



## **HUMAN RIGHTS IMPACT ASSESSMENT RESOURCES**

### **1. GUIDANCE AND TOOLS**

- 1.1. General Guidance**
- 1.2. General Tools and Methodologies**
- 1.3. Sector Specific Guidance and Tools**
- 1.4. Issue Specific Guidance and Tools**
- 1.5. Community-led HRIA Guidance and Tools**

### **2. PUBLICLY AVAILABLE HRIAs**

- 2.1. Corporate HRIAs**
- 2.2. Community-led HRIAs**
- 2.3. Sector-wide HRIAs**
- 2.4. Trade and Investment HRIAs**

### **3. UN DOCUMENTS**

### **4. REPORTS AND ANALYSIS**

### **5. ACADEMIC RESOURCES**

- 5.1. Books**
- 5.2. Articles and Chapters**

### **6. HRIA IN THE NEWS**

### **7. EDUCATIONAL AND TRAINING MATERIALS**

### **8. RELATED FIELDS OF IMPACT ASSESSMENT**

- 8.1. General - HRIA's relationship to other areas of IA**
- 8.2. Social compliance and auditing**
- 8.3. Social impact assessment**
- 8.4. Environmental impact assessment**
- 8.5. Risk management**
- 8.6. Health impact assessment**



# 1. GUIDANCE AND TOOLS

## 1.1. General Guidance

- **Aim for Human Rights (2009) Guide to Corporate Human Rights Impact Assessment Tools.** Available at <http://commdev.org/wp-content/uploads/2015/06/Human-Rights-in-Business-Guide-to-Corporate-Human-Rights.pdf>  
ABSTRACT: “This Guide to HRIA Tools aims to assist business managers of (multinational) corporations and their stakeholders to find their way in the world of Human Rights Impact Assessments. It helps to select the best tool(s) to assure the best HRIA process for the project. This first chapter introduces the theory and history of the HRIAs. The second chapter gives a summary of all the HRIA tools” – at the time of publication – “that have been developed to assess the impact of business on human rights. The third chapter maps these HRIA initiatives in order to facilitate the selection of an HRIA tool, while chapter four provides an overview of when and how these tools can best be used.”
- **Business for Social Responsibility (2013) Conducting an Effective Human Rights Impact Assessment: Guidelines, Steps, and Examples.** Available at [http://www.bsr.org/reports/BSR\\_Human\\_Rights\\_Impact\\_Assessments.pdf](http://www.bsr.org/reports/BSR_Human_Rights_Impact_Assessments.pdf)  
ABSTRACT: This report “captures key lessons learned from BSR’s work conducting human rights impact assessments (HRIAs) and outlines our approach to corporate-, country-, site-, and product-level HRIAs using eight guidelines. The report outlines 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 HRIA tool or checklist... The report includes four key components: 1. Guidelines: Eight principles to keep in mind when conducting an HRIA; 2. In-practice examples: Real company examples from our human rights practice that illustrate the guidelines; 3. HRIA levels: The four levels at which a company can conduct HRIAs; 4. Steps: The basic four-step process we follow when conducting an HRIA.”
- **CSR Europe (2010) Human Rights Impact Assessments: A tool towards better business accountability.** Available at <http://www.reports-and-materials.org/sites/default/files/reports-and-materials/Impact-assessments-CSR-Europe-June-2010.pdf>  
ABSTRACT: This report aims to “provide an overview of the state of affairs of Human Rights Impact Assessment instruments and methodologies... [and] explore how the development of Human Rights Impact Assessments might be taken further.” The report identifies areas for further improvement, such as practical solutions for efficient implementation of HRIA and to incentivize uptake; clearer definitions and standards regarding business obligations for human rights so as to allow better comparisons between tools; dialogue between stakeholders to address issues of transparency, accountability, and disclosure in HRIA.

- **Global Compact Network Netherlands, Oxfam, Shift (2016) Doing Business with Respect for Human Rights, 3.3. Assessing Impacts. Available at**  
<https://www.businessrespecthumanrights.org/en/page/344/assessing-impacts>  
 ABSTRACT: This Guide and interactive website is “designed for companies of all sizes, sectors and geographies. It is intended to equip readers with practical advice and real-life examples that help to translate the high-level expectations in the UN Guiding Principles on Business and Human Rights into concrete action... It features step-by-step guidance points, pitfalls to avoid and suggestions for small- and medium-sized enterprises. It also includes leading examples of company policies and practices...” The website also features case studies from four focus countries. Section 3.3 Assessing Impacts focuses to HRIA. It provides guidance on identifying human rights impacts; prioritizing severe impacts; involving the existing risk management function; deepening assessment of impacts throughout the business; and the ongoing process of impact assessment.
- **Global Compact Network Germany, twentyfifty, Deutsches Institut für Menschenrechte (2016) Assessing Human Rights Risks and Impacts: Perspectives from Corporate Practice. Available at**  
<https://www.globalcompact.de/wAssets/docs/Menschenrechte/Publikationen/Assessing-Human-Rights-Risks-and-Impacts.pdf>  
 ABSTRACT: “This publication provides an insight into the different contexts, motives, requirements and approaches of five companies that have begun to assess the human rights risks and impacts of their business activities and relationships. It gives an impression of the benefits and limitations of each chosen approach and outlines the challenges faced and the lessons learned by the companies interviewed. It does not offer universal guidance on how companies should assess human rights risks and impacts. Instead, it provides an insight into corporate practice and experience, issues that have so far been discussed mainly behind closed doors.”
- **Götzmann N (2014) Human Rights Impact Assessment. Conceptual and Practical Considerations in the Private Sector Context. Danish Institute for Human Rights. Available at**  
[http://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/udgivelser/research/matters\\_of\\_concern\\_series/matters\\_of\\_concern\\_huri\\_and\\_impact\\_assessment\\_gotzmann\\_2014.pdf](http://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/udgivelser/research/matters_of_concern_series/matters_of_concern_huri_and_impact_assessment_gotzmann_2014.pdf)  
 ABSTRACT: “This working paper discusses the topic of human rights and impact assessment in the private sector context. Drawing on the UN Guiding Principles on Business and Human Rights, as well as literature from the areas of human rights impact assessment and the human rights-based approach, the paper outlines and discusses five key criteria for the assessment of human rights impact of private sector projects.” These criteria are “applying international human rights standards,” “address the full scope of impacts,” “adopting a human rights-based approach,” “ensuring accountability,” and “evaluating impact severity and addressing impacts.”

- **Gonzalez A (2014) Evaluating the Human Rights Impact of Investment Projects: Background, Best Practices and Opportunities. PODER. Available at <https://www.projectpoder.org/wp-content/uploads/2015/01/PODER-HRIA-Best-Practices-Dec-2014.pdf>**

ABSTRACT: “This report aims to identify best practices in Human Rights Impact Assessments (hereinafter, HRIA) and incorporate these findings into the development of an HRIA tool for communities affected by investment projects. Communities could use this HRIA tool before, during and upon completion of an investment project. In addition, the community-led HRIA approach can help businesses improve their own human rights due diligence procedures. By reviewing the normative foundations of human rights impact assessments, current best practices and opportunities for further development, this report aims to contribute to the efforts of communities, companies, governments and other stakeholders to ensure respect for human rights in the context of investment projects... PODER proposes a tool that would help communities analyze and understand company logic as well as human rights impact, while also contributing to community organizing. Although other tools exist to assess human rights impact, none of these adequately combine the three aforementioned elements.”

- **NomoGaia (2016) The Business Person’s Guide to Human Rights Risk Assessment. Available at <http://nomogaia.org/wp-content/uploads///2016/10/Business-Persons-Guide-to-Human-Rights-Risk-Assessment-Final.pdf>**

ABSTRACT: The Guide describes NomoGaia’s Human Rights Risk Assessment Tool, which is a means to conduct a quick assessment of major risks associated with a project for a third party interested in assessing human rights risks before making a business decision related to that project. It is not meant to be a complete human rights analysis, but rather is an initial step in the due diligence process. The HRIA tool has been test piloted on projects in Liberia (<http://nomogaia.org/2016/10/equatorial-palm-oil-hrra/>), Jordan (<http://nomogaia.org/2015/10/jordans-disi-pipeline/>), Burma (<http://nomogaia.org/2014/08/world-bank-burma-whats-stake/>), Uganda (<http://nomogaia.org/2014/12/tullow-uganda-human-rights-risks-now/>) and Belize (<http://nomogaia.org/2016/02/is-there-child-labor-in-my-ice-cream/>).

- **van der Ploeg L, Vanclay F (2017) A Tool for Improving the Management of Social and Human Rights Risks at Project Sites: The Human Rights Sphere. *Journal of Cleaner Production* 142, 4: 4072-4084.**

ABSTRACT: “This paper identifies and addresses the challenges of implementing the corporate responsibility to respect human rights in practice at project sites. To support on-ground operational staff, we offer the Human Rights Sphere (HRS), a practical tool we developed from empirical research in three large-scale projects and from an analytical literature review. The tool is consistent with the United Nations Guiding Principles on Business and Human Rights (UNGPs). The HRS comprises seven steps through which the understanding and addressing of the social and human rights impacts of projects and corporate human rights due diligence procedures can be enhanced. The

HRS describes the various groups of rights-holders to be considered, the social and environmental impacts they may experience, and how these impacts can be linked to actual or potential human rights impacts. The HRS shows how corporate mitigation and compensation practices have to be improved to prevent human rights harm to workers and communities. The HRS presents a comprehensive picture of the human rights side of projects and is presented as a practical tool that can be utilized by operational staff at all project phases. By utilising the HRS, multinational corporations will be better equipped to address the adverse human rights impacts of large projects.”

- **World Bank Nordic Trust Fund (2013) Human Rights Impact Assessments: A Review of the Literature, Differences with other forms of Assessments and Relevance for Development. Available at**

[http://siteresources.worldbank.org/PROJECTS/Resources/40940-1331068268558/HRIA\\_Web.pdf](http://siteresources.worldbank.org/PROJECTS/Resources/40940-1331068268558/HRIA_Web.pdf)

ABSTRACT: “A Human Rights Impact Assessment (HRIA) is an instrument for examining policies, legislation, programs and projects to identify and measure their effects on human rights... Their fundamental purpose is to help prevent negative effects and to maximize positive effects. As such, HRIAs are an indispensable part of making human rights considerations operational in a range of legal and policy contexts... In recent years there has been increasing demand for various actors to undertake HRIAs before adopting and implementing policies, projects, agreements and programs. The development of this tool is part of a growing effort by the human rights community to operationalize the relevance of human rights in various fields, including development, and thus to advance an understanding of the ways in which public policies and development projects affect the enjoyment of people’s rights... The purpose of this Study is to review the various existing approaches to HRIAs in order to assess their current form, content, methodology and use, as well as their potential relevance to development policy and practice.”

## 1.2. General Tools and Methodologies

- **Danish Institute for Human Rights (2006?) Human Rights Compliance Assessment Quick Check. Available at** <https://hrca2.humanrightsbusiness.org/Page-TheHrcaQuickCheck-23.aspx>

ABSTRACT: “The HRCA [Human Rights Compliance Assessment] Quick Check is a free, condensed version of the full HRCA tool, which includes approximately 10 percent of the questions contained in the HRCA database, and allows companies to create a general overview of the human rights risks in their operations. The tool was developed in cooperation with a group of development finance institutions.”

- **Danish Institute for Human Rights (2016) Human Rights Impact Assessment Guidance and Toolbox. Available at** <https://www.humanrights.dk/business/tools/human-rights-impact-assessment-guidance-and-toolbox>

ABSTRACT: “The purpose of this Guidance and Toolbox is to provide those who are involved in conducting, commissioning, reviewing or monitoring Human Rights Impact Assessments (HRIA) of business projects and activities with guidance and practical tools; with the view to ensuring that such assessments apply a human rights-based approach and are consistent with the United Nations Guiding Principles on Business and Human Rights (UN Guiding Principles)... The Guidance and Toolbox includes the following sections: Welcome Section: where you can find an overview of the Guidance and Toolbox, an introduction to HRIA, 10 key criteria to guide the process and content of HRIA, as well as other introductory materials on international human rights standards and principles. HRIA Phases and Stakeholder Engagement: the Guidance and Toolbox is divided into five phases: planning and scoping; data collection and baseline development; analysing impacts; impact mitigation and management; and reporting and evaluation; with stakeholder engagement situated as a crosscutting component. For each HRIA phase explanatory guidance is provided as well as corresponding practitioner supplements that include templates, checklists and other practical tools for conducting HRIA. The explanatory guidance seeks to provide an overview of the impact assessment phase, detailing what it would include and why, as well as discussion on key points; these sections are suitable for a broad audience wishing to familiarise themselves with HRIA. The accompanying practitioner supplements are intended for those who are involved in conducting, commissioning, reviewing or monitoring HRIAs.”

- **International Business Leaders Forum, International Finance Corporation, and UN Global Compact (2010) Guide to Human Rights Impact Assessment and Management. Available at <https://www.unglobalcompact.org/library/25>**

ABSTRACT: “Developed for companies committed to assessing and managing the human rights risks and impacts of their business activities, the Guide to Human Rights Impact Assessment and Management (HRIAM) 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 HRIAM is divided into seven stages. The seven stage framework offers a comprehensive and systematic methodology for companies to follow and adapt to their needs when: Developing their own human rights impact assessment, or Integrating human rights into other kinds of risk and/or impact assessments... By following and adapting the Guide to HRIAM’s seven stage process, and completing a human rights impact assessment, a company will be in a better position to address any potential and/or existing human rights risks and impacts.”

- **NomoGaia Human Rights Impact Assessment Toolkit (last updated 2016) Available at <http://nomogaia.org/tools/>**

ABSTRACT: “Human Rights Impact Assessment is a process for systematically identifying, predicting and responding to the potential human rights impacts of a business operation, capital project, government policy, or trade agreement. It is framed by international human rights standards and designed to complement other impact assessment and due diligence processes. It is also rooted in the realities of the particular

project by incorporating the context within which it will operate from the outset. In 2016, responding to feedback from users, we updated our HRIA platform, commissioning a dedicated program for cataloging. The program is 85 MB (compressed) and is too large to include on this website, but we are happy to send OS X, Windows and Linux versions to anyone who requests them. Please email us at [info@nomogaia.org](mailto:info@nomogaia.org) to request a copy. Previously, in 2012 NomoGaia updated the HRIA toolkit and template to automate impact ratings scores using Excel. This development reduces human error and standardizes rating in a transparent way. The toolkit is licensed under a [Creative Commons Attribution 4.0 International License](https://creativecommons.org/licenses/by/4.0/).”

### 1.3. Sector Specific Guidance and Tools

- **Götzmann N and Bansal T (2015) Human Rights Impact Assessment in the Extractive Industries: Taking a Human Rights-Based Approach. SRMining Conference Paper. Available at [http://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/business/hria\\_toolbox/gotzmann\\_bansal\\_hria\\_and\\_hrba\\_paper\\_070915.pdf](http://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/business/hria_toolbox/gotzmann_bansal_hria_and_hrba_paper_070915.pdf)**  
ABSTRACT: “With increased attention being given to the accountability of businesses for their human rights impacts, human rights impact assessment (HRIA) has gained traction as one tool available to assess and address the impacts of extractive industries projects on the human rights enjoyment of workers and communities. The United Nations Guiding Principles on Business and Human Rights (UNGPs) have been a key driving factor for the growing focus on HRIA. However, as HRIA is relatively new in the extractive industries, for example compared to the more established practices of environmental or social impact assessment, current HRIA practice varies considerably and there are few examples of methodologies and assessments in the public domain. This hinders the development of a common understanding amongst extractive industries stakeholders as to what ‘good practice’ HRIA can and should entail. Relatedly, the extent to which such assessments in fact facilitate processes and outcomes that effectively address the adverse human rights impacts of extractive industries projects remains largely unknown. In this paper, we propose that the human rights-based approach might provide useful parameters to guide the development, implementation and evaluation of HRIA methodologies and practice going forward. In particular, the focus that the human rights-based approach places on (i) the application of international human rights standards, (ii) human rights principles to guide processes, and (iii) accountability and transparency, could provide useful parameters, with the view to establishing HRIA practice that meaningfully contributes to preventing and addressing the adverse human rights impacts of extractive industries projects.”
- **International Council on Mining and Metals (2012) Human Rights in the Mining and Metals Industry: Integrating Human Rights Due Diligence into Corporate Risk Management Processes. Available at <http://www.icmm.com/en->**



[gb/publications/integrating-human-rights-due-diligence-into-corporate-risk-management-processes](#)

ABSTRACT: “This publication is a comprehensive guide focused on integrating human rights due diligence into corporate risk management processes. It introduces and explains what is meant by human rights due diligence and the central role it plays in delivering on the corporate responsibility to respect human rights. The guide aims to assist mining companies in reviewing their existing risk management processes, identifying how they can build on them to ensure they are adequately addressing human rights and whether their existing processes are consistent with the UN Guiding Principles. A range of the available tools on risk management and aspects of human rights due diligence are introduced within and the tools are supported by a number of industry-related case studies. The studies focus on practices such as the use of global employee surveys, conflict assessment and effective stakeholder engagement.”

- **International Alert (2018) Human Rights Due Diligence in Conflict-affected settings: Guidance for Extractive Industries.** Available at [http://www.international-alert.org/sites/default/files/Economy\\_HumanRightsDueDiligenceGuidance\\_EN\\_2018.pdf](http://www.international-alert.org/sites/default/files/Economy_HumanRightsDueDiligenceGuidance_EN_2018.pdf)

ABSTRACT: “This guidance addresses the question of how companies can ensure respect for human rights in their operations without exacerbating or generating conflicts. Since International Alert published its 'Conflict-sensitive business practice' in 2005, the field of business and human rights has emerged as a highly influential area of theory and practice. However, while there has been substantial uptake of the United Nations Guiding Principles on Business and Human Rights, particularly around company efforts to undertake more rigorous human rights due diligence, there is little available guidance on what this means for companies operating in conflict-affected settings. This is significant, because in conflict-affected settings the likelihood and severity of human rights violations is considerably higher, and the most vulnerable members of society are likely to disproportionately experience more negative impacts and be less resilient to external shocks. In these complex and volatile environments, thorough and robust human rights due diligence (HRDD) is all the more important, since companies cannot rely on standard approaches.”

- **International Alert (2005) Conflict Sensitive Business Practice: Guidance for Extractive Companies.** Available at <http://www.international-alert.org/publications/conflict-sensitive-business-practice-guidance-extractive-industries-en>

ABSTRACT: “Conflict-sensitive business practice: Guidance for extractive industries consists of guidance on doing business in societies at risk of conflict for field managers working across a range of business activities, as well as headquarters staff in political risk, security, external relations and social performance departments. It provides information on understanding conflict risk through a series of practical documents, including: introduction to conflict-sensitive business practice (CSBP), including an overview of the regulatory; environment for doing business in conflict-risk states;

screening tool for early identification of conflict risk; macro-level conflict risk and impact assessment tool; project-level conflict risk and impact assessment tool; special guidance on key flashpoint issues where conflict could arise at any point during a company's operation."

- **IPIECA (2012) Human Rights Due Diligence process: A Practical Guide to Implementation for Oil and Gas Companies.** Available at <http://www.iecea.org/resources/good-practice/human-rights-due-diligence-process-a-practical-guide-to-implementation-for-oil-and-gas-companies/>  
ABSTRACT: "The purpose of the Guide is to assist oil and gas companies in implementing a due diligence process for human rights. This can be an essential part of a company's overall risk management strategy, especially in countries where human rights issues may be more prevalent.... The Guide is divided into four sections: Section 1: What is a human rights due diligence process; Section 2: Why is a human rights due diligence process important for the oil and gas sectors? Section 3: Developing and implementing a human rights due diligence process; Section 4: Resources to support oil and gas companies."
- **IPIECA, Danish Institute for Human Rights (2013) Integrating Human Rights into Environmental, Social and Health Impact Assessments: A Practical Guide for the Oil and Gas Industry.** Available at <http://www.iecea.org/resources/good-practice/integrating-human-rights-into-environmental-social-and-health-impact-assessments-a-practical-guide-for-the-oil-and-gas-industry/>  
ABSTRACT: "This Guide describes how human rights can be integrated into environmental, social and health impact assessments (ESHIA), which the oil and gas industry routinely uses to evaluate projects and activities. It provides an introduction to human rights and their relevance to the activities of the oil and gas industry, and briefly describes why it is important for the oil and gas industry to consider the impact that its projects and activities have on human rights. It is the product of collaboration between impact assessment practitioners from IPIECA members and human rights practitioners from the Danish Institute for Human Rights (DIHR). Together, the organizations have attempted to bridge the gaps in terminology, processes and approaches between the ESHIA and human rights impact assessment communities."
- **Rio Tinto (2013) Why Human Rights Matter: A Resource Guide for Integrating Human Rights into Communities and Social Performance Work at Rio Tinto.** Available at [http://www.riotinto.com/documents/ReportsPublications/Rio\\_Tinto\\_human\\_rights\\_guide\\_-\\_English\\_version.pdf](http://www.riotinto.com/documents/ReportsPublications/Rio_Tinto_human_rights_guide_-_English_version.pdf) (Also, see associated Background Reader from the Danish Institute for Human Rights, available at [http://www.riotinto.com/documents/ReportsPublications/Rio\\_Tinto\\_human\\_rights\\_guide\\_background\\_reader-English\\_version.pdf](http://www.riotinto.com/documents/ReportsPublications/Rio_Tinto_human_rights_guide_background_reader-English_version.pdf))  
ABSTRACT: "This guide focuses on what due diligence, risk assessment and community engagement mean in a human rights context, examines why human rights matter in Communities and Social Performance (CSP) work, and illustrates how our processes and

systems align with international standards and expectations, using real-life examples we have encountered in our business. The guide is written primarily for our CSP practitioners who interact daily with our host communities and want to 'do the right thing' in the face of the dilemmas they encounter. But we hope that it will be of use to all Rio Tinto employees, and of interest to our stakeholders who want to understand how we meet our 'responsibility to respect human rights'."

- **Spoehr M (2016) Human Rights Risks in Mining: A Baseline Study. Bonn: German Federal Institute for Geosciences and Natural Resources and Max Planck Foundation for International Peace and the Rule of Law. Available at [https://www.bmz.de/rue/includes/downloads/BGR\\_MPFPR\\_2016\\_Human\\_Rights\\_Risks\\_in\\_Mining.pdf](https://www.bmz.de/rue/includes/downloads/BGR_MPFPR_2016_Human_Rights_Risks_in_Mining.pdf)**

ABSTRACT: "In light of the ongoing debate on human rights in the extractive industries, the present study contributes to the related discussion on human rights in the mining sector. ...it attempts to close a gap in the related discussion by providing an impartial analysis that adequately considers the technical and legal correlations. In order to avoid an excessively broad analysis, the present study focuses on the minerals, metals, and coal sector... The scope of the study must further be limited to the most important general human rights risk areas... While analyzing mining in all of its forms, ranging from industrial and large-scale to artisanal and small-scale, the study aims to identify general areas where the risk of adverse human rights impacts is most significant ("human rights Risk Areas"). Therefore, the "cases" described in each of these risk areas do not contain any statement of facts but are rather to be seen as past and present examples, which suggest the existence of a specific human rights risk area. In three separate chapters (3-5), the study looks at such human rights Risk Areas in Industrial and Large-Scale mining (LSM), Artisanal and Small-Scale Mining (ASM), and other exceptional situations. In each chapter, the respective mining sector is described in detail first, after which the risk areas are outlined and legally analyzed. Where appropriate, the analysis follows the different phases of the mine life cycle to make the paper as instructive as possible to readers with different backgrounds. The present paper is conceptualized as a desktop study..."

- **International Alert (2018) Human Rights Due Diligence in Conflict-affected Settings: Guidance for Extractive Industries Available at <https://www.international-alert.org/publications/human-rights-due-diligence-conflict-affected-settings>**

ABSTRACT: "This guidance addresses the question of how companies can ensure respect for human rights in their operations without exacerbating or generating conflicts. Since International Alert published its '[Conflict-sensitive business practice](#)' in 2005, the field of business and human rights has emerged as a highly influential area of theory and practice. However, while there has been substantial uptake of the United Nations Guiding Principles on Business and Human Rights, particularly around company efforts to undertake more rigorous human rights due diligence, there is little available guidance on what this means for companies operating in conflict-affected settings... The guidance will do the following: Help companies from the extractive sector understand any

conflicts in their operating context and identify the implications these have for HRDD.; Provide tools, case studies and recommendations to help companies and other practitioners conducting HRDD in conflict-affected settings.; Contribute to ongoing debates on business, human rights and conflict sensitivity.”

#### 1.4. Issue Specific Guidance and Tools

- **Walker S (2009) The Future of Human Rights Impact Assessments of Trade Agreements. School of Human Rights Research Series, Volume 35. Available at <https://dspace.library.uu.nl/bitstream/handle/1874/36620/walker.pdf?sequence=2>**  
ABSTRACT: “In an age of globalization, free trade should be synonymous with prosperity for all. Yet too often small farmers, indigenous peoples, people with HIV and others are left out of the picture. The Future of Human Rights Impact Assessments of Trade Agreements proposes a new way to make free trade work for all people. It examines how trade pacts can benefit people but can also threaten their basic human rights – to access food, medicines and education or to protect their cultural heritage – and develops a step-by-step process to identify the human impacts of trade before trade pacts are finalized. A case study examines the impact of a US-Central American trade agreement on access to medicines in Costa Rica to demonstrate how the step-by-step process works in practice. The process works, but more efforts are needed to make sure such assessments of trade policies become standard practice. Human rights NGOs and academics but also governments should lead the way in the future. The Future of Human Rights Impact Assessments of Trade Agreements is important for all people who believe that globalization can do more, not just for corporations and the economy, but for everyone, even the poorest.”
- **Institute for Human Rights in Business (2011) More Than a Resource: Water, Business, and Human Rights. Available at [https://www.ihrb.org/pdf/More\\_than\\_a\\_resource\\_Water\\_business\\_and\\_human\\_rights.pdf](https://www.ihrb.org/pdf/More_than_a_resource_Water_business_and_human_rights.pdf)**  
ABSTRACT: “This report clarifies the relationships between business, human rights and water and answers some of the key questions that arise when they are considered together. It makes the case for integrating human rights considerations, including those relating to water, into the policies and practices of business. Given the international political consensus that has developed, more generally about the responsibility of companies to respect human rights, and specifically about water as a human right, the report anticipates that governments and intergovernmental organisations will increasingly call on businesses to be transparent and accountable for their impacts in relation to water, in human rights terms...”
- **Collins N, Woodley A (2013) Social Water Assessment Protocol: A Step Towards Connecting Mining, Water, and Human Rights. *Impact Assessment and Project***

**Appraisal 31, 2: 135-145. Available at**

**<http://www.tandfonline.com/doi/full/10.1080/14615517.2013.774717>**

ABSTRACT: “The human right to water has recently been recognized by both the United Nations General Assembly and the Human Rights Council. As the mining industry interacts with water on multiple levels, it is important that these interactions respect the human right to water. Currently, a disconnect exists between mine site water management practices and the recognition of water from a human rights perspective. It has been argued that the Minerals Council of Australia Water Accounting Framework can be used to strengthen the connection between water management and human rights. This article extends this connection through the use of a Social Water Assessment Protocol (SWAP). The SWAP is a scoping tool consisting of a set of questions classified into taxonomic themes under leading topics with suggested sources of data that enable mine sites to better understand the local water context in which they operate. Three of the themes contained in the SWAP – gender, Indigenous peoples and health – are discussed to demonstrate how the protocol may be useful in assisting mining companies to consider their impacts on the human right to water.”

- **DIHR, UNICEF (2013) Children’s Rights in Impact Assessments: A Guide for Integrating Children’s Rights Into Impact Assessments and Taking Action for Children. Available at [http://www.unicef.org/csr/css/Children s Rights in Impact Assessments Web 161 213.pdf](http://www.unicef.org/csr/css/Children_s_Rights_in_Impact_Assessments_Web_161_213.pdf)**

ABSTRACT: “‘Children’s Rights in Impact Assessments’ is designed to guide companies in assessing their policies and processes as they relate to their responsibility to respect children’s rights and their commitment to support children’s rights. This tool should be used as part of ongoing assessments of human rights impacts, as outlined in the United Nations Guiding Principles on Business and Human Rights. The criteria it offers can be used to review critical areas of potential or actual impact on children’s rights, based on the Children’s Rights and Business Principles. Respecting and supporting children’s rights requires business to both prevent harm and actively safeguard children’s best interests. By integrating children’s rights considerations into ongoing impact assessments, a company is taking an important step towards recognizing children as rights holders and stakeholders, and towards understanding its potential and actual impacts on children. Guidance on specific actions a company can take to address the identified risks to children is provided throughout the tool.”

- **Sauer, AT, Podhura A (2013) Sexual Orientation and Gender Identity in Human Rights Impact Assessment. *Impact Assessment and Project Appraisal* 31, 2: 135-145. Available at <http://www.tandfonline.com/doi/full/10.1080/14615517.2013.791416>.**

ABSTRACT: “Responding to violations against lesbian, gay, bisexual, transgender, intersex and queer people worldwide, in the light of the universality of human rights, this paper demonstrates the need, benefits and opportunities for including sexual orientation and gender identity (SOGI) in human rights impact assessment (HRIA) and related impact assessments. The United Nations legal framework (including the 2011 Resolution on Human Rights, Sexual Orientation and Gender Identity) and supporting

international legal documents such as the Yogyakarta Principles provide the mandate and basis for this paper. The paper develops a typology of documents related to SOGI aspects in HRIA and provides examples of SOGI-centred HRIA approaches, specifically the Uganda Anti-Homosexuality Bill and post-earthquake disaster relief in Haiti. Our findings identify research-practice gaps in modes and technicalities of the pioneer SOGI-centred HRIA cases, and attest to an absence of methodologies, tools and indicators. We call upon impact assessment practitioners to develop and use tools that are inclusive of gays, lesbians and bisexuals as well as transgender and intersex people.”

- **Shift (2015) Human Rights Due Diligence in High Risk Circumstances: Practical Strategies for Businesses. Available at [http://www.shiftproject.org/media/resources/docs/Shift\\_HRDDinhighriskcircumstances\\_Mar2015.pdf](http://www.shiftproject.org/media/resources/docs/Shift_HRDDinhighriskcircumstances_Mar2015.pdf)**

ABSTRACT: “High risk circumstances are situations in which the likelihood of severe human rights impacts is greatest.” High risk circumstances “should be the highest priority for company action since they present the greatest risks to individuals” and they “present high risk to the business as well, including commercial, reputational, investor related and legal risks.” Conducting human rights due diligence can be particularly challenging because high risk circumstances are “more complex and fluid. There may be practical difficulties in engaging directly with some affected individuals and groups. The capacity to manage identified risks and impacts may be beyond the sole control of the business enterprise. Key lessons and insights from business practitioners, further elaborated in this resource, include: To understand the source of risk, and determine where there are high risk circumstances, companies can ask themselves a set of targeted questions, looking at the operating context, the nature of the company’s business relationships, the nature of the company’s business activities, and the types of people who could be affected by the company’s activities (or activities of its business relationships). A listing of these diagnostic questions is an annex in this resource; Engage internal stakeholders in ways that: (a) raise awareness of high risk circumstances, (b) create expectations about identifying and escalating these types of risks, (c) ensure that due diligence is ongoing and responsive to changes in circumstances; Engage external stakeholders in ways that: (a) are integrated into more robust strategies, (b) involve independent third parties in support of company efforts, (c) enable the business to push information to stakeholders and empower stakeholders to push information to the company. Across these insights and examples, one crosscutting message becomes clear: while the tendency within many companies is to seek greater control over and protection of information as risks increase, in reality, enhanced transparency is critical for success.”

- **van der Ploeg L, Vanclay F (2017) A Human Rights Based Approach to Project-induced Displacement and Resettlement. *Impact Assessment & Project Appraisal* 35, 1: 34-52. Available at <http://dx.doi.org/10.1080/14615517.2016.1271538>**

ABSTRACT: “Respecting, protecting and fulfilling human rights must become more prominent in both the processes and outcomes of resettlement. We have developed a

Human Rights-Based Approach to Resettlement for use by project operators, rights holders and governments so that they can better understand what the corporate responsibility to respect human rights entails in situations of involuntary resettlement and expropriation. We outline the procedural human rights principles and resettlement outcomes that must be achieved in order for resettlement to be considered human rights compliant. We also consider how human rights are addressed in the International Finance Corporation Performance Standard 5 on land acquisition and involuntary resettlement. We suggest that the International Finance Corporation's largely silent approach towards the private sector's human rights responsibilities potentially understates the significant human rights risks that characterize displacement and involuntary resettlement."

- **UNICEF (2017) Child Rights and Mining Toolkit. Available at [https://www.unicef.org/csr/files/FINAL\\_Child\\_Rights\\_and\\_Mining\\_Toolkit\\_060217.pdf](https://www.unicef.org/csr/files/FINAL_Child_Rights_and_Mining_Toolkit_060217.pdf)**

ABSTRACT: "Because children are affected by a wide range of issues, a comprehensive business approach will consider child rights throughout the company's management systems and strategies. The Toolkit is designed to assist any of those in the mining sector who are responsible for designing and implementing strategies related to social and environmental performance at the project level. It provides 10 concise tools for improving social and environmental performance towards respecting and advancing children's rights in the following areas: 1. Impact assessment 2. Stakeholder engagement 3. Resettlement 4. In-migration 5. Environment 6. Security 7. Health and safety 8. Working conditions 9. Protecting children from sexual violence 10. Social investment."

## 1.5. Community-led HRIA Guidance and Tools

- **Oxfam (2016) Community Voice in Human Rights Impact Assessments. Available at [https://www.oxfamamerica.org/static/media/files/COHBRA\\_formatted\\_07-15\\_Final.pdf](https://www.oxfamamerica.org/static/media/files/COHBRA_formatted_07-15_Final.pdf)**

ABSTRACT: "Human rights impact assessments (HRIAs) are intended to minimize human rights risks, lessen adverse impacts, and strengthen positive outcomes of business investments on affected populations. For an HRIA to fulfill this purpose, it must consider the perspectives of everyone affected by a company's operations, project, products, or services. But all too often, companies ignore this critical input, instead opting for top-down tools that fail to capture communities' assertions. In doing so, they forfeit the opportunity to minimize human rights violations and costly conflicts... This paper: Describes why HRIAs are an essential element of the due diligence process stipulated in the United Nations Guiding Principles on Business and Human Rights; • Explains the business case for seeking communities' expectations and assertions of rights during an HRIA; • Includes case studies of the costs of company failure to engage, as well as case

studies of company-led HRIAs, identifying where and why companies have fallen short in reaching out to communities and providing rare examples of companies that have gone further; • Includes case studies of community-based HRIAs, demonstrating the importance of hearing from communities themselves regarding companies' impacts on their human rights; • Highlights elements of the Getting It Right tool to guide communities through the process, and issues a call to scale up such efforts; • Discusses the possible benefits, constraints, and funding possibilities of a parallel company- and community-led process, or hybrid approach, where companies and communities co-own the HRIA process; • Provides recommendations to companies, investors, and governments; and • Provides guidance for conducting a thorough HRIA process.”

- **Oxfam and FIDH (2016) Getting It Right: Community Based Human Rights Impact Assessment Tool and Training Manual Available at <https://policy-practice.oxfamamerica.org/work/private-sector-engagement/community-based-human-rights-impact-assessment-initiative/>**

ABSTRACT: “While various tools are at the disposal of companies for assessing risks related to their investments, very few are designed specifically to help communities affected by investment projects (and their support organizations) to identify the impacts of private industries on human rights. Often disempowered by governments and companies, the concerns of communities affected by private investments are commonly underrepresented. Within the growing constellation of institutions working on business and human rights, there is a very public recognition of the need for more Human Rights Impact Assessment (HRIA) tools and a way for community stakeholders to engage more effectively. Oxfam is working with its network of communities, practitioners, and advocates to increase awareness and use of a powerful tool, known as *Getting it Right*, created by the Canadian organization Rights and Democracy. This tool addresses both of these demands. The *Getting it Right* tool is a dynamic participatory approach for analyzing the human rights impacts of private and public foreign investments. It enables communities and the organizations that support them to identify human rights impacts, propose responses, and engage government and corporate actors to take action to respect human rights. The tool focuses on local communities as experts and advocates.”

- **Oxfam and Rights & Democracy (2010) Community-based Human Rights Impact Assessments: Practical Lessons. Available at <https://policy-practice.oxfamamerica.org/publications/community-based-human-rights-impact-assessments-practical-lessons/>**

ABSTRACT: “In March 2010, Rights & Democracy, Oxfam America, and the International Federation for Human Rights (FIDH) sponsored a global learning event that brought together 13 civil society organizations engaged or interested in community-based human rights impact assessments (HRIAs) of private investments. For four days, participants exchanged their experiences using "Getting It Right," a dynamic tool developed by Canada-based Rights & Democracy. Designed especially for communities and their support organizations, the tool enables teams to conduct HRIAs of private



investment projects, such as infrastructure projects, agro-industry, dams, extractive industries, and other initiatives. This report summarizes key lessons learned and recommendations from participants, based on their pilot experiences in Bolivia, Columbia, Ecuador, Peru, the Philippines, and the United States.”

- **Rights & Democracy (2011) Getting It Rights Human Rights Impact Assessment Guide (Was the Oxfam et al’s Community Based HRIA Tool). Available at <http://hria.equalit.ie/en/index.html>**

ABSTRACT: “Communities wanting to undertake their own human rights impact assessments require appropriate assessment tools. Rights & Democracy has therefore developed this guide to assist them and the civil society organizations they collaborate with. This assessment guide can also be used by other stakeholder groups, including business and government, who are interested in applying a community-based participatory approach to their work... This guide is a step-by-step process that allows assessment teams to take stock of the positive and negative human rights impacts of an investment project. Throughout the steps outlined below, information and additional references are provided including reference documents on human rights, examples of research techniques, relevant websites, and details on where to find specific information.” The six steps covered are: 1. Preparation; 2. Legal framework; 3. Adapting the guide; 4. Investigation process; 5. Analysis and report; and 6. Engagement monitoring and follow up.

- **Rights & Democracy (2007) Human Rights Impact Assessments for Foreign Investment Projects: Learning from Community Experiences in the Philippines, Tibet, the Democratic Republic of Congo, Argentina, and Peru. Available at [http://publications.gc.ca/collections/collection\\_2007/dd-rd/E84-21-2007E.pdf](http://publications.gc.ca/collections/collection_2007/dd-rd/E84-21-2007E.pdf)**

ABSTRACT: “This is the report of a three-year research project that developed a draft methodology for human rights impact assessments and applied it in selected case examples. The report includes an overview of the debate about corporate accountability and human rights, a summary of the approach adopted by the project’s international advisory committee and the results of the five case studies.”

## **2. PUBLICLY AVAILABLE HRIAs**

### **2.1. Corporate HRIAs**

- **British Petroleum, Tangguh project in West Papua, Indonesia, Reports from Tangguh Independent Advisory Panel (2002-present) [http://www.bp.com/en\\_id/indonesia/press-center/documents.html](http://www.bp.com/en_id/indonesia/press-center/documents.html)**
- **Total SA and CDA Site Visit Reports (2002-present, 7 visits to Myanmar, also Argentina, Nigeria, Bolivia, Mauritania, South Sudan, Uganda)**
- **NomoGaia (2009) Human Rights Impact Assessment Aimec Minerals’ Nuiguyo Gold Mine, Indonesia <http://nomogaia.org/2009/01/aimec-nuiguyo-gold-mine-indonesia/>**

- NomoGaia (2009) Human Rights Impact Assessment Green Resources Uchinidle Tree Farm <http://nomogaia.org/2009/10/green-resources-uchinidle-tree-farm-tanzania/>
- NomoGaia (2009-2015) Human Rights Impact Assessment Paladin Energy's Kayelekera Uranium Project, North Malawi <http://nomogaia.org/2010/03/paladin-kayelekera-uranium-malawi/>
- On Common Ground Consultants (2010) Human Rights Assessment Goldcorp's Marlin Mine Project [http://csr.goldcorp.com/2011/docs/2010\\_human\\_full\\_en.pdf](http://csr.goldcorp.com/2011/docs/2010_human_full_en.pdf)
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- LKL International Consulting (2014) Human Rights Impact Assessment of the Bisha Mine in Eritrea. Commissioned by Nevsun Resources Ltd. <https://business-humanrights.org/sites/default/files/documents/Nevsun%20HRIA%20Full%20Report%20%20April%202014%20.pdf>
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- NomoGaia (2014) Human Rights Risk Assessment Thaton Power Station, Myanmar <http://nomogaia.org/wp-content/uploads/2014/08/Human-Rights-Risk-Assessment-DRAFT-Thaton-WB.pdf>
- NomoGaia (2014) Human Rights Risk Assessment Tullow Oil Lake Albert Exploration Project, Hoima and Buliisi Districts, Bunyoro, Uganda <http://nomogaia.org/2014/12/tullow-uganda-human-rights-risks-now/>
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- NomoGaia (2015) Human Rights Risk Assessment Disi Water Conveyance Project Financial Sector Perspective <http://nomogaia.org/2015/10/jordans-disi-pipeline/>
- Business for Social Responsibility (2016) Human Rights Impact Assessments and Responsible Divestment Plan for Business Region Eurasia. Summary Project Report for Telia Company <http://www.teliacompany.com/globalassets/telia-company/documents/about-telia-company/bsr-telia-company-hria-summary.pdf>
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- Imperial Brands and Verisk Maplecroft (2016) Human Rights Impact Assessment [http://www.imperialbrandsplc.com/content/dam/imperial-brands/corporate/responsibility/human-rights/Human rights impact assessment for Imperial Brands.pdf](http://www.imperialbrandsplc.com/content/dam/imperial-brands/corporate/responsibility/human-rights/Human%20rights%20impact%20assessment%20for%20Imperial%20Brands.pdf)
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<http://www.epoil.co.uk/uploads/humanrightsimpactassessment-executivesummary2017.pdf>
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<https://corporate.vattenfall.com/globalassets/corporate/sustainability/doc/A-human-rights-risk-assessment-in-Colombia.pdf>
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## 2.2. Community-led HRIAs

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<https://www.projectpoder.org/2016/04/main-results-of-the-human-rights-impact-assessment-hria-of-the-ixtaca-mining-project-of-almaden-minerals-in-ixtacamaxtitlan-puebla/>
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- Myanmar Center for Responsible Business, Danish Institute for Human Rights, and Institute for Human Rights in Business (2014) Myanmar Oil & Gas Sector Wide Impact Assessment <http://www.myanmar-responsiblebusiness.org/swia/oil-and-gas-report.html>
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[https://om.coop.dk/Upload/om.coop.dk/Ansvarlighed/Human%20Rights%20Impact%20Assessment\\_%20East%20African%20coffee%20sector.pdf](https://om.coop.dk/Upload/om.coop.dk/Ansvarlighed/Human%20Rights%20Impact%20Assessment_%20East%20African%20coffee%20sector.pdf)
- Myanmar Center for Responsible Business, Danish Institute for Human Rights, and Institute for Human Rights in Business (2018) Sector Wide Impact Assessment of Limestone, Gold, and Tin Mining in Myanmar <http://www.myanmar-responsiblebusiness.org/pdf/SWIA/Mining/00-Myanmar-Mining-Sector-Wide-Assessment.pdf>

#### 2.4. Trade and Investment HRIAs

- Berne Declaration et al (2014) Owing Seeds, Accessing Food: A Human Rights Impact Assessment of Upov 1991 Based on Case Studies in Kenya, Peru and the Philippines  
[https://www.publiceye.ch/fileadmin/files/documents/Saatgut/2014\\_07\\_10\\_Owning\\_Seed\\_-\\_Accessing\\_Food\\_report\\_def.pdf](https://www.publiceye.ch/fileadmin/files/documents/Saatgut/2014_07_10_Owning_Seed_-_Accessing_Food_report_def.pdf)
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- UN Economic Commission for Africa, Friedrich Ebert Stiftung (2017) The Continental Free Trade Agreement (CFTA) in Africa – A Human Rights Perspective. Available at: [http://www.fes-globalization.org/geneva/documents/2017/2017\\_07\\_CFTA\\_HRIA\\_Publication.pdf](http://www.fes-globalization.org/geneva/documents/2017/2017_07_CFTA_HRIA_Publication.pdf)

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ABSTRACT: “The present report is submitted pursuant to Commission resolution 2005/69, which asks the Special Representative of the Secretary-General on the issue of human rights and transnational corporations and other business enterprises to develop materials and methodologies for undertaking human rights impact assessments for business activity (paragraph 1 (d) of the mandate), and Council decision 1/102. While

the Special Representative of the Secretary-General indicated in his interim report that developing such materials and methodologies would be beyond the mandate's time and resource constraints, this report describes principles and characteristics of human rights impact assessments for business, including similarities to environmental and social impact assessments, and provides updates on current initiatives."

- **Mungoven, R (2016) Walking the Talk: Exploring Methodologies and Applications for Human Rights Impact Assessment by the United Nations. Sabbatical Report, Office of the High Commissioner for Human Rights. Available at <https://hr.un.org/sites/hr.un.org/files/editors/u4492/Walking%20the%20talk%20-%20Exploring%20methodologies%20%26%20applications%20for%20Human%20Rights%20impact%20assessment%20by%20the%20UN%20-%202015%20Sabbatical%20-%20R.pdf>**

ABSTRACT: "Over the past two decades, human rights impact assessment (HRIA) has emerged as a distinct methodology for anticipating or measuring the positive or negative impact of policies and projects on human rights. It has fast been adopted by civil society for advocacy as well as mobilizing and empowering local communities, by governments as a public policy tool, and increasingly by business as a form of corporate due diligence. But although HRIA has its origins in the international human rights framework and has been advocated by the United Nations (UN) human rights mechanisms, the UN itself has been slow to adopt and apply it in its own practice. This study suggests ways HRIA could help United Nations agencies exercise due diligence in avoiding or mitigating negative human rights risks associated with their projects and programmes, as well as optimize their positive human rights benefits in support of broader sustainable development outcomes."

#### 4. REPORTS AND ANALYSIS

- **Columbia Center on Sustainable Investment, Sciences Po Law School Clinic, and the Columbia Law School Human Rights Institute (2014) Human Rights Impact Assessments of Large-Scale Foreign Investments: A Collaborative Reflection. Available at <http://ccsi.columbia.edu/2014/12/01/outcome-report-of-roundtable-on-human-rights-impact-assessments-hrias-of-large-scale-foreign-investments/>**

ABSTRACT: This document reflects the outcome of "a one-day roundtable focused on the opportunities and challenges presented by human rights impact assessments (HRIAs) of large-scale foreign investments. The roundtable, which was held in April 2014 at Columbia University, provided an opportunity for collaborative reflection on the development of HRIAs, as well as on ways to enhance HRIAs as a framework and tool for both human rights advocacy and human rights risk management in respect of foreign investments. By sharing the outcomes of the roundtable, this document aims to support HRIA practitioners, company officials, civil society representatives, and other stakeholders focused on human rights and foreign investment in further reflection on the objectives and methods of HRIAs. The roundtable examined the various practices

comprising HRIAs, and the discussion underscored that many of the challenges associated with carrying out an HRIA are common to multiple stakeholders, albeit borne out in different ways. This outcome document describes some of the primary ways in which HRIAs are undertaken and outlines the salient issues and key challenges that practitioners have identified.”

- **Columbia Center on Sustainable Development, Danish Institute for Human Rights, and the Sciences Po Law School Clinic (2017) A Collaborative Approach to Human Rights Impact Assessments. Available at [https://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/udgivelser/hrd\\_2017/paper\\_collaborative\\_approach\\_to\\_hrias\\_2017.pdf](https://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/udgivelser/hrd_2017/paper_collaborative_approach_to_hrias_2017.pdf)**  
ABSTRACT: “This paper suggests a new collaborative and participatory approach to human rights impact assessments (HRIAs). It was written for stakeholders—in particular, communities, workers, and other project-affected people; their representatives, including local and international civil society organizations; companies; and others—who seek more effective strategies for investigating the human rights impacts of business projects or operations, and who are willing to consider a collaborative assessment. For this audience, the paper provides a set of considerations relevant to such an undertaking. This paper may also be of interest to representatives of companies, project affected people, or civil society organizations who are not yet ready to undertake a fully collaborative assessment, but who wish to make their human rights impact assessments more inclusive and responsive, or who seek to encourage greater buy-in from other stakeholders. Such readers might be particularly interested in, for example, the sections on stakeholder involvement and meaningful participation (pp 28-36), the steering committee (pp 38-42), or transparency and disclosure (pp 72-74).”
- **Danish Institute for Human Rights (2016) Human Rights Impact Assessment Workshop. 17 November 2016, Geneva – Summary Report. Available at [http://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/projects\\_docs/hria\\_workshop\\_geneva\\_nov\\_2016\\_summary\\_report\\_final.pdf](http://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/projects_docs/hria_workshop_geneva_nov_2016_summary_report_final.pdf)**  
ABSTRACT: “On 17 November 2016, a group of 22 human rights and impact assessment practitioners – ranging from company representatives, company and community-led HRIA practitioners, financial institutions and multilateral organisations – came together to discuss the topic of human rights impact assessment (HRIA). The aim of the workshop was to discuss the state of play on HRIA, hear from practitioners about different approaches to working with human rights in impact assessment, and to discuss a future vision for the HRIA space and a HRIA ‘community of practice’.” This report presents a summarized account of the main themes and topics of discussion.
- **Danish Institute for Human Rights, DLA Piper (2017) Human Rights Impact Assessment and Legal Advisory Work: Frequently Asked Questions. Available at [https://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/projects\\_docs/hria/dihr\\_dla\\_piper\\_note\\_2017.pdf](https://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/projects_docs/hria/dihr_dla_piper_note_2017.pdf)**



ABSTRACT: “How can human rights impacts assessment (HRIA) assist businesses to meet the requirements of emerging governance and regulatory initiatives? How is HRIA relevant in the context of corporate transactions such as mergers and acquisitions ("M&A")? What types of legal strategies can be used to contribute to the effective implementation of HRIA mitigation measures?... The FAQ note works through several common questions that HRIA practitioners and lawyers may have regarding HRIA, providing practical advice and insights into how such questions may be answered.”

- **Hamm B and Scheper C (2012) Human Rights Impact Assessments for Implementing Corporate Responsibility: Conceptual Challenges and Practical Approaches. INEF Research Paper Series. Available at [http://humanrights-business.org/files/hria\\_english\\_final\\_1.pdf](http://humanrights-business.org/files/hria_english_final_1.pdf)**

ABSTRACT: “By endorsing the UN Guiding Principles on Business and Human Rights in June 2011, the UN Human Rights Council emphasized a distinct corporate responsibility to respect human rights. However, both the normative reach and practical realization of this responsibility are still vague. Against this background, a debate has arisen about the possibilities of implementing human rights due diligence by, and within, companies. In terms of the procedures for so doing, the debate has focused on human rights impact assessments (HRIA). This paper addresses basic conceptual and practical issues with respect to such procedures. As challenging quality criteria for HRIA, the authors particularly examine the right of stakeholders to participate in business decisions and the need for organizational learning in companies. The paper categorizes existing HRIA approaches according to their way of approaching these challenges. It concludes with policy recommendations.”

- **Harrison J and Stephenson M (2010) Human Rights Impact Assessment: Review of Practice and Guidance for Future Assessments. Scottish Human Rights Commission. Available at <http://hub.careinspectorate.com/media/107915/hriafeb2011.pdf>**

ABSTRACT: “This report provides an over view of existing practices in HRIA in the United Kingdom and internationally... The report concludes that there is considerable variation in the complexity and quality of both HRIA methodologies and the resulting assessments. With few exceptions HRIA methodologies in the UK have tended to be fairly simple and focus on legal compliance with the Human Rights Act. HRIAs in the UK have been carried out as part of combined Equality and Human Rights Impact Assessments. International experience has been more varied and has included some extremely detailed assessments, which have covered social, economic and cultural rights in addition to the civil and political rights considered in the UK. The report analyses existing practice and identifies an eight step methodology for carrying out HRIAs: 1. A screening stage (performing a preliminary check on the proposed policy to determine whether or not a full-scale impact assessment is necessary); 2. A scoping stage (the initial questions that need to be asked once the decision to undertake a full HRIA has been undertaken); 3. Evidence gathering; 4. Consultation; 5. Analysis; 6. Conclusions and Recommendations; 7. Publication; 8. Monitoring and review. Successful

methodologies are very context specific but the report makes a series of general recommendations for developing an effective methodology. It also makes recommendations for implementing HRIA methodologies and finally highlights some strategic questions for organizations introducing HRIsAs.”

- **OHCHR and FES (2014) Making the Right Impact? Workshop on evaluating HRIsAs in Trade and Investment Regimes. Available at [http://www.fes-globalization.org/geneva/documents/2014/2014\\_09\\_17\\_Final\\_HRIA%20Workshop%20Report.pdf](http://www.fes-globalization.org/geneva/documents/2014/2014_09_17_Final_HRIA%20Workshop%20Report.pdf)**

ABSTRACT: “There is increasing recognition of the potential of human rights impact assessments (HRIsAs) in trade and investment regimes. In principle, HRIsAs can be an effective tool for identifying, quantifying and assessing the ways trade and investment impact upon the full spectrum of human rights. Their practice, however, is beset by challenges, relating to the form they take, how and when they are conducted, the actor undertaking the assessment, and the use that is made of their results. Despite the growing literature on HRIsAs in the trade and investment context, there is a lack of established practice, and to date there has been no metaassessment of whether HRIsAs work, or of which elements work and which do not. In order to examine this topic, the Friedrich-Ebert-Stiftung (FES) Geneva office and the Office of the High Commissioner for Human Rights (OHCHR) hosted a workshop for twenty-four experts, practitioners and academics in the fields of HRIsAs, trade and investment in Geneva from 17 to 18 September 2014. This report summarizes the discussions of the workshop, focusing on the issues facing HRIsAs in trade and investment regimes and the role organisations, including non-governmental organisations (NGOs) and the OHCHR, can play in improving the effectiveness of future HRIsAs in trade and investment.”

- **SHIFT (2014) Business and Human Rights Impacts: Identifying and Prioritizing Human Rights Risks. Available at <http://www.shiftproject.org/resources/publications/business-human-rights-impacts-identifying-prioritizing-risks/>**

ABSTRACT: “This report reflects learning from a workshop with 12 Dutch companies together with expert stakeholders, hosted by the Social and Economic Rights Council of the Netherlands, about how companies can identify and prioritize human rights risks and test their findings through stakeholder engagement. The annex features examples of real company risks and prioritization exercises within a set of analysis tools. This workshop supported the process leading to the development of sectoral covenants in the Netherlands to address human rights risks in global supply chains.”

- **Tromp D (2016) Assessing Business-Related Impacts on Human Rights. Indicators and Benchmarks in Standards and Practice, INEF-Report 110. Available at [https://inef.uni-due.de/?article\\_id=48&clang=2&pub\\_id=1735](https://inef.uni-due.de/?article_id=48&clang=2&pub_id=1735)**

ABSTRACT: “With a view to informing the policies and practices of states, business enterprises, and other stakeholders towards universal corporate respect for human rights, this study proposes principled and practical indicators to support the assessment

of human rights impacts with which business enterprises may be involved. The study identifies a wide array of contexts in which application of the proposed indicators would help to strengthen state approaches to protecting rights-holders against business-related harm in terms of law, policy, regulation, adjudication and participation in multilateral, international and regional organizations. The study also presents a practical methodology for how the proposed indicators can strengthen current private sector approaches to implementing the corporate responsibility to respect human rights, particularly in terms of assessing the human rights risks and impacts that may be associated with core business operations and business relationships.”

## 5. ACADEMIC RESOURCES

### 5.1. Books

- **Salcito K (2015) Rights Incorporated: Integrating Human Rights Impact Assessment into Global Business Practices. Dissertation. University of Basel. Available at <http://nomogaia.org/2015/11/rights-incorporated-integrating-human-rights-impact-assessment-into-global-business-practice/>**

ABSTRACT: “Four specific objectives were pursued in this PhD thesis: (i) to develop and advance tools and methods for human rights due diligence and, specifically, human rights impact assessment (HRIA) with the intention that these tools can be readily adapted to a variety of industries and contexts; (ii) to validate these tools at investment projects around the globe; (iii) to draw from existing environmental, social and health impact assessments and build on best practices while avoiding redundancy with environmental, social and health impact assessments; and (iv) to synthesise the experiences of HRIA practitioners, find commonalities and consider next steps.”

### 5.2. Articles and Chapters

- **Boele R, Crispin C (2013) What Direction for Human Rights Impact Assessment. *Impact Assessment and Project Appraisal* 31, 2: 128-134. Available at <http://www.tandfonline.com/doi/pdf/10.1080/14615517.2013.771005>**

ABSTRACT: “This article contributes to the development of a standard of good practice for Human Rights Impact Assessment (HRIA). It charts the design, delivery and refinement of a methodology for identifying and assessing the human rights impacts of an existing mining operation. The methodology was designed to fulfil the requirements of an internal corporate standard, as well as the due diligence requirements of the United Nations Guiding Principles for Business and Human Rights. The HRIA model emphasizes the identification of human rights impacts and the assessment of the effectiveness of responses to such impacts. Four elements are central: (1) building a shared understanding of the historical and current human rights context of the operation; (2) identifying the current and potential areas of human rights impacts and prioritizing them; (3) reviewing the management systems in place to address human

rights impacts; and (4) facilitating significant human rights capacity building for operational personnel responsible for managing human rights-related areas. We also consider the question: where is the most natural home for this emerging field of practice? The fields of social impact assessment, corporate accountability and risk assessment are considered. The authors conclude with key questions that require answers before the full potential of HRIA's role in the business and human rights agenda can be realized."

- **Coumans C (2017) Do no harm? Mining industry responses to the responsibility to respect human rights. *Canadian Journal of Development Studies* 38, 2: 272-290.**  
**Available at** <http://www.tandfonline.com/doi/pdf/10.1080/02255189.2017.1289080?needAccess=true>  
ABSTRACT: "This article examines responses of mining industry associations and companies to increasing pressure on the sector to ensure that its activities respect human rights, defined as "do no harm". Examples illuminate key moments in an evolving industry response starting in the mid-2000s with scepticism that human rights should, or could, provide operationalisable standards for the sector, to subsumption of human rights under voluntary corporate social responsibility approaches already practised by the industry. Also examined is the strategic use by mining companies of emerging human rights tools such as Human Rights Impact Assessment and Operational-Level Grievance Mechanisms."
- **DeBeco G (2009) Human Rights Impact Assessment. *Netherlands Quarterly of Human Rights*. 27, 2: 139-66.**  
ABSTRACT: "In this article human rights impact assessments (HRIAs) will be discussed. After examining their background, including their history and the different kinds of human rights impact, the various purposes of HRIAs, namely compliance, policymaking, accountability and empowerment will be examined. Questions relating to the development of HRIAs will also be analysed. It will be examined whether HRIAs should be incorporated into other kinds of impact assessments and how impact on human rights can be determined. In the article, the three phases in carrying out HRIAs, namely the analytical process, the deliberative process, and the monitoring and evaluation, will be subsequently analysed, dividing them into different steps. Finally, the various actors taking part in HRIAs will be dealt with. These are policy-makers, human rights experts, civil society organisations, national human rights institutions, and affected people."
- **Hanna P, Vanclay F (2013) Human Rights, Indigenous Peoples and the Concept of Free, Prior and Informed Consent. *Impact Assessment & Project Appraisal* 31,2: 146-157.**  
**Available at** <http://www.tandfonline.com/doi/pdf/10.1080/14615517.2013.780373>  
ABSTRACT: "The human right to self-determination is enacted in various international treaties and conventions. In order to facilitate self-determination, it is necessary to provide Indigenous peoples with opportunities to participate in decision-making and project development. The obligation for governments and companies to engage

impacted communities is recognized in international law, especially with the principle of 'Free, Prior and Informed Consent', which is outlined in the United Nations Declaration on the Rights of Indigenous Peoples and in the International Labour Organization Convention 169. The encounter between human rights, Indigenous peoples and mining and other extractive industries is discussed, especially as it has played out in Brazil. We recommend that companies should fully endorse and respect these internationally recognized human rights, including self-determination, even where not required by national or local legislation. We also discuss the relationship between Free, Prior and Informed Consent and Impacts and Benefits Agreements."

- **Harrison J (2013) Establishing a meaningful human rights due diligence process for corporations: learning from experience of human rights impact assessment. *Impact Assessment and Project Appraisal* 31, 2: 107-117. Available at [http://wrap.warwick.ac.uk/55253/1/WRAP\\_Harrison\\_Establishing\\_meaningful\\_human\\_14615517%25E2013%25E774718.pdf](http://wrap.warwick.ac.uk/55253/1/WRAP_Harrison_Establishing_meaningful_human_14615517%25E2013%25E774718.pdf). (Earlier version available as a University of Warwick Law School Research Paper No. 2012-18 - [https://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=2117924](https://papers.ssrn.com/sol3/papers.cfm?abstract_id=2117924))**

ABSTRACT: "The United Nations Special Representative of the Secretary-General on Business and Human Rights, Professor John Ruggie, has constructed a new international framework, which is set to become the cornerstone for all action on human rights and business at the international level. The principle of human rights due diligence (HRDD) is the central component of the corporate duty to respect human rights within that framework. This article argues that Ruggie's HRDD principle contains the majority of the core procedural elements that a reasonable human rights impact assessment (HRIA) process should incorporate. It is likely that the majority of corporations will adopt HRIA as a mechanism for meeting their due diligence responsibilities. However, in the context of the contentious debate around corporate human rights performance, the current state of the art in HRIA gives rise to concerns about the credibility and robustness of likely practice. Additional requirements are therefore essential if HRDD is to have a significant impact on corporate human rights performance – requirements in relation to transparency; external participation and verification; and independent monitoring and review."

- **Harrison J (2011) Human Rights Measurement: Reflections on the Current Practice and Future Potential of Human Rights Impact Assessment. *Journal of Human Rights Practice* 3,2: 162-187. (Earlier version available as a University of Warwick Law School Research Paper No. 2010-26 - [https://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=1706742##](https://papers.ssrn.com/sol3/papers.cfm?abstract_id=1706742##))**

ABSTRACT: "This article critically evaluates the current practice and future potential of human rights impact assessment (HRIA) as a tool of human rights measurement. The article first explores the origins and purposes of HRIAs and the claims made by commentators about what HRIAs can achieve. It goes on to provide an overview of existing practice in HRIA in a wide variety of different fields including health, business, trade, child rights, and development. It then argues that poor practice, particularly

among governmental and business actors, highlights the need for greater scrutiny of what the HRIA process should entail. The central part of the article sets out eight core elements that should be included in an HRIA in any field and highlights good and bad practice with regard to each element. This analysis provides the starting point for a better shared conception of what the HRIA process should involve. Three further suggestions are then made to improve future practice: enhancement of collective understanding of key methodological aspects of the HRIA process; more effective and practical support and guidance for those undertaking assessments; and the monitoring of HRIAs in order to highlight and publicize both good and bad practice. On the basis of this, the article concludes by arguing that HRIAs should not be rejected as tools for human rights measurement, but rather strengthened and enhanced.”

- **Maassarani T et al (2007) Extracting Corporate Responsibility: Towards a Human Rights Impact Assessment. *Cornell International Law Journal* 40, 1: 136-169. Available at <http://data.instantencore.com/pdf/1001233/maassarani.pdf>**  
ABSTRACT: “This paper sets out to bridge the legitimacy gap between ineffective voluntary mechanisms and prospective, albeit currently unfeasible, compulsory regimes by presenting a model for a human rights impact assessment (HRIA) in the overseas hydrocarbon industry, an industry plagued by allegations of human rights abuse. Part 1 sets out the background of our case study: the billion-dollar Yadana Pipeline Project in Burma (Myanmar), the first large international pipeline in Southeast Asia. The Paper then canvasses the relationship between human rights and private extractive industries and describes the need for human rights concepts, as well as attention to environmental concerns and corruption, within the corporate “sphere of influence”— typically its core operations, business partnerships, host communities, and relations with policy-makers. Part 2 assesses the limitations of extant mechanisms, such as voluntary codes of conduct, in regulating corporate human rights compliance, and introduces the HRIA as a stepping stone to more effective regulation. Part 3 outlines the basic history, principles, and processes of environmental and social impact assessment regimes with a view towards developing a model for an HRIA. Part 4 presents the conceptual, legal, and business case for such an HRIA. Part 5 applies this model to the case study and then concludes with several general comments and specific recommendations for creating a viable HRIA regime.”
- **Salcito K et al (2013) Assessing human rights impacts in corporate development projects. *Environmental Impact Assessment Review* 42: 39-50. Available at [https://www.researchgate.net/publication/257048660\\_Assessing\\_human\\_rights\\_impacts\\_in\\_corporate\\_development\\_projects](https://www.researchgate.net/publication/257048660_Assessing_human_rights_impacts_in_corporate_development_projects)**  
ABSTRACT: “Human rights impact assessment (HRIA) is a process for systematically identifying, predicting and responding to the potential impact on human rights of a business operation, capital project, government policy or trade agreement. Traditionally, it has been conducted as a desktop exercise to predict the effects of trade agreements and government policies on individuals and communities. In line with a growing call for multinational corporations to ensure they do not violate human rights in

their activities, HRIA is increasingly incorporated into the standard suite of corporate development project impact assessments. In this context, the policy world's non-structured, desk-based approaches to HRIA are insufficient. Although a number of corporations have commissioned and conducted HRIA, no broadly accepted and validated assessment tool is currently available. The lack of standardisation has complicated efforts to evaluate the effectiveness of HRIA as a risk mitigation tool, and has caused confusion in the corporate world regarding company duties. Hence, clarification is needed. The objectives of this paper are (i) to describe an HRIA methodology, (ii) to provide a rationale for its components and design, and (iii) to illustrate implementation of HRIA using the methodology in two selected corporate development projects—a uranium mine in Malawi and a tree farm in Tanzania. We found that as a prognostic tool, HRIA could examine potential positive and negative human rights impacts and provide effective recommendations for mitigation. However, longer-term monitoring revealed that recommendations were unevenly implemented, dependent on market conditions and personnel movements. This instability in the approach to human rights suggests a need for on-going monitoring and surveillance.”

- **Salcito K (2014) Lessons Learned: A decade of corporate human rights impact assessment: strategic advances and lessons learned. (Forthcoming.)**

ABSTRACT: A decade ago, the first executive summary of the first corporate human rights impact assessment (HRIA) was published, describing foreseen human rights risks associated with an extractive sector project. The summary was heralded as the first step in a burgeoning era of corporate respect for human rights. Since then, a governance framework has been established to incorporate multinational corporations into the human rights regime, and HRIA has become established as a core component of corporate responsibility. HRIAs, when conducted systematically and holistically, have identified risks not foreseen in other assessments and established remedial mechanisms that have been both cost effective and rights-respectful. However, standardization of the HRIA process has not met expectations. There is still a high level of confusion among corporations as to what components of HRIA are necessary to ensure that they have conducted “due diligence” to foresee and manage human rights risks. However, leading practitioners share an increasingly coherent understanding of what makes an HRIA adequate. Here, we describe the development and evolution of HRIA as a corporate tool and analyze the role that it is having on corporate practices and operations.

- **Tamir I, Zoen, S (2017) Human Rights Impact Assessments in a Brazil Land Conflict: Towards a Hybrid Approach. *Business and Human Rights Journal* 1-7. Available at <https://www.cambridge.org/core/journals/business-and-human-rights-journal/article/human-rights-impact-assessments-in-a-brazil-land-conflict-towards-a-hybrid-approach/B0BEFFC7B3C2FCA3565D74A2F201EE18>**

ABSTRACT: “In recent years there has been a surge in both community- and company-led human rights impact assessments (HRIAs) thanks in part to the due diligence requirements of the United Nations Guiding Principles on Business and Human Rights (UNGPs). Community-based HRIAs, by nature, analyse impacts from the perspective of a

local community... Companies have also developed tools and processes to assess the potential impact of their projects; however, they often fail to seek out the expectations or assertions of the very people whose rights they may be adversely impacting... In any given investment project, either a company-led or a community-based HRIA may have been conducted. In Brazil, however, these two processes recently occurred in parallel providing a unique opportunity for comparison. In viewing these two processes, this piece suggests that company and communities work together, when possible, in a hybrid approach to assess human rights in order to create a shared understanding of impacts, solutions and remedies.” This article is based on a case study of community- and company-led HRIAs (undertaken by Coca Cola and Pepsi Co) conducted on sugar mills in Brazil.

- **Watson G et al (2013) Human rights impact assessment in practice: Oxfam’s application of a community-based approach. *Impact Assessment and Project Appraisal* 31, 2: 118-127. Available at**

<http://www.tandfonline.com/doi/abs/10.1080/14615517.2013.771007>

ABSTRACT: “From 2010 to 2012, Oxfam America (Oxfam) supported two partner organizations to conduct pilots of a community-based human rights impact assessment tool, *Getting it Right, Human Rights Impact Assessment Guide*, to assess the effects of private investments. The tool generates a norm-based interview protocol based on human rights concerns identified with community members. The pilots were carried out in contexts where companies and government agencies had failed to respond to repeated human rights concerns. One of the two pilots, documenting migrant tobacco farmworker conditions in North Carolina, is detailed. The pilots generated three primary outcomes: (1) increased human rights knowledge and vehicles for effective claim-making among community members and support organizations; (2) increased engagement between community support organizations and companies; and (3) responsive action by companies. The final report’s actionable recommendations, amplified through subsequent public outreach through media, internet and active citizenry, generated heightened response and significant initial actions by companies. Areas of future application are suggested, including more frequent application of independent community-based human rights impact assessments for significant private investments.”

## 6. HRIA IN THE NEWS

- **Lacuna Magazine (2017) Taking human rights and business seriously: An Interview with Kendyl Salcito. Available at <http://lacuna.org.uk/economy/taking-human-rights-business-seriously-interview-kendyl-salcito/>**

ABSTRACT: Kendyl Salcito is co-founder and executive director of NomoGaia. NomoGaia is a non-profit research and policy organization where Kendyl has spent the last 9 years undertaking fieldwork on business and human rights. In his recent Lacuna article, James Harrison suggested that she is the leading pioneer in her field, and the business and



human rights communities could learn a great deal from her insight. Below, James talks to Kendyl about her investigations; from gold mines in Indonesia to oil fields in Uganda. She explains what doing good human rights work entails, and why she is concerned that such work is the exception rather than the rule in the 'human rights and business' world."

## 7. EDUCATIONAL AND TRAINING MATERIALS

- **UN Global Compact and DIHR webinar (2014) Exploring Human Rights Impact Assessment.** Available at <https://www.unglobalcompact.org/library/1071>  
ABSTRACT: "As a result of the UN Guiding Principles on Business and Human Rights, businesses regardless of sector are paying greater attention to the actual and potential human rights impacts of their operations and business relationships on stakeholders. This webinar co-hosted by the UN Global Compact and the Danish Institute for Human Rights explored the various types of Human Rights Impact Assessments, including company, community and sector-based, analyzing both the impetus behind the assessments as well as lessons learned."
- **Wielga M (2016) Human Rights Impact Assessment. Teaching Business and Human Rights Handbook.** Columbia University. Available at <http://tbhrforum.org/teaching-notes/human-rights-impact-assessment/>  
ABSTRACT: This Teaching Note from Columbia University's Teaching Business and Human Rights Handbook provides background on the origins of HRIA, places HRIA within human rights due diligence, and discusses HRIA methodology. Various approaches for teaching HRIA are detailed and key questions and teaching resources provided.
- **DIHR, Oxfam, NomoGaia, twentyfifty and BSR (2017) Webinar Series: Human Rights in Impact Assessment.** Flyer: <https://business-humanrights.org/en/webinar-series-2017-human-rights-in-impact-assessment>  
ABSTRACT: Three-part webinar series on HRIA. Part 1: HRIA Case Studies  
<http://www.twentyfifty.co.uk/en/news-views/comments/2017/case-studies-on-human-rights-impact-assessments/> Part 2: Capacity Building and Stakeholder Engagement in HRIA  
<https://oxfam.webex.com/oxfam/ldr.php?RCID=5b2ee774cda31880961d72d6f4d883b6>  
Part 3: Integrating Human Rights into Social and Environmental Impact Assessment  
<https://bsr.webex.com/mw3200/mywebex/nbrshared.do>

## 8. RELATED FIELDS OF IMPACT ASSESSMENT

### 8.1. General - HRIA's relationship to other areas of IA

- **Esteves AM et al (2017) Adapting Social Impact Assessment to Address a Project's Human Rights Impacts and Risks.** *Environmental Impact Assessment Review* 67: 73–87.

ABSTRACT: We address the weaknesses inherent in the social risk assessments undertaken for business, especially in the extractive industries. In contrast to the conventional approach that considers consequence to the company rather than to impacted communities, conformance with the *United Nations Guiding Principles on Business and Human Rights* requires that consequence to affected communities has precedence. In order for social risks to be properly assessed, we consider that: companies need to know and understand the human rights impacts of their activities; contemporary approaches to project impact and risk assessment need to be adapted to consider human rights; and environmental impact assessment (EIA) and social impact assessment (SIA) methods need to be adapted to give greater attention to impacts on human rights. Using an example from the mining, oil and gas sector, we provide a method that differentiates social risks from business risks, and we position impact assessment as an instrument that actively facilitates the improved identification, analysis and management of social risks. Practical adaptations to SIA activities and risk assessment processes are provided. Taking human rights impacts into account and using the dimensions of gravity, extent, vulnerability and remediability, we nominate criteria to assess the significance of negative social impacts.

- **Götzmann N et al (2015) Social and Human Rights Impact Assessments: What Can They Learn from Each Other. *Journal of Impact Assessment and Project Appraisal*. 34, 1: 14-23. Available at <http://www.tandfonline.com/doi/abs/10.1080/14615517.2015.1096036?journalCode=tiap20>**  
ABSTRACT: “We examine key commonalities and differences between social impact assessment (SIA) and human rights impact assessment (HRIA) conducted for private sector projects to consider what these two fields might learn from each other. As HRIA is an emerging practice, current approaches are diverse and there is a lack of a robust understanding about how HRIA and SIA relate to each other. We suggest that the two fields have much in common in terms of: their objective to identify and address adverse impacts; their focus on process as well as outcomes; and their consideration of how to ensure the meaningful inclusion of vulnerable individuals and groups. However, there is also significant divergence in terms of: the standards applied; the relevance of project benefits; and the recognition of stakeholders as rights-holders and duty-bearers. We suggest that the further exploration of these areas of difference has the potential to create valuable cross-learning between SIA and HRIA, as well as the potential to open up spaces for joint initiatives where the two fields might address current shortcomings together.”
- **Graetz G and Franks D (2013) Incorporating Human Rights into the Corporate Domain: Due Diligence, Impact Assessment and Integrated Risk Management. *Impact Assessment and Project Appraisal* 31, 2: 97-106. Available at <http://www.tandfonline.com/doi/pdf/10.1080/14615517.2013.771006>.**  
ABSTRACT: “Business and human rights are often thought to be antithetical, but as societal expectations on companies have grown, it has become increasingly important

for businesses to understand and act upon their legal and moral obligations to respect human rights. The authors of this paper begin by charting the evolution of the rights paradigm and its incorporation into the corporate sphere of influence. Second, the concept of human rights due diligence is examined, owing to its prominence in John Ruggie's 'Protect, Respect and Remedy' framework. Human Rights Impact Assessments, as an emerging due diligence tool, warrant further attention, theorization and critique. Finally, it is suggested that human rights due diligence could be consolidated within existing corporate risk management systems. Reframing human rights in the context of social and business risks may provide a path for companies to understand the need for human rights due diligence by linking rights considerations with business concerns."

- **Kemp D and Vanclay F (2013) Human Rights and Impact Assessment: Clarifying the Connections in Practice. *Impact Assessment and Project Appraisal* 31:2, 86-96. Available at <http://www.tandfonline.com/doi/pdf/10.1080/14615517.2013.782978>**  
ABSTRACT: "Historically, impact assessment practice has not explicitly considered human rights. That human rights are relevant to business has been confirmed through the United Nations Human Rights Council's endorsement of the 'Guiding Principles on Business and Human Rights'. Special Representative to the Secretary-General on business and human rights, Professor John Ruggie, advocated awareness of 'rights-holders' and 'duty-bearers' and a shift from third parties "naming and shaming" companies as a way of addressing human rights harms to companies also "knowing and showing" how they are taking responsibility for their human rights impacts and managing their human rights risks. Consideration of human rights should therefore be central to impact assessment for private sector projects, especially those affecting livelihoods, environment, health, safety and security, land and property, culture and gender dynamics. We provide an introduction to the business and human rights debate, discuss the relevance of human rights to the field of impact assessment, and examine a range of challenges associated with integrating the fields of human rights and social impact assessment."
- **MacNaughton G, Hunt P (2011) A Human Rights-based Approach to Social Impact Assessment. In: Vanclay, F, Esteves, A (eds) *New Directions in Social Impact Assessment*. Edward Elgar: Cheltenham, 355-368.**  
ABSTRACT: "In this chapter, we seek to introduce a human rights-based impact assessment to the SIA community. The chapter begins by reviewing the common core values of SIA and human rights. It then introduces the sources of human rights legal obligations, and follows by outlining the primary methodologies available to governments to ensure the realization of human rights for all. The chapter then focuses specifically on human rights impact assessment (HIRA) as a key method of implementation, and finally recommends integration of human rights law into SIA. In the end, the proposed methodology is a human rights-based approach to SIA."
- **MacNaughton G, Forman L (2014) The Value of Mainstreaming Human Rights into Health Impact Assessment. *International Journal of Environmental Research and***

**Public Health** 11, 10: 10076-10090. Available at <http://www.mdpi.com/1660-4601/11/10/10076/htm>

ABSTRACT: “Health impact assessment (HIA) is increasingly being used to predict the health and social impacts of domestic and global laws, policies and programs. In a comprehensive review of HIA practice in 2012, the authors indicated that, given the diverse range of HIA practice, there is an immediate need to reconsider the governing values and standards for HIA implementation. This article responds to this call for governing values and standards for HIA. It proposes that international human rights standards be integrated into HIA to provide a universal value system backed up by international and domestic laws and mechanisms of accountability. The idea of mainstreaming human rights into HIA is illustrated with the example of impact assessments that have been carried out to predict the potential effects of intellectual property rights in international trade agreements on the availability and affordability of medicines. The article concludes by recommending international human rights standards as a legal and ethical framework for HIA that will enhance the universal values of nondiscrimination, participation, transparency and accountability and bring legitimacy and coherence to HIA practice as well.”

- **Sherman J (2011) Integrating Human Rights Impact Assessments into Enterprise Risk Management Systems. Conference remarks Engaging Business, Atlanta, GA. Available at [http://www.l4bb.org/speeches/integrating\\_human\\_rights.pdf](http://www.l4bb.org/speeches/integrating_human_rights.pdf)**

ABSTRACT: This paper discusses the integration of human rights impact assessment into an enterprise risk management system in companies. This model takes into account all major risks to the company’s internal and external stakeholders. Integration of HRIA into the enterprise risk management system of companies will be beneficial due to the main challenge of embedding HRIA into a company’s DNA. The paper focuses on two interrelated features of HRIA. First, the lens through which HRIA is viewed and second, how companies prioritize results of assessment in order to determine appropriate responses. Finally, the paper shows how enterprise risk management systems can accommodate these features.

## **8.2. Social compliance and auditing**

- **AFL-CIO. 2013. Responsibility Outsourced: Social Audits, Workplace Certification and Twenty Years of Failure to Protect Worker Rights. Available at <http://www.aflcio.org/content/download/77061/1902391/CSReport.pdf>**

ABSTRACT: “The failure of governments to protect workers’ rights in the global economy has left a yawning gap of regulation and helped spawn an \$80 billion industry in corporate social responsibility (CSR) and social auditing. Yet the experience of the last two decades of “privatized regulation” of global supply chains has eerie parallels with the financial self-regulation that failed so spectacularly in 2007 and plunged the world into deep and lasting recession. This detailed and extensive report by the AFL-CIO reveals just how bad much of the CSR industry has been for working people. Not only

has it helped keep wages low and working conditions poor, it has provided public relations cover for producers whose disregard for health and safety has cost hundreds of lives. The AFL-CIO research underscores the central failing of the CSR model, which is based mainly on short and cursory visits to factories and no proper discussion with workers. This, coupled with the big global brands holding on to the “Walmart” model of driving prices to local producers ever lower and demanding ever-faster production, the dominant social auditing model will never achieve decent, secure jobs for the millions of workers at the sharp end of the global economy.”

- **LeBaron G et al (2017): Governing Global Supply Chain Sustainability through the Ethical Audit Regime. *Globalizations*, DOI: 10.1080/14747731.2017.1304008. Available at:**

<http://www.tandfonline.com/doi/pdf/10.1080/14747731.2017.1304008?needAccess=true>

ABSTRACT: “Over the past two decades multinational corporations have been expanding ‘ethical’ audit programs with the stated aim of reducing the risk of sourcing from suppliers with poor practices. A wave of government regulation—such as the California Transparency in Supply Chains Act (2012) and the UK Modern Slavery Act (2015)—has enhanced the legitimacy of auditing as a tool to govern labor and environmental standards in global supply chains, backed by a broad range of civil society actors championing audits as a way of promoting corporate accountability. The growing adoption of auditing as a governance tool is a puzzling trend, given two decades of evidence that audit programs generally fail to detect or correct labor and environmental problems in global supply chains. Drawing on original field research, this article shows that in spite of its growing legitimacy and traction among government and civil society actors, the audit regime continues to respond to and protect industry commercial interests. Conceptually, the article challenges prevailing characterizations of the audit regime as a technical, neutral, and benign tool of supply chain governance, and highlights its embeddedness in struggles over the legitimacy and effectiveness of the industry-led privatization of global governance.”

- **O’Rourke D (2014) The Science of Sustainable Supply Chains. *Science*, 344, 6188: 1124-1127. Available at:**

<https://www.researchgate.net/publication/262931488> [The science of sustainable supply chains](#)

ABSTRACT: “Recent advances in the science and technology of global supply chain management offer near-real-time demand-response systems for decision-makers across production networks. Technology is helping propel “fast fashion” and “lean manufacturing,” so that companies are better able to deliver products consumers want most. Yet companies know much less about the environmental and social impacts of their production networks. The failure to measure and manage these impacts can be explained in part by limitations in the science of sustainability measurement, as well as by weaknesses in systems to translate data into information that can be used by decision-makers inside corporations and government agencies. There also remain

continued disincentives for firms to measure and pay the full costs of their supply chain impacts. I discuss the current state of monitoring, measuring, and analyzing information related to supply chain sustainability, as well as progress that has been made in translating this information into systems to advance more sustainable practices by corporations and consumers. Better data, decision-support tools, and incentives will be needed to move from simply managing supply chains for costs, compliance, and risk reduction to predicting and preventing unsustainable practices.”

- **Sinkovics N, Hoque S, Sinkovics R (2016) Rana Plaza Collapse Aftermath: Are CSR Compliance and Auditing Pressures Effective? *Accounting, Auditing and Accountability Journal* 29, 4: 617-649. Available at:**

<http://www.emeraldinsight.com/doi/pdfplus/10.1108/AAAJ-07-2015-2141>

ABSTRACT: “The purpose of this paper is to investigate the intended and unintended consequences of compliance and auditing pressures in the Bangladeshi garment industry. To explore this issue the authors draw on three medium-sized suppliers. The institutional changes that followed the Rana Plaza accident in April 2013 make Bangladesh in general and the garment industry in particular an interesting and suitable research setting for standards compliance.... The results indicate that the pressure for compliance has led the case companies to prioritise the implementation of measurable standards over the socially grounded needs and priorities of workers. As a consequence certain initiatives instead of adding new social value in fact destroyed previously existing social value. Furthermore, the pressure for compliance created the necessity to find ways to cover the sizable cost of compliance. This prompted firms to pursue process upgrading through technological advancements and increased work pressures on the labour force. These initiatives led to an increased power imbalance and the exclusion of unskilled workers from the job market.

- **Short J, Toffel M, Hugill A (2016) Monitoring Global Supply Chains. *Strategic Management Journal* 37, 9: 1878-1897. Available at**  
[http://www.hbs.edu/faculty/Publication%20Files/ShortToffelHugill2016SMJ\\_4746e9b3-c482-4d09-b5aa-f2861fd1010f.pdf](http://www.hbs.edu/faculty/Publication%20Files/ShortToffelHugill2016SMJ_4746e9b3-c482-4d09-b5aa-f2861fd1010f.pdf)

ABSTRACT: “Firms seeking to avoid reputational spillovers that can arise from dangerous, illegal, and unethical behavior at supply chain factories are increasingly relying on private social auditors to provide strategic information about suppliers' conduct. But little is known about what influences auditors' ability to identify and report problems. Our analysis of nearly 17,000 supplier audits reveals that auditors report fewer violations when individual auditors have audited the factory before, when audit teams are less experienced or less trained, when audit teams are all-male, and when audits are paid for by the audited supplier. This first comprehensive and systematic analysis of supply chain monitoring identifies previously overlooked transaction costs and suggests strategies to develop governance structures to mitigate reputational risks by reducing information asymmetries in supply chains.”

### 8.3. Social impact assessment

- **Social Impact Assessment Hub (SIA hub) has resources for social impact assessment practitioners** <http://www.socialimpactassessment.com/resources.asp>
- **Esteves, AM, Franks, D and Vanclay, F (2012) Social Impact Assessment: The State of the Art. *Impact Assess Project Appraisal*, 30(1): 34–42. Available at** <http://www.tandfonline.com/doi/abs/10.1080/14615517.2012.660356>  
ABSTRACT: Social impact assessment (SIA) is now conceived as being the process of managing the social issues of development. There is consensus on what 'good' SIA practice is – it is participatory; it supports affected peoples, proponents and regulatory agencies; it increases understanding of change and capacities to respond to change; it seeks to avoid and mitigate negative impacts and to enhance positive benefits across the life cycle of developments; and it emphasizes enhancing the lives of vulnerable and disadvantaged people. We analyse the strengths, weaknesses, opportunities and threats facing SIA. We assert that the SIA community needs to revisit core concepts, such as culture, community, power, human rights, gender, justice, place, resilience and sustainable livelihoods. It is incumbent on SIA practitioners to educate proponents, regulators and colleagues about these concepts, and to embed them into practice norms. Stronger engagement with the emerging trends of free, prior and informed consent (FPIC); human rights impact assessment; social performance standards; supply chain management; governance; local content and economic development will improve the relevance and demonstrable value of SIA to all stakeholders.”
- **Vanclay F (2003) SIA Principles: International Principles for Social Impact Assessment. *Impact Assessment and Project Appraisal* 21. 1: 5-11. Available at** <http://www.iaia.org/uploads/pdf/IAIA-SIA-International-Principles.pdf>  
ABSTRACT: “The "International Principles for Social Impact Assessment" is a statement of the core values of the SIA community together with a set of principles to guide SIA practice and the consideration of 'the social' in environmental impact assessment generally. It is a discussion document for the impact assessment community to be used as the basis for developing sector and national guidelines. In the process of being developed explicitly for an international context, increasing pressure was placed on the conventional understanding of SIA and a new definition, with official imprimatur of an international professional body, has been formalised. "Social Impact Assessment includes the processes of analysing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programs, plans, projects) and any social change processes invoked by those interventions. Its primary purpose is to bring about a more sustainable and equitable biophysical and human environment.”

- **Vanclay F (2014) Developments in Social Impact Assessment: An Introduction to a Collection of Seminal Research Papers.** In: Vanclay F (ed) *Developments in Social Impact Assessment*. Edward Elgar: Cheltenham.  
 ABSTRACT: TBA
- **Vanclay F, Esteves A (2011) Current Issues and Trends in Social Impact Assessment In: Vanclay F, Esteves A (eds) *New Directions in Social Impact Assessment*. Edward Elgar: Cheltenham.**  
 ABSTRACT: This introductory chapter to an edited volume covers some of the recent trends and developments that are shaping the field of social impact assessment. The authors view the book as aligned with the SIA philosophy laid out in the International Principles for Social Impact Assessment, which stress the ongoing management of social issues associated with a development activity, taking a holistic approach to impact assessment, and ensuring that the goals of development are attained. The chapter looks at how current trends around free, prior, and informed consent, notions of social responsibility, human rights impact assessment, and local content requirements are shaping SIA practice. It closes by exploring key considerations that need to be addressed in current and future SIA practice.
- **Vanclay F et al (2015) Social Impact Assessment: Guidance for Assessing and Managing the Social Impacts of Projects.** International Association for Impact Assessment.  
 Available at [https://www.iaia.org/uploads/pdf/SIA\\_Guidance\\_Document\\_IAIA.pdf](https://www.iaia.org/uploads/pdf/SIA_Guidance_Document_IAIA.pdf)  
 ABSTRACT: “The purpose of this Guidance Note is to provide advice to various stakeholders about what is expected in good practice social impact assessment (SIA) and social impact management processes, especially in relation to project development. Project development refers to dams, mines, oil and gas drilling, factories, ports, airports, pipelines, electricity transmission corridors, roads, railway lines and other infrastructure including large-scale agriculture, forestry and aquaculture projects. This Guidance Note builds on IAIA’s (2003) International Principles for Social Impact Assessment. While the International Principles outline the overarching understandings of the SIA field, including the expected values of the profession, this document seeks to provide advice on good practice in the undertaking and appraisal of SIAs and the adaptive management of projects to address the social issues. As a statement of good and sometimes leading practice, not all the information in this document will necessarily be applicable in every situation – people utilising this information will need to establish for themselves what is appropriate in each particular context.”

#### 8.4. Environmental impact assessment

- **Jay S et al (2009) Environmental Impact Assessment: Retrospect and Prospect.** *Environmental Impact Assessment Review*. 27:287-300.  
 ABSTRACT: “The widespread experience of environmental impact assessment (EIA) as an anticipatory environmental management tool has generated a considerable debate over



the extent to which it is achieving its purposes. This has been measured in terms of EIA 'effectiveness', especially as discussion has moved away from issues of procedural implementation, to the more substantive goals of EIA and its place within broader decision-making contexts. Empirical studies have revealed the relatively weak degree of influence on planning decisions that is being exerted by EIA, which is increasingly being attributed to its rationalist beginnings. This article seeks to direct this debate towards the founding political purposes of EIA which, it is argued, provide a neglected, yet strong, basis for EIA reform. A number of illustrative suggestions are made as a result of this redirection, to enable EIA to adopt a more determinative role in decision making and to contribute to more sustainable patterns of development planning."

- **Report from the Commission to the Council and the European Parliament under Article 12(3) of Directive 2001/42/EC on the assessment of the effects of certain plans and programs on the environment (. Available at: <http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1494874134751&uri=COM:2017:234:FIN>**  
ABSTRACT: "This second implementation report on Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment ('Strategic Environmental Assessment Directive', or 'SEAD') presents the experience gained in applying the SEAD between 2007 and 2014.... The SEAD implements the principle of environmental integration and protection laid down in Articles 11 and 191 of the Treaty on the Functioning of the European Union. It provides for a high level of protection of the environment and helps integrate environmental considerations into the preparation and adoption of certain plans and programmes. To this end, the Directive requires an environmental assessment of plans and programmes which are likely to have significant effects on the environment. The SEAD does not lay down any measurable environmental standards. It is essentially a process directive, which establishes certain steps that Member States must follow when identifying and assessing environmental effects. The strategic environmental assessment (SEA) process is about helping policy makers take well-informed decisions, based on objective information and the results of consultation with the public/stakeholders and relevant authorities."

## 8.5. Risk management

- **Boatright J (2010) The Ethics of Risk Management in the Information Age. Bentley University, Center for Business Ethics. Available at <http://www.bentley.edu/sites/www.bentley.edu.centers/files/centers/cbe/boatright-monograph.pdf>**  
ABSTRACT: "Boatright takes a look at the complex phenomenon of risk management and some of the ethical issues associated with it. Although people have tried to manage risk for millennia, significant changes occurred in the mid-1990s that transformed risk management into a science that now guides much financial and business decision making. A product of sophisticated mathematical models made possible by powerful information technologies, today's risk management tools have created exotic securities

and new markets that reduce some risks and increase others. Many critics have argued that there are important technical and ethical problems associated with these practices and that they may have significantly contributed to the Great Recession of 2007.”

- **Fasterling B (2017) Human Rights Due Diligence as Risk Management: Social Risk Versus Human Rights Risk. *Business and Human Rights Journal* 2: 225-247. Available at [https://www.cambridge.org/core/services/aop-cambridge-core/content/view/ED9F732D580800917A4FF5997A4991BB/S2057019816000262a.pdf/human\\_rights\\_due\\_diligence\\_as\\_risk\\_management\\_social\\_risk\\_versus\\_human\\_rights\\_risk.pdf](https://www.cambridge.org/core/services/aop-cambridge-core/content/view/ED9F732D580800917A4FF5997A4991BB/S2057019816000262a.pdf/human_rights_due_diligence_as_risk_management_social_risk_versus_human_rights_risk.pdf)**

ABSTRACT: “The UN Guiding Principles on Business and Human Rights endorse a risk management perspective of human rights due diligence, which may create ambiguities with regard to the nature of risk and the objectives of risk management. By ‘human rights risk’ we understand a business enterprise’s potential adverse human rights impacts. Human rights risk can be contrasted to an enterprise’s ‘social risk’ which refers to the actual and potential leverage that people or groups of people with a negative perception of corporate activity have on the business enterprise’s value. This article puts forward the argument that due diligence in respect of human rights risk is conceptually incompatible with the management of social risk, because social risk management and human rights due diligence vary at each step of the risk management process (risk identification, risk measurement and assessment, risk reduction measures). To resolve this incompatibility, an effective integration of human rights due diligence processes into corporate risk management systems would require an elevation of human rights respect to a corporate goal that determines corporate strategy.”

- **Sherman J (2010) Whose Risk is it? Viewing Corporate Catastrophe through a Human Rights Lens. International Bar Association. Available at <http://www.ibanet.org/Article/NewDetail.aspx?ArticleUid=7a9003a3-93bf-41dd-a531-f397e889eb84>**

ABSTRACT: “Assuring the existence of internal systems for effective risk management is a core component of corporate governance, embedded in best practice and the laws of many countries. Yet the global recession caused by the financial meltdown and the runaway Deep water Horizon leak in the Gulf of Mexico show, yet again, that the consequences of a business failure to anticipate and plan for catastrophic risks can devastate companies, society, communities, and the environment. In light of disasters like these, companies must take a hard look at the effectiveness of their own risk management systems. Unless they incorporate more effectively the interests of external stakeholders who may be harmed if and when the worst occurs, however, companies may still get it wrong. Building on the concept of ‘human rights due diligence’, factoring those views into company risk management requires the company to understand and address the adverse impacts of their activities on all stakeholders, internal and external to the company.”

## 8.6. Health impact assessment

- **Bakker S et al (2009) Human Rights Impact Assessment in Practice: The Case of the Health Rights of Women Assessment Instrument (HeRWAI).** *Journal of Human Rights Practice* 1,3: 436-58. Available at <https://academic.oup.com/jhrp/article-abstract/1/3/436/2188647/Human-Rights-Impact-Assessment-in-Practice-The?redirectedFrom=fulltext>

ABSTRACT: "This article examines Human Rights Impact Assessment (HRIA) as a methodological approach to investigate and measure human rights impacts and compliance. It recognizes that there is a vast body of relevant theoretical material, but notes that practical examples of its use and case studies are thus far limited. To analyse the potential contributions of HRIAs for human rights practitioners, a concrete tool is discussed: Aim for human rights 'Health Rights of Women Assessment Instrument', produced by Aim for human rights. The article considers lessons that can be drawn from practical experiences with this tool. In the discussion of the case studies, examples of results and outcomes of its use are provided. The authors then extrapolate from the concrete tool to discuss to what extent HRIA as a methodology can contribute to measuring and promoting the realization of human rights. They highlight benefits as well as challenges that still have to be overcome. Finally, a call is made for more intensive sharing of practical experiences with HRIA tools in order to move the methodology forward."

- **Gay R (2008) Mainstreaming Wellbeing: An Impact Assessment for the Right to Health.** *Australian Journal of Human Rights* 13, 2: 33-63. Available at <http://www.austlii.edu.au/au/journals/AUJHRights/2007/12.html>

ABSTRACT: "The World Health Organization has written that 'without health, other rights have little meaning' (Jamar 1994). Over the past decade, the full ramifications of this statement have become clearer, as the health and human rights movement has endeavoured to establish conceptual and analytical bridges between the two disciplines of health and human rights, to create a field of discourse that goes to the very essence of human wellbeing. That discourse now faces the challenge of evolving itself from the conceptual to the operational, so that the linkages between health and human rights are explicitly recognised and incorporated in decision-making processes. There is therefore a rising call for new methodologies that can advance this ongoing evolution. A right-to-health impact assessment has been suggested as one such methodology, on the basis that it might provide decision makers across sectors with an evidence-based mechanism for analysing and anticipating the effects of their decisions. This article seeks to explore that possibility by examining the experiences of health impact assessment and human rights impact assessment and considering whether a right-to-health impact assessment offers anything more than these existing methodologies. These considerations belie complex conceptual and methodological issues, and the article offers some preliminary thoughts on the issues with which the health and human rights

movement will need to grapple as it continues its struggle to mainstream human wellbeing.”

- **Hunt P and MacNaughton G (2006) Impact Assessments, Poverty and Human Rights: A Case Study Using The Right to the Highest Attainable Standard of Health. WHO and UNESCO Health and Human Rights Working Paper Series No.6. Available at [http://www.who.int/hhr/Series\\_6\\_Impact%20Assessments\\_Hunt\\_MacNaughton1.pdf](http://www.who.int/hhr/Series_6_Impact%20Assessments_Hunt_MacNaughton1.pdf)**  
ABSTRACT: In recent years, there has been a growing demand for governments to carry out human rights impact assessments prior to adopting and implementing policies, programmes and projects. To date, however, little work has been done to develop methodologies and tools to aid governments in undertaking human rights impact assessments. The purpose of this project is to contribute to the development of such a methodology. UNESCO provided the funding for this project, and the United Nations Special Rapporteur on the right of everyone to the enjoyment of the highest attainable standard of health (‘the right to the highest attainable standard of health’ or ‘the right to health’) supervised the project and preparation of this report. This report emphasizes the role of human rights impact assessment in alleviating poverty.... This report reviews and then draws key criteria from three pioneering human rights impact assessment initiatives: (1) the NORAD Handbook in Human Rights Assessment, (2) the Rights & Democracy Initiative on Human Rights Impact Assessment, and (3) the HOM Health Rights of Women Assessment Instrument. We focus specifically on the obligation of governments to undertake impact assessments in order to comply with their obligation to progressively realize human rights and, accordingly, propose a methodology specifically suited to government assessments.”
- **MacNaughton G (2015) Human Rights Impact Assessment: A Method for Healthy Policymaking. *Health and Human Rights Journal* 17,1. Available at <https://www.hhrjournal.org/2015/04/human-rights-impact-assessment-a-method-for-healthy-policymaking/>**  
ABSTRACT: “Two decades ago, Lawrence Gostin and Jonathan Mann developed a methodology for human rights impact assessment (HRIA) of proposed public health policies. This article looks back over the last 20 years to examine the development of HRIA in the health field and consider the progress that has been made since Gostin and Mann published their pioneering article. Health-related HRIA has advanced substantially in three ways. First, the content of the right to health has been delineated in greater detail through domestic and international laws and policies. Second, the UN human rights mechanisms have recommended that governments undertake HRIAs and have issued guidelines and methodologies for doing so. Third, nongovernmental organizations and international organizations have developed HRIA tools and carried out case studies to demonstrate their feasibility. In this light, the article concludes by recognizing the substantial progress that has been made in HRIA over the last 20 years and by considering some challenges that remain for health-related HRIA.”

- **Winkler M et al (2010) Assessing Health Impacts in Complex Eco-epidemiological Settings in the Humid Tropics: Advancing Tools and Methods. *Environmental Impact Assessment Review* 30, 1: 52-61. Available at [https://www.researchgate.net/publication/222903915 Assessing health impacts in complex eco-epidemiological settings in the humid tropics Advancing tools and methods](https://www.researchgate.net/publication/222903915_Assessing_health_impacts_in_complex_eco-epidemiological_settings_in_the_humid_tropics_Advancing_tools_and_methods)**  
ABSTRACT: “In the developing world, large-scale projects in the extractive industry and natural resources sectors are often controversial and associated with long-term adverse health consequences to local communities. In many industrialised countries, health impact assessment (HIA) has been institutionalized for the mitigation of anticipated negative health effects while enhancing the benefits of projects, programmes and policies. However, in developing country settings, relatively few HIAs have been performed. Hence, more HIAs with a focus on low- and middle-income countries are needed to advance and refine tools and methods for impact assessment and subsequent mitigation measures. We present a promising HIA approach, developed within the frame of a large gold-mining project in the Democratic Republic of the Congo. The articulation of environmental health areas, the spatial delineation of potentially affected communities and the use of a diversity of sources to obtain quality baseline health data are utilized for risk profiling. We demonstrate how these tools and data are fed into a risk analysis matrix, which facilitates ranking of potential health impacts for subsequent prioritization of mitigation strategies. The outcomes encapsulate a multitude of environmental and health determinants in a systematic manner, and will assist decision-makers in the development of mitigation measures that minimize potential adverse health effects and enhance positive ones.”