Sustainability (Corporate)  
SME (Business)

SME &  
Sustainability

**Commitment**  
PTT Group SM Framework

**Assess Impacts**  
Risk & Impact Assessment

**Reporting**  
Exposure, Issues, Management  
Approach, Performance



**Integrate**  
Mitigation Measures,  
Management System Framework

**Track & Monitor**  
Compliance Management  
Third Party Audits

**Grievances**  
Complaint Management /  
Crisis Management

## PTT group's Human Rights Management

## Process of risk assessment



## HR risk assessment

### 1 Impact Level

Critical

Major

Moderate

Minor

### 1 Likelihood Level

Likely (>25%)

Possible (10-25%)

Unlikely (1-10%)

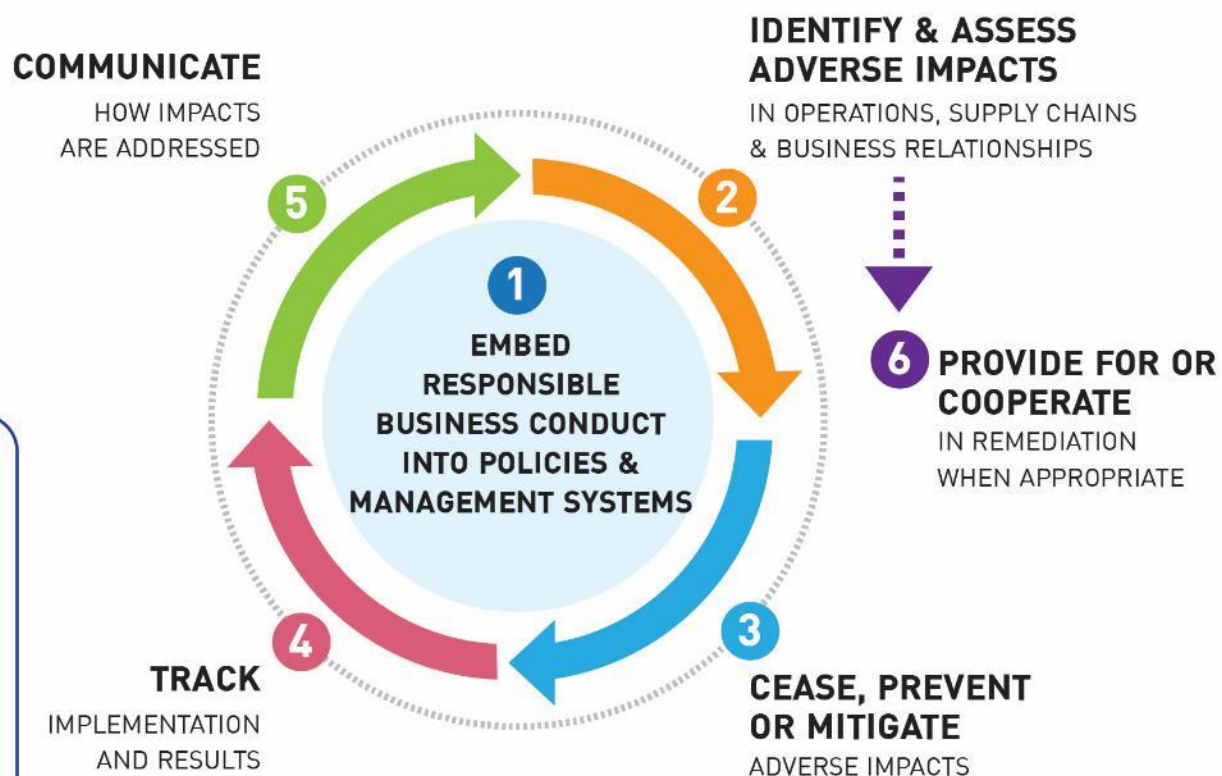
Rare (<1%)



**Barbara Bijelic,**  
OECD

## Due diligence process....

- Is **mandatory** and **National Mandatory** in Europe
- Is also known as **Supply Chain Responsibility**
- Is a continuous process
- Help to identify risk relating to human rights, labour rights and environment
- Aim to end, prevent and mitigate those risks.



## OECD Due Diligence process



**Link to download the document**

[http://mneguidelines.oecd.org/  
OECD-Due-Diligence-Guidance-  
for-Responsible-Business-Conduct.pdf](http://mneguidelines.oecd.org/OECD-Due-Diligence-Guidance-for-Responsible-Business-Conduct.pdf)



Matthew McAdam,  
PRI

Human rights are a **universal rights** and **inter-related**.



<https://www.unpri.org/human-rights-and-labour-standards/why-and-how-investors-should-act-on-human-rights/6636.article>





**Matthew McAdam,**

PRI

## HOW TO RESPECT HUMAN RIGHTS IN INVESTMENT ACTIVITIES

Institutional investors have a three-part responsibility to respect human rights:

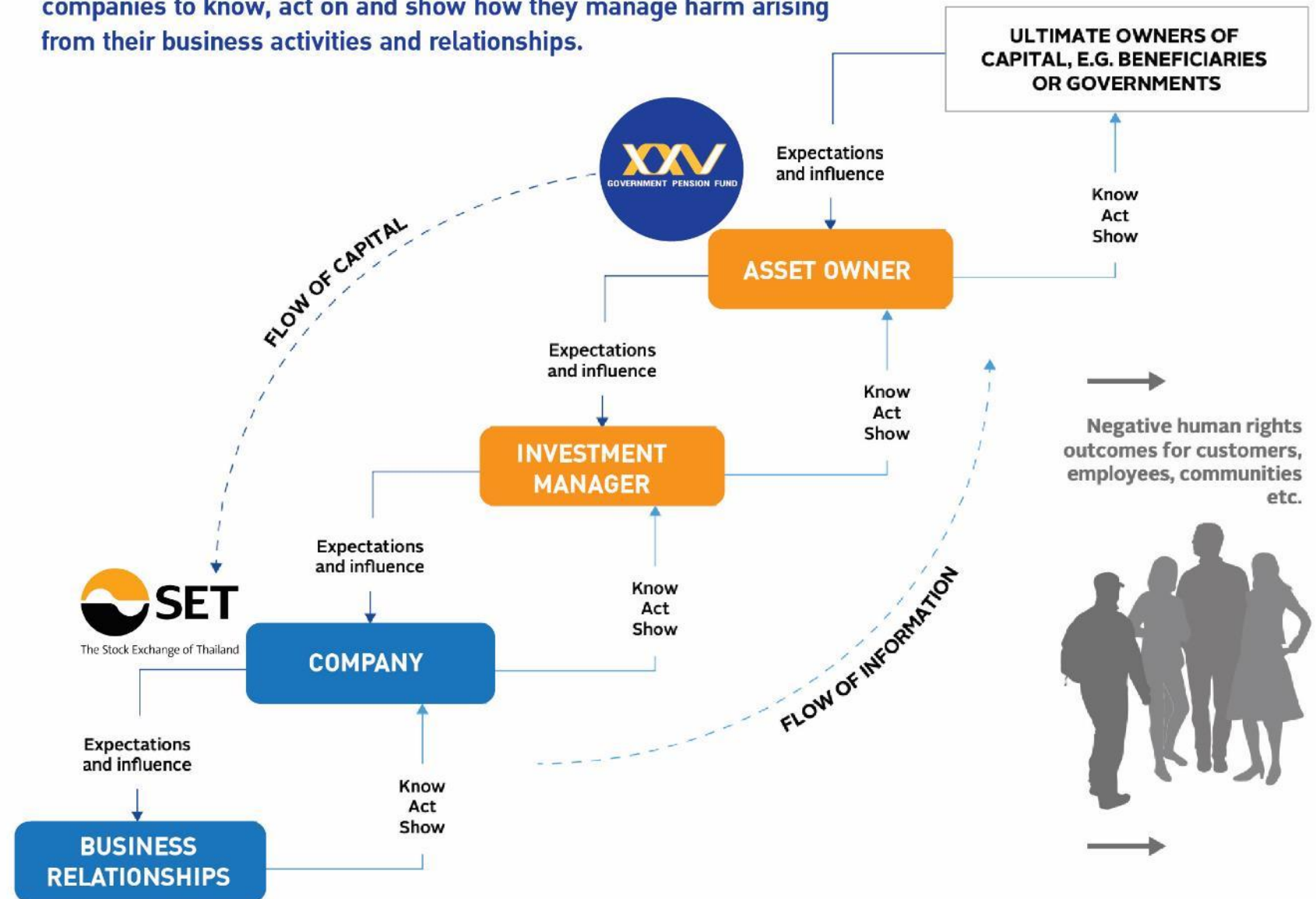
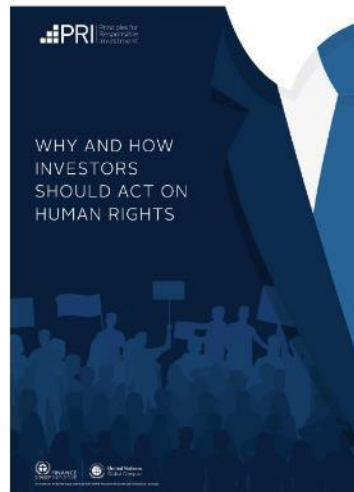
1. **policy commitment;**
2. **due diligence processes;**
3. **enabling or providing access to remedy.**

POLICY	DUE DILIGENCE PROCESSES				ACCESS TO REMEDY
Adopt a policy commitment to respect internationally recognised human rights	Identify actual and potential negative outcomes for people, arising from investees	Prevent and mitigate the actual and potential negative outcomes identified	Track ongoing management of human rights outcomes	Communicate to clients, beneficiaries, affected stakeholders and publicly about outcomes, and the actions taken	Enable or provide access to remedy

To effectively implement the due diligence and access to remedy requirements, investors can use their investment decisions, stewardship of investees and dialogue with policy makers and other stakeholders. To understand their exposure and the actions required, investors need to request information from throughout the value chain: from their investment managers, other service providers and/or investees. Investors set expectations and influence others – to know, act on and show how they manage harm to people arising from their business activities and relationships.

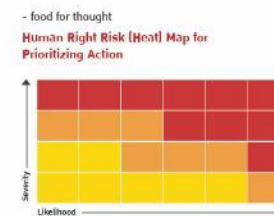


Simplified value chain: investors set expectations and influence companies to know, act on and show how they manage harm arising from their business activities and relationships.





Food for thought			
HR assessment for Heat Map Development: <b>Fishery Industry</b>			
	Best practices	Corresponding human rights	Current
<b>1 Human Resources</b>			
Salaries	Above minimum and range wages	1. Right to work 2. Right: reasonable living	
Gender	Gender balance	1. Right to work	
Disability	employ wheelchair		
<b>2 Community impact</b>			
Community	Building of formal generation mechanism to express concern	1. Right to freedom of expression 2. Right to fair hearing	
<b>3 Sourcing of raw materials</b>			
Labour	• Fair labour • improvement of labour conditions	• All rights	



## “Our common frameworks? Our Heatmap?”

## Transform industry

Majority of PRI signatories are implementing the UNGPs

### Year 2-3

## Year 1

## Seed understanding

Investors understand and start implementing the UNGPs

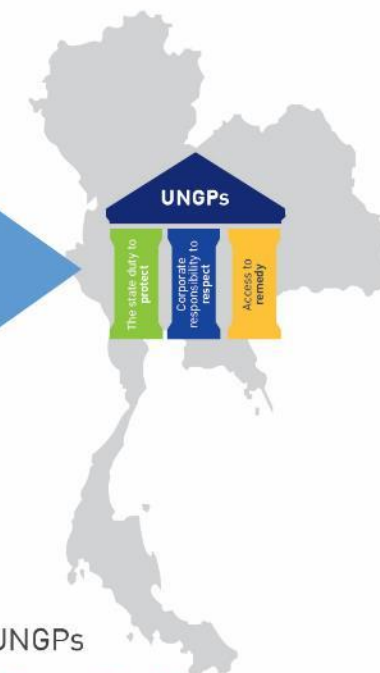
## “Our webinars ?”

Year 4

- Full respect

All PRI signatories respect human rights as defined in the UNGPs

**Business and Investors in Thailand fully  
RESPECT human rights as defined  
in the UNGPs**







**Rosemary Bissett,**  
National Australia Bank



## “Integrate Human Rights with Risk Management Process”

- **Material risk owners** are expected to establish appetite, processes and control to oversee, monitor, and report ESG risks.
- **Key elements of risk management process:** be informed [identify and assess potential ESG risks), set risk appetite & policy, manage risk, monitor and report, review risk appetite & policy processes and control and back to ‘be informed’]
- **Business connection:** if a company... “has caused or may cause an impact”... then it should ..prevent or mitigate the impact” and...’remediate the harm if the impact has occurred.”



## Definitions

- human trafficking
- slavery or servitude
- force and/or compulsory labour
- forced begging
- **debt bondage**
- bonded labour
- forced marriage, the worst forms of child labour (and exploitation including sexual exploitation)



**Rosemary Bissett,**  
National Australia Bank



**Possible exposure points to modern slavery for a Financial institutions**



**Rosemary Bissett,**  
National Australia Bank

## MANAGING MODERN SLAVERY RISK

NAB is taking a risk-based approach to understanding, assessing and addressing the potential human rights impacts of business relationships and transactions.

- Incorporated reference to modern slavery in our Human Rights Policy and Group Procurement policies.
- Modern slavery is included in annual Risk Awareness training.
- Training for NAB's KYC and Financial Crime Due Diligence (DD) and Investigations teams. The NAB FCO Major Investigations team developed an Investigations Guide for Fin. Crime investigation and DD.
- UAR reports can be raised by staff and are investigated by NAB's Investigations teams.
- Incorporated modern slavery within NAB's Whistleblower program (so we can protect – to the best of our ability – our people and any modern slavery victims that may become known to NAB in the course of doing business).
- NAB has implemented risk management processes to identify, assess, mitigate and monitor potential risk areas where it could be exposed to human rights concerns, including modern slavery and human trafficking – in third-party risk management/sourcing/ lending activities.
- Modern slavery questions have been incorporated into ESG risk checklists for lending.
- NAB has taken action to ensure key products are purchased from responsible suppliers. This includes purchase of:
  - office consumables such as tea, coffee, sugar, and cocoa supplied in kitchens
  - corporate clothing
  - print and promotional goods and services.
- Participating in industry working groups (ABA, RIAA, UNGCA) and government consultations.
- Published modern slavery statements: <https://www.nab.com.au/about-us/social-impact/modern-slavery-statement>

**NAB has a global supply chain made up of around **1,830** contracted suppliers.**

**NAB & BNZ are among the largest corporate purchasers of **Fair Trade** tea, coffee, sugar and cocoa**





**Rosemary Bissett,**  
National Australia Bank



# EQUATOR PRINCIPLES

**Financial industry benchmark for  
determining, assessing and  
managing environmental and social  
risk in projects**

<https://equator-principles.com/wp-content/uploads/2021/02/The-Equator-Principles-July-2020.pdf>



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**Jaideep Singh,**

APG Asset Management



- APG is a pension administrator managing the pensions of 4.7 million people on behalf of a number of pension funds.
- Responsible investor during Covid 19
  - Purchased Covid 19 bonds (approx. half a billion euros) to support care institutions and SMEs suffering the consequence of the crisis.

**“For Asian companies, a dialogue with shareholders is not self-evident”**



**Sustainability specialist Jaideep Panwar on APG's CO<sub>2</sub> ambitions in South-East Asia**

## **Is engagement in Asia different than in Europe or the United States?**

“Asia is a continent with huge differences. On the one hand, there are emerging economies such as the Philippines, India and Indonesia, and on the other hand, there are wealthy and highly developed countries such as Japan and South Korea. Malaysia, Thailand and China are situated somewhere in between. However, in all these countries the same holds true: that is not that common for companies to enter into a dialogue with their shareholders, as has been normal practice in Europe and the US for many decades now. This means we have to make greater efforts in order to get our voice as a shareholder heard. Another characteristic of Asian markets is that certain families or the government often hold a substantial stake in companies. In this respect there are similarities with Europe. In the US, the UK and Australia, company ownership tends to be spread more widely.”





**Jaideep Singh,**

APG Asset Management

- APG manages Dutch pension fund, global asset manager, multiple classes
- Long-term liability ► put ESG in the framework
- **Inclusion approach:** expect to meet ESG standards in all aspects, if not will do 'engagement', if still not 'divest'
- **Main frameworks:** corporate governance and human rights.
- **Implementing human rights policies in ASEAN**
  - ESG is not new but ASEAN tend to be a small part of the overall mix. It's changing, though.
  - Local investors are working on global standards.
  - The challenges: the supply chain is very diverse, migrant labors
  - The question is where the landscape is changing.





**Jaideep Singh,**

APG Asset Management



## **What are the dilemmas you face on the path towards greater sustainability?**

“That path is very much an uphill struggle. On the one hand we look at change in the long term for a more sustainable future from the investor perspective, and on the other hand we ask companies to take action now. During the current pandemic, the management often also has other priorities: keeping the company intact and ensuring that its employees are taken care of. Also, it is impossible to set the same sustainability criteria for all countries. In poor countries, with a lower average energy consumption and less environmental legislation, we must choose a different approach. A solution is needed to help poor countries finance the adaptation of their infrastructure to climate change. That brings us to the greatest dilemma I am struggling with: choices for a more sustainable direction have a large impact on people who have not yet had the chance to benefit from industrialization and economic prosperity. We have to strike a balance in that respect. Let’s hope that a combination of cleaner technologies, a growing willingness to finance them and a shift among businesses from fossil to renewable energy will lead the way to a more sustainable future, in which wealth and well-being are spread more evenly. In Asia and the world at large.”



**Ghislaine Nadaud**

Visiting Researcher at Asia Pacific  
Centre for Environmental Law -  
National University of Singapore

## Company Y

- Based in Indonesia
- A mid-tier palm oil trader
- Sources palm oils from other companies in Indonesia
- Sell in asian market
- Request a loan
- Have few plantation and Plan to expand

## Company Z

- Key buyer of Y
- One of the largest palm oil companies in the world.
- Export 40% to China, 30% to Europe
- Unilever and Nestle are off-taker from the company.



## Palm oil case study

### News: Palm oil: global brands profiting from child and forced labor.

“the world’s most popular food and household companies are selling food, cosmetics and other everyday staples containing palm oil tainted by **shocking human rights abusers** in Indonesia with children as young as eight working in hazardous condition, said the Amnesty International.”

### 1. Select the 2 most significant human rights risks you identify in this case study (Multiple choice)







**Ghislaine Nadaud**

Visiting Researcher at Asia Pacific  
Centre for Environmental Law -  
National University of Singapore

**1. How do you create leverage on human rights within your organization?**

Select the first 2 things you will do internally within your organization to create leverage. (Multiple choice)



**2. How do you create leverage on human rights within your organization?**

Select the first 2 things you will do with external stakeholders to create leverage. (Multiple choice)







**Ghislaine Nadaud**

Visiting Researcher at Asia Pacific  
Centre for Environmental Law -  
National University of Singapore

## How to identify & assess adverse human rights impacts?

**complicated** and **involved**  
**many players**

## How do you **create** **leverage** on human rights within your organization?

1. **Cease, prevent, or mitigate** via leverage
2. **Set tone at the top** (internally and externally)
3. Via **client** engagement
4. Via engagement with **NGOs**
5. Other leverage **tools**:  
transparency, capacity building, Human rights related **KPIs**

# Day#1: Key summary

- ① **Human rights are universal rights and inter-related.** They are rights to organize, to equal pay, to living wage, to be informed, to water and sanitation, to privacy to prevention of discrimination
- ② **UNGP** : Three pillars [**state** 'protect', **business** 'respect', **state + Business** 'ensure remedies']
- ③ **Modern Slavery, Material Risk Owners**
- ④ **Expected actions from business:** 1. policy commitment, 2. due diligence, 3. process to enable remediation, 4. avoid causing or contributing and 5. seek to prevent or mitigate
- ⑤ **Due diligence process**
  - UNGP: 1. **identify and assessing impact**, 2. **integration and act upon findings** 3. **tracking and monitoring** and 4. **communicating and reporting**
  - OECD: 1. **embed RBC in policies and mgt.system**, 2. **identify & assess adverse impact**, 3. **cease, prevent or migrate adverse impact** 4. **track implementation and results** 5. **communicate** 6. **provide for or co-operate in remediation when appropriate**
  - Identification & assess adverse human rights impact: complicated and involved many players
  - Creating Leverage: cease, prevent, mitigate, set tone at the top, via client engagement, via engagement with NGOs, others [transparency, capacity building, human rights related KPIs]
- ⑥ **Integrate Human rights with Risk Management**