

HUMAN RIGHTS GUIDE



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HUMAN RIGHTS

Note that in case of discrepancies between the original English text of this Guide and the translated documents the English text will prevail.

Published in December 2015

Total is a global integrated energy producer and provider, a leading international oil and gas company, and the world's second-ranked solar energy operator with SunPower. Our 100,000 employees are committed to better energy that is safer, cleaner, more efficient, more innovative and accessible to as many people as possible. As a responsible corporate citizen, we focus on ensuring that our operations in more than 130 countries worldwide consistently deliver economic, social and environmental benefits. total.com

MESSAGE

FROM THE CEO

"As stated in our Code of Conduct, respect for Human Rights standards is one of our three priority business principles"

The Group is committed to respect internationally recognized Human Rights standards in the countries where we work. In doing so we focus on the following important issues:

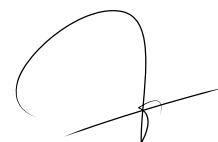
► **RESPECT FOR HUMAN RIGHTS IN THE WORKPLACE** for our employees and promotion of these principles in our supply chain, in particular by preventing child and forced labor, avoiding discrimination, observing workers rights and by respecting freedom of expression.

► **ADDRESSING THE POTENTIAL IMPACTS OF OUR OPERATIONS ON LOCAL COMMUNITIES**, in particular on the right to an adequate standard of living, such as the right to water and housing, and by providing access to remedy for unavoidable adverse impacts related to our operations.

► **ENSURING THAT THE SECURITY OF OUR PEOPLE** and facilities is managed in a responsible way and that the rights of neighboring communities are respected; the management of security risks, including the use of government security forces and private security providers, should be in line with applicable international standards related to the proportionate use of force.

Integrating respect for Human Rights at an early stage in our management processes can contribute to avoiding potential abuse, and help to sustain a mutually beneficial relationship with our stakeholders. It can prevent delays in the execution of the Group's operations and improve our Business Units' performance.

It is everybody's concern and it is part of our commitment to better energy.



Patrick POUYANNE
Chief Executive Officer



HUMAN RIGHTS IN PRACTICE

OBJECTIVES OF THIS GUIDE

This Guide complements the Group's Code of Conduct. It provides guidance in case of questions and concerns related to Human Rights issues.

INTENDED USERS

This guide is primarily for internal use but is also made available to our external stakeholders to provide guidelines for everyone and to make our expectations clear.

RESPECT FOR HUMAN RIGHTS IS EVERYBODY'S CONCERN.

► **Managers** have specific responsibilities. They are accountable for making respect for Human Rights part of their business decisions. Practical tools, such as the Human Rights compliance assessment "Quick Check", are available to help them in this task (see p.13-14).

► **We expect our suppliers and contractors** to adhere to standards that are equivalent to ours, in particular towards their employees, and to make ongoing efforts so that their own suppliers and subcontractors also respect these principles.

► **As far as non-operated joint ventures are concerned** we make ongoing efforts so that the operating party applies equivalent principles to ours.



SEEKING ADVICE

This Guide focuses on some examples, but will not cover every situation that we may encounter in our day to day operations.

If you need guidance on any topic related to Human Rights, speak to your line manager and consult the experts within the Group, such as the Ethics and Human Rights Unit of the Group's Legal Division, the Group's Sustainable Development Division, and the Group's Security Division.

Employees and external stakeholders can seek advice at all times by contacting the Ethics Committee: ethics@total.com



THE GROUP'S HUMAN RIGHTS COMMITMENTS

Human Rights are generally defined as basic standards of treatment to which all people are entitled.

As stated in our Code of Conduct, the Group commits to respect internationally recognized Human Rights standards and in particular:

► **The key conventions of the International Labor Organization (ILO)**

The ILO is a United Nations (UN) agency that issues international conventions to protect and respect rights at work. (See [Topic 1, p.16](#))

► **The Voluntary Principles on Security and Human Rights (The "Voluntary Principles")**

The Voluntary Principles is an initiative that provides concrete guidance regarding risk assessment and Business units' interactions with government security forces and private security providers. (See [Topic 3, p.35](#))

► **The United Nations Guiding Principles on Business and Human Rights (The "Guiding Principles")**

Endorsed by the UN in 2011, this set of principles clarifies the roles and responsibilities of States and Business units on Human Rights issues. (See [p.49](#))

BOX 1

Practical examples of Human Rights issues at stake

(These examples are adapted from a workshop organized by Shift Project Ltd. with the Group's lawyers and business development personnel. Shift is a leading centre of expertise on the Guiding Principles).

EXAMPLES OF SITUATIONS AT RISK

- The Security providers have detained or threatened members of surrounding communities.
- The permit to build a pipeline has been legally granted but the pipeline will result in the surrounding communities walking a significantly greater distance to access sufficient water for their daily needs. This may impact women in this location severely if they are primarily responsible for gathering water for the family.
- Contract workers are employed by a labor agency that withholds the workers' salaries in order to offset them against the significant fees it charged to secure employment.

HUMAN RIGHTS AT STAKE

- Right to freedom of movement; right to life; right to health.
- Rights to water and sanitation; right to health; right to an adequate standard of living; women's rights.
- Right not to be subjected to slavery, servitude or forced labor; right to freedom of movement.



The Guiding Principles are based on the following three pillars



Within their territory, States must protect against Human Rights abuse by third parties, including Business units.

This requires taking appropriate steps to prevent, investigate, punish and redress such abuse.

This means that Business units should avoid infringing on the Human Rights of others, and should address adverse Human Rights impacts with which they are involved.

To meet their responsibility to respect Human Rights, Business units should have in place:

- a. A policy commitment.
- b. A Human Rights due diligence process.
- c. Processes to enable the remediation of any adverse Human Rights impacts they cause or to which they contribute.

For example, if a sacred cemetery is discovered during the construction phase of a plant, the local communities should be consulted on project impacts. In this situation, respecting local people's Human Rights could mean selecting another location for the project (See Topic 2, p.26).

To meet our responsibility to respect Human Rights, the Group has adopted a Human Rights approach articulated on policy commitments, due diligence, remediation processes, and grievance mechanisms.

THE GROUP'S HUMAN RIGHTS APPROACH

The Group's Human Rights approach is based on:
The Code of Conduct - Training programmes
Internal and external experts - Assessment processes

THE CODE OF CONDUCT

The Group's Code of Conduct is based on business principles that are developed into Ethics and Human Rights policies and agreements. (e.g., The Global Agreement with IndustriALL Global Union; the Group's Societal Policy; the Group's Security Policy, etc.) (See the Group's resources section below, p.44).

The Group's Code of Conduct recognizes that the following actions are critical for the success of our operations:

- **Engagement with stakeholders** in matters related to our operations and responsiveness to concerns expressed by them.
- **Expressing to governments** our belief in the importance of respecting Human Rights when necessary, whilst respecting their sovereignty.
- **Going beyond legal compliance;** when there is a difference between a local law and our Code of Conduct, we seek to apply the higher standard. (See Topic 1, Box 3, 19 for concrete examples and appropriate recommendations)

As stated in the Human Rights Strategic Roadmap we integrate respect for Human Rights into our risk and impact management processes, including but not limited to new country entry evaluations, acquisitions and divestitures procedures, environmental and social baselines and impact assessments, purchasing systems, etc. ([Intranet Human Rights section](#))

Any breach of our Code of Conduct business principles can lead to internal and/or legal sanctions. The chair of the Ethics Committee reports regularly to the Executive Committee and to the Governance & Ethics Committee of the Board of Directors on the Code of Conduct implementation.

TRAINING PROGRAMMES

Dedicated communication channels, e-learning and training sessions on Ethics and Human Rights are available for the Group's employees and managers. Awareness-raising sessions for external stakeholders are also available in some contexts for specific issues, such as responsible security. (See Topic 3, p.35)

INTERNAL AND EXTERNAL EXPERTS

The Group relies on in-house experts and qualified third parties to support the integration of Ethics and Human Rights issues into our management processes, and to assist Business units when facing complex situations. (See in particular the Group's dedicated organization on Human Rights and the Group's contribution to international initiatives p.43)

ASSESSMENT AND HUMAN RIGHTS PROCESSES AND RESOURCES

Human Rights due diligence processes are good industry practices to manage potential issues and impacts associated with business operations. (See, Box 2, graphic illustrating a Human Right due diligence process)

In line with the Guiding Principles, Business units should:

ASSESS

Conduct assessments to identify, prevent or mitigate potential Human Rights impacts that may be caused directly by the Business unit's projects or operations, or by project partners and suppliers (examples of assessments processes and resources available, see below and p.14).

INTEGRATE AND ACT

Implement effective measures to address any impacts that have been identified, including by having in place a grievance mechanism to address complaints lodged by stakeholders, and integrate lessons learnt.

TRACK

Adapt processes to manage any Human Rights impacts that have been identified, including unanticipated impacts, and monitor and track the effectiveness of responses.

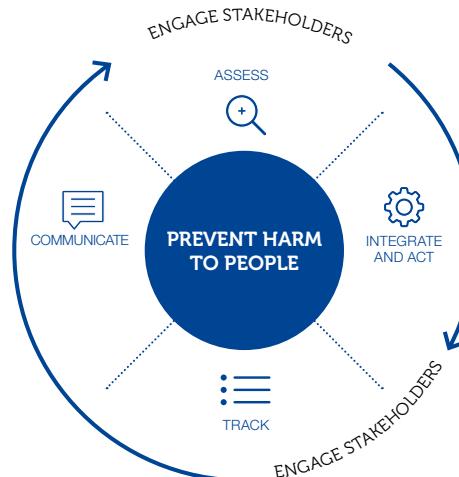
COMMUNICATE

Explain to stakeholders how these issues are being addressed, including through public reporting on due diligence steps taken.

Ethics and Human Rights risks and impacts in the countries where we operate are assessed by the Group's Business units through various processes. Examples of such processes are described below.

BOX 2

Practical examples due diligence process



Graphic concept courtesy of Shift Project Ltd.



CDA COLLABORATIVE LEARNING PROJECTS (CDA) SOCIETAL ASSESSMENTS

To analyse and improve the impacts of our projects on local communities and external stakeholders, the Group may engage CDA, an independent US non-profit organisation, expert in community relations and company-community conflict. CDA has a programme that helps extractive companies identify and manage **the impacts of their activities** in complex regions or conflict zones. CDA is working with many major oil and gas and mining companies as well as with the United Nations and civil society representatives.

The Group supports this programme, which is of great value for our own deliberations. For example CDA case studies have been carried out on the Group's Business units in Myanmar, Nigeria, Bolivia, Uganda and Argentina. The final reports are posted and available on CDA's website.

(To access reports, go to www.cdacollaborative.org)





ETHICAL ASSESSMENTS

An **external assessment process** of the application and understanding of the Code of Conduct was drawn up in partnership with a service provider, GoodCorporation, specialized in ethical issues.

This assessment process is based on a review of a number of important “evidence points” on Human Rights, labor law, fair competition rules, and other ethics-related issues. A large number of our Business units exposed to ethical risks have been assessed, with appropriate action plans and follow up actions defined. The objective of these assessments is to raise awareness, build ethical leadership, and review the ethical processes in place locally. The assessors also interview employees, customers, business partners, and other stakeholders to evaluate local perceptions of the way these issues are managed by the Business units.

A final report is issued, and a progress review is planned a few months after the evaluation, to support the Business units in taking on board key recommendations.

The Chair of the Ethics Committee and the Ethics and Human Rights Unit of the Group Legal Division validate this process to provide a “tone from the top” and future technical support needed by the Business units evaluated.

ASSESSMENT OF HUMAN RIGHTS COMPLIANCE IN BUSINESS UNITS

The Danish Institute for Human Rights (The “Danish Institute”) is an independent National Human Rights Institution mandated to promote and protect Human Rights. As part of its work, the Danish Institute partners with Business units and other stakeholders to promote business respect for Human Rights and the implementation of due diligence, for example, through integrating Human Rights into Business units management systems, capacity building and training, and Human Rights risk and impact assessment.

THE HUMAN RIGHTS COMPLIANCE ASSESSMENT (HRCA)

The Human Rights Compliance Assessment (HRCA), a tool developed by the Danish Institute to assist Business units in identifying and addressing Human Rights risks in Business units operations, was adapted to the Group’s specific context and needs. It is implemented in some complex operating environments, either as a standalone HRCA assessment or as a joint Human Rights and Ethics Assessment in coordination with the Group’s ethical assessments mentioned above.

A shorter version of the tool, the “HRCA Quick Check” gives an overview of common Business and Human Rights risks at stake. The tool is available in many languages, including English, Chinese, Spanish, Danish, and Dutch.

([See more information](#))

THE GROUP’S HUMAN RIGHTS ISSUES

The Group has identified three important Human Rights issues related to the risks and impacts of our operations which are described in this Guide.

1. Human Rights in the workplace

Human Rights concern not only our employees, but also the employees of our suppliers, contractors, business partners and their subcontractors. ([Internal IPO Shanghai Video](#))

2. Human Rights and local communities

Owing to the footprint our activities have in the countries where we work, special attention must be paid to the rights of local communities. ([Internal Myanmar Video](#))

3. Human Rights and security

Security involves protective measures taken against threats to both individuals and property. Correct management of Human Rights issues in line with the security of our projects ensures the Business units are better integrated into the local environments, and the Human Rights of employees and local communities are respected. ([Internal Uganda Video](#))

For each of these topics, this Guide provides guidelines and real life examples of commonly encountered situations where we operate.



TOPIC 1

HUMAN RIGHTS IN THE WORKPLACE

The Group pays special attention to employees' working conditions, respect for individuals and their privacy, a discrimination-free environment and health and safety, irrespective of the political and social context or any complexities encountered in the countries where we operate.

In January 2015, the Group signed a global agreement with IndustriALL Global Union (The "Global Agreement"), which covers respect for Human Rights in the workplace. IndustriALL Global Union represents over 50 million workers in the mining, energy and industry sectors.

The Global Agreement applies to the Business units in which the Group holds more than 50% of the share capital. Where the Group is present but does not control the operations, we make ongoing efforts to promote the principles of this agreement. We also make sure that the Global Agreement's principles related to the promotion of Human Rights and health and safety in the workplace are communicated and promoted among our contractors and suppliers. If these principles are not respected, we take the necessary actions, which may go as far as terminating the contract.

A follow up committee (the "FAIR Committee") has been set up to check the implementation of the Global Agreement. (See the Group's resources session, p.44)

As stated in our Code of Conduct:

- ▶ The Group's employees must respect Human Rights.
- ▶ We expect our suppliers and contractors to adhere to the principles specified in the Group's Fundamental Principles on Purchasing or to equivalent principles, and to make ongoing efforts so that their own suppliers and subcontractors respect equivalent principles.
- ▶ As far as non-operated joint ventures are concerned we make ongoing efforts so that the operator applies equivalent Ethics and Human Rights principles to ours.

Within the Group, the Human Resources, Legal, and Purchasing/Contract & Procurement Divisions have the primary responsibilities for monitoring these issues.



Principles and examples of Human Rights

Labor rights are protected by many international conventions, including the eight key International Labor Organization (ILO) conventions which focus on forced labor, child labor, non-discrimination, freedom of association and collective bargaining ([► ILO core conventions website](#)).

Human Rights and labor issues at stake in the workplace are decent working conditions and remuneration, prohibition of forced labor and child labor (See p.22 for a Focus on Child Labor), workplace health and safety, the establishment of an employment contract, working hours, rest and parental leave: ensuring that the workplace is free from discrimination and harassment; freedom of speech, association and collective bargaining, freedom of thought, conscience and religion, respect for private life and personal data.

AVOIDING DISCRIMINATION

Diversity is a decisive factor for the Group's competitiveness and attractiveness, and for our ability to innovate and adapt.

Any form of discrimination, as characterised by unfair and unfavourable treatment of certain individuals, because of their origin, gender, age, disability, sexual orientation and gender identity, or affiliation with a political, religious, union organization or minority group is unacceptable.

Discrimination negatively impacts a person's employment opportunities and results in unequal treatment in the workplace.

To comply with international and national law on anti-discrimination, any form of discrimination in the workplace, in particular against vulnerable employees (e.g., young workers; pregnant women, etc.), must be prevented.

Please refer to Box 3 (p.19): Respect for Human Rights goes beyond legal compliance

All workers must be treated fairly with respect to all policies, conditions and benefits of employment, such as hiring, advancement, placement, training, remuneration and dismissals.

This means that:

- ▶ All employment-related decisions should be based on relevant and objective factors (such as merit, experience, tasks, skills, etc), and consistent procedures should be followed in decision-making processes.
- ▶ Employee compensation should be based on the concept of equal work for equal value, and differences in rates of remuneration between workers must correlate specifically to objective job criteria and performance.

Practically, when benefits are offered (such as health insurance or pension schemes) to spouses and dependents of employees, these benefits are also extended to same sex couples and employees with adopted children.

For example, prohibiting candidates from working in Group's Business units based on criteria such as appearance (e.g., high body mass index, piercings, long hair, etc.), gender, and disability is not allowed. Any limitation for objective reasons (e.g., safety) should be strictly documented.

The implementation of local legal requirements or affirmative action by a Business unit on matters such as local content policies should be in line with the applicable local law and Human Rights standards.

For example, local content recruitment processes, hiring of local businesses for works and/or services, community investment decisions etc, should be based on clear, objective, transparent and fair criteria. For practical examples of "Do's and Don'ts" in the supply chain to consider in this domain, please check the Sustainable Purchasing Awareness Card on Discrimination ( SPAC).

BOX 3

Respect for Human Rights goes beyond legal compliance, as illustrated in the example below:

In some countries, Business units may be required by law or public officials to withhold migrant workers' Identification Documents. In such circumstances, to avoid forced labor, restriction on freedom of movement or discriminatory practices - without being in breach of the local law - dedicated procedures should be put in place to make sure that the workers agree to leave their passports, and in particular can have them back at any time.

AVOIDING AND ADDRESSING ANY FORM OF HARASSMENT

Harassment is defined as a repeated action of a harmful, cruel, threatening or humiliating nature directed at one individual or group of individuals. This offence constitutes an infringement of human dignity and of the right to fair and decent working conditions.

Sexual harassment and other forms of harassment and discrimination in the workplace play a significant role in inhibiting in particular the advancement of ethnic or gender minorities and women in the workplace. Therefore, a working environment where people are treated with respect and dignity and without fear of intimidation or harassment should be put in place.

To protect workers against harassment from both co-workers and management prevention policies, open communication, training and a speak-up climate to allow workers to report any incidents of harassment to a complaints mechanism, should also be implemented and ensured.

If a complaint of harassment is made, it is of utmost importance for managers to respond to the complaint in an efficient, timely and responsible manner, and ensure that the employee does not suffer any retaliation as a result of the complaint made in good faith.



FREEDOM
OF OPINION
AND EXPRESSION,
FREEDOM
OF THOUGHT,
CONSCIENCE
AND RELIGION

By virtue of internationally recognized Human Rights standards, every individual has the right to freedom of opinion and expression. The right to freedom of opinion guarantees that no one should be discriminated against due to his/her opinions.

All individuals have the right to freedom of expression, which includes the freedom to seek, receive and disseminate information, provided that all aspects of the Group's Code of Conduct are respected.

Maintaining a work environment that is culturally respectful and sensitive to the rights and needs of all employees is critical, in particular to attract talented people where we work.

Any restrictions on cultural or religious practices in the workplace must be applied in a non-discriminatory manner; it should also be reasonable (e.g., necessary for the safety of employees or the operations of the company) and should not be used in order to attempt to restrict certain beliefs or viewpoints over others.

Employees may take part as individuals in political activities, provided that they clearly indicate that they do not represent the Group, and that they inform their manager if their political activities might create a conflict of interest.

COLLECTIVE
BARGAINING
AND FREEDOM
OF ASSOCIATION

Collective bargaining is one form of social dialogue. It refers to a process whereby employee representatives and employers, or their representatives, negotiate the actual application of employment terms and working conditions (salary, working time, vocational training, welfare, etc.) and enter into mutually acceptable collective agreements.

Freedom of association represents the workforce's right to form and join organisations to promote and protect their interests in the workplace.

Collective bargaining and freedom of association help to ensure fair employment terms and working conditions.

Unfair communication from a Business unit which is intended to influence employees' decisions with regard to union representation and/or membership is prohibited.

In some regions, the right to unionize and bargain collectively may be restricted. Under such circumstances, other forms of workers meetings and independent representation should be implemented by the Group's Business units (e.g., ensuring that informal channels of communication between management and employees concerning work related issues are in place with identified contacts).

ACTIONS AND
RECOMMENDATIONS

In the event of alleged harassment or discrimination or any other infringement of Human Rights linked to the working environment, the Ethics Committee is available to all Group employees and other stakeholders.

Special contact points are also available to employees:

► **Line management:** the immediate superior and line management are tasked in particular to identify behaviour of employees that is contrary to the Code of Conduct, and to act where there are issues. Managers are also required to protect confidentiality and personal data.

► **Human Resources and Legal Divisions** play a key role when informed of an infringement, and may listen to and advise individuals. The occupational health practitioner and employees' representatives can also be consulted when needed.



FOCUS

PROHIBITION ON FORCED LABOR AND CHILD LABOR

► **Forced labor** means any work or service exacted from any individual under the threat of some penalty or punishment and for which the individual did not volunteer. In particular, it is characterised by a restriction on freedom of movement, coercion of the worker and lack of free consent from the worker.

In accordance with international guidelines and standards, each Business unit must ensure that its employees have **freely** chosen their jobs and they are free to leave them under their terms of employment.

For instance, requesting deposit guarantees from employees to have access to safety protection equipment or other material is not allowed. Every employment contract must state the component parts of the job (salary, working conditions, working time and especially the issue of overtime, etc.). Business units must pay fair and equitable remuneration, regularly and personally to each of their employees.

► The Group demonstrates special vigilance regarding the **prevention of child labor**, in particular by supporting initiatives aimed at its elimination. Child labor undermines children's dignity and is harmful to their schooling, their health and their physical and intellectual development.

In accordance with the International Labor Organization (ILO) standards, the hiring of employees aged under 15 is prohibited. In addition, any hiring must also comply with local laws that set a higher minimum working age.

In line with the ILO standards, the minimum age for admission to any kind of hazardous work (e.g., underground work or handling hazardous goods) which, by its very nature or by virtue of the conditions under which it is carried out, is liable to compromise the health, safety or moral well-being of adolescents, **must not be less than 18 years of age.**

The Group applies these provisions universally, including in countries where these ILO standards have not been implemented into national law.

Should incidents of child labor be discovered for example at the site of one of our commercial or industrial partners, suppliers or service providers, it is advisable in the first instance to ensure that the children are removed from the position or the workplace. Their salary may continue to be paid to them for a set period pending the putting in place of an alternative solution.



To this end, remedial measures, such as, encouraging the replacement of children with adult members of their families, or developing a cooperation scheme with relevant international organizations or local NGOs, should be put in place. In the event that the employer concerned refuses to make any commitments or to comply with the remedial measures, the Group may suspend or terminate contractual relations.



CASE STUDIES

These following scenarios illustrate the application of the Group's **Human Rights in the workplace** approach, including practical considerations to prevent abuse and safeguard the Group's reputation:

I run the Sales Division of a Business unit in a country where women are forbidden to drive. I am looking to recruit a sales representative. A female employee has applied.

To avoid discriminatory practices, the following avenues for actions should be considered:

- Supply full and transparent information to all employees on the principles in the Code of Conduct.
- Explain that the Group cannot adopt practices running counter to national law but will explore alternative ways to apply our Code of Conduct.
- Consider facilities to adapt the job role (meetings organised remotely using conference calls, use of busses).
- If applicable, offer employees equivalent positions with identical career development prospects.





My service provider has closed its plants. Salaries of the local employees have not been paid during the last 3 months.

To respect the right to just and favorable remuneration ensuring for workers and their families an existence worthy of human dignity (e.g., access to food, housing, etc.), the following avenues for actions should be considered:

- ▶ Verify the information, the economic situation of the contractor.
- ▶ Discuss with the service provider about the impacts of the situation on workers.
- ▶ If the outcome of the investigation is that these practices are proven, remind the supplier that the relationship between the Group and our suppliers is guided by adherence to the principles in the Code of Conduct and **Fundamental Principles of Purchasing** as may be stated in the contract; If the supplier refuses to implement remedial measures and to pay salaries, consult the Business unit's lawyers, and consider different steps, including the termination of the contract (**local and/or master agreement**).
- ▶ When needed, organise a new call for tender to replace the contractor.



TOPIC 2

HUMAN RIGHTS AND LOCAL COMMUNITIES

The Group undertakes activities that have social and environmental impacts at the local level. The Group acknowledges our corporate responsibility, and pays special attention to managing these impacts which can strengthen our Business units' social licence to operate.

In line with internationally recognized Human Rights standards, Business units should:

- 1. Engage with stakeholders on a regular basis,**
- 2. Avoid, minimize, mitigate and remedy negative impacts on local communities related to their operations.**

These two axioms are included in the Group's Societal Policy:

1. The Group seeks to establish dialogue with affected communities at a very early stage, and maintain constructive relationships with them and other stakeholders. ([↗ SRM+](#)) Regular and meaningful consultation, transparency regarding operational activities, listening to stakeholder concerns, needs and perceptions, consulting communities about impacts and mitigation measures are all critical to establishing and maintaining constructive relationships with stakeholders throughout the life cycle of our operations. The Group has developed internal guidance and a set of principles to support staff participating in stakeholder engagement.
2. Through due diligence and other processes, the Group respects the rights of communities by **identifying, and addressing** impacts, particularly on their environment and way of life, and where appropriate **by providing remedy for adverse impacts that could not be avoided**. The Group's Business units design and implement effective local grievance mechanisms and remediation processes. Access to these mechanisms for vulnerable individuals and groups (e.g., illiterate people, minorities, etc.) should be ensured.

Our responses to Human Rights issues with local communities are coordinated by the Group's societal teams working closely with the security and environment teams.

EXAMPLES OF HUMAN RIGHTS AND PRINCIPLES

ENVIRONMENTAL PROTECTION

The Rio Declaration (1992) defines the right to a healthy environment of a quality that permits a life of dignity and well-being. This right includes, for example, the right to be informed of the risks connected to the Business units' activities and protection against possible nuisances (pollution, odours, noise, etc.).

Access to clean water: The United Nations General Assembly explicitly recognized the Human Right to water and sanitation and acknowledged that clean drinking water and sanitation are essential to the realization of all Human Rights ([↗ Resolution 64/292](#)). The United Nations Committee on Economic, Social and Cultural Rights also defined the right to water as the right of everyone to sufficient, safe, acceptable and physically accessible and affordable water for personal and domestic use ([↗ General Comment No. 15 on the right to water](#)).

PROPERTY RIGHTS, ACCESS TO LAND AND CULTURAL HERITAGE

Property rights are covered by Article 17 of the Universal Declaration of Human Rights, to which the Group's Code of Conduct refers:

- 1. "Everyone has the right to own property alone as well as in association with others.**
- 2. No one shall be arbitrarily deprived of his property."**

Access to land: Business units' operations may have a specific impact on land and property rights, as temporary or permanent land access may be necessary. Depending on the specific societal context such as population density, land occupation and use, livelihood patterns etc. there may be negative impacts on livelihoods including the possibility of economic and/or physical displacement. The Group applies international best practice in its land access and acquisition process in order to avoid or minimize Human Rights impacts. This includes avoiding any physical displacement whenever possible, establishing clear and transparent procedures in consultation with affected people, proposing replacement land of equal quality whenever possible, providing support for livelihood restoration, ensuring people are compensated appropriately and by paying specific attention to vulnerable people and households.



Cultural heritage: Certain territories may have essential value in terms of cultural and natural heritage. Cultural and natural heritage includes sites that have architectural, archaeological, artistic, historical and unique natural environmental features that embody cultural values and hold particular historical, anthropological, artistic or scientific values. Cultural heritage may not only have significant value to the local community and users of the cultural heritage, but may also have universal value from the point of view of history, art or science. Before accessing land, the potential impacts both on natural and cultural heritage are identified. Consultation with specialists such as archeologists, local communities and local NGOs who are knowledgeable on the local heritage of the land is undertaken. The perspectives of the local community who have used and/or use the tangible or intangible cultural heritage to develop and preserve their cultural identity should be taken into account.

THE RIGHT TO AN ADEQUATE STANDARD OF LIVING

In accordance with internationally recognized Human Rights standards, the right **to an adequate standard of living** is understood to establish a minimum entitlement to food, clothing and housing. ([Article 25 of the Universal Declaration of Human Rights \(UDHR\)](#) and [Article 11 of the International Covenant on Economic, Social and Cultural Rights](#)).

Business units' operations may require intensive use of resources such as water, and of other infrastructure and essential services like sewage treatment which can place them under strain. In such situations, Business units should investigate to what extent the local community will be affected by their activities in order to ensure that the operation's use of locally provided resources does not negatively affect the local population.

Stakeholder consultations should be held and the local authorities responsible, for example for water, should also be consulted so that a plan is put in place before initiating operations. Particular attention should be paid to identifying and including disenfranchised individuals in the community, such as women, persons of disadvantaged-caste, ethnic origins, and immigrants. The needs of these individuals and their dependence on local natural resources might not always be taken into account by government and local leaders during negotiations with the Business units over land usage and natural resources.



A blue circular icon containing a white puzzle piece is positioned in the top left corner of the image area.

The Group's partnership with International Alert in the Democratic Republic of Congo (DRC) The Group commissioned a UK based NGO - International Alert (IA) - to conduct an impact study focusing on Human Rights in the DRC. IA relies locally on a network of local representatives. Even though the Group had not yet conducted any operations in the area in question, 300 people – a quarter of whom were women – were consulted by IA. The aim of this study was to enable us to better understand the potentially negative impacts of our operations on Human Rights and maximize any positive impacts. Based on these interviews, IA proposed a list of concrete actions to mitigate the impacts identified. For example, putting in place a fair recruitment process accessible to all affected communities which is critical to avoid exacerbating existing ethnic conflicts. This report is available online ([IA site](#)).



ACCESS TO REMEDY

Anyone adversely affected by our Business units' activities should have access to a grievance mechanism where they can report any complaint about our operations, without discrimination or fear of repercussion.

Effective grievance mechanisms should be put in place by Business units. The grievance procedure should be designed in collaboration with representatives from the local community to reflect their needs and interests and to create ownership and trust in this mechanism.

To be effective, grievance mechanisms should be accessible to, and understood by, local people and communities including isolated and/or vulnerable groups and illiterate people. The mechanism should be well known, transparent (e.g., the complainant is informed of the progress in the management of his/her complaint), and based on participation and dialogue with the complainant and with local communities. It should also be compliant with local laws and internationally recognized Human Rights, and a source of continuous learning.

Any individual or organization filing a grievance should receive notification of the findings regarding the particular complaint and whether corrective action will be taken.

If the individual or organization disagrees with the decision, he or she should have recourse to some reasonable form of dispute resolution process to settle the claim.

ACTIONS AND RECOMMENDATIONS

As stated in the Group's Societal policy, our Business units should engage with local communities and other stakeholders, and manage their impacts.

ENGAGEMENT WITH STAKEHOLDERS

The Group commits to developing **transparent and constructive relationships with our stakeholders**. Business units should consult their stakeholders regularly to gain a clearer understanding of their expectations and concerns, and to establish future possibilities for meaningful engagement. Specific tools have also been developed internally to map and interview our stakeholders, such as "Stakeholder Relationship Management +" (SRM+) (see below the Group's resources session, p.44).

MANAGEMENT OF IMPACTS

The Group seeks to reduce the negative socio-economic impacts related to our operations. Business units are required to **assess societal risks and opportunities**, in particular for any Greenfield industrial project. There must be an in-depth analysis of the societal context (Social Baseline Survey) and an evaluation of the project's potential socio-economic impacts (Social Impact Assessment), and related avoidance and mitigation measures.

These evaluations are often carried out jointly with Environmental Baselines and Impact Assessments.

↳ **IPIECA Guide** See the IPIECA Guide "Integrating Human Rights into Environmental and Social and Health Impact Assessments" for examples of good practices and case studies.



EXPLORATION & PRODUCTION

Exploration & Production Business units are setting up community grievance mechanisms for local communities impacted by industrial projects. A guide is available, inspired by the Guiding Principles, that covers this procedure for the handling of grievances. This procedure is an integral part of our Business unit's societal management plan and represents a concrete expression of the first requirement of the Group's societal policy.

MARKETING & SERVICES

Marketing & Services Business segment published a brochure designed to raise awareness of grievance management issues across operating sites. The brochures helped the operating sites to get familiar with this subject and introduce their own systems for the handling of grievances separate from those used for dealing with commercial complaints.

REFINING & CHEMICALS

Refining & Chemicals' operations have environmental and social impacts at the local level, in particular in urbanized zones. Refineries and petrochemicals sites are certified ISO 14001 and have in place grievance mechanisms that ensure traceability and feedback from stakeholders. Structured voluntary committees are available in some countries for local communities, regional administration, and sites representatives, to facilitate dialogue and consultation, and address potential concerns related to our activities (Community Advisory Panels - CAP - in the USA; equivalent structured committees in France and Belgium).



FOCUS

INDIGENOUS PEOPLES

There is no universal definition of indigenous peoples. In fact, the international community has not adopted a formal definition, and the term is still controversial in some countries. The main criterion to identify indigenous peoples is self-identification. Several characteristics of indigenous peoples have been outlined, including by the United Nations:

- Historical and geographical pre-establishment of these people within a given area of land;
- Past or present experiences of marginalization and discrimination;
- Cultural difference – in terms of use of a language or way of life that differs from the rest of the majority population;
- Self-identification – recognising oneself and being locally recognised as such.

Indigenous people's specific rights are recognised in particular by the **ILO Convention No. 169** adopted in 1989, the United Nations 2007 Declaration on the Rights of Indigenous Peoples, and various World Bank standards, including the International Finance Corporation's "Performance Standards". In accordance with these documents, indigenous peoples have the right to Free, Prior and Informed Consent (**FPIC**) for developments affecting them. Specifically, FPIC means:

- **Free**—people are able to freely make decisions without coercion, intimidation, punishment or manipulation.
- **Prior**—sufficient time is allocated for people to be involved in the decision-making process before key project decisions are made and impacts occur.
- **Informed**—people are fully informed about the project and its potential impacts and benefits, and the various perspectives regarding the project (both positive and negative).
- **Consent**—there are effective processes for affected indigenous peoples to approve or withhold their consent, consistent with their customary decision-making processes, and their decisions are respected and upheld.

FPIC is more than just a process of consultation. It is a negotiated process involving all interested parties, the aim of which is to allow indigenous peoples to be involved in decision making about future developments affecting them and ultimately, to give or withhold their consent.

The Group recognizes indigenous peoples traditional attachment and close proximity to land and natural resources such as rivers, trees and forests.

This connection to land and natural resources means they may be particularly affected by those operations which transform the landscape and affect their access to such resources.

► **The Group Charter of Principles and Guidelines regarding Indigenous and Tribal People** requires Business units to engage in meaningful consultation with indigenous peoples, minimize negative impacts on them and ensure they have access to the benefits of our activities including employment and economic development.

Within the industry, there is an ongoing debate on the definition of Consent. Regardless of this, Business units benefit from ongoing and meaningful engagement with indigenous peoples in the places where we operate, and from their broad support and participation. (For examples of good practices, see the oil and gas industry association for environment and social issues, **IPIECA Guide on "Indigenous Peoples and the oil and gas industry"**).



CASE STUDIES

These following scenarios illustrate the application of the Group's Human Rights and Local communities approach, including practical considerations to prevent abuse and safeguard the Group's reputation:

- Understand the context where we operate
- Identify and engage communities to establish constructive relationships
- Manage the negative impacts of our activities on communities
- Respect the rights of indigenous peoples
- Pay special attention to vulnerable groups
- Deal with any complaints from communities through appropriate procedures.

Local community representatives are blaming me for not employing them during an exploration project carried out in the area where they live.

To avoid undermining trust in the Business unit's assurances that affected communities will benefit from the project, risks of conflicts and perception of discrimination, the following avenues for action should be considered:

- Review the project's Social Baseline Study (SBS) and Environmental and Social Impact Assessment (ESIA) and any identified local employment opportunities.
- Review previous stakeholder engagement and any commitments made to local employment.
- If one does not exist, develop a local recruitment and employment plan in consultation with affected communities.
- Put in place a fair recruitment process accessible to all affected communities to avoid exacerbating potential existing ethnic conflicts and perception of discrimination.
- Develop a local goods and services supply plan to be sent to suppliers.
- Engage all relevant stakeholders – suppliers, community representatives and authorities (labor office, local representatives) etc. – on the definition and implementation of these plans.
- Put in place a monitoring system for contractors to track local employment.
- Manage expectations by communicating widely, accurately, and openly about employment opportunities that are and will be available.





A local Non Governmental Organization (NGO) is accusing a Group Business unit of polluting a nearby river, harming the environment and infringing the communities' right of access to water. The NGO is resolved to make contact with the media.

To avoid harming the health of local populations and worsening relationships with the local community and NGOs, the following avenues for actions should be considered:

- ▶ Verify the allegations with the Health Safety Societal Environment (HSSE) Division including on the ground verification.
- ▶ Identify any technical intervention needed to stop further pollution and remediate if necessary.
- ▶ Meet with affected communities and their representatives to identify any damage done, ongoing risks and their concerns.
- ▶ If needed, ensure people have access to alternative potable water sources.
- ▶ Arrange to meet the head of the NGO to understand the allegation in detail.
- ▶ Prepare a public response.
- ▶ Set up the necessary structures making it possible in future to inform NGOs and communities of the actions put in place to monitor water quality.
- ▶ In the event of proven pollution, make contact with the Legal Division with a view to considering compensating communities.
- ▶ Meet with concerned communities and their representatives to explain the background to the complaint and findings of the investigation.
- ▶ Review the Business unit's stakeholder engagement plan with a view to ensuring regular dialogue with concerned communities and other civil society stakeholders such as NGOs
- ▶ Whether the pollution is proven or not, prepare a communication plan in order to communicate the facts.

TOPIC 3

HUMAN RIGHTS AND SECURITY

Security management is based on risk identification and prevention, anticipating crisis situations and reporting of incidents. Prevention of risks includes training and dialogue with all stakeholders.

Provision of security is a state responsibility. In some contexts, the intervention of government security forces or private security providers may be necessary to protect Business units' activities including personnel and assets.

Respect for the rights of local communities and other stakeholders by security forces is essential. The Group seeks to prevent incidents when conducting security activities. The Group's approach, reiterated in our security policy, is based on internationally recognized Human Rights and industry standards including the Voluntary Principles. These Principles aim to guide Business units so that where they provide and ensure provision of operational security this is done in a manner that is consistent with respecting Human Rights.

▶ As a member of the Voluntary Principles, the Group has included the implementation of these principles in our policies, and assigned experts within the [↳ Security Division \(Internal\)](#) to ensure their effective implementation.

EXAMPLES OF HUMAN RIGHTS AND PRINCIPLES

The Voluntary Principles are a set of principles agreed by a group comprising: governments, extractive companies and non-governmental organisations.

They rely on three key concepts:

- ▶ the necessity of a comprehensive risk assessment for informing Business units' operations and their ability to mitigate risks of Human Rights abuses;
- ▶ the importance of communication, consultation and transparency, particularly with regard to relationships with local communities;
- ▶ the importance of monitoring the conduct of government security forces particularly as regards proportionality in the use of force and to respond to alleged Human Rights abuses ([↳ See the full text](#)).

THE USE OF FORCE

The UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (The "Basic Principles") provide guidance to governments and law enforcement officials as to the use of force and firearms. Force should be used as a last resort, and when used, should be used in a restrained and proportionate manner to minimise injury. The Basic Principles also emphasize the importance of giving assistance and medical aid to those injured by the use of force, and the necessity of notifying both the relevant authorities and friends and family of the status of such persons ([↳ See the full text](#)). See also the UN Code of Conduct for Law Enforcement Officials ([↳ See the full text](#)).



ACTIONS AND RECOMMENDATIONS

The Group's objective is to raise awareness and train the people involved in security management. This includes the Group's staff and security forces, either government forces or private security providers. The Group also expects the arrangements under which security forces intervene, particularly in complex situations to be clarified and formalized (e.g., contracts to be signed with governments, etc.).

For the Voluntary Principles implementation, the Group established 5 main axes:

- 1. Establishment of formal relations** between Business units and governments to organize the security of our employees and facilities in accordance with our principles;
- 2. Transfer of equipment** (e.g., fuel, transportation) from the Group's Business units to government security forces should only occur on an exceptional basis and be strictly controlled;
- 3. Verification of security providers' recruitment procedures**
(See the Focus box below, p.38);
- 4. Specific training** for all security personnel;
- 5. Reporting of incidents** (See the Focus box below, p.38).

Coordination between the Group's security teams and those in charge of community relationships within societal teams is essential so that concerns and questions from communities are addressed before they can become security issues. Identifying early and appropriate responses to community concerns will ensure better relations with communities, help reduce tensions, and mitigate the risk of Human Rights abuses (See Topic 2, p.26). As stated in the Voluntary Principles, risk analysis and planning for security arrangements and rules of engagement should be done in consultation with local communities.

For example, in Uganda the security team works very closely with the societal team. When Community Liaison Officers (CLOs) identify signs of emerging conflict between communities, they relay such information to security staff who encourage local governments or traditional leaders to try and resolve the conflict before it escalates into a security situation for local people and the Company. In a case of theft of some technical equipment, the CLOs managed to convince local leaders to spread the message that if the equipment was returned there would be no police or legal follow up. Several pieces of equipment were returned and increasing trust established between the CLOs and the community.



Voluntary Principles training in Myanmar

In June 2015 the Group organized a seminar focusing on the Voluntary Principles guidelines at Yangon. Myanmar Government representatives supported the event with an important and pro-active delegation including the Minister of Security and Border Affairs and Regional Police commissioners. National companies, NGOs and Embassies also constructively contributed to the open discussions throughout the workshop based on practical situations related to security incidents.



FOCUS

RECRUITMENT PROCEDURES OF SECURITY PROVIDERS' EMPLOYEES:

This Guide and the Corporate Security Policy provide our managers with specific guidelines on the selection of private security companies.

In particular, means and resources used by security personnel should prevent the occurrence of incidents and be in line with the Group's security requirements. The Group's Business units are required to conduct due diligence when recruiting personnel.

This means that when recruiting security personnel or when using private security companies, it is advisable to:

- ▶ Check, via a preliminary survey of potential security providers, the selection criteria for their employees to ensure that no-one involved in Human Rights abuses has been recruited;

REPORTING OF INCIDENTS

In the event of security-related incidents with Human Rights implications in which our Business units are involved, the following steps must be taken:

- ▶ Ensure that appropriate medical care is provided to any injured person;
- ▶ Immediately report the incident to the relevant authorities at Group and Business unit levels – follow-up actions will be taken depending on the local context and type of incident;

- ▶ Analyse the security providers' in-house regulations and ethical commitments;
- ▶ Ensure the security providers are fully aware of the Group's principles and in particular of the Business units' security policy;
- ▶ Point out clearly the primarily protective and defensive nature of this work;
- ▶ Record every step in writing and demand written responses to the requests made to document the Group's procedures;
- ▶ Include in the contract clauses that expressly mention the respect of Voluntary Principles commitments and expectations for conduct of personnel.



CASE STUDIES

These following scenarios illustrate the application of the Group's Human Rights and Security approach, including practical considerations to prevent abuse and safeguard the Group's reputation:

- ▶ Keep our employees and operational sites secure whilst ensuring that the resources used to protect our Business units do not exacerbate existing tensions.
- ▶ Ensure that security forces protecting our employees and assets respect the Human Rights of local communities.
- ▶ Circulate our security commitments to our external contractors.
- ▶ Raise awareness on Human Rights and share our principles with government security forces and private security providers.
- ▶ Respond appropriately when our standards are not observed.

A demonstration against the Business unit is organised by some members of the neighbouring local community. The police officers, already in position, are known for brutally clamping down on demonstrators. The demonstration is growing larger.

To avoid threatening the security of our people and facilities, and the communities' rights to freedom of expression and assembly, the following avenues for actions should be considered:

- ▶ Throughout the life of the project, communicate to relevant government officials the Business unit's interest in Human Rights and encourage professional conduct of police and army units operating near the Business unit.
- ▶ Anticipate any issue arising from local communities (coordinated actions between societal and security teams should be developed), and address them.
- ▶ Dialogue with government security forces in advance and during the demonstration.
- ▶ Dispatch active and reliable negotiators during the demonstration to resume dialogue.
- ▶ Liaise with protestors' leaders during the demonstration and recommend that protestors do not use weapons to avoid any incident.
- ▶ Recommend that the Business unit's security forces take appropriate measures to avoid incidents and trigger events, and insist on the fact that force should only be used proportionately if absolutely necessary.

Once the event is over:

- ▶ Evaluate lessons learnt from the event and adapt training themes and drills scenarios.
- ▶ Review the accuracy of the Business unit's procedure to deal with complaints from communities.
- ▶ Debrief the event directly with government security forces representatives, and adapt management best practices accordingly.





One night, a group of four men attempts to break into an operational site. They are stopped by our site security provider. They are then handed over to the local authorities after having been ill-treated.

To respect the rights of the apprehended individuals not to be subject to torture or degrading treatment, the following avenues of actions should be considered:

- ▶ Elaborate a clear and detailed procedure related to "behaviour with apprehended persons" for security providers, including immediate report to the Group' Business unit management of such event.
- ▶ Collect testimony and establish the victims' state of health.
- ▶ Formally remind the security provider about our principles and demand that the employees concerned are suspended from the site pending the investigation of the allegations.
- ▶ Ensure that the security provider responds appropriately to the objectionable behaviour of its employees.
- ▶ Organise awareness raising and training sessions on Human Rights for the security provider's employees.
- ▶ If the guards' misconduct continues, suspend or terminate the contract with the security provider.



A Business unit is considering new oil & gas activity in a region with poor Human Rights records including allegations of harassment and sexual abuses associated with government security forces in the region.

To reduce the risk of acts of sexual and gender based violence while the government security forces are protecting the Business unit's personnel and facilities in future, the following actions should be considered:

- ▶ Carry out an assessment to evaluate potential human rights risks (including risks of sexual and gender based violence) associated with the new activity. Clearly communicate to government security forces the Group's Security policies and standards as well as its expectations in terms of security forces' conduct in their areas of operations and beyond.
- ▶ Set up a procedure to respond urgently to allegations of sexual and gender based violence involving government security forces or private security providers' personnel working for the Business unit. The procedure should include ways of protect the identity of the alleged victim, maintain confidentiality and ensure that victim is able to access immediate physical or psychological care and to be safe from the risk of retaliation.
- ▶ Set up, in partnership with government forces command chain, a training plan for all personnel (both private security providers' personnel and government security forces) securing our personnel and facilities, in which issues related to misuse of force and Human Rights sexual abuses are addressed.

For further practical measures on how to prevent sexual and gender based violence in conflict affected areas, see the International Alert report on the Democratic Republic of Congo ([👉 IA RDC](#)).

APPENDIX

THE GROUP'S ORGANIZATION ON HUMAN RIGHTS

GROUP LEGAL DIVISION

In-house lawyers specialized in Ethics and Human Rights are working within the Group Legal Division, Compliance and Social Responsibility Department, to provide expertise and anticipate emerging trends on these issues.

HUMAN RIGHTS COORDINATION COMMITTEE

The Group created a Human Rights Coordination Committee managed by the Ethics Committee chair in cooperation with the Group's Human Rights lawyers. This information and decision-making forum meets three or four times a year. Corporate and Business segment representatives including security, communication, purchasing and sustainable development are part of this forum. This initiative also coordinates the activities undertaken internally and externally by the Group's Business units in this domain. External advisors such as the Danish Institute for Human Rights may attend some of these sessions in order to inform and advise the Committee on specific topics related to Human Rights.

THE ETHICS COMMITTEE

Respect for internationally recognized Human Rights standards is one of the priority business principles of the Code of Conduct. Consequently, the Ethics Committee gives advice on this subject and integrates Human Rights into the ethical assessment process.

The Ethics Committee comprises a chair appointed by and reporting to the CEO and members from the main activities of the Group. Members are appointed by the Executive Committee.

The Ethics Committee ensures in particular that the Code of Conduct is widely communicated. It also listens to, supports and advises employees and other stakeholders.

The Committee is entitled to visit any Group facility or subsidiary.

The chair of the Ethics Committee reports regularly to the Executive Committee and the Board of Directors.



THE GROUP'S CONTRIBUTION TO INTERNATIONAL HUMAN RIGHTS INITIATIVES

The Group is a member of a number of initiatives to advance our work on Business and Human Rights. For example:

- ▶ The Group is a member of the **United Nations Global Compact** (UNGC) which gathers more than 10,000 companies committed to implementing 10 principles related to Human Rights, labor, environment and anti-bribery. The Group has contributed to various guidance documents issued by the UNGC Human Rights Working Group. The UNGC LEAD initiative for sustainable leadership focuses on reporting. The Group has contributed to this forum, alongside a number of sustainability leaders from all regions and sectors.
- ▶ The Group is a founding member of the **Global Business Initiative on Human Rights** (GBI) which is a multi sector association with an outreach focus to companies headquartered in developing countries. The Group shares learning experiences with many GBI members such as retailers and other Business sectors on various issues related to Human Rights.
- ▶ The Group actively takes part in the work of **IPIECA**, (the global oil and gas association for environmental and social issues), through various working groups on social and environmental issues, including co-chairing activities of the IPIECA Human Rights Task Force.
- ▶ The Group joined **Shift's Business Learning Program** when it was established in 2011, immediately after the UN Guiding Principles were endorsed. Through our participation, we have received tailored advice and support on our priorities for implementing the UN Guiding Principles. This has involved guidance on integrating Human Rights into our CORISK and merger and acquisition processes as well as revising our Code of Conduct to make human rights the cornerstone of the Code. We also participate in Shift's collective, cross-industry workshops that explore in depth shared challenges with regard to business and human rights. Shift is the leading center of expertise on the UN Guiding Principles on Business and Human Rights. Shift's team was centrally involved in shaping and writing the Guiding Principles, and Prof. Ruggie is Chair of Shift's Board of Trustees.
- ▶ The Group is a member of the **Voluntary Principles on Security and Human Rights** (Voluntary Principles). This multi-stakeholder initiative gathers major international oil and mining companies, Human Rights and development Non-Governmental Organizations and States. Among other activities, guidance documents on responsible security issues related to interactions with public and private security providers in complex environments have been issued.



TO FIND OUT MORE

THE GROUP'S RESOURCES

TOPIC 1

HUMAN RIGHTS IN THE WORKPLACE

INDUSTRIALL GLOBAL FRAMEWORK AGREEMENT

In January 2015, the Group strengthened our commitment as a responsible employer by signing a global agreement with IndustriALL Global Union representing over 50 million workers in the mining, energy and industry sectors. The purpose of this global framework agreement is to ensure the protection of the rights and working conditions of our people. ([► IndustriALL Global Union](#))

FUNDAMENTAL PRINCIPLES OF PURCHASING

Fundamental Principles of Purchasing must be attached to or transposed in the various processes of selection of suppliers of goods, services and works, and in the contracts with these suppliers. These principles concern the various areas that are priorities for the Group, including:

1. Respecting Human Rights at work,
2. Protecting health, safety, and security,
3. Preserving the environment,
4. Preventing corruption, conflict of interests, and fighting against fraud,
5. Respecting competition law,
6. Promoting economic and social development.

([► Detailed principles](#))

DIVERSITY POLICY

Through this Policy, the Group enhances our commitment to develop employees' professional skills and careers without discrimination. Our Business units implement Diversity action plans, in accordance with the Diversity roadmap methodology proposed by the Group.

([► Full Policy](#))

Internal Guidance "recruiting without discrimination"

Guide for the respect of minimum living conditions in base camps
The Group demonstrates special vigilance regarding living and working conditions of our suppliers' employees who are present on the Group's construction sites. To this end, it endeavours to ensure that industry standards relating to health and safety are observed. This guide accordingly lists the minimum conditions that the Group would like to see applied by suppliers and introduces the monitoring measures to be put in place through performance indicators.

([► Full Guide](#))



HUMAN RESOURCES' E-LEARNING ON HARASSMENT

This online course helps employees to identify harassment situations and understand the procedures to follow when employees are victims or witnesses of harassment, e.g., reporting to line management, confirmation of the facts, and disciplinary measures proportional to the offence. ([► e-learning](#))

SUSTAINABLE PURCHASING AWARENESS CARDS (SPACS)

These Cards aim at raising social awareness within the Group's supply chain. A range of issues related to Human Rights are covered, including child labor, forced labor, working hours, harassment, discrimination, freedom of association, minimum wages. Practical examples of "Do's" and "Don'ts" are provided. ([► SPACs](#))

INDUSTRIALL GLOBAL UNION AGREEMENT "FAIR" COMMITTEE

As stated in the Global Agreement, a dedicated Committee is set up to "Facilitate the Application, Involvement of all and regular measurement of the Results of the agreement" (The "FAIR" Committee). This Committee meets regularly to assess the way the Global Agreement is implemented. It is chaired by the Group's Human Resource Division, and composed of representatives from trade unions affiliated to IndustriALL Global Union.

TOPIC 2
**HUMAN RIGHTS
AND LOCAL
COMMUNITIES**

SAFETY HEALTH ENVIRONMENT QUALITY CHARTER

The Group charter includes reference to our societal and responsible security principles, including the Voluntary Principles on Security and Human Rights guidelines. ([► Full Safety Health Environment Quality charter](#))

**THE GROUP'S CHARTER OF PRINCIPLES AND GUIDELINES
REGARDING INDIGENOUS PEOPLES AND TRIBAL PEOPLES**

The purpose of the principles set forth in this charter is to encourage the Group's Business units to take into account the legitimate requirements of indigenous peoples. Business units are accordingly bound to observe the highest domestic and international standards in force and, in particular, to conduct impact assessments, initiate meaningful consultation with indigenous and tribal peoples by keeping them informed of project progress, and to ensure that the project has a positive impact on such communities.

([► Total policy regarding indigenous people](#))

MAESTRO MANAGEMENT SYSTEM

Maestro is the Health Safety Environment Management System used by the Group upstream and downstream Business segments as a basis for internal audit. It includes principles dedicated to societal issues.

SOCIETAL POLICIES

The Group's societal policy and processes regulate our interactions with local communities and other external stakeholders, and focus on four main axes: stakeholder engagement, prevention and mitigation of negative impacts, shared value creation, and access to energy.

EXPLORATION AND PRODUCTION (EP)

► **E&P General Specification on Social Baseline Study:** defines our requirements for establishing a Social Baseline Study. A SBS is an initial evaluative study of the socio-economic and Human Rights context prior to any operational activity, formalized in the framework of the EP process.

► **E&P General Specification on Social Impact Assessment:** defines our guidelines for conducting a Social Impact Assessment. A SIA is a study assessing and/or analysing the actual and potential social or Human Rights impacts on the population affected by an oil and gas project. For more information, please refer to the IPIECA guidance document on integrating Human Rights into Environmental and Social Impact Assessments. ([► SIA](#))

► **E&P General Specifications on Human Rights Impact Assessments:** defines our guidelines for conducting a dedicated Human Rights Impact Assessment. The circumstances and the way such assessment should be conducted are developed in this document. ([► HRIA](#))

► **E&P Guide and Manual on community grievance mechanisms:** this guide sets out the business case for establishing grievance mechanisms and proposes an approach which meets the Guiding Principles effectiveness criteria.



STAKEHOLDER RELATIONSHIP MANAGEMENT+ (SRM+)

SRM+ is an internal tool developed by the Group for societal dialogue, and used by all Business segments. It enables the sites or the Business units to identify and map their main stakeholders, schedule meetings with them and better understand their perceptions and issues, and then define an appropriate action plan for building a long-term relationship.

This mechanism represents a unique opportunity to explain the Group's activities, but also to listen to the expectations of local stakeholders and address their concerns.



TOPIC 3 **HUMAN RIGHTS AND SECURITY**

Security policies include both instructions and recommendations through dedicated guides and manuals that are applied to support the implementation of the Voluntary Principles by the Group's Business units.

THE GROUP'S INTRANET RELATED TO VOLUNTARY PRINCIPLES

A page is dedicated on the Group intranet to promote Human Rights best practices within the Business units, including the Voluntary Principles guidelines. This page raises employees' awareness on Human Rights concepts, the standards applicable to security operations and stakeholder relationships. It offers a series of practical documents together with suggested responses to issues. ([↳ Group's Intranet](#))

THE GROUP'S ANNUAL REPORT FOR THE VOLUNTARY PRINCIPLES SECRETARIAT

Each year, as a member of the Voluntary Principles Initiative, the Group reports to the Secretariat on our activities regarding the implementation and the promotion of the Voluntary Principles.

SELF ASSESSMENT & RISK ASSESSMENT TOOLS

Following an evaluation of lessons learned process with other members and observers of the Voluntary Principles initiative (e.g., IPIECA, the global oil and gas industry association for environmental and social issues) we have developed specific tools adapted to our context and needs to support the implementation of the Voluntary Principles within the Group's Business units.

The Risk and Self assessment tools enable us to evaluate the compliance of Business units with the Group's commitments in this domain. These tools have been developed to be used in a simple and autonomous manner by our Business units, and are expected to lead to the development of action plans to mitigate identified Human Right risks.



EXTERNAL RESOURCES

► THE UNITED NATIONS GUIDING PRINCIPLES ON BUSINESS AND HUMAN RIGHTS (THE "GUIDING PRINCIPLES")

A set of principles that clarify the roles and responsibilities of States and Business units on and Human Rights issues.

([↳ Guiding principles](#))

► THE UN GLOBAL COMPACT

An initiative that brings together thousands of businesses that are invited to issue an annual Communication on Progress related to ten principles on Human Rights, labor standards, the environment and the fight against corruption.

([↳ UN Global compact](#))

► INTERNATIONAL FINANCE CORPORATION (IFC) PERFORMANCE STANDARDS ON ENVIRONMENT AND SOCIAL SUSTAINABILITY

IFC, a member of the UN World Bank Group, is the largest global development institution focused exclusively on the private sector in developing countries. IFC's Environmental and Social Performance Standards define IFC clients' responsibilities for managing their environmental and social risks. The 2012 edition of IFC's Sustainability Framework, which includes the Performance Standards, applies to all investment and advisory clients whose projects go through IFC's initial credit review process after January 1, 2012.

([↳ IFC's standards](#))

► IFC'S RESOURCE CENTER

([↳ IFC](#))

► THE VOLUNTARY PRINCIPLES

([↳ Voluntary Principles](#))

► EITI

([↳ EITI](#))

► IPIECA

([↳ IPIECA](#))

► BUSINESS AND HUMAN RIGHTS RESOURCE CENTRE

The Resource Centre is an independent non-profit organization. This Centre is tracking the Human Rights policy and performance of over 6000 companies in over 180 countries, making information publicly available. It engages with companies and governments to urge them to share information publicly. Its website is a global business and Human Rights knowledge hub, delivering news in many languages.

([↳ Business and Human Rights Resource Centre](#))



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