

## SELF ASSESSMENT TOOL\*

### GUIDELINES:

1. The Questionnaire can be filled by the \_\_\_\_\_ and reviewed by \_\_\_\_\_.
2. The Questionnaire needs to be filled at the end of each Financial Year.
3. Not all checklists are relevant for everyone. Please fill in details as per the applicability to the organization.

### About the organization

<b>Organization Name</b>	
<b>Organization Location</b>	
<b>Number of Employees</b>	
<b>Industry/Business Area</b>	
<b>Total Yearly Turnover</b>	

### Questionnaire filled-in by:

<b>Name</b>	
<b>Designation</b>	
<b>Email</b>	
<b>Phone No</b>	
<b>Date of Filing of Questionnaire</b>	

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\* Explanatory Notes is annexed.

**SECTION A: RESPECTING HUMAN RIGHTS**

S. No	POLICY COMMITMENT	YES	NO
1.	Does your organization have a publicly, available commitment to respect human rights?		
	If YES, please indicate if this is		
	<ul style="list-style-type: none"> <li>• A stand-alone human rights policy</li> </ul>		
	<ul style="list-style-type: none"> <li>• A reference to the organization’s human rights commitment within another corporate policy (e.g. Code of Conduct or Sustainable Policy</li> </ul>		
	<ul style="list-style-type: none"> <li>• Any other, please specify</li> </ul>		
2.	Does the organization’s Corporate Policies include public commitment towards		
	<ul style="list-style-type: none"> <li>• Equal Opportunities</li> </ul>		
	<ul style="list-style-type: none"> <li>• Gender Equality</li> </ul>		
	<ul style="list-style-type: none"> <li>• Discrimination</li> </ul>		
	<ul style="list-style-type: none"> <li>• Health &amp; Safety</li> </ul>		
	<ul style="list-style-type: none"> <li>• Prohibiting Child Labour</li> </ul>		
	<ul style="list-style-type: none"> <li>• Vulnerable populations eg., migrant labour, indigenous people etc.</li> </ul>		
	<ul style="list-style-type: none"> <li>• Forced Labour &amp; Human Trafficking</li> </ul>		
	<ul style="list-style-type: none"> <li>• Sexual Harassment</li> </ul>		
	<ul style="list-style-type: none"> <li>• Work Hours</li> </ul>		
	<ul style="list-style-type: none"> <li>• Freedom of Association and Trade Union Rights</li> </ul>		
	<ul style="list-style-type: none"> <li>• Displacement and Community Relocation</li> </ul>		
	<ul style="list-style-type: none"> <li>• Housing</li> </ul>		
	<ul style="list-style-type: none"> <li>• Access to water</li> </ul>		
	<ul style="list-style-type: none"> <li>• Right to Privacy</li> </ul>		
	<ul style="list-style-type: none"> <li>• Freedom of Expression and/or /</li> </ul>		
	<ul style="list-style-type: none"> <li>• Digital Rights</li> </ul>		
	<ul style="list-style-type: none"> <li>• Affirmative Action</li> </ul>		
<ul style="list-style-type: none"> <li>• Operations in Conflict Zones</li> </ul>			
<ul style="list-style-type: none"> <li>• Environment &amp; Sustainability</li> </ul>			
<ul style="list-style-type: none"> <li>• Corporate Social Responsibility</li> </ul>			
<ul style="list-style-type: none"> <li>• Any other, please specify</li> </ul>			
3.	Has the organization allocated lead responsibility for human rights at		
	<ul style="list-style-type: none"> <li>• Operational level</li> </ul>		
	<ul style="list-style-type: none"> <li>• Senior management level</li> </ul>		
	<ul style="list-style-type: none"> <li>• If at any other level, please specify</li> </ul>		
4.	Does the organization have a board member or board committee officer to oversee human rights issues?		
5.	Does the organization involve all its stakeholders on human right issues?		
6.	Does the organization have a code of conduct with respect to Human Rights?		
7.	Has the organization identified functions whose actions and decisions may pose risks to human rights?		

	If yes then, has the organization ensured shared responsibility across different functions whose actions and decisions may pose risks to human rights?		
8.	Has the organization implemented any procedures where the most severe and repetitive human rights violations are dealt by the board?		
9.	Does the organization have systems and processes in place to identify and assess actual and potential human rights impacts?		
10.	Does the organization have any system in place to prevent or manage negative human rights impacts?		
11.	Does the organization communicate with its business partners including supply chains to signal the importance of human rights?		
12.	Are there any trainings conducted for staff and business partners on the issue of human rights?		
13.	Does the organization have any system in place to track the effectiveness of its actions on human rights?		
14.	Does the organization encourage establishment of a formal grievance redressal mechanism for the impacted stakeholders (like vendors and suppliers)?		
15.	Any other comment.		

**SECTION B: HEALTH AND SAFETY**

<b>S. NO</b>	<b>INDICATOR</b>	<b>YES</b>	<b>NO</b>
1.	Does your organization have a publicly available policy commitment towards health and safety?		
2.	Is there a level of commitment from senior management toward improving the workplace health and safety culture?		
3.	Is the senior management involved in ensuring health and safety to your employees?		
4.	Does the organization has an individual assigned to lead, implement, monitor and evaluate health and safety policy and provisions?		
5.	Do you check to confirm that all policies and procedures are being followed on regular basis (yearly)?		
6.	Have you integrated safety, into all aspects of your work?		
7.	Does the organization assess all the risks to new and expectant mothers arising out of their work activity?		
8.	Do you have definite procedures in place to identify and control hazards?		
9.	Have you implemented appropriate control measures to identify hazards?		
10.	Do you assess working environment the risks involved for your staff regularly?		
11.	Do you review your Health and Safety program at least once a year and make improvements as needed? If yes, do you always make improvements as needed?		
12.	Is safety a factor when acquiring new equipment or changing a process?		
13.	Do the personnel in the organization have a right to remove themselves from imminent serious danger without seeking permission from the organization?		
14.	Is there a hazard reporting procedure in place that encourages employees to report all unsafe conditions and unsafe practices to their supervisors?		
15.	Does line management and individuals share responsibility of safety?		
16.	Is there any disciplinary action taken against employees who violate their safety procedures?		
17.	Do you keep the records of education and training each employee has received?		
18.	Does the organization provide, for use by all personnel, access to clean toilet facilities, access to portable water, and where applicable, sanitary facilities/dormitory facilities and food storage?		
19.	Does the organization ensure that all reasonable steps are taken to remove or reduce any risks associated with the health and safety of new and expectant mothers?		
20.	Do you address concerns and recommendations made by the workers, health and safety committee (or representatives) and others?		

## SECTION C: CHILD AND LABOUR

S. No	POLICY COMMITMENT	YES	NO
1.	Does the organization communicate publicly about how it addresses its impacts, including children, in its sourcing supply chains?		
2.	Does the organization prohibit the use of forced or compulsory labour at all its Units?		
3.	Does the organization ensures that no employee at its workplace is made to work against her / his will or to work as bonded/forced labour, or subjected to coercion of any kind?		
4.	Does the organization's child labour due diligence process cover adverse impacts that the organization may directly cause?		
5.	Has the organization assigned the responsibility to appropriate level and function, decision-making, budget allocation and oversight?		
6.	Does the organization's child labour due diligence process covers adverse impacts on those, which may indirectly arise through its business relations?		
7.	Does the organization has system in place to identify, prevent, mitigate, and accounts for how it addresses its impacts on children in its sourcing supply chains?		
8.	Does the organization have processes and actions in place to prevent child labour from materializing, or at least reduce, as far as possible, the extent to which it may do so?		
9.	Does the organization refrain from engaging with vendors and suppliers who resort to using child labour and forced labour in their operations?		
10.	Does the organization integrate findings from its impact assessments across relevant internal functions?		
11.	Does the organization have a system of tracking the effectiveness of its child labour programs?		
12.	Is the organization's child labour due diligence an ongoing process i.e does it recognize that risk to children may change overtime at the organization's operations and operating context also change?		
13.	Does the organization have processes and actions in place for/or cooperate in legitimate processes of remediation?		

## SECTION D: EQUAL OPPORTUNITY

S. NO	POLICY COMMITMENT	YES	NO
1.	Does your organization have policy commitment in providing equal opportunity to males, females and transgender?		
2.	Does your organization have a policy commitment to uphold a good working environment where all people are treated with dignity and respect?		
<b>GOVERNANCE</b>			
3.	Is there any system in place to ensure that the organization hire people with different ethnicity, caste, religion and sex?		
4.	Does your organization provide viable infrastructure and enabling environment to people with disability?		
5.	Does the organization have policy to hire transgender?		
6.	Does the organization provide same salary to men, women and transgender who hold the same credentials?		
7.	Does the organization focuses in providing a work environment that is free from any form of discrimination, including but not limited to sexual harassment?		
8.	Does the organization provide equal opportunity to men and women for the following		
	• Human Resource Development		
	• Career Development		
	• Trainings/Skill Development		
9.	Which of the following initiatives are being taken by your organization towards enhancing 4 Es (Employment, Education, Employability and Entrepreneurship) among the disadvantages section of the society?		
	• Creating awareness among the marginalized about employment opportunities within/outside the organization		
	• Providing knowledge about government schemes on employment		
	• Providing technical skills to enhance their employability		
	• Creation of customized scholarship schemes for meritorious candidates		
	• Encouraging members from these communities to become business associates provided all other conditions are satisfied.		
	• Any other initiative, please specify		
10.	Can an eligible personnel who are disabled expect similar job assignments as non-disabled personnel?		
11.	Has the organization taken all the necessary measures for safety and security of females?		
12.	Whether the organization has any specific provisions for new and expecting mothers?		

## SECTION E: DIVERSITY AND INCLUSION

1. Please provide the following information:

Total number of employees	
• Men	
• Women	
• LGBTI	
• PWDs	

S. No	POLICY COMMITMENT	YES	NO
1.	Does your organization have a policy for actively recruiting people with a disability?		
	If YES, also provide with the percentage of people recruited with disability		
	• Active Recruitment		
	• Moderate Recruitment		
	• Never Recruited		
2.	Does the organization have a diverse Board of Directors?		
3.	Does the organization have a Key Managerial Diverse leadership team?		
4.	Does the organization have practices in place to recruit gender diverse workforce?		
5.	Do employees actively include coworkers with different Social and Economic backgrounds in workplace tasks?		
6.	Does the organization provide career development programs targeted to under-represented population of employees?		
7.	Which of the following initiatives are being taken by your organization to encourage employment and employability among vulnerable, marginalized and disadvantageous sections of the society?		
	• Embedding of spirit of positive discrimination		
	• Innovative ways to increase numbers: e.g. incentivizing recruiters, voluntary quantitative commitments		
	• Assessing at the entire ecosystem (upstream and downstream) for employment opportunities.		
	• Training in employment- intensive areas (in house or in partnership with it is, NGOs etc.		
	• Post training engagements e.g job creation/selection		
	• Any other , please specify		
8.	Does the organization provide child care benefits?		
9.	Whether the organization has provisions for paternity leave for the employees and workers?		
10.	Does the organization provide eldercare benefit towards sick/disabled parent?		
11.	Does the organization provide flexible working hours by allowing workers to work from home as a part of their regular work?		

## SECTION F: ENVIRONMENT AND SUSTAINABILITY

S. No	POLICY COMMITMENT	YES	NO
1.	Please indicate whether the organization has a set code of conduct for the following product and service information and labelling		
	• Sourcing of components of a product or service		
	• Content, particularly with regards to substances that might have an environmental or social impact		
	• Safe product or service use		
	• Product disposal and environment/social impact		
	• Others, please specify		
	• No such requirement		
2.	Is the organization committed to sustainable sourcing/green procurement?		
	• Yes, the organization is committed to green sourcing		
	• No formal commitment, but the organization prefers suppliers with responsible environment practices		
	• There is no such commitment at present		
3.	Please indicate whether your organization is involved in tracking and reducing one or more of the following		
	• Energy Consumption		
	• Water usage		
	• Air emission		
	• Waste		
	• Any other, please specify		
4.	Does your organization organize training sessions to promote environment awareness among employees at your site to encourage them to be environmentally responsible?		
	• Yes, training sessions are implemented on irregular basis		
	• Yes, training sessions are implemented on irregular basis		
	• No		
	• No, but we plan to implement such training sessions. Please specify : (Month/Year)		
5.	Have environmental audits been conducted at your factory site?		
	• No		
	• Yes, internal audits		
	• Yes, external audits		
6.	Please mention waste disposal methods that were used by your organization in the past financial year and respective waste quantities?		
	• Landfill		
	• Discharge to water		
	• Recycled waste		
	• Incinerated waste		
	• Composed waste		
	• Waste to energy		



	<ul style="list-style-type: none"> <li>• Other, please specify</li> </ul>		
	<ul style="list-style-type: none"> <li>• No information available</li> </ul>		
7.	Whether the organization is acting on non-conformance/findings brought out by environment audit?		
	<ul style="list-style-type: none"> <li>• Yes, actions initiated and monitored by senior management</li> </ul>		
	<ul style="list-style-type: none"> <li>• Yes, actions initiated but not confirmed by senior management</li> </ul>		
	<ul style="list-style-type: none"> <li>• No, actions yet to be taken.</li> </ul>		
8	Does the organization have a management person responsible for environment sustainability?		

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## About Self-Assessment Tool

NHRC is a Member of the Commonwealth Forum for National Human Rights Institutions (CFNHRI) working on Human Rights issues in the Commonwealth countries. Its strategic plan for 2016-19 covers various human rights issues including Business and Human Rights. NHRC India has been nominated by the CFNHRI to be the focal point for the subject 'Business and Human Rights' in a recent meeting in Geneva. Keeping this in view, the Commission organized a meeting with Industry Federations/organizations to discuss and prepare a map of engagements with industry associations. It was followed by a series of meetings with Industry Federations/organizations to encourage voluntary compliance of human rights Principles by the Business. It is finally culminated with development of a draft Self Assessment Tool to be used by industry on voluntary basis.

The process of developing self-assessment tool was lead by a team of representatives from the Industry Federations/organizations and experts on the subject. The questionnaire is developed on the premise that the member companies of industry association and federations comply with the legal requirements. It draws upon the United Nations Guiding Principles, National Voluntary Guidelines on Social, Environmental and Economic Responsibilities of Business, and other existing guidelines available for assessing corporate's impact on human rights. The tool has been divided into 6 sections:

- Section A: Upholding Human Rights
- Section B: Health & Safety
- Section C: Child Labour
- Section D: Equal Opportunity
- Section E: Diversity & Inclusion
- Section F: Environment & Sustainability

Section A maps out the policy commitment of organizations with respect to various thematic issues including human rights, health & safety, equal opportunities, diversity & inclusion, migrant labour, freedom of association etc.

Further, Sections B to Section E have been largely categorized under three main headings – policy commitment, governance and management. These sections aim at understanding the actions taken by the companies to respect human rights. The sections on policy commitment is meant to understand whether the respect for human rights is reflected in the organizational policies and public commitments. Governance related questions are meant to understand the level of involvement of board and the leadership in ensuring respect for human rights, while management related questions reflect on day to day management to ensure rights are neither abused nor violated.

The questionnaire is developed on the assumption that the member companies adhere to and comply with the legal regulations in the country, and therefore it may appear incomprehensive on certain aspects. Also, the intention is to encourage companies to self evaluate their commitment to human rights, and identify need gaps for further improvement.

Some of the questions we would like to discuss are as under:

- Whether the questionnaire covers all the relevant topics and areas?
- Who should be responsible for filling up the questionnaire?
- What should be the frequency of filling the questionnaire?
- Where should the information be submitted?

- Whether responses be made public, if yes, where and how?
- What are the incentives for filling this up?
- What are the barriers in implementation?
- Should it be made voluntary or mandatory?
- Any suggestions?