

Template for UNGC human rights case studies

A Global Compact Business Case Study is intended to be more multi-faceted than an academic/teaching case study. Among other things, it includes the outcomes of the particular issue described, so that readers can assess what worked well or not as well and what they might wish to alter in their own future related activities. The central purpose of human rights case studies is to provide a learning opportunity for all concerned – the company that is the subject of the case study, the reader, the case author and peer reviewers - and to increase the body of knowledge related to practical implementation of the Global Compact human rights principles. To date, much of the experience of implementation of human rights has remained inside companies. Through this case study series, a key goal is to share the learning more broadly. In our experience, case studies that explore what worked, what did not work and what the company might do differently based on lessons learned are the most highly valued by readers and attract more recognition for the companies concerned.

Different types of case studies

There are two different types of case studies a case author can write:

1. Case studies on the internalization of the Global Compact human rights principles
2. Case studies on Partnership Projects with a strong human rights dimension

1. Case Studies on Internalization of the Global Compact Principles

These case studies describe and analyze how a company has endeavored to internalize human rights within its own management practices. For these case studies, the author should give consideration to addressing the following questions within the body of the case study:

1. **Vision:** how and to what degree are the human rights principles and values of the Global Compact reflected in the vision of the company? What role do human rights play in how the company sees itself currently and in what it wants to become?
2. **Leadership:** how do leaders at all levels within the company engage in the promotion and implementation of:
 - The company vision for human rights?
 - The Global Compact human rights principles?
 - The human rights issue under examination?

What role has the company's leadership played in enabling the human rights practices to be undertaken and successful? In what ways does the company play a positive human rights leadership role within its sphere of influence?

- Within the country
- Local community
- Supply chain
- Industry sector

How is the company's vision for human rights communicated by leaders to all employees?

3. **Empowerment:** how does the company empower (that is, organize and inform, show and motivate, train and reward, listen and trust) its employees to implement its human rights policies? How is the company's commitment to human rights reflected in its efforts to recruit, train and set individual and team performance targets?
4. **Policies and strategies:** how are the Global Compact human rights principles and the human rights issue(s) explored in the case study reflected in the company's policies and strategies? What is the link between the policy or practice being examined and the company's core business practice?
5. **Resources:** does the way the company allocates resources (financial, human, informational and others) reinforce or undermine the policy or practice being examined? If so, how?
6. **Innovation and process:** what role has innovation played in developing the company's human rights policies and procedures? And where did the innovation come from?
7. **Impact on people:** what impact have the company's human rights policies and procedures had on employee morale?
 - Has the company thought about the impact on workers?
 - What role, if any, have the employees had in the development of the human rights policies and procedures?
8. **Impact on value chain:** How does the company manage its relationships with suppliers, customers and other business partners relevant to the human rights issue in question. Did/does the company seek out opportunities for partnerships and collaboration in addressing the human rights issue? If so, what role has this played in enabling the human rights management practice?
9. **Impact on society:** how are groups of concerned stakeholders impacted and engaged with?
 - How are those impacts measured, communicated and acted upon?
 - Are stakeholder views effectively incorporated into the decision-making process?

Case Studies on Partnership Projects

The Global Compact encourages companies to participate in partnership projects to advance UN goals, including the Millennium Development Goals. Human rights case studies can be written about such projects that aim to support human rights. For these case studies the author should give consideration to the following questions:

1. **Partners involved:** e.g. Governments, NGOs, UN Agencies, Labour, Private Sector, Other civil society organizations
 - What role did the different partners play in the partnership?
 - What did each partner bring to the table?
2. **Project Description:** what problem was addressed?
 - Why did the company choose to address the issue?
 - Why did the company choose to engage other partners?
 - What were the main objectives of the project?
 - What indicators and timeline were used to measure progress?
3. **Project implementation: what measures were taken to ensure that the partnership was effective and sustainable?**
 - What actions were taken by the company?
 - What actions were taken by the company's partners?
 - What organization took the lead in building the partnership and implementing the project?
 - Were those benefiting from the action consulted in the process?
4. **Project financing:** how was the project financed?
 - What were the costs and who contributed?
 - What major contributions were delivered in-kind?
5. **Monitoring and evaluation:** was the project monitored and evaluated?
 - How was the project monitored and evaluated and by whom?
 - What feedback mechanisms were in place?
6. **Project results:** what did the project achieve?
 - Quantify and qualify which goals were met and which were not
 - Most important: What were the lessons learned?
 - How were the results communicated within the company and externally?

For additional information on how to prepare a case study about partnerships please refer to "The Case Study Toolkit, Partnerships Case Studies as Tools for Change" which can be found at:

<http://www.thepartneringinitiative.org/mainpages/case/tool/>

At the beginning of your case study please list:

- i. The human rights issues addressed (refer to annex I)
- ii. The human rights management practices discussed (refer to annex II)
- iii. Human rights standards, tools and initiatives mentioned (beyond the UN Global Compact) (refer to annex III)

Format and guiding questions

Every case author must follow the format below when writing their case study. In particular, case study authors are advised to explicitly address the human rights dimensions covered by the questions below. The questions are intended as a guide only – you do not have to address a question if it is not relevant to your case study. Please use them at your own discretion.

***Note to Author: It is strongly recommended that all case study authors carefully read the "Guiding Principles on Business and Human Rights: Implementing the United Nations 'Protect, Respect and Remedy' Framework" before embarking on the case study. Please see: <http://www.business-humanrights.org/SpecialRepPortal/Home/Protect-Respect-Remedy-Framework/GuidingPrinciples>

A. Case Abstract: One paragraph, identifying:

- The company
- The relevant Global Compact Principles
- Research question addressed
- A brief statement of the company actions.

B. Company Profile: A brief description of the company, including as relevant to the case study:

- Major products or services
- Age and location
- Sales and revenues
- Recent trends
- Brief background on key company decision makers featured in the case
- Any other relevant information.

C. Straightforward account of the case “story”: The account should include:

- A statement of the problem and issue addressed;
- Identification of factors which drove the decision to engage/ key motivational factors and key internal and external players;
- Description of the process, challenges, perceptions and responses;
- Outcomes and impacts;
- Unanswered questions, usually underscored by quotes from people interviewed.

Questions to assist you with writing this section:

- (1) Indicate the specific human rights issue. Include citation to the relevant human rights convention/declaration.
- (2) What human rights issue(s) had arisen (even if it was not seen as a “human rights” issue at the time) or been identified as a risk/opportunity?
- (3) Why had the issue arisen?
- (4) Why did the company feel it needed to get involved in this issue? Why did the company feel it had something significant to add?
 - (a) Was it the business case (risk to brand, business opportunity)?
 - (b) Was it simply the ‘right’ thing to do/in line with the company’s ethos?
- (5) Indicate whether the case study and action it describes falls within the “respect” and/or “support” dimension of Principle 1 of the UN Global Compact. For more information about respect and support, see:
<http://www.unglobalcompact.org/AboutTheGC/TheTenPrinciples/principle1.html>

D. Analyses: There should be special emphasis on:

- Description of the process, challenges, perceptions and responses;
 - “how” the company did what it did

Questions to assist you with writing this section:

- (1) Why did the company choose a particular approach to address the challenge?
 - (a) What other options were considered?
 - (b) Who made the decision?
 - (c) Did country context affect the approach taken?
 - (d) Did the location of the challenge affect the approach (e.g. in the supply chain, in the company’s core business, etc)?
 - (e) Did existing programs, policies, procedures affect the choice?
- (2) What was the approach?
 - (a) Who:
 - (i) The company on its own?
 - (ii) Working with other stakeholders? Who? Why?
 - (b) How did it work?
 - (i) Who did what? Be specific.
 - (c) What was the company able to add?
 - (i) Did the company have specific capabilities that enabled it to contribute (such as training programs, technology, etc)?

E. The lessons learned are particularly valuable and important:

- Outcomes and impacts;
 - What did/did not work
 - What the company would or could have done differently if it had the opportunity to go back in time

Questions to assist you with writing this section:

- (1) What obstacles were uncovered and how were they addressed?
 - (a) Was it easy to work with partners?
 - (b) Was the challenge correctly diagnosed from the start?
- (2) What are the lessons learned and implications of this approach to the particular human rights issue?
 - (a) Is it replicable? If so, in what conditions is it most likely to work?
 - (b) Is it sustainable? Why?
 - (c) Does it address a localized or systematic issue?
 - (d) What should be done differently next time?
 - (e) How did a human rights perspective help create a better solution? (A human rights perspective might include, for example, using an inclusive problem-solving approach, or it might mean that seeing an issue as a human right yielded new insights).

F. Conclusion. The conclusion of the case study should:

- Sum up the main lessons from the experience described in the case study
- Include, where appropriate, implications for others contemplating undertaking similar actions.

Sample Only

Annex I:

Human rights issues addressed

- Child labour
- Complicity
- Diversity and/or non-discrimination in employment
- Forced labour
- Freedom of association/collective bargaining/collective action
- HIV/AIDS
- Human rights and environment
- Indigenous people's rights
- Living wage
- Occupational health and safety
- Privacy
- Protection of the family unit
- Resettlement and compensation of affected communities
- Right to education
- Right to food
- Right to health
- Security and conflict
- Security and freedom
- Social investment and community development
- Social security and social insurance
- Sphere of influence
- Standard of living
- Supply chain management
- Trade union rights
- Women's rights
- Working conditions

Annex II

Human rights management practices discussed

- Getting started
- Strategy
- Policy
- Processes and procedures
- Communications
- Training
- Measuring impact and auditing
- Reporting

For further information on these management practices please refer to:

[www.unglobalcompact.org/docs/issues_doc/human rights/Resources/A307HRF-E-PosterA2-130607.pdf](http://www.unglobalcompact.org/docs/issues_doc/human_rights/Resources/A307HRF-E-PosterA2-130607.pdf)

Sample Only

Annex III:

Examples of human rights standards, tools and initiatives mentioned (beyond the UN Global Compact)

- Guiding Principles on business and human rights
- 10 Principles of Sustainable Development (ICMM)
- Business and human rights: A geography of corporate risk
- Business Leaders Initiative on Human Rights
- CERES
- Council for Responsible Jewellery Practices
- Danish Institute for Human Rights
- Draft UN norms for trans-national companies
- Equator principles
- Extractive Industries Transparency Initiative
- Fair Labour Association
- Fund for Peace Human Rights & Business Roundtable
- Global Alliance for Improved Nutrition
- Global Business Coalition on HIV/AIDS
- Global Reporting Initiative
- Global Responsible Leadership Initiative
- Global Sullivan Principles
- ILO Standards
- International Bill of Human Rights
- International Bill of Human Rights
- International Convention on Economic, Social and Cultural Rights
- International Covenant on Civil and Political Rights
- International Labour Organization (ILO) Conventions
- Milieu Programma Sierteelt (MPS)
- Millennium Development Goals
- Multi-Fiber Agreement
- OHCHR, Briefing Paper, The Global Compact and Human Rights: Understanding Sphere of Influence and Complicity
- Organization for Economic Cooperation and Development Guidelines (OECD)
- Partnering Against Corruption Initiative
- The IFC's Performance Standard on Involuntary Relocation

- The OECD Guidelines for Aid Agencies on Involuntary Displacement and Resettlement in Development Projects
- The World Bank Guidelines on Involuntary Resettlement (OP/BP 4.12)
- Universal Declaration of Human Rights
- Voluntary Principles on Security and Human Rights
- World Bank policies and procedures

Annex IV:

Procedure for the Development of Human Rights Case Studies

1. Case study proposals (a brief paragraph that describes the focus of the proposed case study including the company that the case study will be about) should be submitted to the HRWG Secretariat comprised of the Global Compact Office (GCO) and the Office of the High Commissioner for Human Rights (OHCHR) by emailing humanrights@unglobalcompact.org. *Please note: authors are advised to carefully consult the Template for Human Rights Case Studies.*
2. Once the Secretariat has approved the case study and it is clear that there is commitment from the case study author and company to proceed with the development of the case study, the case study will be listed on the HRWG's intranet.
3. Following approval from the GCO and OHCHR, the author will draft the case study. The company representative can facilitate access to background documents and interviews with key company personnel as well as relevant external *stakeholders*. *Please note: authors are advised to carefully consult the Template for Human Rights Case Studies.*
4. Once a draft case study has been developed it will be submitted to the Secretariat for a preliminary round of feedback. The Secretariat may request to review further revisions prior to moving to step 5.
5. Upon approval of the Secretariat, the case study will undergo peer review. The peer review process includes:
 - Posting the draft case study on the HRWG's intranet to provide HRWG members with an opportunity to give input to the draft case study by submitting written feedback to the case study author.
 - Inviting 3-4 peer reviewers with industry and/or human rights expertise, including at least one member of the HRWG to provide constructive feedback to the author and company representative on a peer review call, organized by the Secretariat.
 - Submitting the draft case study to the OHCHR's publication committee for feedback and approval.
6. Following the peer review process, the case study author will revise the case study based on the feedback received. The updated case study should then be submitted to the company, GCO and OHCHR for final approval.
7. Once the case study has been approved, it will be published on the Global Compact website and included in the next edition of *Embedding Human Rights in Business Practice*. Finalized case studies will also be brought to the attention of members of the HRWG at meetings.