# **Action** on business & human rights: Where are we now?
## Key findings from our Action Platforms

# Contents

## Why

Some companies and governments have taken unprecedented action on business and human rights in recent years. This follows the adoption of the UN Guiding Principles on Business and Human Rights in 2011, as well as increasingly co-ordinated cross-regional advocacy against corporate abuses.

The question is, how much progress has been made, and what more needs to be done?

Business & Human Rights Resource Centre has just launched two interactive platforms – one focused on companies, and one on governments. Company and government actions or inaction can reinforce or undermine each other, so both sides must be considered together.

The platforms aim to make more transparent who is doing what, clarify the progress made so far, and identify obstacles to faster progress. They highlight strong examples to follow and areas where more action is needed. And they empower advocates inside and outside business to drive more responsible conduct.

## What

Between September 2014 and January 2015, Business & Human Rights Resource Centre contacted over 100 governments and 180 companies, asking them to provide information on actions they have taken on business and human rights. 41 governments and 94 companies responded: responses, along with non-responses, are available on the platforms with an analytical search engine, along with reports from civil society and the media. The platforms are available at: www.business-humanrights.org.

This briefing highlights key findings from the platforms.

While a non-response to the Action Platforms does not necessarily indicate a lack of action on business and human rights, it is often the case that governments and companies who fail to engage publicly on these issues are inactive on them. Most governments and companies that did not respond to our survey have also not communicated comprehensively anywhere else about their actions and priorities on business & human rights.

## Who

Business & Human Rights Resource Centre is an international non-profit. We have offices in the UK and USA, and researchers in 12 other countries. Our researchers directly contacted companies and governments to encourage their participation in the Platforms.

## Key findings:

Several companies and governments have made significant progress. For example, by developing human rights policies (34 of the world's largest 50 companies now have one) and National Action Plans (4 governments have completed a NAP, 10 in process); conducting impact assessments; strengthening grievance procedures and access to remedy.

However a far larger number are either inactive, or are doing little. 60 governments did not engage with the survey at all, including Canada, China and Russia. The response rate from companies in the retail & apparel sector (27%) and from state-owned extractive companies (36%) was particularly low – and a similarly low proportion have human rights policies in place; yet these sectors include some of the world's largest companies with huge social impacts.

Companies responding to the survey often cited weak government frameworks and enforcement as a challenge. Meanwhile, many governments cited opposition by economic groups as an obstacle to progress. Too often, interactions between companies and governments work against, rather than in support of, human rights.

# 101 Governments    # 41 Responses    # 41% Response Rate

We invited 101 governments to respond to a questionnaire on their actions on business and human rights. 41 have responded to date.

## Key Findings:

European Union member states were the most engaged, with a 71% response rate; governments invited from Asia & Pacific had the lowest level of engagement with a 16% response rate.

Coordination across government departments was the obstacle for action most commonly cited, by 69% of governments. Lack of understanding and knowledge about business & human rights remains a challenge for 65% of respondents.

Discrimination and impacts on women and children were the issues governments most commonly referred to in actions they have taken. Only 10% of governments referred to actions to combat tax avoidance and only 17% referred to measures related to freedom of expression & privacy.

Few governments are considering measures to hold companies headquartered in their country accountable for human rights abuses committed abroad.

## Top 10 Economies

By real gross domestic product (based on purchasing power parity); source: IMF

| Response | No response |
|----------|-------------|
| USA | China |
| Japan | India |
| Germany | Russia |
| Brazil | |
| France | |
| Indonesia | |
| UK | |

Indonesia's NHRI provided information on its government's actions

It is encouraging that 7 of the 10 largest economies provided information on their actions. However, Brazil was the only one of the BRIC countries (Brazil, Russia, India, China) to respond.

Governments of large emerging economies – like all other governments of large countries – have a particular responsibility to engage and take action on business and human rights.

Responding governments include those active on business & human rights (Brazil, Norway, Germany, USA) as well as governments in the initial stages of engaging with these issues (including Angola, Bahrain, Israel, Japan, Myanmar).

Major governments that have not yet responded include: Canada, China, India, Russia.

Africa
6/22 responded

Americas
7/13 responded

Asia & Pacific
3/19 responded

Europe &
Central Asia
22/37 responded

Middle East & No.
Africa
3/10 responded

EU
Response
Rate: 71%

OAS
Response
Rate: 58%

ASEAN
Response
Rate: 20%

OECD
Response
Rate: 71%
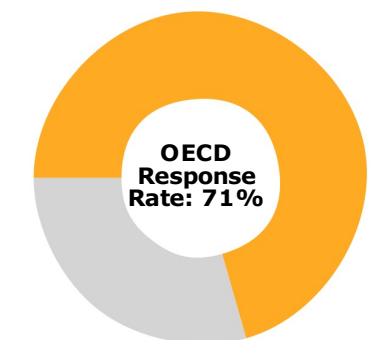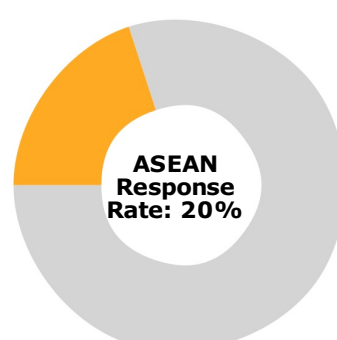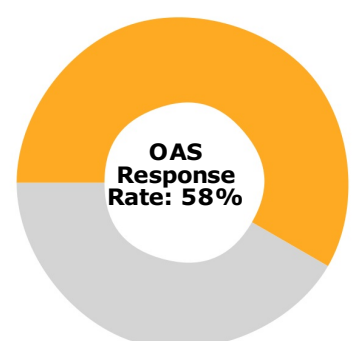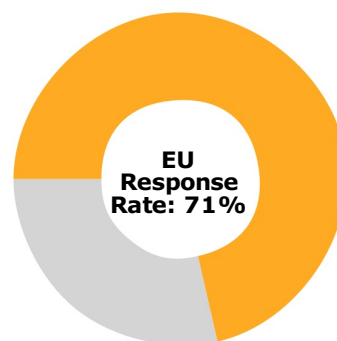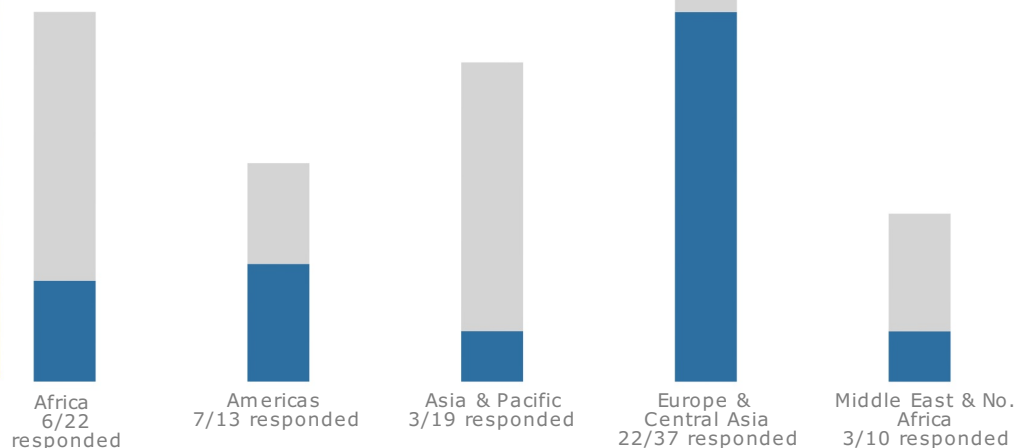
## Status of National Action Plans

Number of govts. responding about NAPs by stage

- Completed (4)
- In Process (10)
- Committed (4)
- Considering (9)
- Not mentioned (14)
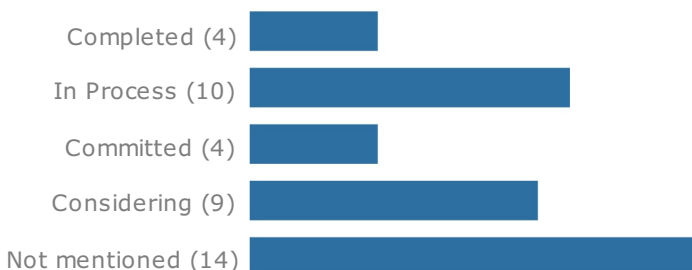
# 44% Discrimination Children Women

Labour rights and health represented the next tier of priorities, with 32% of responding governments referencing forced labour & trafficking, labour rights (including freedom of association) and health (including workplace health & safety) in their actions. It is encouraging that all three respondents from the Middle East & North Africa (Bahrain, Israel, Morocco) specifically referred to actions to protect freedom of association, although civil society reports indicate that labour rights in these and other countries in the region still need far greater protections.

Only 4 governments (El Salvador, Hungary, Mexico, Norway) referred to actions to combat tax avoidance domestically. This could indicate lack of awareness of tax avoidance as a human rights issue: by failing to pay taxes, companies deprive governments of resources to fulfil economic & social rights, including to health and education. Governments criticised for tax policies (such as Ireland, Luxembourg, Netherlands, Switzerland) did not refer to the issue in their responses.

44% of responding governments referenced discrimination, impacts on children (including child labour) and impacts on women as issues they are addressing through their actions. Other vulnerable groups were referenced fewer times: migrant workers and indigenous peoples, racial & ethnic minorities were referenced by 7 governments. Some governments with significant concerns about the impact of companies on minority racial or ethnic groups or indigenous peoples did not refer to specific actions related to these groups, for example Colombia, Myanmar, and Niger.

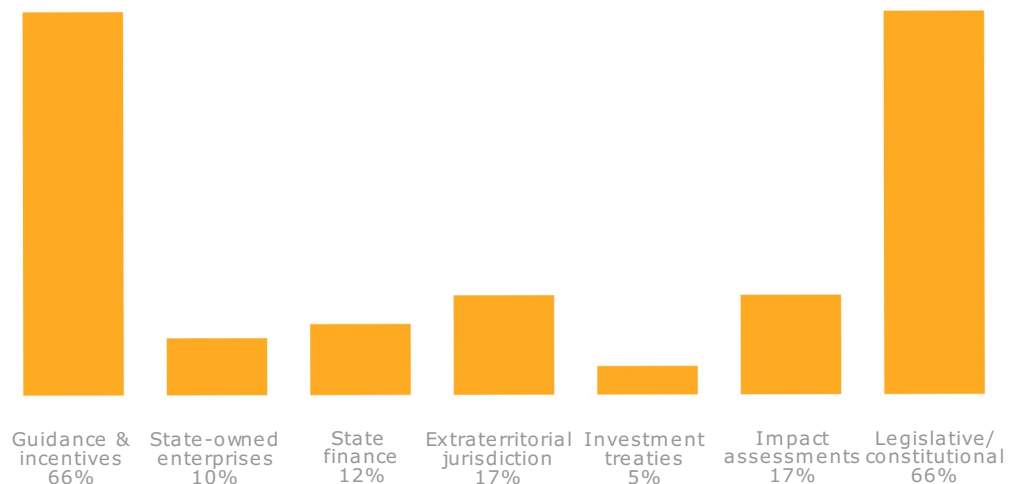# 32% Forced Labour & Trafficking Labour Rights Health

*"The 'Dirty List' is a register of employers, updated half-yearly, which lists individuals and legal entities that have been fined for using slave labour. Those individuals and legal entities are banned from receiving any type of public funding."*

**Brazil**

Note: The list is currently suspended pending judicial review.
Other initiatives on trafficking: UK modern slavery bill; US California Supply Chains Act.

# Tax Avoidance referred to by only 4 govts
# Freedom of Expression & Privacy by only 7

Furthermore, only 7 governments, primarily from the global South, referred to actions related to protecting freedom of expression & privacy. Several governments that have come under scrutiny for mass surveillance, often involving technology companies, did not highlight the issue as a priority.

*France "[encourages] companies headquartered on its territory that have operations abroad to implement the OECD Guidelines for Multinational Enterprises and the UN Guiding Principles...[and] pays particular attention to establishing due diligence mechanisms for multinational enterprises in order to identify, prevent or mitigate human rights abuses."*

Mandatory reporting and/or human rights due diligence legislation is under consideration in France, Switzerland, Norway, already in place on some issues in Denmark, France, Norway, UK, USA.

## Actions referred to by governments

As a % of all governments that responded



| Guidance & incentives 66% | State-owned enterprises 10% | State finance 12% | Extraterritorial jurisdiction 17% | Investment treaties 5% | Impact assessments 17% | Legislative/ constitutional 66% |
|---|---|---|---|---|---|---|

67% of governments referred to international standards in their responses, including the UN Guiding Principles, OECD Guidelines and ILO standards.

In terms of specific actions, 66% of governments cited legislative or constitutional measures as well as providing guidance & incentives to companies. This indicates that governments are taking some steps to follow former UN Special Representative John Ruggie's advice for putting in place "a smart mix" of regulatory and voluntary measures to address company impacts on human rights.

However, only 2 governments referenced steps taken to integrate human rights considerations into investment and trade treaties (Mexico, Myanmar). This is especially concerning considering the human rights concerns raised about on-going major investment treaty negotiations, including the Transatlantic Trade and Investment Partnership and the Trans-Pacific Partnership Agreement.

Steps taken on state-owned enterprises and state finance (including export credit agencies) were also among those least cited. This reflects a similar trend among companies, where state-owned enterprises had the lowest response rates. The lack of prioritisation of these actions illustrates a gap in policy coherence by governments.

26 governments answered a question on the obstacles they face for action on business and human rights. Of these, 65% of governments considered lack of awareness and knowledge a significant obstacle. Coordination across government departments was also widely cited as a challenge (70%). When asked which ministry was responsible for business and human rights, only 37% of governments indicated evidence of coordination such as an inter-ministerial working group.

10 OECD and 10 non-OECD countries cited concern about foreign investment as an obstacle for action on business and human rights. Moreover, 42% of governments cited opposition by economic interests as a key challenge. In contrast, many of companies in the Company Action Platform noted that a lack of willingness from governments was one of their major obstacles. This illustrates a disturbing phenomenon, where governments identify economic interests keep them from protecting human rights, while companies identify governments as obstacles for failing to respect human rights. In practice, business and governments alike need to shoulder responsibility, and coordinate on actions to protect vulnerable people.

Challenges of coordinating across departments
(69% of governments)

Lack of understanding or awareness
(65% of governments)

Opposition by economic interest groups or business associations
(42% of governments)
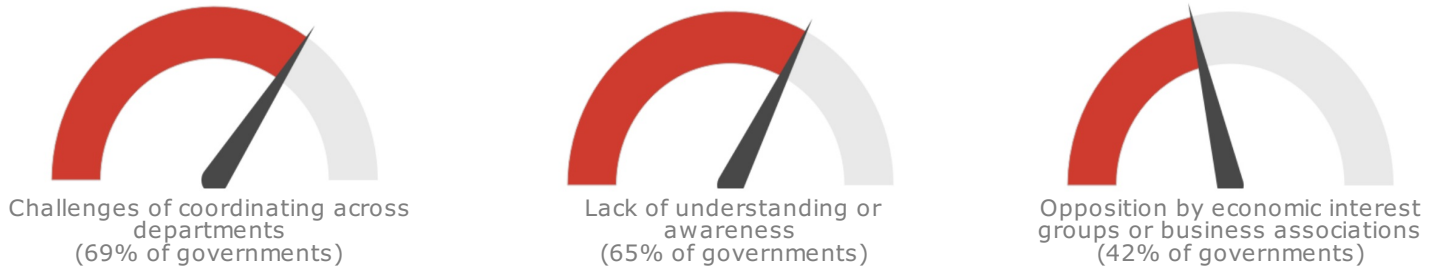
# In Focus: Reacting to UN Guiding Principles

Government action has picked up since the adoption of the UN Guiding Principles in June 2011. 73% of governments refer to the UN Guiding Principles as international standards in their responses, sometimes specifically citing how their actions relate to the State duty to protect human rights, as described by the Guiding Principles. However, at least 18% of respondents specifically said that they have not taken actions on business & human rights since the UN Guiding Principles were adopted. Moreover, around 60% of governments invited to respond to the questionnaire did not do so at all. Most of these governments also do not communicate anywhere else on their actions on business and human rights.

*"Using the Guiding Principles as the basis for a new Partnership for Responsible Garments Production in Bangladesh, the Danish government, business associations and enterprises have agreed on a number of detailed commitments to improve conditions within their sphere of influence."*

**Denmark**

*"[The] government's work in relation to business and human rights has consisted mainly of dissemination of the Guiding Principles among civil society, firms and the public sector in order to create space for that agenda within the country."*

**Colombia**

# In Focus: National Action Plans

*"[We are] trying to leapfrog and catch up with the...global community [on business and human rights]. [A]dopting...a National Action Plan is one concrete demonstration of...commitment to promote business and human rights in our country."*

**Myanmar**

There is momentum in activity around NAPs (primarily from Europe and the Americas). Four governments have adopted NAPs to date (Denmark, Finland, Netherlands, UK) 10 have indicated that they are in the process of developing NAPs (including Brazil, Germany, USA).

This potentially reflects the importance of active leadership from regional organizations (EU & OAS) in engaging member states on business & human rights. NAP processes vary but clear, good practice guidance is now available. Governments should undertake broad-based, inclusive processes to develop NAPs, and take rigorous steps to ensure their full implementation.

# In Focus: Access to Remedy

Our questionnaire included a section on actions governments have taken to improve judicial and non-judicial remedies as well as access to remedy for victims abroad of abuses by companies headquartered in their country.

49% of governments responded with actions to improve judicial remedies, including guidance and legal aid provisions.

In OECD countries, governments frequently referred to strengthening National Contact Points for the OECD Guidelines for Multinational Enterprises (including in Denmark, Netherlands, Norway). Two OECD National Contact Points (France, Switzerland) provided detailed information on recent cases they have addressed. Other innovative examples of actions on non-judicial remedies include the Dutch government's support for ACCESS Facility, an "independent platform" aiming to improve access to non-judicial grievance mechanisms.

*"[The Norwegian OECD National Contact Point's new] mandate specifies that the NCP shall strive to fulfil the UNGP's effectiveness criteria for non-judicial grievance mechanisms (UNGP 31). Currently the NCP, supported by the Ministry of Foreign Affairs, is undertaking a project to assist companies in starting or improving human rights due diligence processes. The project builds on inspiration from a Dutch initiative in 2013/2014."*

**Norway**

Few governments stated that they have provisions to hold companies headquartered in their country to account for abuses committed abroad, or that they are taking steps to create such accountability. However, there are examples of governments considering actions on this issue in terms of both bringing lawsuits in home country courts and clarifying legal responsibilities of companies operating abroad (including from Belgium, Denmark, Finland and France).

# 180 Companies
# 94 Responses
# 52% Response Rate

We invited 180 companies to respond to a questionnaire on their actions on business and human rights. 94 have responded to date. We contacted:

The largest 30 by market cap in Extractives; Food, beverage & agriculture; Retail & apparel; Information & communications technology.

The world's 50 largest companies by market cap (which included some of those from the above four sectors, but also additional firms in sectors such as Banking & finance, and Pharmaceutical).

Additional large companies headquartered in Africa, Asia, Latin America, Middle East.

## Key Findings:

Of the four target sectors, retail & apparel had the lowest response rate (27%), and also has the lowest percentage of companies that have a human rights policy statement (37% compared with 51% overall).

Since the UN Guiding Principles were adopted, the most common actions cited by companies are development of a human rights policy; increased management capacity (in various forms) to handle human rights issues; and strengthened supply chain management. Some companies also cited human rights impact assessments and grievance mechanisms.

Providing remedy for abuses, and engaging governments on human rights were among the actions least mentioned by responding companies.

## Retail & Apparel (27%)

Many of the retail and apparel companies that did respond are the large apparel companies like adidas, Gap, H&M and Nike. It is disappointing to see that many online and big-store retailers – with large human rights footprints particularly through their supply chain but also in how they treat employees – have not yet responded to the survey and do not have a publicly-available human rights policy.

Among these are: Alibaba.com; Amazon.com; Costco, Fast Retailing (parent company of Uniqlo); Macy's; Wal-Mart; and Wal-Mart de Mexico.

## Extractives (57%): State-owned vs private

Among extractives, there was a distinction between privately owned (64% responded) and state-owned (36%) companies. While Petrobras (Brazil), PetroChina and Statoil (Norway) did provide answers on their human rights policy and practice, ONGC (India), Pertamina (Indonesia), Petronas (Malaysia), PDVSA (Venezuela), Rosneft (Russia) and several others have not yet responded, and nor do they have publicly-available human rights policy commitments.

State — 36%

Private — 64%

Food, Beverage & Agriculture 73%

ICT 46%

**% Response Rate by Sector**

## With a human rights policy

Retail & Apparel (37%)

Finance & Banking (45%)

ICT (51%)

Extractives (53%)

Food, Beverage & Agriculture (57%)

Pharmaceutical (100%)

% of companies invited who have a human rights policy.

The most referred-to human rights issues mentioned across all the companies' responses were health (including workplace health & safety), workplace diversity/discrimination, and children & child labour. These are issues that cut across sectors and that companies have been engaging on for a long time.

It is encouraging that the fourth most-referred to issue was core labour rights, including freedom of association – indicating that many companies recognise the importance of trade union rights.

Below are the top three issues for each sector other than the top four overall.

## 1. Health
## 2. Discrimination
## 3. Children & Child Labour
## 4. Freedom of Association

### Retail & Apparel
1. Forced labour & trafficking
2. Women
3. Migrant workers

### Food, Beverage & Agriculture
1. Forced labour & trafficking
2. Women
3. Access to water

### Extractives
1. Indigenous peoples
2. Land rights
3. Relations with security providers

### ICT
1. Freedom of expression & privacy
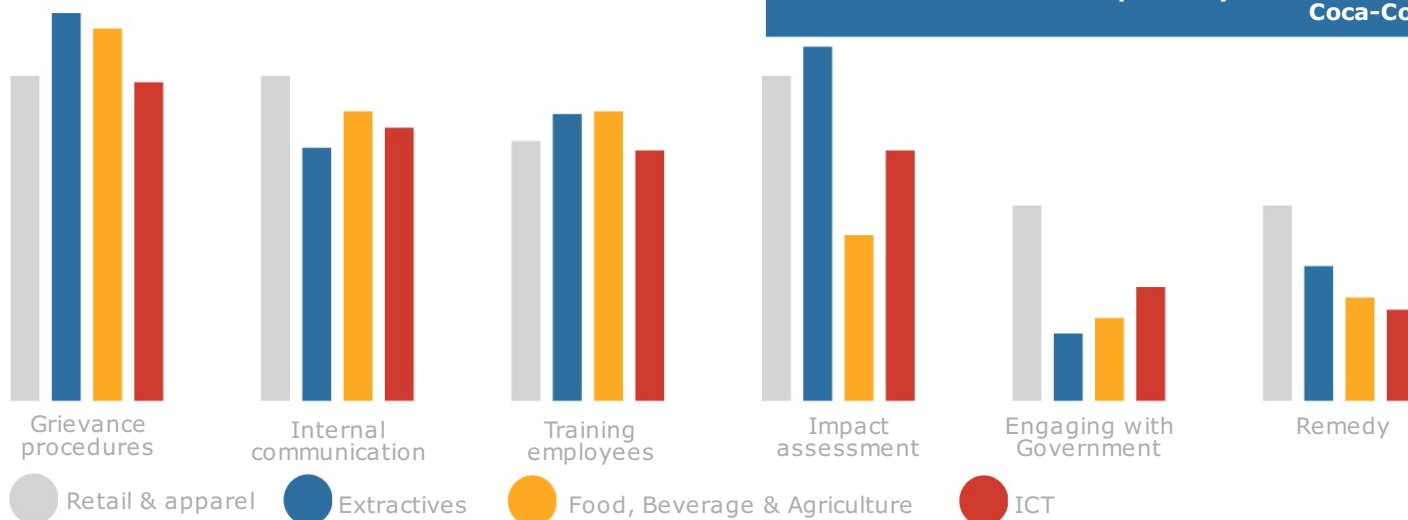2. Conflict minerals
3. Forced labour & trafficking

*"One of the challenges faced by CNOOC Limited is to safeguard its employees under a highly diversified working environment. As a global company, CNOOC Limited has more than 17,000 employees across 20 countries and regions. Ensuring a safe working environment for its employees worldwide means that CNOOC Limited needs to grapple with the variations in the physical environment and leverage different systems in practice."*

**CNOOC (China National Offshore Oil Corporation)**

Policy commitments, reporting and engaging suppliers were the most referred-to actions on human rights across the four main sectors. Results also illustrate the fact that companies are increasingly establishing grievance procedures and conducting human rights impact assessments (either on an organization-wide or a country or project-specific basis).

*"As a result of our investment in Myanmar in 2012, we conducted comprehensive human rights diligence in the country...Learning from our Myanmar experience, we are beginning to conduct 28 country human rights impact assessments for our sugar supply chain on land rights, and child and forced labor to be completed by 2020."*

**Coca-Cola**



Grievance procedures | Internal communication | Training employees | Impact assessment | Engaging with Government | Remedy

- ● Retail & apparel
- ● Extractives
- ● Food, Beverage & Agriculture
- ● ICT

The chart highlights the percentage of companies in each sector that made reference to just some of the many human rights actions featured in the survey. Impact assessments and grievance procedures are most common among the extractive sector. Food, beverage & agriculture companies made the fewest references to impact assessments – though some of those which are conducting them, such as Nestlé and Coca-Cola, are taking an in-depth approach.

## Remedy:

Remedy, which constitutes the third "pillar" of the UN Guiding Principles, is among the least-referred to actions by companies. However some companies did provide specific examples of their steps to remedy abuses.

*"[we were] one of the first to respond to the tragedy of Rana Plaza in April 2013. Due to our effective processes and transparency in our supply chain, we were able to alleviate the immediate suffering of the victims of the Rana Plaza building collapse. This included short-term financial aid and long-term financial compensation packages for the employees who worked in its supplier factory."*

**Primark**

*"A landholder phoned their QGC [Queensland Gas Company in Australia, part of BG Group] land access consultant to report that a cow fell into a pipeline trench and had to be put down. QGC investigated the matter and found that QGC was responsible. The landholder was compensated for the loss of the cow and fencing was erected around the section of trench where cattle passed."*

**BG Group**

One of the survey questions asked the companies to specify challenges they face. The most commonly referred to were the complexity of global supply chains; a lack of understanding of the "language" of human rights; and weak and differentiated government enforcement. At the same time in our government survey, several governments cited opposition by economic groups as an impediment to action.

For each challenge, however, there are examples of companies' approaches to overcoming it, either alone or in partnership with others.

> *"In June 2014 shocking accounts emerged of slavery in the Thai fishing industry, an industry which provides fish as a component of the feed used to cultivate prawns in our supply chain and the supply chain of all those sourcing Thai prawns. It would have been possible to switch our supply but we decided not simply to walk away from the problem, but rather to use our scale and influence to ensure a long-term fully-developed solution to it. We have sought to work in collaboration with the International Labour Organisation (ILO), leading NGOs and others to bring about change..."*
>
> **Tesco**

> *"[One challenge is] Developing a language of human rights that resonates and is meaningful to a multinational and diverse workforce. The Ruggie framework goes a long way to clarifying reasonable expectations of companies in this regard."*
>
> **Schlumberger**

> *"...WAPI [Wi-fi authentication & privacy infrastructure] continues to be used as the default standard in China despite concerns that WAPI remains incompatible with internationally recognized standards...Our efforts to oppose WAPI are rendered meaningless when other vendors incorporate the code. Nevertheless, we continue to maintain our efforts to push for international standards that are used to pursue a safe and secure open Internet."*
>
> **Cisco**

# In Focus: Reacting to UN Guiding Principles

The UN Guiding Principles on Business and Human Rights have clearly spurred action by many of the companies surveyed. Several referred to adopting a human rights policy or revising existing policies to address human rights, and strengthening supply chain management processes. Many companies also indicated they have increased their capacity to handle human rights issues, for example through the appointment of a new position, or creation of cross-functional working groups. In their answers regarding human rights reporting, Anglo American, Citigroup, H&M and Unilever referred to their participation in the development of the UN Guiding Principles Reporting Framework.

> Steps taken since the endorsement of the UN Guiding Principles
>
> *"Adoption of our Human Rights Policy based on the UNGP and development of a UNGP analysis Guide, resulting in a tool called the Remedy Guide*
>
> *Development of and implementation of a holistic human rights management strategy, including internal human rights training and strengthening of country level human rights due diligence.*
>
> *Expanding our supplier assessment scope further back in our supply chain, e.g. including fabric/yarn mills and additional non-commercial goods."*
>
> **H&M**

Tracking effectiveness
Mitigation
Stakeholder engagement
Grievance procedures
External communication
Engaging suppliers
Policy commitment
Internal communication
Impact assessment
Integration with business model
Training employees
Remedy

# In Focus: Multi-stakeholder initiatives

Managing complex human rights issues often requires a collaborative approach. At best, industry groups and multi-stakeholder initiatives can contribute to practical change on the ground. They can also provide an effective channel for companies to share experience and advice – some broader "social responsibility" groups are now adopting human rights streams, for example Verizon mentioned in its response that the Global eSustainability Initiative (GeSI) will be doing so in 2015. At worst, these initiatives can enable companies to feel that mere participation is a substitute for substantive action, and can allow companies to shop for programmes that have little or no enforcement, or representation of affected people.

The many initiatives that companies referred to included the Voluntary Principles on Security & Human Rights, Fair Labor Association, and Bangladesh Accord on Fire & Building Safety. Over 60 of the responding companies referred to their participation in the UN Global Compact.

# In Focus: Grievance mechanisms

Effective mechanisms are essential to ensure grievances are identified and addressed before they escalate. The survey results demonstrate that companies' internal grievance procedures – such as ethics hotlines for employees – are more established than grievance procedures that allow external individuals and communities to bring complaints. We encourage all companies to strengthen the latter as part of their human rights due diligence. The UNGPs require that grievance mechanisms are: legitimate, accessible, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue.

> *"The creation in 2013 of the Ombudsman Department at Vale, which reports to the Chair of the Board of Directors, was an important step in improving our procedures for dealing with complaints."*
>
> **Vale**

> *"The adidas Group['s]...Third-Party Complaint Mechanism [launched] in November 2013...was built on years of engagement with workers, trade unions, consumer advocacy and civil society groups ...We further updated our grievance procedure in November 2014, based on feedback...received from Human Rights Watch."*
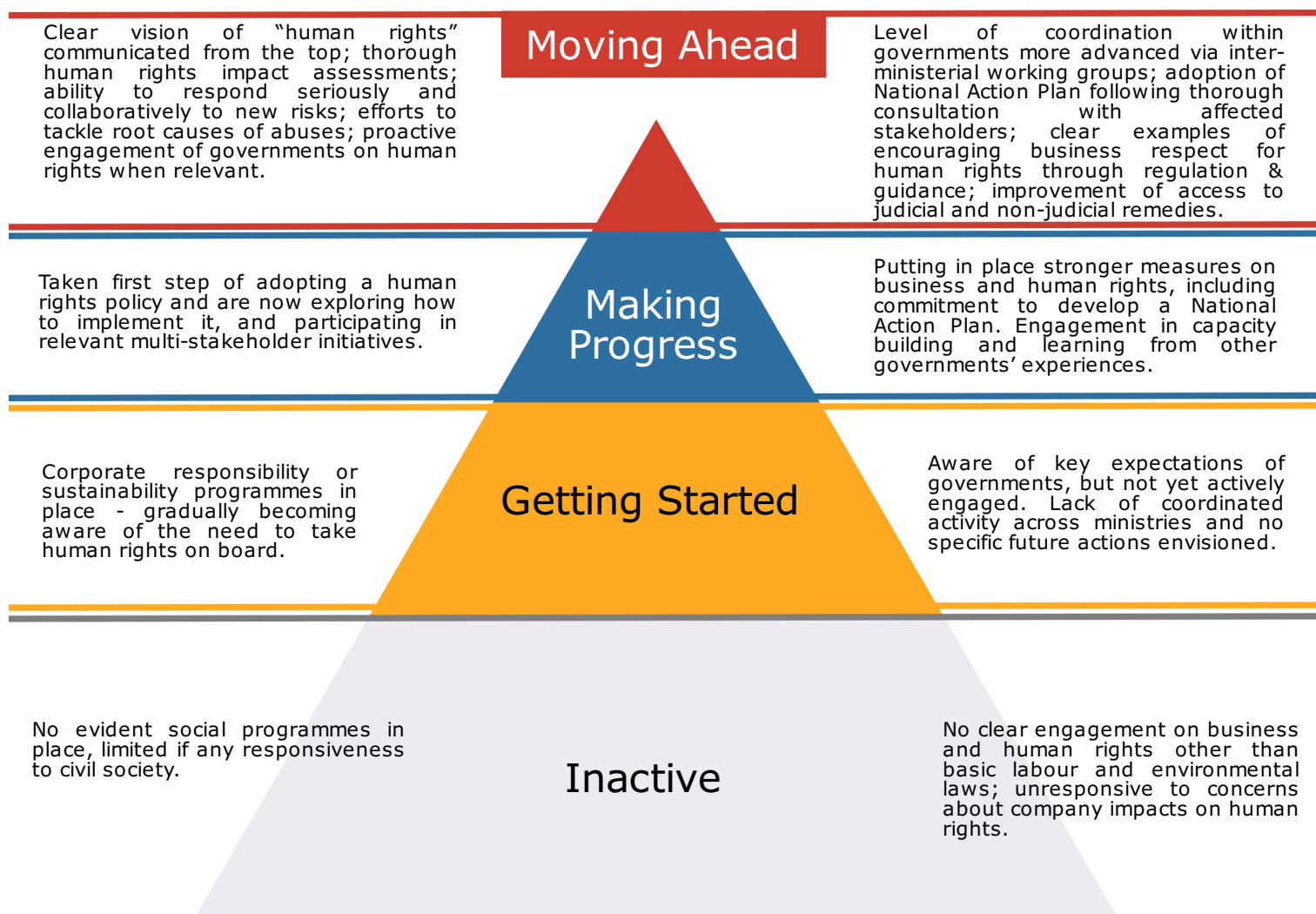>
> **adidas**

# Looking ahead

## Climbing the ladder of action on business & human rights

There is now no shortage of tools for companies and governments to use in integrating human rights, nor of examples of action by others to follow. We hope that people in business, government and civil society use the information on our action platforms to spur rapid progress along this spectrum.

# Companies

# Governments

### Moving Ahead

Clear vision of "human rights" communicated from the top; thorough human rights impact assessments; ability to respond seriously and collaboratively to new risks; efforts to tackle root causes of abuses; proactive engagement of governments on human rights when relevant.

Level of coordination within governments more advanced via inter-ministerial working groups; adoption of National Action Plan following thorough consultation with affected stakeholders; clear examples of encouraging business respect for human rights through regulation & guidance; improvement of access to judicial and non-judicial remedies.

### Making Progress

Taken first step of adopting a human rights policy and are now exploring how to implement it, and participating in relevant multi-stakeholder initiatives.

Putting in place stronger measures on business and human rights, including commitment to develop a National Action Plan. Engagement in capacity building and learning from other governments' experiences.

### Getting Started

Corporate responsibility or sustainability programmes in place - gradually becoming aware of the need to take human rights on board.

Aware of key expectations of governments, but not yet actively engaged. Lack of coordinated activity across ministries and no specific future actions envisioned.

### Inactive

No evident social programmes in place, limited if any responsiveness to civil society.

No clear engagement on business and human rights other than basic labour and environmental laws; unresponsive to concerns about company impacts on human rights.

## Next steps:

We hope that this briefing and the accompanying Platforms are a stepping stone to further progress on business & human rights. Particularly, we welcome the following.

Governments and companies can: Get in touch with new responses to the survey, or updates to existing responses – to ensure that we are reflecting your current policies and actions on business and human rights; and use the information on the platforms to learn from what others are doing.

Civil society and academia can: Send us commentaries and reactions to include on the Platforms, including on specific companies' and governments' responses or non-responses. Use the Platforms for further analysis of trends, obstacles and opportunities. We encourage greater research and recommendations on the interaction between companies and governments in this field – to ensure that it does not undermine human rights, but rather works in support of them.

**Guidance for companies: http://business-humanrights.org/en/company-action-platform/guidance**
**Guidance for governments: http://business-humanrights.org/en/government-action-platform/guidance**

**Contact us:**
Government Action Platform: Eniko Horvath horvath@business-humanrights.org
Company Action Platform: Annabel Short short@business-humanrights.org

# Annex 1: List of governments invited

## Responded

| | |
|---|---|
| Angola | Switzerland |
| Argentina | Tanzania* |
| Bahrain | United Kingdom |
| Belgium | USA |
| Brazil | |
| Bulgaria | *information provided by National Human Rights Institution |
| Chile | |
| Colombia | |
| Czech Republic | |
| Denmark | |
| El Salvador | |
| Estonia | |
| Finland | |
| France | |
| Germany | |
| Guinea | |
| Hungary | |
| Indonesia* | |
| Ireland | |
| Israel | |
| Italy | |
| Japan | |
| Latvia | |
| Luxembourg | |
| Malta | |
| Mexico | |
| Morocco* | |
| Mozambique | |
| Myanmar | |
| Netherlands | |
| Niger | |
| Norway | |
| Portugal | |
| Slovak Republic | |
| Slovenia | |
| South Africa* | |
| Spain | |

## Not yet responded

| | |
|---|---|
| Armenia | Papua New Guinea |
| Australia | Peru |
| Austria | Philippines |
| Azerbaijan | Poland |
| Bangladesh | Qatar |
| Bolivia | Romania |
| Botswana | Russia |
| Brunei | Saudi Arabia |
| Cambodia | Senegal |
| Cameroon | Singapore |
| Canada | South Korea |
| China | Sweden |
| Congo - Democratic Republic of | Taiwan |
| Congo - Republic of | Thailand |
| Côte d'Ivoire | Tunisia |
| Croatia | Turkey |
| Cyprus | Uganda |
| Ecuador | Ukraine |
| Egypt | United Arab Emirates |
| Ethiopia | Uzbekistan |
| Gabon | Vietnam |
| Ghana | Zambia |
| Greece | Zimbabwe |
| Guatemala | |
| Honduras | |
| Iceland | |
| India | |
| Jordan | |
| Kazakhstan | |
| Kenya | |
| Laos | |
| Lebanon | |
| Lithuania | |
| Madagascar | |
| Malaysia | |
| New Zealand | |
| Nigeria | |

# Annex 2: List of companies invited by sector

## Food, beverage & agriculture

**Responded:**
Anheuser-Busch InBev
Archer Daniels Midland
Associated British Foods
British American Tobacco
Cargill
Coca-Cola
Danone
Diageo
General Mills
Heineken
Hershey
ITC
Japan Tobacco International
Kellogg
Mars
McDonald's
Mondelēz International
Monsanto
Nestlé
PepsiCo
Pernod Ricard
SABMiller
Tesco
Unilever

*Not yet responded / declined*
*Altria*
*Imperial Tobacco*
*Kraft Foods*
*Kweichow Moutai Company*
*Philip Morris International*
*Reynolds American*
*Starbucks*
*Yum!*

## Extractives

**Responded:**
Anadarko
Anglo American
BG Group
BHP Billiton
BP
Cerrejón Coal
CNOOC
ConocoPhillips
Ecopetrol
Eni
ExxonMobil
Freeport-McMoRan
Glencore
Inpex

Jindal Stainless
OMV
Pemex [preparing response]
Petrobras
PetroChina
Repsol
Rio Tinto
Sasol
Shell
Statoil
Total
Vale

*Not yet responded / declined*
*Apache*
*Canadian Natural Resources*
*Chevron*
*China Shenhua Energy*
*Gazprom*
*Grupo México*
*Imperial Oil*
*Lukoil*
*Nigerian National Petroleum Company (NNPC)*
*Occidental Petroleum*
*ONGC (Oil & Natural Gas Corporation)*
*PDVSA (Petróleos de Venezuela)*
*Pertamina*
*Petronas*
*Phillips 66*
*Rosneft*
*Saudi Aramco*
*Sinopec*
*Suncor*

## ICT

**Responded:**
AT&T
BT
Cisco Systems
Deutsche Telekom
Ericsson
HP (Hewlett-Packard)
Intel
KDDI
Microsoft
MTN
NTT Docomo
Orange
Qualcomm
SAP
SingTel
Sonatel
Telefónica
Tencent
Verizon

Vodafone
Yahoo!
Zain

*Not yet responded / declined*
*Alibaba.com*
*Apple*
*China Mobile*
*Comcast*
*eBay*
*EMC*
*Facebook*
*Google [referred to GNI membership]*
*Harman*
*Hon Hai*
*IBM*
*Ooredoo*
*Oracle*
*Safaricom*
*Samsung*
*Softbank*
*Taiwan Semiconductor Manufacturing (TSMC)*
*Telstra*
*Texas Instruments*

## Retail & apparel

**Responded**
adidas
Carrefour
Gap
H&M
Inditex
Nike
Target

*Not yet responded / declined*
*Amazon.com*
*Costco*
*CVS*
*Falabella*
*Fast Retailing*
*Home Depot*
*Kering*
*Kroger*
*Lowe's*
*Macy's*
*Magnit*
*Rakuten*
*Seven & i*
*TJX*
*VF Corp*
*Walgreen*
*Walmart*
*Wal-Mart de Mexico*
*Walt Disney*

*Wesfarmers*
*Woolworths Limited*

## Finance & banking

**Responded**
Bank of America
Citigroup
HSBC
Itaú Unibanco
QuickCash
Standard Bank

*Not yet responded / declined*
*Agricultural Bank of China*
*China Construction Bank*
*ICICI*
*Industrial & Commercial Bank of China*
*JPMorgan Chase*
*State Bank of India*
*Wells Fargo*

## Pharmaceutical

**Responded**
GlaxoSmithKline
Johnson & Johnson
Novartis
Pfizer
Roche
Sanofi

*Not yet responded / declined*
*Merck*

## Other

**Responded**
Aramex
Arabtec
General Electric
Manaseer Group
Procter & Gamble
Schlumberger
Volkswagen

*Not yet responded / declined*
*Al-Futtaim*
*Berkshire Hathaway*
*Mansour Group*
*Reliance Industries*
*Tata Motors*
*Toyota*

# Annex 3: Summary of questionnaires

These are summary versions of the surveys that were sent to governments and companies.  Many of the top-level questions were accompanied by additional sub-questions to guide the respondents.  The full surveys are available on the platforms, at www.business-humanrights.org

## Governments

1. What successful initiatives has your government taken to reduce companies' negative impacts on human rights?

2. What government department(s) is/are responsible for business & human rights?

3. Has your government undertaken new business & human rights initiatives or strengthened existing ones since the endorsement of the UN Guiding Principles in June 2011? (If yes, select top 5 priority issues & give examples of action)

4. Has your government adopted a National Action Plan on business and human rights, or will it do so in the future?
   4.1. If your government has adopted a National Action Plan or is planning on adopting one, please highlight whether it makes reference to international human rights standards and whether it was developed in consultation with affected stakeholders.

5. Access to Remedy
   5.1. What steps have been taken to develop new judicial or administrative remedies or to reduce barriers to existing remedies for victims?
   5.2. What steps have been taken to develop new non-judicial remedies, improve existing mechanisms, and reduce barriers for victims?
   5.3. For companies headquartered in your country or their subsidiaries, has your government taken steps to enhance accountability for human rights impacts abroad?

6. Please indicate the extent to which each of the factors below impedes your government's ability to take action on business and human rights.
   6.1. What form of support would your government welcome to help advance its actions to improve companies' impacts on human rights?

7. Please share with us any further comments, including ideas for future collaboration and shared learning to advance business & human rights.

## Companies

1. Does your company have a publicly available commitment to respect human rights?

2. How are human rights governed in your company?

3. How are human rights managed within your company?

4. What is the company's approach to the engagement of stakeholders (including workers, and local communities impacted by the company's activities), on human rights issues?

5. What are some of the priority human rights issues for your company? For one or more of these issues, please give examples of steps your company has taken to tackle them.

6. How are human rights commitments and information about how the company addresses its human rights impacts communicated, internally and externally?

7. What provisions does your company have in place to ensure that grievances from workers and affected communities or individuals are heard, and can you provide examples of remedies provided?

8. Which external and collaborative human rights initiatives does your company participate in, and what is the nature of your involvement?

9. Which are the key one, two or three elements of your approach to human rights that have been developed or amended since June 2011 when the UN Guiding Principles were endorsed?

10. What are some of the obstacles and challenges that your company encounters in implementing its human rights commitments?