

**GUIDANCE NOTE
ON IMPLEMENTATION OF HUMAN RIGHTS ASSESSMENTS
UNDER THE EQUATOR PRINCIPLES**

Disclaimer: This document contains selected information and examples to support the understanding of the requirements in, and implementation of, the Equator Principles and does not establish new principles or requirements, nor does it create any rights in, or liability to, any person, public or private. The information and examples are provided without guarantee of any kind, either express or implied, including, without limitation, guarantees as to fitness for a specific purpose, non-infringement, accuracy or completeness. The Equator Principles Association shall not be liable under any circumstances for how or for what purpose users apply the information, and users maintain sole responsibility and risk for its use. Equator Principles Financial Institutions should make implementation decisions based on their institution's policy, practice and procedures. In a situation where there would be a clear conflict between applicable laws and regulations and any information presented in this document, the laws and regulations of the relevant host country shall prevail.

NOTE TO READER: THIS GUIDANCE IS PURELY VOLUNTARY AND IN NO WAY ALTERS OR AMENDS THE REQUIREMENTS SET OUT IN THE EP4 DOCUMENT AND CREATES NO NEW OBLIGATIONS ON EPFIs.

Background

The Equator Principles Association recognizes that financial institutions and their clients have a responsibility to respect Human Rights.¹ Equator Principles Financial Institutions (“EPFIs”) will fulfill this responsibility in line with the [United Nations Guiding Principles on Business and Human Rights \(“UNGPs”\)](#) by carrying out Human Rights due diligence on the projects EPFIs finance (EP4 Preamble).

The UNGPs serve as the global authoritative framework for defining the corporate responsibility to respect Human Rights and for carrying out due diligence to prevent and address abuses. The UNGPs state that governments have the duty to protect Human Rights, including from harms committed by private-sector actors, and companies have the responsibility to respect Human Rights, no matter where or how they operate and regardless of their size (UNGPs, Principles 11-15). The responsibility to respect is operationalized by companies carrying out Human Rights due diligence to assess their actual and potential adverse Human Rights impacts (UNGPs, Principles 17-18) to understand what their Human Rights risks are based on their severity and likelihood.

In the context of the fourth version of the Equator Principles (“EP4”), each client is expected to conduct Human Rights due diligence in line with the UNGPs and to document that process in its Assessment Documentation (EP4, Principle 2). As indicated in Principle 2, clients are expected “to refer to the UNGPs when assessing Human Rights risks and impacts” (EP4, Principle 2) (particularly paragraphs 17-21 of the UNGPs). Accordingly, the depth of the Assessment should be dictated by the scope of project risks, which will also dictate the level of detail to be included in project documentation provided to the EPFI (EP 4, Principle 2).

¹ See EP4, Exhibit 1: Glossary of Terms, at p. 28 (defining “Human Rights” as used throughout the EP4 text as including, at a minimum, those expressed in the International Bill of Human Rights – meaning “the Universal Declaration of Human Rights, the International Covenant on Civil and Political Rights and the International Covenant on Economic, Social and Cultural Rights and the principles concerning fundamental rights set out in the International Labour Organisation’s Declaration on Fundamental Principles and Rights at Work”); see also UNGPs, Principle 12 and Commentary.



When adverse Human Rights impacts do arise and go unmitigated, the UNGPs indicate that government and corporate actors have a joint responsibility to ensure that victims have access to effective judicial and non-judicial remedies. In line with the UNGPs call for remedying of adverse Human Rights impacts, EPFIs believe that negative impacts should be avoided where possible, and if unavoidable, should be minimized and mitigated, and where residual impacts remain, clients should provide a remedy (“EP4 Preamble”).

Please refer to Equator Principles (July 2020) for official references to external standards and Human Rights instruments (such as the IFC Performance Standards and the UNGPs, for example). Links and references in this guidance to other third-party documents that are not referred to in the Equator Principles themselves are included only for further background/guidance and should not be viewed as an official endorsement by the Equator Principles Association.

CONTENTS

Background	1
I. PURPOSES OF THIS GUIDANCE.....	4
II. OVERVIEW OF METHODOLOGY & CONTENT OF HUMAN RIGHTS ASSESSMENT	5
Initial scan for Human Rights impacts	7
EPFI review and analysis of documentation	8
Benchmarking against international Human Rights	9
Engaging with Affected Communities, Workers and Other Stakeholders – particularly vulnerable groups	10
Documenting Stakeholder Engagement.....	11
Assessing exacerbating and mitigating factors of local context.....	11
III. ASSESSING RISK MANAGEMENT	13
Assessing impact prioritization by severity and likelihood	13
Client management and action plans/appropriate actions to address impacts	13
Focus on risks, not opportunities	14
IV. ASSESSING PROJECT LEVEL GRIEVANCE MECHANISMS AND PROVIDING REMEDIATION.....	15
Grievance mechanisms	15
Effectiveness criteria for operational grievance mechanisms.....	15
V. REMEDY	17
Remedy in the context of project development.....	18
APPENDIX A: TABLE OF HUMAN RIGHTS RISKS COMMON TO INFRASTRUCTURE PROJECTS	19
APPENDIX B: LIST OF RESOURCE GUIDES ON ADDRESSING HUMAN RIGHTS IMPACTS	27

I. PURPOSES OF THIS GUIDANCE

This Guidance Note provides both clients and EPFIs guidance on assessing Human Rights impacts under the Equator Principles, including Principle 1 (Review and Categorisation) (p. 8), Principle 2 (Environmental and Social Assessment) (pp. 8-9), Principle 5 (Stakeholder Engagement) (p. 11-12), Principle 6 (Grievance Mechanism) (p. 13), Principle 8 (Covenants) (pp. 14-15), Principle 9 (Independent Monitoring and Reporting) (p. 16) and Principle 10 (Reporting and Transparency) (pp. 16-17).

- **For clients**, guidance is provided on how to meet the Human Rights requirements under Principle 2. EPFIs expect clients to properly assess the risks of actual or potential adverse Human Rights impacts related to project development in line with the UNGPs (particularly paragraphs 17-21) and incorporate that risk assessment into the project’s Assessment Documentation (EP4, Principle 2). The UNGPs indicate that a company needs to assess Human Rights risks based on the scale and complexity of the projects and the severity and likelihood of potential Human Rights risks. Each project’s risk assessment will therefore be unique and proportional to the project’s risks and the level of detail provided by the client in the Assessment Documentation will be proportional to the level of risks identified.
- **For EPFIs**, guidance is provided to help evaluate the completeness and quality of such assessments when conducting project due diligence “in line with” the UNGPs. The Human Rights assessment should be used by the EPFI to help inform project categorisation by the EPFI under Principle 1.

Summary of Actions for Clients and EPFIs

Clients	EPFIs
<ul style="list-style-type: none"> ▪ Carry out initial scan of potential/actual project-level adverse Human Rights impacts using UNGPs methodology [see sections 1-3 below, and Table of Human Rights Risks Common to Infrastructure Projects], noting which stakeholders could potentially be affected by which risks, if any. ▪ If results of initial screening point to lower risks, provide high-level statement of risks or comments in a form acceptable to the EPFI for review. ▪ If results of scan point to higher risks, carry out additional research to understand risks and how they should be avoided, mitigated, 	<ul style="list-style-type: none"> ▪ Review documentation or for lower risk projects, the high-level statement of risks provided by client in order to categorise project based on risk level [see section 1 below], taking into consideration outcome of initial scan of potential/actual project-level adverse Human Rights impacts. ▪ Verify whether risks presented in documentation or statement of risk clearly and sufficiently detail the potential risks, including potentially affected stakeholders, and how the client plans to mitigate such risks. ▪ If information presented is complete, the documentation or statement of risk should be utilized to inform EPFI’s assessment of the project risks.

<p>and/or remediated. Include results in documentation for review by EPFI.</p> <ul style="list-style-type: none"> ▪ Ensure assessment includes information on project level grievance mechanism [see section 4 below]. 	<ul style="list-style-type: none"> ▪ If information presented appears incomplete, ask the client for additional information, which may include the client conducting additional Human Rights due diligence. ▪ In assessing the information provided by client, pay attention to information regarding the project level grievance mechanism [see section 4 below]
---	---

II. OVERVIEW OF METHODOLOGY & CONTENT OF HUMAN RIGHTS ASSESSMENT

Properly done, the client’s assessment:

- puts forth an analysis of the Human Rights risks presented by a project, including any exacerbating contextual factors, and how a client would be potentially connected to such risks;
- categorises the various actual or potential impacts for each potentially affected group, i.e., Affected Communities, Workers or Other Stakeholders within the project’s area of influence, with particular attention to vulnerable individuals and groups;
- describes the client’s proposed actions (or those recommended by external consultants) for avoiding or mitigating such impacts or otherwise addressing them through appropriate remedy.

More advanced assessments will identify outside partners (governments, NGOs, etc.) to help a client understand and mitigate potential Human Rights risks. Assessments that are too high- level can result in a client not fully understanding the actions it needs to take to address potential risk. This can also result in an EPFI under-estimating the extent of risk in the project, leading to mischaracterizations of the project’s risk level, and consequently, lower levels of due diligence being applied to the project.

The below table summarizes the key elements, based on the UNGPs, which should be addressed to some extent in any Human Rights assessment, whether high-level or in-depth, and should be covered by client’s Assessment Documentation. The remainder of this Guidance Note provides a more detailed explanation of these elements and outlines best practices for conducting assessments of Human Rights impacts, noting that the scale and detail of the assessment will be proportional to the projects scale and potential risks.

Human Rights Assessment Content Summarized (Sections III-V below)

Methodology	<p>Details how the Human Rights assessment was undertaken; timeline; resources consulted; parties engaged; approach taken to identify Human Rights risks. At a minimum, the assessment’s methodology should describe:</p> <ol style="list-style-type: none"> 1. which Human Rights issues were evaluated; 2. with respect to which affected groups; and 3. the outcome of those evaluations, including <ol style="list-style-type: none"> a. the level of risk to the respective affected group; b. the extent to which the risk can be mitigated; and c. whether any impacts may not be mitigated and may instead require other remedial action.
Local context	<p>Gives overview of location and its unique characteristics which may give rise to Human Rights risks (i.e. poverty levels, government stability, civic freedoms, corruption presence, etc.).</p>
Benchmark	<p>Indicates how local laws, and enforcement thereof, are consistent (or not) with international standards for the identified Human Rights risks. In projects where they are the applicable or chosen standard consistent with Principle 3, alignment with the IFC Performance Standards will enable clients to address many relevant Human Rights risks (see Performance Standard 1, paragraph 3). However, the UNGPs incorporate broader Human Rights norms which should serve as the basis for benchmarking project risks.</p>
Identification of actual/potential Human Rights risks	<p>Specifies the Human Rights risks to which the project is connected based on severity and likelihood, noting where risks intersect or are interrelated, and emphasizing which vulnerable people/groups may be at risk (e.g., Indigenous Peoples; women; national or ethnic, religious and linguistic minorities; children; persons with disabilities; and migrant workers and their families).</p>
Company practices	<p>Evaluates the potential risks vis-à-vis mitigation measures that companies may have in place. This would include looking over client corporate-level policies, procedures, management systems (including for tracking and monitoring risks over time), staff capacity, track record, and any project-level information on these practices, if available. Only referring to a company policy with nothing further is not usually sufficient to mitigate potential adverse Human Rights risks. If gaps are uncovered with the company’s practice, recommendations should be made to address such gaps (this gap analysis aligns with the approach put forward in IFC Performance Standard 1).</p>
Risk mitigation measures	<p>Identifies how a company already is or could in the future mitigate the identified Human Rights risks, focusing chiefly on prevention, and only as a last resort on remediation. Risks, such as local, contextual risks that might only be imperfectly or incompletely mitigated should also be discussed.</p>
Access to remedy	<p>Provides insight into the strength of a company’s grievance mechanism, alongside the local legal context related to providing remedy (per Principle 6, this is required for Category A and, where appropriate, Category B projects, but can be helpful in all projects).</p>

The [Business and Human Rights Resource Center](#) provides helpful examples of Human Rights risk assessments that illustrate the content that is typically featured in in-depth assessments for higher risk projects. Assessments carried out for less risky projects may not necessarily be as extensive or require the same level of detail in Assessment Documentation.

Initial scan for Human Rights impacts

Clients should go through an initial high-level scan for Human Rights issues (likely through desktop research and interviewing of relevant parties) to determine initial risk levels and mitigation measures. That scan should consider the full range of potential Human Rights impacts through the lens of which are most severe (based on scale, scope, and remediability), and which have the greatest likelihood of occurring:

- **Scale:** how serious are the impacts for the victim?
- **Scope:** how many people could be affected by the harm?
- **Remediability:** will a remedy restore the victim to the same or equivalent position before the harm?
- **Likelihood:** what is the likelihood of the impact occurring? At the screening phase, this likelihood can be understood as a combination of different elements, including: (1) inherent risks related to the business model in general or a particular high-risk operating context that are difficult to mitigate, even for experienced companies; and (2) evidence that the specific client has faced similar risks that it has failed to properly mitigate, leading to impacts.

Recognizing that projects differ in scale and complexity – and range from having minimal potential impacts to significant potential impacts – the initial scan should lead to the following range of outcomes:

- **Lower-risk → High-level summary of risks:** Where the result of such initial scanning deems the risks to be lower, this initial scan may suffice for an assessment and should be provided to the EPFI for review to make that determination. It may be sufficient for clients to provide information showcasing both the approach and the results of the initial scan which determined that potential adverse Human Rights impacts to stakeholders is low or such impacts would be adequately mitigated by project plans. For areas of key potential Human Rights risk, clients should pay particular attention to any potential gaps between domestic legal and regulatory regimes and international Human Rights standards and should identify any exacerbating or mitigating factors, to be included in the high-level summary of risks for review by the EPFI.
- **Higher-risk → Further assessment and more in-depth documentation:** Where risk levels appear to be higher after this initial scan, clients should conduct/commission additional (on-the-ground)

research driven by Stakeholder Engagement to get a fuller understanding of potential Human Rights risks and how they can be mitigated. Clients should document this analysis thoroughly in the Assessment Documentation provided to EPFIs, such as embedding as part of a comprehensive ESIA or, for the highest risk projects, in a specialized stand-alone study.

EPFI review and analysis of documentation

EPFIs should confirm that for each issue identified, the client has provided adequate detail to enable the EPFI to both assign a project categorisation (Principle 1) and determine whether risks identified will be adequately addressed. If risks appear to be potentially severe (see below guidance on severity considerations – Section III), the project would not be categorised as a Category C or a lower risk Category B, and would require more than a high-level summary of the risks and their mitigation. After initial review by the EPFI, if issues are not described in adequate detail and/or if the proposed mitigation or remediation efforts are also not very detailed, the EPFI may wish to ask the client for additional information, including carrying out further on the ground due diligence or conducting a supplementary specialized study of particular issues.

IDENTIFYING POTENTIAL ADVERSE HUMAN RIGHTS IMPACTS BY CLIENT

The steps outlined below are for the client to implement. EPFIs should assess the adequacy of those steps as documented by the client’s Assessment Documentation based on the below guidance.

Benchmarking against international Human Rights

Under the UNGPs, companies are expected to respect all internationally-recognized Human Rights (Principle 12 and Commentary)² because businesses can potentially impact any of them (this expectation is also stated in IFC Performance Standard 1, paragraph 3). EP4 incorporates this scope of Human Rights as well (see EP4, Exhibit 1: Glossary of Terms, at p. 28), and thus, the assessment methodology should address the universe of rights identified by the UNGPs, namely, at a minimum, those contained in the [International Bill of Human Rights](#) and the eight [ILO Core Labour Standards](#), and how they might be impacted by the client in the project’s area of influence (IFC Performance Standard 1, paragraphs 8-12 may be used as a resource to understand this concept) and among Affected Communities and Other Stakeholders:

- **Core Human Rights standards:** The Universal Declaration of Human Rights and the main instruments through which it has been codified: the International Covenant on Civil and Political Rights and the International Covenant on Economic, Social and Cultural Rights.
- **Core labour rights standards:** The principles concerning fundamental labour rights established in the eight core conventions of the International Labour Organization (“ILO”) as set out in the ILO’s Declaration on Fundamental Principles and Rights at Work, covering forced labour and worst forms of child labour, freedom of association and collective bargaining and non-discrimination.³
- **Rights of vulnerable people and populations:** The UNGPs indicate that other Human Rights instruments may also be considered depending on the circumstances, particularly those relating to the rights of vulnerable groups, such as Indigenous Peoples; women; national or ethnic, religious and linguistic minorities; children; persons with disabilities; and migrant workers and their families. In addition, when deploying their own security personnel or partnering with local security forces, including both police and military personnel, companies should respect the standards of

² See EP4, Exhibit 1: Glossary of Terms, at p. 28 (defining “Human Rights” as used throughout the EP4 text); see UNGPs, Principle 12 and Commentary.

³ See UNGPs, note 1, above, at Principle 12.

international humanitarian law, particularly when projects are proposed to be built near areas with a recent history, or current occurrence of civil unrest or armed conflict.⁴

See table *Human Rights Risks Common to Infrastructure Projects* at end of document for examples of the most common risks seen in Equator Principles projects.

Engaging with Affected Communities, Workers and Other Stakeholders – particularly vulnerable groups

As part of the assessment process, companies are expected to engage Affected Communities and Other Stakeholders (see Principle 5 and Glossary), to get insight into the perspectives of the people at risk of harm. Engaging with those people who could be affected (Affected Communities and Workers i.e., rights-holders), with their representatives or – if neither is possible – with credible proxies who have insight into their perspectives (e.g., Other Stakeholders such as local or international NGOs), is essential to assess and address Human Rights risks.

For effective Stakeholder Engagement, clients should:

- Ensure they deal with groups who actually represent the constituents they claim to (i.e., critically scrutinize information from client sponsored unions or government sponsored civil society organizations);
- Pay particular attention to issues of gender bias, as well as sensitivities around engaging with at risk Human Rights or environmental defenders who face threats for their advocacy on behalf of themselves or their communities;
- Pay particular attention to Human Rights impacts on individuals from groups or populations that may be at heightened risk of vulnerability or marginalization. Vulnerability is context specific, but often includes the following types of people:
 - Indigenous Peoples
 - women
 - national or ethnic, religious and linguistic minorities
 - children
 - persons with disabilities
 - migrant workers and their families

⁴ Although not a codified international Human Rights instrument, companies often rely on the Voluntary Principles on Security and Human Rights for guidance in this area. See www.voluntaryprinciples.org.

Documenting Stakeholder Engagement

Assessments should indicate:

- the methodological approach that was utilized, including the parties with whom the assessors engaged (unless such information is confidential to protect the identity of those engaged for fear of them being harmed). This allows the reader to understand if rights-holders were engaged, along with the list of other parties that are providing sources of information. For higher-level assessments, the list would necessarily be more cursory.
- how vulnerable groups were identified, engaged, and why in this context they are considered to be vulnerable.
- whether the engagement that was carried out was effective in surfacing actual or potential risks, or if there remain areas not yet assessed or for which the engagement with different rights-holders or stakeholders is incomplete .

Assessing exacerbating and mitigating factors of local context

To adequately understand the potential for Human Rights impacts to different groups, it is critical for assessments to take into consideration local context, including at the country, region or sub-region in question, as each place is unique. In evaluating potential impacts, it helps to evaluate information on the following exacerbating or mitigating factors and to document their role in evaluating the overall risks of the project:

- **Socio-economic context:** the project location's history and factors that may exacerbate the likelihood of ongoing or potential Human Rights risks, e.g. high levels of poverty, lack of public infrastructure, inequitable access to natural resources and public services, poor administration of land ownership and property rights, conflict among ethnic groups or political parties, political instability, low level of enjoyment of the rights of freedom of speech and association, pervasive gender inequality, civil society presence, etc.
- **Local legal context:** indicating whether local laws are/are not consistent with international Human Rights protections and how effectively they are implemented, particularly for the identified Human Rights risks presented by the project. The assessment should also consider potential challenges to access to remedy through judicial and non-judicial remedies. In particular, a good assessment will note the extent to which a client or government partner's mere compliance with local or national

laws and regulations might leave certain issues unaddressed or inadequately addressed (UNGPs, Principle 11 and Commentary).⁵ This does not mean a client has to utilize a law firm to conduct an assessment as other practitioners do have expertise in assessing such gaps. But, it is important for a client to understand the context in which they will be operating, including the potential for Human Rights claims against the client or its partners (e.g., the government or contractors) to arise within domestic or international legal proceedings.

- **Bribery and corruption risks:** noting that while there is no Human Right to be free from corruption, it is widely understood that linkages exist between corruption and Human Rights, as the presence of bribery and corruption can undermine the basic functioning of laws meant to protect peoples' rights and systems of justice intended to remedy violations of rights.
- **Ecosystem loss and climate change:** Human Rights are inextricably linked to ecosystem loss and climate change, as these impacts can undermine the realization of a range of internationally-recognized Human Rights. These include those dealing with life, health, food, land, adequate standard of living, housing, property, and water. In addition, where adequate protection for Human Rights are absent—particularly those that provide access to information, right to public participation in decision-making, and access to remedy—climate impacts exacerbate vulnerability, and magnify the risk faced by marginalized communities, who are often disproportionately impacted by climate change. Projects located in areas under heightened pressure caused by climate change and/or loss of functioning ecosystems may exacerbate the likelihood of adverse Human Rights impacts, and the assessments should therefore look to incorporate these issues into the analysis of potential Human Rights impacts and their likelihood (this analysis, however, is distinct from the Climate Change Risk Assessment called for by Principle 2, which should also be covered in the Assessment Documentation – see Equator Principles Association Climate Risk Guidance Note for further background).⁶

⁵ UNGPs, Principle 11 and Commentary (“[The responsibility to respect Human Rights] exists independently of States’ abilities and/or willingness to fulfil their own Human Rights obligations, and does not diminish those obligations. And it exists over and above compliance with national laws and regulations protecting Human Rights.”)

⁶ For more background, see Business for Social Responsibility, “Climate and Human Rights: The Business Case for Action” (2018), at <https://www.bsr.org/en/our-insights/report-view/climate-human-rights-the-business-case-for-action>.

III. ASSESSING RISK MANAGEMENT

Assessing impact prioritization by severity and likelihood

Although clients should assess all actual or potential adverse impacts within the project area of influence against all internationally-recognized Human Rights, clients should prioritize their approach to managing such impacts based on those which are most severe (based on scale, scope, and remediability), and which have the greatest likelihood of occurring:

- **Scale:** how serious are the impacts for the victim?
- **Scope:** how many people could be affected by the harm?
- **Remediability:** will a remedy restore the victim to the same or equivalent position before the harm; how easy or difficult would it be for the victim to get a remedy?
- **Likelihood:** what is the likelihood of the impact occurring?

The interplay of these factors leads to a rank ordering based on the severity of actual and potential adverse impacts – the greater the scale and/or scope, the less likely or adequate the remedy and the greater the likelihood of occurrence make actual or potential impacts more severe.

Client management and action plans/appropriate actions to address impacts

In addition, not all rights potentially impacted by a project are necessarily within the client’s immediate control,⁷ so assessments of Human Right should also determine the relationship between the client and the impacts based on the following hierarchy established in the UNGPs in order to identify appropriate mitigation measures:

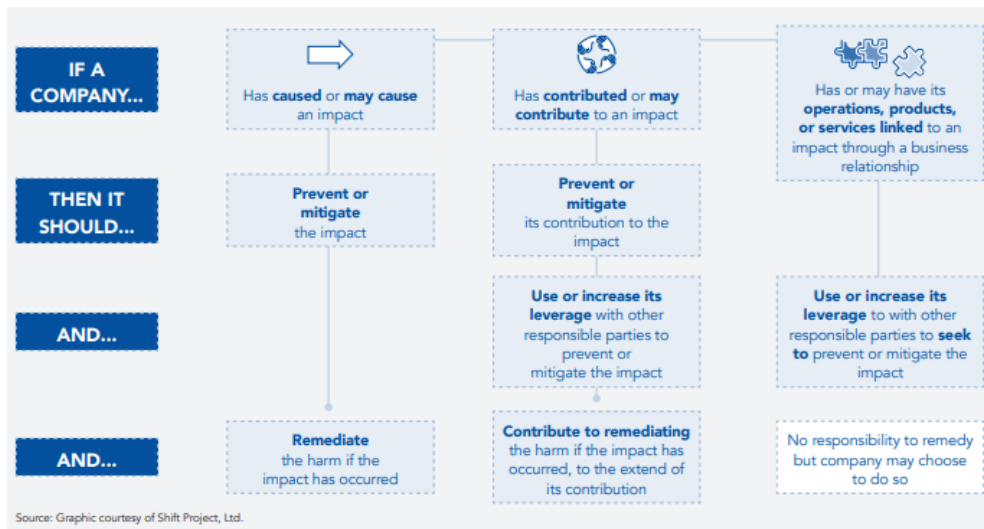
1. A client can **cause** an impact solely through its own actions or decisions, including failure to act. In such situations, the assessment should identify the client’s plans to cease the action that caused or contributed to the impact and to provide remedy to those individuals or groups who may have been harmed (to the extent of its contribution);

⁷ For example, IFC Performance Standard 1 defines the scope of the Environmental and Social Impact Assessment, including for Human Rights, as encompassing the project’s area of influence (paragraph 8) and should address “those risks and impacts in a manner commensurate with the client’s control and influence over the third parties” (paragraph 9), noting that, “[w]here the client can reasonably exercise control, the risks and impacts identification process will also consider those risks and impacts associated with primary supply chains, as defined in Performance Standard 2 (paragraphs 27–29) and Performance Standard 6 (paragraph 30).” EP4 has defined risks to supply chain workers as those “engaged directly or indirectly by the client to work at the Project site, including full-time and part-time workers, contractors, sub-contractors and temporary workers.”

2. A client can **contribute** to an impact, either in combination with others or through another entity by incentivizing or facilitating that entity’s harmful actions or decisions. In contribution situations, a business should cease its own contribution to harms or prevent other contributing parties from contributing to further harms by using or building its “leverage” – i.e., its influence over other entities – to prevent or mitigate remaining harms to the greatest extent possible;

3. An impact can be **directly linked** to a client’s operations, products or services through its business relationships, including its direct contractual partners or clients as well as other entities in extended value chains. In linkage situations, a business is expected to use its leverage to seek to prevent or mitigate the harm.⁸

Appropriate actions based on client relationship to adverse Human Rights impacts



Source: [Lichtenstein/FAST Initiative Implementation Toolkit](#)

Focus on risks, not opportunities

As noted in the UNGPs, business enterprises “may undertake other commitments or activities to support and promote Human Rights, which may contribute to the enjoyment of rights. But this does not offset a failure to respect Human Rights throughout their operations” (Principle 11). With uptake of the U.N. Sustainable Development Goals, many clients are eager to demonstrate positive impacts on people. While this work is undoubtedly important, the UNGPs are in place to help clients understand how to avoid and address their adverse Human Rights impacts. More thorough and focused assessments focus on risks to people and how to address them, rather than how to promote Human Rights. In addition, if a Human Rights assessment indicates there are no actual or potential Human Rights risks, the assessment likely

lacks rigour or credibility. For example, even a high-level assessment should detail the issues evaluated, the affected groups implicated and how such risks, if any, could be addressed by the project plans. Expert assessors are always able to point to potential risks and how to mitigate such risks.

IV. ASSESSING PROJECT LEVEL GRIEVANCE MECHANISMS AND PROVIDING REMEDIATION

Grievance mechanisms

For any identified issues, the client's assessment should assess what the client is doing currently/or could do in the future to address the issue and what gaps might remain. Recommendations should be provided to address the gaps through the project's plans, policies, procedures and management system. In addition, in order for EPFIs to be able to evaluate the project's grievance mechanism under Principle 6 (required for Category A and, as appropriate, for Category B projects), the assessment should assess the presence of adequate operational grievance mechanisms and the extent to which they satisfy the UNGPs' effectiveness criteria, which are noted below.⁹

In addition, consistent with EP4 Principles 8-10, for all Category A and, as appropriate, Category B Projects, project plan documentation should provide for regular reporting, including independent monitoring and reporting for Category A and where appropriate, Category B Projects, of the functioning of operational level grievance mechanisms to the client's management.¹⁰ Preferably, some version of this, whether in summary form or as a status update included with other project updates, should be provided to EPFIs once a project is financed.

Effectiveness criteria for operational grievance mechanisms

- **Legitimate** – enabling trust from the stakeholder groups for whose use they are intended, and being accountable for the fair conduct of grievance processes

⁹ See UNGPs, Principle 31 for further detail. For a list of diagnostic questions on the effectiveness of operational level grievance mechanisms, see Shift/Triple R Alliance guidance in Dutch Banking Covenant, <https://www.imvoconvenanten.nl/-/media/imvo/files/banking/paper-enabling-remediation.pdf?la=nl&hash=251F0037F458DE25B965136FA49F0E6E> (pp. 56-58).

¹⁰ Consistent with EP4 Principle 10, in addition to the reporting requirement in Principles 8-9, the client should ensure that "at a minimum, a summary of the ESIA is accessible and available online and that it includes a summary of Human Rights...risks and impacts when relevant." Where appropriate, this summary should contain information about operational grievance mechanisms.

- **Accessible** – being known to all stakeholder groups for whose use they are intended, and providing adequate assistance for those who may face particular barriers to access
- **Predictable** – providing a clear and known procedure with an indicative time frame for each stage, and clarity on the types of process and outcome available and means of monitoring implementation
- **Equitable** – seeking to ensure that aggrieved parties have reasonable access to sources of information, advice and expertise necessary to engage in a grievance process on fair, informed and respectful terms
- **Transparent** – keeping parties to a grievance informed about its progress, and providing sufficient information about the mechanism's performance to build confidence in its effectiveness and meet any public interest at stake
- **Rights-compatible** – ensuring that outcomes and remedies accord with internationally recognized Human Rights
- **A source of continuous learning** – drawing on relevant measures to identify lessons for improving the mechanism and preventing future grievances and harm)
- **Based on engagement and dialogue** – consulting the stakeholder groups for whose use they are intended on their design and performance, and focusing on dialogue as the means to address and resolve grievances

A client can assess its mechanisms against the kinds of key performance indicators (“KPIs”) set out in the table below.

KPI	Interpretation
<ul style="list-style-type: none"> ▪ A significant number of complaints or grievances are brought to the mechanism in the period after its establishment. 	<ul style="list-style-type: none"> ▪ Indicating both awareness of the mechanism’s existence and confidence that it provides a credible first avenue of recourse.
<ul style="list-style-type: none"> ▪ A reduction, over time, in the number of grievances pursued through other non-judicial mechanisms, NGOs or the media. 	<ul style="list-style-type: none"> ▪ Indicating both awareness of the mechanism’s existence and confidence that it can provide a credible and effective first avenue of recourse.

<ul style="list-style-type: none"> Over time, the number of grievances of the same or similar nature decreases. 	<ul style="list-style-type: none"> Indicating that staff are learning from past mistakes and adapting practices and/or operating procedures where appropriate.
<ul style="list-style-type: none"> Audits show a reduction in incidents of non-compliance with applicable standards. 	<ul style="list-style-type: none"> Indicating that grievance processes are contributing to the identification and remediation of non-compliance incidents.
<ul style="list-style-type: none"> A reduction in absenteeism and staff turnover and/or an increase in productivity among suppliers'/contractors' workers. 	<ul style="list-style-type: none"> A partial indicator of reduced worker grievances and improved worker satisfaction, most relevant in relation to supply chains and contractors.
<ul style="list-style-type: none"> Standard operating procedures ("SOPs") have been reviewed and amended where investigations reveal significant and repeat grievances despite staff following existing SOPs. 	<ul style="list-style-type: none"> Indicating that lessons for management systems are being learnt and integrated to reduce the likelihood of the same kind of grievances recurring.

Source: Shift, Global Compact Network Netherlands and Oxfam "Doing Business with Respect for Human Rights," at <https://www.businessrespecthumanrights.org/en/page/349/remediation-and-grievance-mechanisms>.

V. REMEDY

As noted above, the UNGPs indicate that victims must have access to effective remedy, and "where business enterprises identify that they have caused or contributed to adverse impacts, they should provide for or cooperate in their remediation through legitimate processes" (UNGPs, Principle 22).

Not all client plans for mitigating potential Human Rights impacts will be effective at neutralizing anticipated project risks or being sufficiently responsive to unanticipated project risks that could arise through continued Stakeholder Engagement, grievance mechanisms, or otherwise. Because of this, EP4 recognizes that clients should provide a remedy for residual Human Rights impacts that go unmitigated by project action plans and other efforts (EP4 Preamble).

The purpose of effective remedy is to restore the victim, as much as possible, to the state preceding the harm that was done—to re-establish the situation that would have existed if the harm had not occurred. Remedy can also help ensure that the victims and others similarly situated will not suffer similar harms in the future. What will be perceived as necessary to make a victim whole will depend on the facts on the ground and can vary with different stakeholders' perspectives on what appropriate steps look like given the severity of the impacts, local legal frameworks, and other practical or societal constraints. Stakeholder views on the effectiveness of steps taken to enable access to remedy may also be negatively impacted by delays in delivery of such remedy.

In line with international Human Rights standards, remedy:

- should be victim-centered, context specific, and be assessed on a case-by-case basis;
- can take a variety of forms including restitution, compensation, rehabilitation, satisfaction, and guarantees of non-repetition;¹¹ and
- can be delivered via a variety of processes and pathways, including state-based judicial and non-judicial mechanisms, client-based mechanisms or third-party and multi-stakeholder mechanisms.

These various processes can either be adjudicative and adversarial (which seek to determine guilt, fault and liability), or can be focused on mediating disputes (which are aimed at consensus-based outcomes, including but not limited to restorative dialogue, symbolic reparations and compensation). Regardless of whether they are state-based, client-based or driven by third-parties, stakeholders will expect remedy mechanisms to be legitimate and effective. The criteria for evaluating the effectiveness of grievance mechanisms can therefore be a useful guide in designing effective remedy processes.

Remedy in the context of project development

The role of EPFIs is foremost to ensure that clients have the right policies in place and channels available, such as project-level grievance mechanisms, to enable victims to lodge grievances, and other mechanisms to provide access to remedy for impacts that have already occurred or if impacts should occur. Project-level grievance mechanisms can be an early-warning system for potential impacts, and can also serve to identify adverse Human Rights impacts after they have occurred and, depending on the nature of the impact, can be a means for delivering remedy as well. To that end, through monitoring construction and post-construction activities, EPFIs can also ensure that clients follow-up on allegations and have established processes to offer remedies when warranted or cooperate with others to make sure effective remedy is provided.

In some cases where stakeholders experience certain impacts and conclude that clients (or other mechanisms) have not adequately remedied those impacts, stakeholders might expect EPFIs to participate directly in providing a remedy. This expectation may arise even in situations where the EPFI might view its role as limited to only being “directly linked” to the impact and not contributing to it, and thus not strictly requiring the EPFI’s direct involvement in remediation according to the UNGPs (UNGPs Principle 22 and Commentary). This reinforces the importance of EPFIs engaging with clients at the outset of project development on the design of appropriate grievance mechanisms and protocols for addressing situations requiring remedy and the need for close monitoring of on the ground developments as projects progress. The earlier that issues are identified, the more easily they can be addressed by clients, including through remedial mechanisms, if necessary.

¹¹ See [UN Basic Principles and Guidelines on the Right to Remedy and Reparation \(2005\)](https://www.ohchr.org/en/professionalinterest/pages/remedyandreparation.aspx), at <https://www.ohchr.org/en/professionalinterest/pages/remedyandreparation.aspx>

APPENDIX A: TABLE OF HUMAN RIGHTS RISKS COMMON TO INFRASTRUCTURE PROJECTS

Note: This is a non-exhaustive list of potential project-related Human Rights risks that could impact various rights-holders groups (i.e. Workers and Affected Communities). These are the most commonly seen risks and are organised by the category of Human Rights to which they belong. It is drawn from the *UNGP Reporting Framework: How Can Businesses Impact Human Rights?* and *Human Rights Translated 2.0: A Business Reference Guide* (noted in the resource guides below), as well as the experience of practitioners with expertise carrying out Human Rights assessments. A notation has been made where they overlap or intersect with other rights, some of which may also relate to environmental risks. While the most likely impacted group has been noted (i.e. Workers and/or Affected Community members) there could be instances in which the rights-holder group is impacted, even if not noted below. The Human Rights assessments for Equator Principles projects will not necessarily speak to each of the below rights/impacts for every project; rather, the below is provided to help the client and EPFI understand the potential impacts, narrowed-down from the large universe of Human Rights, that are frequently considered for such assessments by those carrying out the assessments.

Rights category	Human Rights issue	Example of related potential negative impact/risk:	Risk to workers	Risk to Affected Community members
Labour	<p>Child Labour:</p> <ul style="list-style-type: none"> ➤ ILO standards prohibit hazardous work for all persons under 18 years. They also prohibit labour for those under 15, with limited exceptions for developing countries. (Intersects with the rights of children and education). 	<ul style="list-style-type: none"> ➤ Business activities that involve hazardous work (such as mining) performed by persons under the age of 18. ➤ Where child labour is discovered, a company can negatively impact other rights (such as the rights to an adequate standard of living, or security of the person) if they fail to take account of the best interests of the child in determining the appropriate response. For example, simply dismissing the child (or cutting the contract with the relevant supplier) may result in the child being exploited in other ways (such as prostitution). 	√	

Rights category	Human Rights issue	Example of related potential negative impact/risk:	Risk to workers	Risk to Affected Community members
	<p>Collective bargaining and Freedom of association:</p> <ul style="list-style-type: none"> ➤ Collective bargaining: Individuals have the right to form or join trade unions of their choice. Trade unions must be permitted to function freely, subject only to limitations that are in line with international Human Rights standards. Workers have the right to strike, in conformity with reasonable legal requirements. These exist in order to promote negotiation between organized workers and their employer or employers to determine wages, hours, rules, and working conditions. ➤ Freedom of Association: Protects the right to form or join all types of associations, including political, religious, sporting/recreational, non-governmental, and trade union associations. This freedom of individuals to associate can be an end in and of itself, or as a means of pursuing common objectives. 	<ul style="list-style-type: none"> ➤ Creating barriers to the formation of trade unions among employees or contract workers. ➤ Refusing or failing to recognize legitimate workers' associations with which the company can enter into dialogue in countries that prohibit trade unions. ➤ Operating in an area where the State seeks to undermine a local political party that opposes the company's activities by bringing false accusations against its leaders. 	√	
	<p>Modern Slavery (Forced Labour/Human Trafficking):</p> <ul style="list-style-type: none"> ➤ Slavery exists when one human effectively owns another. Freedom from servitude covers other forms of severe economic exploitation or degradation, such as in the trafficking of workers or debt bondage. Rights to freedom from slavery and servitude are absolute rights. Forced or compulsory labour is defined by the ILO as all work or service that is extracted under menace of any penalty and for which the person has not voluntarily offered themselves. Providing payment does not mean that work is not forced labour if the other aspects of the definition are met. 	<ul style="list-style-type: none"> ➤ Businesses may unknowingly benefit through their supply chains from the labour of workers who have been trafficked and are forced to work, for example, in factories. Women and children may be subject to particularly severe impacts in such situations. ➤ A company may be involved in the transportation of people or goods that facilitates the trafficking of individuals. ➤ Forced labour can arise in any sector where an employer puts workers in a position of debt. 	√	
	<p>Grievance Mechanism and Remedy:</p> <ul style="list-style-type: none"> ➤ All people have the right to remedy when their rights have been violated. ➤ Where business enterprises identify that they have caused or contributed to adverse Human Rights impacts, they should provide for or cooperate in their remediation through 	<ul style="list-style-type: none"> ➤ Not providing processes to identify (e.g. grievance mechanism) and then remediate adverse Human Rights impacts which the company causes or contributes to. ➤ Risk that employees do not understand/ trust the grievance mechanism (and therefore will not use it) 	√	√

Rights category	Human Rights issue	Example of related potential negative impact/risk:	Risk to workers	Risk to Affected Community members
	legitimate processes, whether through the company's own operational-level grievance mechanism or through cooperation with independent (non)judicial mechanisms.			
	Job Security/Right to Work: <ul style="list-style-type: none"> ➤ The termination of an employment relationship is likely to be a traumatic experience for a worker and the loss of income has a direct impact on her or his family's well-being. As more countries seek employment flexibility and globalization destabilizes traditional employment patterns, more workers are likely to face involuntary termination of employment at some point in their professional lifetime. The employment of a worker should not be terminated unless there is a valid reason for such termination connected with the worker's capacity or conduct or based on the operational requirements of the undertaking, establishment, or service. Even where such practice may be legally permissible under local law, many stakeholders now expect companies to exhibit a higher standard of behavior in line with international standards and good practice. 	<ul style="list-style-type: none"> ➤ Arbitrarily or unfairly dismissing a worker, even if permissible under local law. ➤ Hindering or failing to provide for the reasonable career advancement aspirations of workers. ➤ Risk that workers will be on a series of short-term contracts preventing them from enjoying the benefits associated with long term employment. 	√	
	Non-discrimination: <ul style="list-style-type: none"> ➤ The practice of ensuring equal treatment and respect for all individuals regardless of class, race, color, sex, religion, gender, age, political or other opinion, national or social origin, property, sexual orientation, disability, employee status, marital status, familial connection, etc. ➤ Includes ensuring employees are free from harassment. 	<ul style="list-style-type: none"> ➤ This can come up in a variety of circumstances. It is the risk that workers may be treated unfairly (either through recruitment, hiring, management, compensation, career progression/ opportunities, or termination practices) due to certain attributes such as on the basis of their disability, religion, health, ethnicity, gender, sexual orientation, gender, age, indigenous origin, migrant worker status, etc. (as such, it intersects with other rights e.g. right to health). 	√	
	Occupational health and safety: <ul style="list-style-type: none"> ➤ A company should provide safe and healthy working conditions to workers. ILO standards require governments to adopt, in 	<ul style="list-style-type: none"> ➤ Failing to address a pattern of accidents highlighting inadequate workplace health and safety. 	√	

Rights category	Human Rights issue	Example of related potential negative impact/risk:	Risk to workers	Risk to Affected Community members
	<p>consultation with appropriate employer and employee organizations, a national occupational health and safety (“OHS”) policy aimed at reducing accidents and injuries to health arising in the course of employment, and to minimize the causes of inherent workplace hazards. That policy should address, for example, the provision of adequate OHS training regarding the use and maintenance of the ‘material elements of work’, including workplace environment, tools, machinery and equipment. Workers must be able to remove themselves from work situations where imminent and serious health dangers are reasonably perceived, without undue consequences (intersects with the right to enjoy just and favorable conditions of work).</p>	<ul style="list-style-type: none"> ➤ Risk that workers will face physical harm during the work commute. 		
	<p>Wages (pay equity, standard of living):</p> <ul style="list-style-type: none"> ➤ A company must protect the right to remuneration that provides workers with fair wages and equal remuneration for work of equal value. Remuneration must also be enough to provide workers with a decent living for themselves and their families. A minimum wage should be ‘fair’ and enable families to enjoy the right to a standard of living that includes adequate food, clothing and housing (connects with the right to adequate standard of living for health and well-being). 	<ul style="list-style-type: none"> ➤ Using cleaning staff that are employed by a third-party company and are paid extremely low wages with no or very limited entitlements to sick pay or leave. ➤ Risk that low compensation may undermine worker’s ability to have an adequate standard of living. 	√	
	<p>Working Hours:</p> <ul style="list-style-type: none"> ➤ The degree of flexibility for employees to start and end the work day in order to manage familial and personal obligations, while adequately fulfilling their employment duties. 	<ul style="list-style-type: none"> ➤ Mandating unreasonable working hours for employees that are inconsistent with ILO standards, which generally indicate that employees should not be required to work more than 48 hours per week, or ten hours a day, and should have one day off per seven days. ➤ Company practices hinder the ability of workers to adopt a healthy work–life balance that enables them to adequately support their families, such as requiring workers to live on site in dormitories for extended periods of time without providing 	√	

Rights category	Human Rights issue	Example of related potential negative impact/risk:	Risk to workers	Risk to Affected Community members
		adequate periods of leave to enable them to spend time with their families (intersects with the rights to family, rest and leisure).		
Civil and Political	Freedom of expression: <ul style="list-style-type: none"> ➤ The right to hold opinions free from outside interference is an absolute right, with narrow restrictions by States only permissible when in line with international Human Rights standards. Individuals have a right to seek, receive and impart ideas in whatever media or form they choose. 	<ul style="list-style-type: none"> ➤ Not allowing workers to express their opinions freely, or unfairly punishing them for doing so. ➤ Operating in a country where workers are routinely prevented by law from expressing their opinions in the public domain. ➤ Censoring online or other content at the demand of the State where those requests are illegal under national law and/or not in line with international Human Rights standards. ➤ Engaging in litigation against individual workers, community members or Other Stakeholders who have spoken critically about the company where there is an extreme imbalance in the parties' means to fund a legal case. 	√	√
	Right to life and security of person: <ul style="list-style-type: none"> ➤ Individuals have the right not to be deprived of life arbitrarily or unlawfully. This includes the right to have one's life protected, for example, from physical attacks or health and safety risks. 	<ul style="list-style-type: none"> ➤ The lethal use of force by security forces (State or private) to protect company resources, facilities, or personnel. ➤ Operations that pose life-threatening safety risks to workers or neighboring communities through, for example, exposure to toxic chemicals. 	√	√
	Privacy: <ul style="list-style-type: none"> ➤ Individuals have a right to be protected from arbitrary, unreasonable or unlawful interference with their privacy, family, home or correspondence and from attacks on their reputation. The State is allowed to authorize restrictions on privacy in line with international Human Rights standards, but 'arbitrary' restrictions are always prohibited. 	<ul style="list-style-type: none"> ➤ Failing to protect the confidentiality of personal data held about employees or contract workers, customers or other individuals. ➤ Requiring pregnancy testing as part of job applications. ➤ Providing information about individuals to State authorities, without that individual's permission, in response to requests that are illegal under national 	√	√

Rights category	Human Rights issue	Example of related potential negative impact/risk:	Risk to workers	Risk to Affected Community members
		law and/or not in line with international Human Rights standards.		
Economic, Social, and Cultural	Right to education: ➤ All children have the right to free and compulsory primary education. The right also includes equal access to education and equal enjoyment of educational facilities, among other aspects.	➤ The presence of child labour in a business or in its supply chain, where those children are unable to attend school (intersects with rights to be free from all forms of slavery). ➤ Limiting access to, or damaging, educational facilities through construction, infrastructure, or other projects.	√	√
	Right to health: ➤ Individuals have a right to the highest attainable standard of physical and mental health. This includes the right to have control over one's health and body, and freedom from interference.	➤ Failure to implement appropriate health and safety standards leads to long-term negative impacts on workers' health. ➤ Pollution from business operations can create negative impacts on the health of workers and/or surrounding communities.	√	√
	Right to participate in the cultural life of the community: ➤ Individuals have a right to take part in the cultural life of society and enjoy the benefits of scientific progress, especially disadvantaged groups.	➤ Activities involving resource extraction or new construction (such as laying a pipeline or installing infrastructure networks) could impact this right by separating groups from areas of cultural importance and knowledge, or by damaging their cultural heritage (intersects with the rights of Indigenous Peoples).		√
	Right to Water: ➤ Individuals have the right to water and sanitation	➤ Companies cutting off access to existing water supplies, or making existing supplies non-potable, undermine the right to water (intersects with the right to health).	√	√
	Social Insurance: ➤ This right obliges the State to create and maintain a system of social security that provides adequate benefits for a range of issues (such as injury or unemployment).	➤ Denying workers their contractually agreed employment injury benefits. ➤ Offering a private social security scheme that has discriminatory eligibility criteria.	√	

Rights category	Human Rights issue	Example of related potential negative impact/risk:	Risk to workers	Risk to Affected Community members
Group Rights/ 'Heightened Risk of Vulnerability'	Children's Rights: ➤ The Convention on the Rights of the Child establishes global standards to ensure the protection, survival, and development of all children, without discrimination.	➤ Permitting children to work in a manner that is inconsistent with international labour standards (intersects with prohibition on child labour and right to education). ➤ Forcing parents to work excessive hours infringing on their ability properly parent (intersects with the right to family). ➤ Where child labour is discovered, a company can negatively impact other rights (such as the rights to an adequate standard of living, or security of the person) if they fail to take account of the best interests of the child in determining the appropriate response. For example, simply dismissing the child (or cutting the contract with the relevant supplier) may result in the child having to find alternative, more dangerous forms of work (such as prostitution).	√	√
	Disability Rights: ➤ The Convention on the Rights of Persons with Disabilities promotes global standards intended to protect the rights and dignity of people with disabilities in and outside of the workplace.	➤ Refusing to hire workers due to disabilities (intersects with the right to be free from discrimination).	√	
	Indigenous Peoples: ➤ Indigenous Peoples are afforded unique group rights under international law that permits them to give or withhold their consent to projects that may impact them under certain scenarios.	➤ Engaging in business activities on land or cultural heritage sites that has traditional significance to the Indigenous Peoples that inhabit an area when that land was acquired by Government without due consultation and consent with the local population.		√
	Migrants Rights: ➤ The International Convention on the Protection of the Rights of All Migrant Workers and Members of their Families establishes how migrant workers and their families should be protected.	➤ Permitting migrant workers to pay a recruitment fee that places them in debt bondage (intersects with the right to be free from all forms of slavery). ➤ Providing dormitories for migrant workers that lack proper hygienic safety standards (intersects with	√	

Rights category	Human Rights issue	Example of related potential negative impact/risk:	Risk to workers	Risk to Affected Community members
		rights to health, safety, and adequate standard of living).		
	Women's Rights ➤ The Convention on the Elimination of all Forms of Discrimination Against Women exists to promote women's rights and their protection.	➤ Company policy discriminates against women on the basis of their marital or reproductive status (intersects with rights to health and family). ➤ A company offers compensation to men and women in a situation where its operations or products have had negative impacts on their health in a way that discriminates against women (such as by failing to recognize the particular harm to their reproductive health) (intersects with right to free from discrimination). ➤ Business activities pollute or threaten existing water resources in a way that significantly interferes with local communities' ability to access clean drinking water. In such situations, there may be particular negative impacts on women and girls, who are responsible for water collection in many communities (intersects with rights to health and adequate standard of living).	√	√

APPENDIX B: LIST OF RESOURCE GUIDES ON ADDRESSING HUMAN RIGHTS

IMPACTS

Note: The inclusion of the below documents should not be viewed as an endorsement by the Equator Principles Association. They are included only for further background and may be used by EPFIs voluntarily and independently, without reliance on or recourse to the Equator Principles Association.

Danish Institute for Human Rights, Human rights impact assessment guidance and toolbox
<https://www.humanrights.dk/tools/human-rights-impact-assessment-guidance-toolbox-0>

Danish Institute for Human Rights, The Human Rights and Business Country Guide
<https://www.humanrights.dk/tools/human-rights-business-country-guide>

Danish Institute for Human Rights and IPIECA, Integrating human rights into environmental, social and health impact assessments
https://www.humanrights.dk/files/media/dokumenter/tools/Integrating_HR_into_ESHIA.pdf

Human Rights Translated 2.0: A Business Reference Guide,
https://www.ohchr.org/Documents/Publications/HRT_2_0_EN.pdf

Oxfam, Community-Based Human Rights Impact Assessments – Getting it Right Tool
https://corporatejustice.org/documents/publications/members/cobhra_training_manual.pdf

Shift, Oxfam and Global Compact Network Netherlands, Doing Business with Respect for Human Rights: A Guidance Tool for Companies <https://www.businessrespecthumanrights.org/> (overview of UNGPs)

UNGP Reporting Framework | How Can Businesses Impact Human Rights?,
<https://www.ungpreporting.org/resources/how-businesses-impact-human-rights/>

Examples of Published Human Rights Assessments by Companies

Business and Human Rights Resource Center: Project Level Assessments, <https://www.business-humanrights.org/en/examples-of-implementation-uses>

OHCHR

Working Group on Business and Human Rights, Corporate human rights due diligence – Getting started, emerging practices, tools and resources

<https://www.ohchr.org/Documents/Issues/Business/Session18/CompanionNote2DiligenceReport.pdf>
(p. 24)

Operational Grievance Mechanisms and Remedy

Access Facility – list of company-based non-judicial grievance mechanisms <http://accessfacility.com/>

International Council on Mining and Metals, Handling and Resolving Local-Level Concerns and Grievances <https://www.shiftproject.org/resources/collaborations/icmm-grievances-2019>

IPIECA, Manual for implementing operational-level grievance mechanisms and designing corporate frameworks
<https://www.ipieca.org/resources/good-practice/community-grievance-mechanisms-in-the-oil-and-gas-industry/>

Shift, Triple R Alliance/Dutch Banking Covenant – Diagnostic Questions for Operational Level Grievance Mechanisms <https://www.imvoconvenanten.nl/-/media/imvo/files/banking/paper-enabling-remediation.pdf?la=nl&hash=251F0037F458DE25B965136FA49F0E6E>