



CFS Open Ended Working Group on principles for responsible agricultural investments which enhance food security and nutrition

Consultancy output 1:

Summary of international initiatives that provide guidance on responsible investment: key characteristics

29 January 2013

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Introduction

With the growth in world population and changes in income levels and life-styles, world demand for food is set to increase steadily. More investment in agriculture is vital particularly for developing countries. At the same time, the upward trend in food prices in recent years has made agriculture an attractive sector for investment. As agricultural investments take place in developing countries, the need has emerged for globally agreed guidelines or principles to ensure investments in agriculture support sustainable development and are carried out in a responsible manner that does not impact negatively on people, their livelihoods and natural resources.

The 37th Session of the Committee on World Food Security (CFS) in October 2011, decided to support “an inclusive consultation process within CFS for the development and the broader ownership of principles for responsible agricultural investment that enhance food security and nutrition”. This consultation process should take into account existing frameworks, such as the *principles for responsible agricultural investment that respects rights, livelihoods and resources* (RAI) developed by FAO, IFAD, UNCTAD and the World Bank and the Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGT) endorsed by the CFS in May 2012. The CFS established an Open-ended Working Group (OEWG rai) to prepare terms of reference for the inclusive consultation process to develop and ensure broad ownership of principles for responsible agricultural investment that enhance food security and nutrition (rai).

The 39th Session of the CFS in October 2012 approved the terms of reference prepared by the OEWG rai for the consultation process, with a view to submitting the rai principles for endorsement by the CFS at its 41st session in October 2014. According to the terms of reference, the principles will be intended for all stakeholders that are involved in, benefit from or are affected by agricultural investment. They will be non-binding: they will be interpreted and applied consistently with existing obligations under international and national law, and with due regard to voluntary commitments under regional and international instruments. They will apply to all types of investment (foreign and domestic; public and private; small, medium or large-scale) in agricultural value chains and food systems, including by, for and with smallholder producers and including investments in agricultural research, extension and technology transfer.

Purpose of document

This document is the first outcome of a consultancy supporting the inclusive consultation process on rai. It offers a summary of international initiatives that provide guidance on responsible investment, outlining their key characteristics: initiator, development stage, type and legal status, target audience, scope, objectives, summary of contents, format of consultation process, and monitoring or compliance mechanism. It builds upon an earlier background document produced in July 2012 for the one-day workshop of the OEWG rai¹. Similarly to that document, the present one provides an overview of a selected, non-exhaustive number of initiatives that address investment in general and investment in agriculture in particular. The approach is descriptive rather than analytical, with information having been extracted essentially from web sites and official documents of the respective initiatives.

Glossary concerning the legal status of the international initiatives

Governments have generally refrained from developing international legally binding agreements on responsible investment at the multilateral level (treaties, “hard law”). Existing international initiatives on responsible investment can instead be ascribed to the following categories:

- International guidelines (“soft law”): these documents have been negotiated and/or endorsed through an intergovernmental process. They embody the consensus of a group of countries on certain principles or standards, and their good-faith commitment to their implementation. Although not legally binding per se, these instruments create a legitimate expectation that states will respect them: in practice, states are no longer in position to raise objections against the general orientation indicated in these documents. International guidelines influence the way in which existing international obligations are interpreted and can lead to the development of legally binding instruments in the future. They can be used as a yardstick to determine ‘correct behavior.’
- International reference documents: these documents are produced by international experts in the context of intergovernmental organizations or processes, but have not been approved or endorsed by states. They enjoy “expert” legitimacy (as opposed to the “political” legitimacy of international

¹ A brief overview of selected initiatives which address responsible investment, rai Workshop 2 July 2012

guidelines): they provide an authoritative contribution on the clarification of international norms and standards.

- Self-regulation: these documents are developed by the private sector to distil principles and standards applicable to business conduct. While self-regulation is voluntary (a private operator is free to decide whether to adhere to self-regulatory initiatives or not), once a private operator is part of a self-regulatory initiative its adherence to the standards may be monitored and there may be consequences attached to lack of respect for the standards.
- Co-regulation: these documents are developed through multi-stakeholder initiatives to distil principles and standards applicable to business conduct. While co-regulation is voluntary (a private operator is free to decide whether to adhere to co-regulatory initiatives or not), once a private operator is part of a co-regulatory initiative its adherence to the standards may be monitored and there may be consequences attached to its lack of respect of the standards.

1. Responsible Investment: a selection of the main approaches

1.1. Initiatives of Multilateral Organizations

1.1.1. Agriculture-related initiatives

1.1.1.1 Principles for Responsible Agricultural Investment that Respects Rights, Livelihoods and Resources (PRAI)²		
Created/led by	Initiative of FAO, IFAD, UNCTAD and the World Bank (Inter Agency Working Group-IAWG) with inter-governmental support (G-20 Seoul Summit in November 2010; UNGA Res 64/192)	
Development stage	On-going fieldwork, piloting, background research, meta-analysis and consultation. The outcomes of these activities may lead to further elaboration of the Principles.	
Type & legal status	International reference document	
Target audience	Especially governments and investors	
D e s c r i p t i o n	Scope	All aspects and modes of investment in agriculture
	Purpose and expected output	They are intended to provide a framework for national regulations, individual investor contracts, international investment agreements and salient global corporate social responsibility initiatives.
	Summary of content	<p>The Principles comprise the following:</p> <p>Principle 1: Existing rights to land and associated natural resources are recognized and respected.</p> <p>Principle 2: Investments do not jeopardize food security but rather strengthen it.</p> <p>Principle 3: Processes relating to investment in agriculture are transparent, monitored, and ensure accountability by all stakeholders, within a proper business, legal, and regulatory environment.</p> <p>Principle 4: All those materially affected are consulted, and agreements from consultations are recorded and enforced.</p> <p>Principle 5: Investors ensure that projects respect the rule of law, reflect industry best practice, are viable economically, and result in durable shared value.</p> <p>Principle 6: Investments generate desirable social and distributional impacts and do not increase vulnerability.</p> <p>Principle 7: Environmental impacts of a project are quantified and measures taken to encourage sustainable resource use, while minimizing the risk/magnitude of negative impacts and mitigating them.</p>
Format of consultation process	The IAWG agreed on a consultative process to be carried out jointly. Commentary, suggestions, research and analytical input were elicited from relevant stakeholders, including governments, investors and civil society. Moreover, to the extent possible, the process generated support from all major countries from which investment initiatives are emanating and towards which such investments are directed. The Inter-Agency Working Group (IAWG) sought to make the process for refining the PRAI as inclusive as possible, incorporating experience from all relevant stakeholders. Through on-going fieldwork, piloting, background research, meta-analysis and consultation the IAWG is refining these principles.	
Compliance mechanism	None	
1.1.1.2 Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security³		
Created/led by	Open-Ended Working Group of the Committee on World Food Security (CFS)	
Development stage	Endorsed by the 38 th Session of CFS in May 2012	
Type & legal status	International guidelines	
Target audience	Governments, private sector, civil society organizations, academia, and people	

² PRAI document (synoptic version): http://archive.unctad.org/en/docs/diaemisc2010d2_en.pdf.

³ <http://www.fao.org/docrep/meeting/025/md708e.pdf>.

	and communities who hold tenure rights	
D e s c r i p t i o n	Scope	Governance of tenure of land, fisheries and forests
	Purpose and expected output	To serve as a reference and to provide guidance to improve the governance of tenure of land, fisheries and forests with the overarching goal of achieving food security for all and to support the progressive realization of the right to adequate food in the context of national food security.
	Summary of content	<p>Part 1: Preliminary</p> <ol style="list-style-type: none"> 1. Objectives 2. Nature and scope <p>Part 2: General matters</p> <ol style="list-style-type: none"> 3. Guiding principles of responsible tenure governance 4. Rights and responsibilities related to tenure 5. Policy, legal and organizational frameworks related to tenure 6. Delivery of services <p>Part 3: Legal recognition and allocation of tenure rights and duties</p> <ol style="list-style-type: none"> 7. Safeguards 8. Public land, fisheries and forests 9. Indigenous peoples and other communities with customary tenure systems 10. Informal tenure <p>Part 4: Transfers and other changes to tenure rights and duties</p> <ol style="list-style-type: none"> 11. Markets 12. Investments 13. Land consolidation and other readjustment approaches 14. Restitution 15. Redistributive reforms 16. Expropriation and compensation <p>Part 5: Administration of tenure</p> <ol style="list-style-type: none"> 17. Records of tenure rights 18. Valuation 19. Taxation 20. Regulated spatial planning 21. Resolution of disputes over tenure rights 22. Transboundary matters <p>Part 6: Responses to climate change and emergencies</p> <ol style="list-style-type: none"> 23. Climate change 24. Natural disasters 25. Conflicts in respect to tenure of land, fisheries and forests <p>Part 7: Promotion, implementation, monitoring and evaluation</p>
Format of consultation process	Developed by the Open-Ended Working Group in sessions in June, July and October 2011 and in March 2012; based on inclusive process of consultation during 2009-2010, with regional consultations held in Brazil, Burkina Faso, Ethiopia, Jordan, Namibia, Panama, Romania, the Russian Federation, Samoa and Viet Nam; based on four consultations held specifically for civil society in Africa, Asia, Europe and Central and West Asia, and in Latin America; also incorporated proposals received through an electronic consultation on the zero draft from the public and private sector, civil society and academia, from around the world.	
Compliance mechanism	None (but an expert workshop will be held to review existing monitoring and evaluation initiatives on tenure and make recommendations for the use of approaches and their harmonization).	

1.1.1.3 Large-scale land acquisitions and leases: A set of minimum principles and measures to address the human rights challenge⁴	
Created/led by	UN Special Rapporteur on the right to food, Olivier De Schutter
Development stage	Taken note with appreciation by Human Rights Council (Res. 13/4) in December 2009
Type & legal status	International reference document

⁴ http://www.srfood.org/images/stories/pdf/officialreports/20100305_a-hrc-13-33-add2_land-principles_en.pdf.

Target audience	Host States and investors
Scope	The potential impact on the human right to adequate food of large-scale land acquisitions and leases
Purpose and expected output	<ul style="list-style-type: none"> • to inform current initiatives such as the adoption of guidelines on land policies and governance by international and regional organizations • to ensure that negotiations leading to land acquisitions and leases comply with a number of procedural requirements, including the informed participation of local communities • to ensure adequate benefit-sharing and a proviso that under no circumstances such transactions should be allowed to trump the human rights obligations of States
D e s c r i p t i o n Summary of content	<p>Principle 1: The negotiations leading to investment agreements should be conducted in a fully transparent manner and with the participation of the local communities whose access to land and other productive resources may be affected as a result of the investment agreement.</p> <p>Principle 2: In general, any shifts in land use can only take place with the free, prior and informed consent of the local communities concerned. This is particularly important for indigenous communities, in view of the discrimination and marginalization to which they have historically been subjected.</p> <p>Principle 3: In order to ensure that the rights of local communities will be safeguarded at all times, States should adopt legislation protecting these and specifying in detail the conditions according to which shifts in land use, or evictions, may take place, as well as the procedures to be followed.</p> <p>Principle 4: The local population should benefit from the revenues generated by the investment agreement. Investment contracts should prioritize the development needs of the local population and seek to achieve solutions which represent an adequate balance between the interests of all parties.</p> <p>Principle 5: In countries facing important levels of rural poverty and in the absence of employment opportunities in other sectors, host States and investors should establish and promote farming systems that are sufficiently labour-intensive to contribute to employment creation.</p> <p>Principle 6: Host States and investors should cooperate in identifying ways to ensure that the modes of agricultural production respect the environment, and do not accelerate climate change, soil depletion, and the exhaustion of freshwater reserves.</p> <p>Principle 7: Whatever the content of the arrangement, it is essential that the obligations of the investor be defined in clear terms, and that these obligations be enforceable, for instance by the inclusion of predefined sanctions in case of non-compliance. For this mechanism to be effective, independent and participatory ex post impact assessments should be made at predefined intervals.</p> <p>Principle 8: In order to ensure that they will not increase food insecurity for the local population, particularly as the result of increased dependence on international markets or food aid in a context of higher prices for agricultural commodities, investment agreements with net food-importing countries should include a clause providing that a certain minimum percentage of the crops produced shall be sold on local markets, and that this percentage may increase, in proportions to be agreed in advance, if the prices of food commodities on international markets reach certain levels.</p> <p>Principle 9: In order to highlight the consequences of investment on the enjoyment of the right to food, impact assessments should be conducted prior to the completion of the negotiations on (a) local employment and incomes, disaggregated by gender and, where applicable, by ethnic group; (b) access to productive resources by local communities, including pastoralists or itinerant farmers; (c) the arrival of new technologies and investments in infrastructure; (d) the environment, including soil depletion, the use of water resources and genetic erosion; and (e) access, availability and adequacy of food.</p> <p>Principle 10: Under international law, indigenous peoples have been granted specific forms of protection of their rights to land. States shall consult and cooperate in good faith with the indigenous peoples concerned in order to obtain their free and informed consent prior to the approval of any project affecting their lands or territories and other resources, particularly in connection with the</p>

	development, utilization or exploitation of mineral, water or other resources. Principle 11: Waged agricultural workers should be provided with adequate protection and their fundamental human and labour rights should be stipulated in legislation and enforced in practice, consistent with the applicable ILO instruments.
Format of consultation process	The Special Rapporteur presented in December 2009 to the Human Rights Council this updated version of the minimum set of eleven human rights-based principles and measures that he initially proposed in June 2009. The updated version benefited from six months of consultations with all key stakeholders on this topic.
Compliance mechanism	none

1.1.1.4 Framework and Guidelines on Land Policy in Africa: A framework to strengthen land rights, enhance productivity and secure livelihoods⁵		
Created/led by	The African Union (AU), the United Nations Economic Commission for Africa (ECA) and the African Development Bank (AfDB)	
Development stage	<ul style="list-style-type: none"> Endorsed by the Joint Conference of the Ministers of Agriculture, Land and Livestock (April 2009, Addis Ababa, Ethiopia) its effective implementation was urged by the AU Assembly (Declaration on Land Issues and Challenges in Africa, 13th Ordinary Session, July 2009) 	
Type & legal status	Regional guidelines	
Target audience	Governments, companies and civil society	
D e s c r i p t i o n	Scope	land policy and its role in economic growth, poverty alleviation, environmental sustainability, peace and security in Africa
	Purpose and expected output	To provide lessons, best practices and principles for effective and efficient land policy, with a view to informing the development, content and implementation of land policies in African Member States.
	Summary of content	<p>Specifically the Framework and Guidelines seek to:</p> <ul style="list-style-type: none"> offer a basis for commitment by African Member States to the formulation and operationalisation of sound land policies as a basis for sustainable human development that includes assuring social stability, maintaining economic growth and alleviating poverty and protecting natural resources from degradation and pollution; promote consensus for shared principles as the basis for securing access to land for all users, enhancing agricultural productivity and sustaining livelihoods; underscore the need for popular participation in land policy formulation and implementation so as to facilitate improved governance of land resources; suggest standards for best practices for land policy reforms and benchmarks for the performance of land institutions that member states can adopt in keeping with their respective contexts; articulate a policy framework for addressing emerging issues and anticipating future trends relating to land resources; provide a basis for more coherent partnership between States, citizens and development partners in land policy formulation and implementation on the continent; establish general principles for engaging development partners for the

⁵ <http://www.au.int/en/about/vision>; Document: <http://www.au.int/fr/dp/rea/sites/default/files/Framework%20and%20Guidelines%20on%20Land%20Policy%20in%20Africa.pdf>

	<p>purposes of mobilising resources for building capacities for transformative land policy reform processes, and</p> <ul style="list-style-type: none"> develop guidelines for regional convergence on the sustainable management and utilization of land and associated resources shared by two or more member states in various parts of Africa.
Format of consultation process	<p>The first step in the process of developing the land policy framework was a consultative continental workshop, which took place in March 2006 in Addis Ababa. The workshop brought together representatives from African governments, Regional Economic Communities (RECs), civil society including farmers' organizations, African private sector representatives, centres of excellence, and development partners.</p> <p>In the second step of the process, the RECs played a lead role in regional processes. The RECs began by conducting regional assessments resulting in the production of five <i>Regional Background Papers</i> highlighting existing initiatives and lessons that could enrich the framework. The assessments were followed by Regional Consultative Workshops hosted by the AU-ECA-AfDB in Southern, Eastern, West, Central and North Africa, between August 2007 and December 2008. Using the background document as well as regional assessments as the basis for discussion, the consultations in each region revisited the preliminary outline developed after the 2006 Consultative Workshop in the light of regional specificities, initiatives and lessons, thereby enriching it. The key final outcome of the regional consultations was thus an <i>enriched draft of the continental framework</i>.</p>
Compliance mechanism	none

1.1.1.5 UN Global Compact “Food sustainability – A Guide for Private Sector Action”⁶		
Created/led by	UN Global Compact with FAO, IFC, IFAD, ILO, UNDP, UNEP, UNIDO, the World Bank, WFP, the Global Alliance for ICT and Development of the Department of Economic and Social Affairs (UNDESA-GAID), and the UN Office for Partnerships (UNOP)	
Development stage	Published in 2008	
Type & legal status	International reference document	
Target audience	Private sector	
D e s c r i p t i o n	Scope	Food sustainability
	Purpose and expected output	It outlines the principles of the Global Compact in the broader context of food sustainability, outlining key challenges and suggesting actions that companies can take to make a positive contribution. This is supported by illustrative examples profiling different ways in which companies around the world are taking action on food sustainability.
	Summary of content	Water management, agricultural inputs and infrastructure, financial mechanisms and risk management instruments, nutrition, energy and biofuels, the role of information and communication technologies, and job opportunities for rural low-income populations
Format of consultation process	Examples were submitted by companies invited to attend the 2008 UN Private Sector Forum and by the UN agencies, funds and designed to inspire broader commitments and actions by the business community	
Compliance mechanism	none	

⁶ http://www.unglobalcompact.org/docs/news_events/9.1_news_archives/2008_09_24/food_sustainability.pdf

1.1.1.6 Guiding Principles for Responsible Contract Farming Operations⁷		
Created/led by	Rural Infrastructure and Agro-Industries Division of FAO	
Development stage	Published in 2012	
Type & legal status	International reference document	
Target audience	Farmers and buyers engaged in contractual relationships	
D e s c r i p t i o n	Scope	Guiding principles that are conducive to responsible contract farming operations (an agricultural production system between a buyer and farmers which establishes conditions for the production and marketing of a farm product or products)
	Purpose and expected output	It aims to promote good practices and maintain an atmosphere of trust and respect that is essential if contract farming is to provide an effective mechanism for governing transactions in agrifood supply chains and as a tool to promote the access of smallholder farmers to markets
	Summary of content	<ul style="list-style-type: none"> • common purpose • adherence to legal framework • clear documentation • readability of contracts • due attention and review • disclosure • transparency in price determination • transparency and fairness in clauses related to quality • transparency and fairness in clauses related to input supply and use • fairness in risk sharing: force majeure and contractual flexibility • prevention of unfair practices in buyer-farmer relations • honouring contractual terms • open dialogue • clear terms to settle disputes
Format of consultation process	Consultations with international expert panel	
Compliance mechanism	none	

⁷ <http://www.fao.org/docrep/016/i2858e/i2858e.pdf>

1.1.2. Multisectorial initiatives

1.1.2.1 UN Global Compact ⁸		
Created/led by	UN Secretary-General supported by other UN Agencies (UNEP, ILO, OHCHR, UNODC, UNDP, UNIDO, UNIFEM) with intergovernmental endorsement (UNGA Res 62/211 and 66/223)	
Development stage	Launched in 2000	
Type & legal status	International guidelines	
Target audience	Companies, but also involving civil society groups and UN organizations	
D e s c r i p t i o n	Scope	<p>The UN Global Compact asks companies to embrace, support and enact, within their sphere of influence, a set of core values in the areas of human rights, labour standards, environment and anti-corruption, which are derived from:</p> <ul style="list-style-type: none"> • The Universal Declaration of Human Rights • The International Labour Organization's Declaration on Fundamental Principles and Rights at Work • The Rio Declaration on Environment and Development • The United Nations Convention Against Corruption
	Purpose and expected output	<p>To promote the alignment of business action with the UN's universal principles by:</p> <ul style="list-style-type: none"> • Mainstreaming the ten principles in business activities around the world • Catalyzing actions in support of broader UN goals, including the Millennium Development Goals (MDGs)
	Summary of content	<p>Human Rights Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and Principle 2: make sure that they are not complicit in human rights abuses.</p> <p>Labour Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining; Principle 4: the elimination of all forms of forced and compulsory labour; Principle 5: the effective abolition of child labour; and Principle 6: the elimination of discrimination in respect of employment and occupation.</p> <p>Environment Principle 7: Businesses should support a precautionary approach to environmental challenges; Principle 8: undertake initiatives to promote greater environmental responsibility; and Principle 9: encourage the development and diffusion of environmentally friendly technologies.</p> <p>Anti-Corruption Principle 10: Businesses should work against corruption in all its forms, including extortion and bribery.</p>
Format of consultation process	Presented to the Davos World Economic Forum	
Compliance mechanism	Integrity Procedure to handle credible allegations of systematic or egregious abuse of the Global Compact's overall aims and principles. The procedure aims to safeguard the reputation, integrity and good efforts of the initiative, as well as to promote continuous quality improvement and assist participants in aligning their	

⁸ <http://www.unglobalcompact.org/AboutTheGC/TheTenPrinciples/index.html>
<http://www.unglobalcompact.ch/index.php/en/network>

	<p>actions with their commitments. According to the procedure, any written complaint can be submitted by any individual, organisation or state to the Global Compact Office, which will require the relevant company to provide written comments and keep it informed of action undertaken to address the situation. While the Office will not make any assessment of its own as to the matter at hand, it will provide guidance and assistance to the company in taking action to remedy the situation. The Office can also, including of its own initiative, refer the matter to the relevant UN entity for advice, assistance or action; or refer the matter to the Global Compact Board, to draw on its business members' expertise. The Office may further share with parties information about the compliance procedure under the OECD Guidelines. If a company refuses to engage in dialogue within two months or if the review of the complaint reveals something detrimental to the reputation and integrity of the Global Compact, the Office will remove the company from its list of participants</p>
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1.1.2.2. Voluntary Guidelines to Support the Progressive Realization of the Right to Adequate Food in the Context of National Food Security⁹	
Created/led by	FAO
Development stage	Adopted by the 127th Session of the FAO Council in November 2004
Type & legal status	International guidelines
Target audience	Primarily governments, but also contribution of all members of civil society at large, including NGOs and the private sector.
Description	<p>Scope</p> <p>The Voluntary Guidelines represent the first attempt by governments:</p> <ul style="list-style-type: none"> • to interpret the economic, social and cultural right to adequate food • to recommend actions to be undertaken for its realization • towards integrating human rights into the work of agencies dealing with food and agriculture <p>The Voluntary Guidelines cover the full range of actions to be considered by governments at the national level in order to build an enabling environment for people to feed themselves in dignity and to establish appropriate safety nets for those who are unable to do so.</p>
	<p>Purpose and expected output</p> <ul style="list-style-type: none"> • to provide practical guidance to States in their implementation of the progressive realization of the right to adequate food in the context of national food security, in order to achieve the goals of the World Food Summit Plan of Action • to provide an additional instrument to combat hunger and poverty and to accelerate attainment of the Millennium Development Goals
	<p>Summary of content</p> <p>Guidelines:</p> <ol style="list-style-type: none"> 1. Democracy, good governance, human rights and the rule of law 2. Economic development policies 3. Strategies 4. Market systems 5. Institutions 6. Stakeholders 7. Legal framework 8. Access to resources and assets <ol style="list-style-type: none"> 8.A Labour 8.B Land 8.C Water 8.D Genetic resources for food and agriculture 8.E Sustainability 8.F Services 9. Food safety and consumer protection 10. Nutrition

⁹ http://www.fao.org/righttofood/publi_01_en.htm

	<ul style="list-style-type: none"> 11. Education and awareness raising 12. National financial resources 13. Support for vulnerable groups 14. Safety nets 15. International food aid 16. Natural and human-made disasters 17. Monitoring, indicators and benchmarks 18. National human rights institutions 19. International dimension
Format of consultation process	Two years of negotiations and discussions among members of the Intergovernmental Working Group and its Bureau, as well as representatives of stakeholders and civil society
Compliance mechanism	None

1.1.2.3 OECD Guidelines for Multinational Enterprises¹⁰		
Created/led by	OECD	
Development stage	<ul style="list-style-type: none"> • First adopted by countries adhering to the Declaration on International Investment and Multinational Enterprises in 1976 • updated and intergovernmentally adopted in 2011 for the fifth time 	
Type & legal status	International guidelines	
Target audience	Multinational enterprises operating in or from countries adhering to the OECD Guidelines (i.e. all OECD members, as well as Argentina, Brazil, Colombia, Egypt, Latvia, Lithuania, Morocco, Peru, Romania, and Tunisia as of June 2012)	
Description	Scope	The Guidelines are non-binding recommendations on responsible business conduct, addressed by governments to multinationals
	Purpose and expected output	<ul style="list-style-type: none"> • to enhance the contribution to sustainable development made by multinational enterprises • to ensure that the operations of multinational enterprises are in harmony with government policies • to strengthen the basis of mutual confidence between enterprises and the societies in which they operate • to help improve the foreign investment climate
	Summary of content	<p>Part I Recommendations for Responsible Business Conduct in a Global Context</p> <ol style="list-style-type: none"> 1. Concepts and Principles 2. General Policies 3. Disclosure 4. Human Rights 5. Employment and Industrial Relations 6. Environment 7. Combating Bribery, Bribe Solicitation and Extortion 8. Consumer Interests 9. Science and Technology 10. Competition 11. Taxation <p>Part II Implementation Procedures of the OECD Guidelines for Multinational Enterprises</p>
Format of consultation process	They were negotiated multilaterally and adopted in 1976. The last update of the OECD Guidelines for Multinational Enterprises began early in May 2010. It was conducted by the adhering governments and included intensive consultations with a wide range of stakeholders and partners. All non-adhering G20 countries were	

¹⁰ www.oecd.org/daf/investment/guidelines
<http://www.oecd.org/dataoecd/43/29/48004323.pdf>
<http://www.seco.admin.ch/themen/00513/00527/01213/index.html?lang=en>

	invited to participate on an equal footing. Regional consultations were held in Asia, Africa, Latin America and the Middle East and North Africa. The OECD Business and Industry Advisory Committee, the OECD Trade Union Advisory Committee and OECD Watch represented the views of business, workers' organisations and non-governmental organisations (NGOs) through regular consultation meetings and their active participation in the Advisory Group of the Chair of the Working Party responsible for the Update of the Guidelines. The UN Secretary-General's Special Representative on Business and Human Rights, Professor John Ruggie, the ILO together with other international organisations, also provided extensive input.
Compliance mechanism	Implementation procedure based on the creation of national contact points (NCPs) in adhering countries, which handle inquiries ('specific instances') at the national level. NCPs make an initial assessment of the issue and then offer their services as mediators. If the conflict is not resolved, it can be referred to the OECD Investment Committee (CIME), where non-binding decisions are taken by consensus. Recent instances have specifically concerned agricultural investments.

1.1.2.4 Protect, Respect and Remedy: a Framework for Business and Human Rights¹¹ and Guiding Principles¹²		
Created/led by	The Special Representative of the Secretary-General on the issue of human rights and transnational corporations and other business enterprises, John Ruggie	
Development stage	Intergovernmentally endorsed in April 2008 and 2011 respectively (Human Rights Council Resolutions 8/7 and 17/4)	
Type & legal status	International guidelines	
Target audience	Governments and companies	
D e s c r i p t i o n	Scope	Identify, clarify and research key legal and policy dimensions of the business and human rights agenda.
	Purpose and expected output	Principles-based conceptual and policy framework intended to help achieve the aim of adapting the human rights regime to provide more effective protection to individuals and communities against corporate-related human rights harm.
	Summary of content	<p>The framework comprises three core principles:</p> <ul style="list-style-type: none"> • the State duty to protect against human rights abuses by third parties, including business • the corporate responsibility to respect human rights • the need for more effective access to remedies <p>Each principle is an essential component of the framework: the State duty to protect because it lies at the very core of the international human rights regime; the corporate responsibility to respect because it is the basic expectation society has of business; and access to remedy. The three principles form a complementary whole in that each supports the others in achieving sustainable progress.</p> <p>Corporate responsibility entails to 'do no harm' and to exercise 'due diligence'. The Guidelines further clarify that the human rights due diligence process entails: (i) assessing actual and potential impacts with 'meaningful consultations' with potentially affected groups and other stakeholders at regular intervals; (ii) integrating the assessment findings in internal decision-making budget allocation and oversight processes; (iii) acting upon those findings; (iv) tracking responses (including by drawing on feedback from affected stakeholders); and (v) communicating how impacts are addressed to right-holders in a manner that is sufficient for stakeholders to evaluate the adequacy of the company's response. Companies are expected to prioritise</p>

¹¹ <http://shiftproject.org/sites/default/files/Ruggie-report-7-Apr-2008.pdf>.

¹² <http://www.business-humanrights.org/media/documents/ruggie/ruggie-guiding-principles-21-mar-2011.pdf>.

	<p>the prevention and mitigation of most severe impacts or those that a delayed response would make irremediable. Finally, enterprises 'should establish or participate in' legitimate, transparent, predictable, equitable, and right-compatible grievance mechanisms that are directly accessible to individuals and communities that may directly be affected by their business operations, with a view to both supporting the identification of adverse impacts and systematic problems, and remedying adverse impacts.</p>
<p>Format of consultation process</p>	<p>The Special Representative was appointed in July 2005. Since then, he convened 14 multi-stakeholder consultations on five continents; conducted more than two dozen research projects, some with the assistance of global law firms and other legal experts, NGOs, international institutions, and committed individuals; produced more than 1,000 pages of documents; received some 20 submissions.</p>
<p>Compliance mechanism</p>	<p>A newly-formed Working Group on Business and Human Rights under the Human Rights Council will conduct country visits and respond to requests from governments, and continue to explore options and make recommendations at the national, regional and international levels for enhancing access to effective remedies available to those whose human rights are affected by corporate activities.</p>

1.1.2.5 International Finance Corporation Performance Standards¹³		
Created/led by	World Bank's International Finance Corporation (IFC);	
Development stage	Originally adopted in 2006, revised and intergovernmentally approved by IFC Board of Directors in 2011; effective 1 January 2012	
Type & legal status	International guidelines	
Target audience	investment and advisory clients whose projects go through IFC's initial credit review process after 1 January 2012	
D e s c r i p t i o n	Scope	To define client roles and responsibilities for managing projects and requirements for IFC support
	Purpose and expected output	To provide guidance on how to identify risks and impacts, and to help avoid, mitigate and manage risks and impacts as a way of doing business in a sustainable way, including stakeholder engagement and disclosure obligations in relation to project-level activities
	Summary of content	<p>Standard 1 – Assessment and management of environmental and social risks and impacts</p> <p>Standard 2 – Labour and Working Conditions</p> <p>Standards 3 – Resource Efficiency and Pollution Prevention</p> <p>Standard 4 – Community health, safety and security</p> <p>Standard 5 – Land acquisition and involuntary resettlement</p> <p>Standard 6 – Biodiversity conservation and sustainable management of living resources</p> <p>Standard 7 – Indigenous Peoples</p> <p>Standard 8 – Cultural Heritage</p>
Format of consultation process	The 2011 review was preceded by an 18-month consultation process with stakeholders around the world in three phases: consultation for 60 days on identifying the key issues and challenges in the previous version; consultation for 60 days on version 1 of the draft new standards; and consultation for 30 days on version 2 of the draft new standards	
Compliance mechanism	Complaints from those affected by IFC-financed projects can be filed before a Compliance Advisor/Ombudsman (CAO), an independent oversight authority that reports directly to the President of the World Bank Group and that thus ascertains application of the IFC Standards to companies. The CAO “attempts to resolve complaints through a flexible problem-solving approach and to enhance the environmental outcomes of the project” (Ombudsman function). Any person, group or community affected, or likely to be affected, by a project is eligible, at any time in the project, to file complaints that may relate to any aspect of the planning, implementation or impact of the project, without the need to allege necessarily violations of specific IFC procedures and standards. When the complaint is accepted, the CAO decides the best course of action. Besides seeking to resolve issues for individuals who are directly or likely to be directly affected by IFC projects, CAO is also mandated to provide IFC with policy and process advice on environmental and social performance, and conduct environmental and social audits and reviews as an aid to institution learning (Compliance function). CAO can thus decide to resolve a complaint by undertaking a compliance audit or exercising advisory functions instead of its Ombudsman functions. In the latter cases, the complainant no longer controls the process.	

¹³ http://www1.ifc.org/wps/wcm/connect/115482804a0255db96bfd1a5d13d27/PS_English_2012_Full-Documents.pdf?MOD=AJPERES

1.1.2.6 Convention on Biological Diversity, Akwe: Kon Voluntary Guidelines for the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities ¹⁴		
Created/led by	Convention on Biological Diversity	
Development stage	Intergovernmentally adopted in 2004 by 193 governments	
Type & legal status	International guidelines	
Target audience	Addressed to governments, but also meant to provide a collaborative framework for indigenous and local communities, decision-makers and managers of developments	
D e s c r i p t i o n	Scope	Developments that are proposed to take place, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities
	Purpose and expected output	To provide general advice on the incorporation of cultural, environmental, including biodiversity-related, and social considerations of indigenous and local communities into new or existing impact-assessment procedures
	Summary of content	<p>III. Procedural considerations (notification and public consultation of proposed development by the proponent; identification of indigenous and local communities and stakeholder likely to be affected by the proposed development; establishment of mechanisms for community participation; establishment of an agreed process for recording the views and concerns of community members whose interests are likely to be impacted by a proposed development; identification and provision of sufficient resources for effective community participation; establishment of an environmental management or monitoring plan including contingency plans regarding possible adverse cultural, environmental and social impacts resulting from a proposed development; identification of actors responsible for liability, redress, insurance and compensation; conclusion of agreements or action plans on mutually agreed terms between the development proponents and affected community; and establishment of a review and appeal process)</p> <p>IV. Integration of cultural, environmental and social impact assessments as a single process (cultural impact assessments; possible impacts on continued customary use of biological resources; possible impacts on the respect, preservation, protection, and maintenance of traditional knowledge, innovation and practices; protocols; possible impacts on sacred sites and associated ritual or ceremonial activities; respect for the need for cultural privacy; possible impacts on the exercise of customary laws)</p> <p>V Environmental impact assessments (baseline studies; social impact assessments; economic considerations; possible impacts on traditional systems of land tenure and other uses of natural resource; general considerations; health and safety aspects; effects on social cohesion)</p> <p>VI. General considerations (prior informed consent, gender, impact assessments and community development plans, legal considerations, ownership, protection and control of traditional knowledge and technologies used in impact assessments, mitigation and threat-abatement measures; transparency, and establishment of review and dispute resolution procedures)</p> <p>VI. Ways and means (strengthening and rebuilding of capacity, legislative authority, exchange of information, resources)</p>
Format of consultation process	Negotiated in the context of the CBD Working Group on Article 8(j) and Related Provisions, which allows participation of stakeholders and representatives of indigenous and local communities	
Compliance mechanism	None. But these Guidelines have been relied upon by different NCPs as a useful guide to address instances under the OECD Guidelines for Multinational Enterprises	

¹⁴ <http://www.cbd.int/doc/publications/akwe-brochure-en.pdf>

1.1.2.7 The ILO Tripartite Declaration of Principles concerning Multinational Enterprises and Social Policy (ILO MNE Declaration)¹⁵		
Created/led by	ILO	
Development stage	Adopted by the Governing Body of the International Labour Office at its 204th Session (Geneva, November 1977) and amended at its 279th (November 2000) and 295th Sessions (March 2006)	
Type & legal status	International guidelines	
Target audience	Multinational companies, governments, employers' and workers' organizations	
D e s c r i p t i o n	Scope	International labour standards
	Purpose and expected output	The aim is to encourage the positive contribution which multinational enterprises can make to economic and social progress and to minimize and resolve the difficulties to which their various operations may give rise in the context of labour relations, taking into account the United Nations resolutions advocating the establishment of a New International Economic Order, as well as subsequent developments within the United Nations, for example, the Global Compact and the Millennium Development Goals
	Summary of content	Principles in the field of employment (employment promotion, equality of opportunity and treatment, security of employment), training, conditions of work and life (wages, benefits, conditions of work, minimum age, safety and health), industrial relations (freedom of association and the right to organize, collective bargaining, consultation, examination of grievances, settlement of industrial disputes)
Format of consultation process	Tripartite meeting of experts on the relationship between multinational enterprises and social policy in 1972; tripartite advisory meeting on the relationship between multinational enterprises and social policy in 1976; tripartite group to prepare a draft declaration subject to review by the tripartite advisory meeting before adoption in 1977	
Compliance mechanism	Periodic surveys to monitor effect given to the Declaration by companies, governments and employers' and workers' organizations: a summary and analysis of the replies received are submitted to the ILO Governing Body for discussion	

1.1.2.8 Convention on Biological Diversity, Addis Ababa Principles and Guidelines on Sustainable Use¹⁶		
Created/led by	Convention on Biological Diversity	
Development stage	Intergovernmentally adopted in 2006 by 193 governments	
Type & legal status	International guidelines	
Target audience	Governments, resource managers, indigenous and local communities, the private sector and other stakeholders	
D e s c r i p t i	Scope	To provide guidance on the governance of the uses of components of biodiversity, in order to ensure the sustainability of such uses
	Purpose and expected output	<ul style="list-style-type: none"> To provide a framework to ensure that use of the components of biodiversity will not lead to the long-term decline of biological diversity To be of general relevance, although not all principles will apply equally to all situations, nor will they apply with equal rigour: application will vary according to the biodiversity being used, the conditions under which they are being used, and the institutional and cultural context in which the use is taking place

¹⁵ http://www.ilo.org/wcmsp5/groups/public/---ed_emp/---emp_ent/---multi/documents/publication/wcms_094386.pdf.

¹⁶ <http://www.cbd.int/sustainable/addis-principles.shtml>.

o n	Summary of content	<p>Practical principle 1: Supportive policies, laws, and institutions are in place at all levels of governance and there are effective linkages between these levels</p> <p>Practical principle 2: Recognizing the need for a governing framework consistent with international/national laws, local users of biodiversity components should be sufficiently empowered and supported by rights to be responsible and accountable for use of the resources concerned</p> <p>Practical principle 3: International, national policies, laws and regulations that distort markets which contribute to habitat degradation or otherwise generate perverse incentives that undermine conservation and sustainable use of biodiversity, should be identified and removed or mitigated</p> <p>Practical principle 4: Adaptive management should be practiced</p> <p>Practical principle 5: Sustainable use management goals and practices should avoid or minimize adverse impacts on ecosystem services, structure and functions as well as other components of ecosystems.</p> <p>Practical principle 6: Interdisciplinary research into all aspects of the use and conservation of biological diversity should be promoted and supported.</p> <p>Practical principle 7: The spatial and temporal scale of management should be compatible with the ecological and socio-economic scales of the use and its impact.</p> <p>Practical principle 8: There should be arrangements for international cooperation where multinational decision-making and coordination are needed.</p> <p>Practical principle 9: An interdisciplinary, participatory approach should be applied at the appropriate levels of management and governance related to the use.</p> <p>Practical principle 10: International, national policies should take into account: current and potential values derived from the use of biological diversity; intrinsic and other non-economic values of biological diversity and market forces affecting the values and use.</p> <p>Practical principle 11: Users of biodiversity components should seek to minimize waste and adverse environmental impact and optimize benefits from uses</p> <p>Practical principle 12: The needs of indigenous and local communities who live with and are affected by the use and conservation of biological diversity, along with their contributions to its conservation and sustainable use, should be reflected in the equitable distribution of the benefits from the use of those resources.</p> <p>Practical principle 13: The costs of management and conservation of biological diversity should be internalized within the area of management and reflected in the distribution of the benefits from the use.</p> <p>Practical principle 14: Education and public awareness programmes on conservation and sustainable use should be implemented and more effective methods of communications should be developed between and among stakeholders and managers.</p>
Format of consultation process	Negotiated in the context of the CBD Subsidiary Body on Scientific, Technical and Technological Advise, following workshops with government-nominated experts, representatives of international organizations and NGOs	
Compliance mechanism	None	

1.1.2.9 Principles for responsible contracts: integrating the management of human rights risks into State-investor contract negotiations – guidance for negotiators¹⁷	
Created/led by	The Special Representative of the Secretary-General on the issue of human rights and transnational corporations and other business enterprises, John Ruggie
Development stage	Presented to the Human Rights Council in 2011
Type & legal status	International reference document
Target audience	State and business negotiators of state-investment contracts
D e	Scope To provide 10 principles to help integrate the management of human rights risks into investment project contract negotiations between host state entities

¹⁷ <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/G11/134/20/PDF/G1113420.pdf?OpenElement>.

s c r i p t i o n		and foreign business investors
	Purpose and expected output	To provide guidance on how to work towards successful projects that bring benefits to people and appropriately manage any potential adverse impacts on them
	Summary of content	<p>Principle 1: Project negotiations preparation and planning</p> <p>Principle 2: Management of potential adverse human rights impacts</p> <p>Principle 3: Project operating standards</p> <p>Principle 4: Stabilization clauses</p> <p>Principle 5: “Additional good or services provision”</p> <p>Principle 6: Physical security for the project</p> <p>Principle 7: Community engagement</p> <p>Principle 8: Project monitoring and compliance</p> <p>Principle 9: Grievance mechanisms for non-contractual harms to third parties</p> <p>Principle 10: Transparency/disclosure of contract terms</p>
Format of consultation process	Four-year process of research (in partnership with the International Finance Corporation) and multi-stakeholder dialogue carried out under the mandate of the Special Representative (formal and informal consultations with business enterprises, state representatives, private and institutional lenders, private and institutional investors, civil society, academics and private practitioners)	
Compliance mechanism	none	
1.1.2.10 Business Reference Guide to the UN Declaration on the Rights of Indigenous Peoples¹⁸		
Created/led by	Global Compact	
Development stage	Exposure draft open for public consultation and comment until 1 June 2013	
Type & legal status	International reference document	
Target audience	Companies that want to increase their and other companies' understanding of the rights in the Declaration and what to do to respect and support them	
D e s c r i p t i o n	Scope	To increase understanding in the business community of how to meet the corporate responsibility to respect indigenous peoples' rights and opportunities to support indigenous peoples' rights
	Purpose and expected output	To illustrate how the rights of indigenous peoples are relevant in a business context and to provide guidance to business on how to respect and support the rights of indigenous peoples in their activities and sphere of influence
	Summary of content	<p>Part I: Key business actions</p> <ul style="list-style-type: none"> - Policy Commitments - Due diligence and impact assessments - Consultation, engagement and decision-making - Free prior, informed consent - Grievance mechanism - Remediation - Monitoring and reporting <p>Part II: UNDRIP Rights</p> <ul style="list-style-type: none"> - Foundational principles - Life, liberty, security and cultural integrity - Culture, language and spirituality - Education, information and employment - Participatory development, economic and social rights - Land and natural resources - Identity, institutions and relations

¹⁸ http://www.unglobalcompact.org/docs/issues_doc/human_rights/UNDRIP_Business_Reference_Guide.pdf.

	- Implementing UNDRIP
Format of consultation process	<p>During 2012, a taskforce of various companies participated in webinars to dialogue and explore potential good practice, including with representatives of the Secretariat of the Permanent Forum on Indigenous Issues and the International Labour Organisation. The taskforce also completed a mapping of international standards and norms in the area of business and indigenous peoples' rights.</p> <p>The exposure draft has benefited from several rounds of input from indigenous peoples, UN entities and businesses, and is now open to public consultation at http://www.unglobalcompact.org/Issues/human_rights/indigenous_peoples_rights.html.</p>
Compliance mechanism	none

1.2. Initiatives of the Private Sector

1.2.1. Agriculture-related initiatives

1.2.1.1 Principles for Responsible Investment in Farmland¹⁹		
Created/led by	A group of institutional investors including AP2, ABP, APG, ATP, BT Pension Scheme, Hermes EOS, PGGM and TIAA-CREF, under the umbrella of the UN Principles for Responsible Investment (UNPRI)	
Development stage	Launched on 6 September 2011	
Type & legal status	Self-regulation	
Target audience	Institutional investors (banks, insurance companies, national pension schemes, retirement or pension funds, hedge funds, investment advisors and mutual funds)	
D e s c r i p t i o n	Scope	A framework for institutional asset owners and their managers to integrate environmental, social and governance considerations in their farmland investments.
	Purpose and expected output	Increased investor interest in Farmland has thrown up challenges of marketplace transparency and investor accountability, as well as concerns over the environmental and social impact of increased investment flows.
	Summary of content	<p>Principle 1: Promoting environmental sustainability</p> <p>Principle 2: Respecting labour and human rights</p> <p>Principle 3: Respecting existing land and resource rights</p> <p>Principle 4: Upholding high business and ethical standards</p> <p>Principle 5: Reporting on activities and progress towards implementing the Principles and promoting the Principles</p>
Format of consultation process	Working Group established by the UN Principles for Responsible Investment (UNPRI) including AP2, APG, ATP, BT Pension Scheme, Hermes EOS, PGGM and TIAA-CREF	
Compliance mechanism	A Farmland Working Group was established to support investors in integrating environmental, social and governance considerations in their farmland investments	

¹⁹ http://www.unpri.org/commodities/Farmland%20Principles_Sept2011_final.pdf

1.2.1.2 Principles and Criteria for Sustainable Palm Oil Production²⁰		
Created/led by	Roundtable on Sustainable Palm Oil (RSPO) - global, multi-stakeholder initiative including plantation companies, manufacturers and retailers of palm oil products, environmental NGOs and social NGOs and from many countries that produce or use palm oil.	
Development stage	Initially adopted in 2005 and finalized in 2007	
Type & legal status	Certification (co-regulation)	
Target audience	Oil palm producers, palm oil processors or traders, as well as consumer goods manufacturers, retailers, banks and investors involved in palm oil supply chains	
D e s c r i p t i o n	Scope	Sustainable palm oil production as comprised of legal, economically viable, environmentally appropriate and socially beneficial management and operations
	Purpose and expected output	To deliver sustainable palm oil production through the application of a set of principles and criteria, and the accompanying indicators and guidance
	Summary of content	<p>Principle 1: Commitment to transparency</p> <p>Principle 2: Compliance with applicable laws and regulations</p> <p>Principle 3: Commitment to long-term economic and financial viability</p> <p>Principle 4: Use of appropriate best practices by growers and millers</p> <p>Principle 5: Environmental responsibility and conservation of natural resources and biodiversity</p> <p>Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and mills</p> <p>Principle 7: Responsible development of new plantings</p> <p>Principle 8: Commitment to continuous improvement in key areas of activity</p>
Format of consultation process	Pilot implementation for two years between preliminary adoption in 2005 and release for use in 2007	
Compliance mechanism	A third party, RSPO-approved, acts as independent certification body. Growers are assessed for certification once every five years, and if certified, are annually assessed for continued compliance. After five years the main assessment are repeated.	

1.2.1.3 Roundtable on Sustainable Biofuels Sustainability Standards²¹		
Created/led by	Roundtable on Sustainable Biofuels (RSB) – an international initiative coordinated by the Energy Center at Ecole Polytechnique Federale de Lousanne that brings together farmers, companies, non-governmental organizations, experts, governments, and inter-governmental agencies concerned with ensuring the sustainability of biofuels production and processing	
Development stage	Finalized in 2010	
Type & legal status	Certification (co-regulation)	
Target audience	Biofuel operators along the entire supply chain	
D e s c r i p t	Scope	To provide best practice guidelines on the production and processing of biofuel feedstock and raw material, and for the production, use and transport of liquid biofuels.
	Purpose and expected output	To offer principles (general tenets of sustainable production), criteria (conditions to be met to achieve these tenets) and requirements (differentiated in minimum and progress requirements that further detail the criteria) for sustainable biofuel production

²⁰ <http://www.rspo.org/file/RSPO%20Principles%20&%20Criteria%20Document.pdf>

²¹ <http://rsb.epfl.ch/files/content/sites/rsb2/files/Biofuels/Version%202/PCs%20V2/11-03-08%20RSB%20PCs%20Version%202.pdf>.

t i o n	Summary of content	<p>Principle 1: Legality</p> <p>Principle 2: Planning, monitoring and continuous improvement</p> <p>Principle 3: Greenhouse gas emissions</p> <p>Principle 4: Human and labour rights</p> <p>Principle 5: Rural and social development</p> <p>Principle 6: Local food security</p> <p>Principle 7: Conservation</p> <p>Principle 8: Soil</p> <p>Principle 9: Water</p> <p>Principle 10: Air</p> <p>Principle 11: Use of technology, inputs and management of waste</p> <p>Principle 12: Land rights</p>
	Format of consultation process	In June 2007, the Steering Board of the RSB published a draft of the principles as a basis for global stakeholder discussion. Interested stakeholders were invited to join a working group and suggest criteria to achieve the principles, and rewording of the draft principles. A zero draft was released in August 2008 for a further six-month period of public consultation. From August 2008 to March 2009, in-person outreach meetings were held with around 900 stakeholders around the world. In January 2009 the RSB launched a new membership-based governance structure, with different chambers for different groups of stakeholders: further revisions of the draft standards were discussed through teleconference calls with the membership. Based on pilot testing of version one, a new round of public consultations was held in September 2010 and discussions were held with the RSB chambers. Version 2 was approved by the RSB Steering Board on 5 November 2010.
	Compliance mechanism	Issuance of compliance certificates sine 2011

1.2.1.4 Round Table on Responsible Soy Principles and Criteria for Responsible Soy Production²²		
	Created/led by	The Round Table on Responsible Soy Association (RTRS) is a multi-stakeholder initiative which aims to facilitate a global dialogue on soy production that is economically viable, socially equitable and environmentally sound
	Development stage	Approved by the RTRS Executive Board 12 May 2010 and by the RTRS General Assembly 10 June 2010
	Type & legal status	Certification (co-regulation)
	Target audience	auditors; soy growers; and managers of a group of soy growers
D e s c r i p t i o n	Scope	<ul style="list-style-type: none"> All kinds of soybeans, including conventionally grown, organic, and genetically modified All scales of soy production and all the countries where soy is produced
	Purpose and expected output	To halt conversion of areas with high conservation value, to promote best management practices, to ensure fair working conditions, and to respect land tenure claims
	Summary of content	<p>Principle 1: Legal compliance and good business practice</p> <p>Principle 2: Responsible labour conditions</p> <p>Principle 3: Responsible community relations</p> <p>Principle 4: Environmental responsibility</p> <p>Principle 5: Good agricultural practice</p>
	Format of consultation process	A two year multi-stakeholder process lead to the publication of the RTRS Principles and Criteria Field Testing Version, in May 2009. This version was used by national technical groups (NTGs) in five countries to initiate national interpretation processes, and by producers and auditors for field trials carried out

²² http://www.responsiblesoy.org/index.php?option=com_docman&task=doc_download&gid=290&Itemid=19&lang=en.

	<p>in a variety of soy producing countries.</p> <p>In March 2010 the RTRS convened an international technical group (ITG) to review the field trial principles and criteria and produce a set of auditable Principles and Criteria for use with a certification scheme. As a part of their work the multi-stakeholder group reviewed and took into account changes proposed by NTGs, public consultation comments on draft National Interpretations, guidance from the RTRS Executive Board on the issue of land clearance and feedback from field trials and diagnosis audits. This group, made up of representatives from the three RTRS member constituencies, concluded their work at a meeting in São Paulo, Brazil, on 24-27 March, 2010</p>	
Compliance mechanism	A certification scheme for production and one for chain of custody have been implemented. In early June 2011 the first farm was certified. RTRS and the Certificate Trading Platform already facilitated several transactions between certified producers and market stakeholders	
1.2.1.5 Better Sugar Cane Initiative (Bonsucro) Standards²³		
Created/led by	Bonsucro is an open, voluntary, not-for-profit multi-stakeholder organization (comprising sugar retailers, investors, traders, producers and NGOs) aiming to improve the social, environment and economic sustainability of sugarcane production	
Development stage	Finalized in 2010	
Type & legal status	Certification (co-regulation)	
Target audience	Sugarcane producers	
D e s c r i p t i o n	Scope	To improve the social, environmental, and economic sustainability of sugarcane by promoting the use of a global metric standard, with the aim of continuously improving sugarcane production and downstream processing in order to contribute to a more sustainable future
	Purpose and expected output	To certify sugar producers who comply and to guide companies in the sugar and ethanol value chain who wish to procure sustainable feedstock/ supplies, and also the financial sector who wish to make more sustainable investments
	Summary of content	<p>1. The Production Standard contains principles and criteria for achieving sustainable production of sugarcane and all sugarcane derived products in respect of economic, social and environmental respects.</p> <ul style="list-style-type: none"> • Obey the law • Human rights • Production and Processing • Biodiversity and Ecosystems • Continuous Improvement • Additional mandatory requirements for biofuels under the EU Renewables Directive 2009/30 <p>2. The Chain of Custody Standard contains a set of technical and administrative requirements to enable the tracking of claims on the sustainable production of Bonsucro sugarcane and all sugarcane derived products along the entire supply chain after the mill and its cane supply; through conversion, processing, manufacturing, transformation and trade to use of all sugarcane derived products.</p>
Format of consultation process	In 2008, the Bonsucro established three Technical Working Groups (TWGs). The expert are from the sugar cane producing areas and reflect a balance of interest groups and global representation. The period of public consultation for Version 1 was 60 days. Individuals, NGO's, producers, farmers, small-scale growers and companies took the time to comment. As many stakeholders as possible were encouraged to comment on the Standard and the Bonsucro embarked on a series of Stakeholder Outreach Meetings, engaging in face-to-face, field and factory meetings with producers and small-scale growers in: Australia, Brazil, Dominican	

²³ <http://www.bonsucro.com/standard/index.html>.

	<p>Republic, East Africa, South Africa, India, the European Union and Switzerland. Over the same period, the same auditor conducted pilot studies using the Standard in Australia, Brazil, Dominican Republic, South Africa and India. The results of these audits gave a representative view of typical mill and field indicator values. These values have been factored into Version 2. The process that was adopted to develop Version 2 was as follows: TWG leaders reviewed the feedback they had received to Version 1 from three sources – public comments made via the website, input from the Stakeholder Outreach Meetings, and the results from the pilot studies. At Bonsucro’s Annual General Meeting 4-5 November the Supervisory Board, Management Committee and TWG leaders discussed the proposed changes and approved both the content and the process that was followed. The result was Version 2. Over the past year, the TWG’s and Bonsucro members conducted Stakeholder Outreach Meetings on Version 1 of the Standard and using the input of the small-scale producers, processing and milling and the results of the pilot studies the Bonsucro developed Version 2.</p> <p>Version 2 of the Standard was then placed on this website for 60 days for public consultation. The results from the public consultation were discussed at both the Bonsucro’s Management Committee and Supervisory Board and the Bonsucro Standard has now been finalised.</p>	
Compliance mechanism	<p>Certification since 2011</p> <p>In addition, there is a Complaint Resolution Process to address complaints against Bonsucro members about: alleged violations of the code of conduct, the awarding of certificate; audits and the auditing process; and actions or decisions of an individual Bonsucro Director, committee members or staff</p>	
<p>1.2.1.6 Recommended Guidelines for Responsible Investment in Commodities Markets and for Responsible Land Investments²⁴</p>		
Created/led by	Interfaith Centre on Corporate Responsibility (membership comprised of 300 institutional investors with over \$100 billion in invested capital)	
Development stage	Published in 2012	
Type & legal status	Self-regulation	
Target audience	International investors	
D e s c r i p t i o n	Scope	To provide guidance on responsible investment in commodities and to focus published guidelines and principles on responsible land investments against an audience of institutional investors
	Purpose and expected output	n.a.
	Summary of content	<p>Commodities Markets</p> <ul style="list-style-type: none"> • Implement responsible policies for existing food commodities investments that acknowledge social and environmental impacts • Disclose the social and environmental impact of trading in food commodities • Advocate for improved regulation of global commodities trading • Support appropriate investments in the production of food, such as impact investing, that help mitigate the risk of famine and build sustainable communities <p>Land Investments</p> <ul style="list-style-type: none"> • Assess impacts and risks • Implement human rights and environmental policies • Establish grievance mechanisms • Monitor and disclose
Format of consultation process	n.a.	
Compliance mechanism	none	

²⁴ <http://www.iccr.org/publications/CEVol37no8%20Summer%202012.pdf>, pages 5 and 7.

1.2.2. Multisectorial and other sector specific initiatives

1.2.2.1 Equator Principles ²⁵		
Created/led by	Nine international banks, together with the International Finance Corporation	
Development stage	Launched 2003 (revised in 2006 and ongoing review in 2012)	
Type & legal status	Self-regulation	
Target audience	Financial institutions and their borrowers	
Description	Scope	The Principles apply to all new project financings globally with total project capital costs of US\$10 million or more, and across all industry sectors. In addition, while the Principles are not intended to be applied retroactively, they will apply to all project financings covering expansion or upgrade of an existing facility where changes in scale or scope may create significant environmental and/or social impacts, or significantly change the nature or degree of an existing impact.
	Purpose and expected output	<p>The Equator Principles (EPs) are a credit risk management framework for determining, assessing and managing environmental and social risk in Project Finance transactions. Project Finance is often used to fund the development and construction of major infrastructure and industrial projects.</p> <p>The EPs are primarily intended to provide a minimum standard for due diligence to support responsible risk decision-making.</p> <p>The Principles also extend to project finance advisory activities. In these cases, Equator Principles Financial Institutions (EPFIs) commit to make the client aware of the content, application and benefits of applying the Principles to the anticipated project, and request that the client communicate to the EPFI its intention to adhere to the requirements of the Principles when subsequently seeking financing.</p>
	Summary of content	<p>Principle 1: Review and Categorisation</p> <p>Principle 2: Social and Environmental Assessment</p> <p>Principle 3: Applicable Social and Environmental Standards</p> <p>Principle 4: Action Plan and Management System</p> <p>Principle 5: Consultation and Disclosure</p> <p>Principle 6: Grievance Mechanism</p> <p>Principle 7: Independent Review</p> <p>Principle 8: Covenants</p> <p>Principle 9: Independent Monitoring and Reporting</p> <p>Principle 10: EPFI Reporting</p>
Format of consultation process	<p>In October 2002, nine international banks convened in London, together with the International Finance Corporation, to discuss these issues (assessing and managing environmental and social risk in Project Finance transactions). Four of the banks present – ABN Amro, Barclays, Citi and WestLB – acknowledging the general consensus amongst those present, volunteered jointly to develop a banking industry framework for addressing environmental and social risks in project financing that could be applied globally and across all industry sectors.</p> <p>In 2006, EPFIs conducted an engagement and review process with NGOs, civil society, export credit agencies, industry associations and clients on the revision of the EPs (EP II), which incorporates the changes in the International Finance Corporation's Performance Standards.</p> <p>In October 2010 the EP Association launched a Strategic Review process to produce a multi-year strategic vision to reflect the 2011 review of the IFC Performance Standards.</p> <ul style="list-style-type: none"> Phase I – Focused EP Association group work and internal discussion 	

²⁵ <http://www.equator-principles.com/>

	<p>on key topics and thematic areas identified in the Strategic Review (July – September 2011).</p> <ul style="list-style-type: none"> • Phase II – Consultation period with the EP Association members, preliminary scoping discussions with key stakeholders and initial drafting of the EP III framework (September 2011 – July 2012). • Phase III - Launch of the formal 60 day Stakeholder Consultation and Public Comment Process (July - September 2012). • Phase IV - Finalisation and launch of the EP III framework (September - December 2012) <p>The EP Association will be engaging with stakeholders during every phase of the process via the Stakeholder Engagement Working Groups and commits to making the EP III draft public (when available) for a minimum period of 60 days for review and comment.</p>
Compliance mechanism	<p>On adoption each Equator Principles Financial Institution commits (via Principle 10) to report at least annually about its EP implementation processes and experience, taking into account appropriate confidentiality considerations. The reporting should at a minimum include the number of transactions screened by each Equator Principles Financial Institution, including the categorisation accorded to transactions (and may include a breakdown by sector or region), and information regarding implementation</p>

1.2.2.2 UN-backed Principles for Responsible Investment (UNPRI)²⁶	
Created/led by	International group of institutional investors, convened by the United Nations Secretary-General
Development stage	Launched in 2006
Type & legal status	Self-regulation
Target audience	Investors (asset owners, investment managers and professional service partners)
Description	<p>Scope</p> <p>To provide a voluntary framework by which all investors can incorporate environmental, social and corporate governance issues (ESG) into their decision-making and ownership practices and so better align their objectives with those of society at large</p>
	<p>Purpose and expected output</p> <p>To help investors integrate the consideration of environmental, social and governance (ESG) issues into investment decision-making and ownership practices, and thereby improve long-term returns to beneficiaries</p>
	<p>Summary of content</p> <ol style="list-style-type: none"> 1. We will incorporate ESG issues into investment analysis and decision-making processes. 2. We will be active owners and incorporate ESG issues into our ownership policies and practices. 3. We will seek appropriate disclosure on ESG issues by the entities in which we invest. 4. We will promote acceptance and implementation of the Principles within the investment industry. 5. We will work together to enhance our effectiveness in implementing the Principles. 6. We will each report on our activities and progress towards implementing the Principles.
Format of consultation process	<p>In 2005 the United Nations Secretary-General invited a group of the world's largest institutional investors to join a process in developing the Principles for Responsible Investment. Individuals representing 20 institutional investors from 12 countries agreed to participate in the Investor Group. The Group accepted ownership of the Principles and had the freedom to develop them as they saw fit.</p> <p>The Group was supported by a 70-person multi-stakeholder group of experts</p>

²⁶ <http://www.unpri.org/principles/>

	<p>from the investment industry, intergovernmental and governmental organisations, civil society and academia. The process, conducted between April 2005 and January 2006 involved deliberations in a series of all-day long discussions and debate. The Principles for Responsible Investment emerged as a result of these meetings.</p> <p>The process was coordinated by the United Nations Environment Programme Finance Initiative and the UN Global Compact.</p>
Compliance mechanism	<p>After an optional one-year grace period, all asset owner and investment manager signatories must participate in the annual Reporting and Assessment process. Failure to do so can result in being publicly delisted from the Initiative.</p>

1.2.2.3 Generally Accepted Principles and Practices (GAPP) - Santiago Principles²⁷		
Created/led by	The International Working Group of Sovereign Wealth Funds (IWG) in 26 countries whose meetings are facilitated by the International Monetary Fund	
Development stage	Published in 2008	
Type & legal status	Self-regulation	
Target audience	Sovereign Wealth Funds	
D e s c r i p t i o n	Scope	The GAPP aims at supporting the institutional framework, governance, and investment operations of SWFs that are guided by their policy purpose and objectives, and consistent with a sound macroeconomic policy framework.
	Purpose and expected output	The purpose of the GAPP is to identify a framework of generally accepted principles and practices that properly reflect appropriate governance and accountability arrangements as well as the conduct of investment practices by SWFs on a prudent and sound basis.
	Summary of content	<p>A. Legal Framework, Objectives, and Coordination with Macroeconomic Policies</p> <ul style="list-style-type: none"> • Legal basis and form • Objectives and macroeconomic linkages • Funding and withdrawal rules • Statistics compilation and reporting <p>B. Institutional Framework and Governance Structure</p> <ul style="list-style-type: none"> • Governance framework • Accountability • Assurances of integrity of operations <p>C. Investment and Risk Management Framework</p> <ul style="list-style-type: none"> • Investment policy • Risk management and performance measurement • GAPP implementation
Format of consultation process	A sub-group of the IWG drafted the principles, with inputs from recipient countries, EU, OECD and World Bank	
Compliance mechanism	<p>According to Principle 24, “A process of regular review of the implementation of the GAPP should be engaged in by or on behalf of the sovereign wealth funds.”</p> <p>The IWG reached a consensus (“Kuwait Declaration”) in April 2009 to establish the International Forum of Sovereign Wealth Funds (Forum) with the task to exchange views on issues of common interest, and facilitate an understanding of the Santiago Principles and SWF activities. The Forum shall not be a formal supranational authority and its work shall not carry any legal force</p>	

²⁷ www.iwg-swf.org/pubs/gaplist.htm

Document: <http://www.iwg-swf.org/pubs/eng/santiagoprinciples.pdf>

1.2.2.4 The Responsible Investor's Guide to Commodities: an Overview of Best Practices across Commodity-Exposed Asset Classes²⁸		
Created/led by	onValues Ltd. (sponsored by the UN-backed Principles for Responsible Investment, the UN Global Compact, and the Swiss Federal Department of Foreign Affairs)	
Development stage	2011	
Type & legal status	Reference document	
Target audience	Investors	
D e s c r i p t i o n	Scope	<p>This report covers the full range of options available to investors to add commodity exposure to their portfolios:</p> <ul style="list-style-type: none"> • Investments in commodity derivatives, which can be traded on exchanges or over-the-counter • Investments in physical commodities • Investments in real productive assets, such as forest and agricultural land • Debt or equity investments in companies that own commodity producing assets or related businesses in the commodity value chain. <p>The report also includes a special section on investments in agriculture and farmland, which is a part of the commodities spectrum particularly exposed to environmental and social issues.</p>
	Purpose and expected output	To improve the understanding of environmental, social and governance (ESG) issues in commodity investments with a view to identifying and promoting best practice in this area
	Summary of content	<p>MAIN RECOMMENDED BEST-PRACTICES</p> <p>SPECIAL FOCUS: AGRICULTURE – ADDITIONAL SECTOR-SPECIFIC RECOMMENDATIONS</p> <p>Investments In Soft Commodity Derivatives</p> <ul style="list-style-type: none"> • Never take physical delivery of agricultural commodities (or allow managers to do so) • Do not participate in smaller, more illiquid markets • Do not participate in markets where financial investors' contribution to increased volatility could be substantial. <p>Investments In Farmland</p> <ul style="list-style-type: none"> • Assess the impact of an investment on smallholder farmers and local communities • Support measures aimed at improving the livelihoods of local populations • Avoid investments in crops that are unsuited to local conditions • Avoid investments in land conversion plays (e.g. forestland turned to pasture or fields). <p>Debt And Equity Investments In The Agriculture And Food Sector</p> <ul style="list-style-type: none"> • Educate yourselves about the environmental and social dynamics of agriculture • Engage with companies in a strategic manner, focusing on financial materiality and - given the complexity of the agricultural supply chain - targeting key intervention points to maximize impact
Format of consultation process	Engagement with institutional investors and other stakeholders that are active across the spectrum of commodity investments	
Compliance mechanism	none	

²⁸ http://www.onvalues.ch/images/publications/ri%20guide%20to%20commodities_2011.pdf

1.2.2.5 Extractive Industries Transparency Initiative (EITI) ²⁹		
Created/led by	The EITI is a coalition of governments, companies, civil society groups, investors and international organisations that was launched by the UK Prime Minister, Tony Blair, at the World Summit on Sustainable Development, in Johannesburg, in September 2002. The UK Department for International Development (DFID) has led the development of the initiative since then.	
Development stage	Active since 2003	
Type & legal status	Co-regulation	
Target audience	Governments and extractive industries; also involving civil society groups and international organizations	
D e s c r i p t i o n	Scope	Extractive industries (oil, gas, mining)
	Purpose and expected output	To strengthen governance by improving transparency and accountability in the extractives sector
	Summary of content	<ol style="list-style-type: none"> 1. We share a belief that the prudent use of natural resource wealth should be an important engine for sustainable economic growth that contributes to sustainable development and poverty reduction, but if not managed properly, can create negative economic and social impacts. 2. We affirm that management of natural resource wealth for the benefit of a country's citizens is in the domain of sovereign governments to be exercised in the interests of their national development. 3. We recognise that the benefits of resource extraction occur as revenue streams over many years and can be highly price dependent. 4. We recognise that a public understanding of government revenues and expenditure over time could help public debate and inform choice of appropriate and realistic options for sustainable development. 5. We underline the importance of transparency by governments and companies in the extractive industries and the need to enhance public financial management and accountability. 6. We recognise that achievement of greater transparency must be set in the context of respect for contracts and laws. 7. We recognise the enhanced environment for domestic and foreign direct investment that financial transparency may bring. 8. We believe in the principle and practice of accountability by government to all citizens for the stewardship of revenue streams and public expenditure. 9. We are committed to encouraging high standards of transparency and accountability in public life, government operations and in business, 10. We believe that a broadly consistent and workable approach to the disclosure of payments and revenues is required, which is simple to undertake and to use. 11. We believe that payments' disclosure in a given country should involve all extractive industry companies operating in that country. 12. In seeking solutions, we believe that all stakeholders have important and relevant contributions to make – including governments and their agencies, extractive industry companies, service companies, multilateral organisations, financial organisations, investors, and non-governmental organisations.
Format of consultation process	In June 2003, DFID hosted the London Conference on EITI to agree a Statement of Principles and Agreed Actions to increase transparency over payments and revenues in the extractive sector. Some 140 delegates representing 70 governments, companies, industry groups, international organisations, investors and NGOs attended the conference.	
Compliance mechanism	An implementing country must meet the five sign-up requirements. Once these have been met, EITI implementation involves a range of activities to strengthen resource revenue transparency. These activities are documented in country workplans discussed with and agreed by stakeholders. To achieve compliant status a country must complete an EITI Validation within two and a half years of becoming a Candidate Country. Once a country is Compliant, the country must undergo Validation at least every 5 years, or upon the request from the EITI International Board. Validation is an essential element of the EITI as an	

²⁹ <http://eiti.org/eiti/principles>

international standard. It provides an independent assessment of countries implementing the EITI and what measures they should take to make better and faster progress. An independent validator carries out the assessment of whether all the requirements outlined in the EITI Rules have been met. The EITI Board, through the EITI Secretariat, oversees the Validation process. The EITI Board reviews all Validation Reports.

If the Board considers that the country meets all of the EITI Requirements, the country will be designated as **EITI Compliant**. Where the validation report shows that a country has made progress but does not meet all the EITI Requirements, the country will remain a **Candidate**. Where Validation shows that no meaningful progress has been achieved, the Board may revoke the country's candidate status.

1.3. Initiatives of Civil Society

1.3.1. Agriculture-related initiatives

1.3.1.1 Guidelines on a Rights Based Approach to Business Land Acquisition and Use³⁰		
Created/led by	The Institute for Human Rights and Business (IHRB)	
Development stage	In final consultation (completion due end 2012)	
Type & legal status	Co-regulation	
Target audience	Businesses that wish to acquire and use land	
D e s c r i p t i o n	Scope	The guidelines are based on rights-based principles of transparency, accountability and non-discrimination and provide practical guidance steps for companies throughout key phases of any land project - the pre-operation phase, the consultation period and during relocation and rehabilitation.
	Purpose and expected output	<ul style="list-style-type: none"> To set out best practices for business to ensure respect for human rights relating to land, but also aims to change the culture of thinking across multiple sectors, from agribusiness to mining. To provide practical guidance for companies facing land related conflicts.
	Summary of content	<p>Fundamental principles that should inform business conduct:</p> <ul style="list-style-type: none"> Transparency Non-discrimination Accountability <p>Processes a company should follow:</p> <ul style="list-style-type: none"> Conduct a baseline study Assess conflict potential and impact Identify legal owners Assess own needs fairly Make information accessible Consult all stakeholders Pay particular attention to women Consult without armed guards Consult communities early and often Continue to consult communities throughout the operation of the project Ensure that the rights of disadvantaged groups are protected Identify local needs Use government support to ensure fair purchase of land Use government support for arbitration where appropriate Avoid the use of armed forces for land clearance Avoid using the State to obtain community consent Respect cultural norms but support international human rights standards and democratic processes Do not assume that relocated communities wish to live together Create structure that provide ongoing income stream to communities Provide legal assistance to communities to realize their rights Ensure that alternative accommodation is of the same or superior quality and follow international standards Provide and maintain access to rivers, lakes, grassland or pasture to communities dependent on such access

³⁰ <http://www.ihrb.org/commentary/staff/developing-practical-tools-for-business-on-land-and-human-rights.html>;

Draft Document :

https://docs.google.com/viewer?a=v&q=cache:HVqmcxHvzTQJ:www.ihrb.org/pdf/Guidelines_on_Business_Land_Acquisition_and_Land_Use-Draft_for_Consultation.pdf+Guidelines+on+a+Rights+Based+Approach+to+Business+Land+Acquisition+and+Use&hl=de&gl=ch&pid=bl&srcid=ADGEEsJS05iYyIEn6BR0Agt1Vc27QbLMycdS6-chQay2i5iXdRLx71hYQ_CAcN7Bf9SOz_dqvHi4OjFKZ5yIl6V8eEjlsWm8QFOP60D4QyHWd1o3PPAncqorcuUqg8UJWvXhmCUiD9yB0&sig=AHIEtbQ0ZWAywZDTdRYVfjHe83NblvAZog

Format of consultation process	The IHRB draft guidelines were developed after a series of consultations with a variety of key stakeholders across three continents: India (2009), Colombia (2010), South Africa (2010), and Kenya (2011). A final round of consultations to discuss the current draft is ongoing in 2012.
Compliance mechanism	none

1.3.1.2 Agricultural Investment strengthening family farming and sustainable food systems in Africa³¹		
Created/led by	African farmer workshop organised by Plateforme Régionale des Organisations Paysannes d'Afrique Centrale (PROPAC) with Réseau des organisations paysannes et de producteurs de l'Afrique de l'Ouest (ROPPA), Eastern Africa Farmers Federation (EAFF) and Pan African Farmers' Organization (PAFO)	
Development stage	Published in May 2011	
Type & legal status	Reference document	
Target audience	AU and specialized institutions NEPAD Regional Economic Organizations and specialized institutions, including the African Development Bank FAO, IFAD, World Bank CFS EU G20	
D e s c r i p t i o n	Scope	<ul style="list-style-type: none"> To propose key principles for investments that will strengthen family farming and sustainable food systems in Africa; To propose actions to influence decisions
	Purpose and expected output	The workshop was designed to start a process of reflection during 2011 that would sharpen and deepen the strategies and methodologies by which the national, regional and continental organisations of family farmers and other small-scale producers can have an effective influence on policy, especially agricultural investment.
	Summary of content	<p>The African regional farmers' platforms conclude that in order to defend and promote family farming, sustainable food systems and food sovereignty, it is necessary:</p> <ol style="list-style-type: none"> 1. to realise a common approach in the face of harmful agricultural investments that are capturing productive resources, imposing industrial models of production, and implementing policies, strategies and research and other programmes that undermine local food systems; 2. to redirect agricultural investments towards more agroecological, biodiverse and resilient models of production supported by participatory research, development and extension systems under farmers' control; 3. to give priority to agricultural investments that support the infrastructure and input requirements of sustainable family farming; 4. to secure agricultural investments to improve the effectiveness, capacities and capabilities of farmers' organisations and networks, including their ability of farmers to self organize, for example in cooperatives that have social, economic, welfare and equity principles; 5. to ensure that there is meaningful participation by our networks and organisations, by using in particular, the approach agreed by States for civil society engagement in the Committee on World Food Security (CFS) which recognizes the autonomy of civil society organizations and welcomes them – small-scale food producers, in particular – as full participants. Existing arrangements in, for example, the accelerated CAADP and other investment programmes, are not as effective.
Format of consultation process	Workshop with leaders or staff members of West, Central and East African regional and continental family farmers' platforms, advisers and representatives of the NGOs in the EuropAfrica network	
Compliance mechanism	none	

³¹ Synthesis Report:

http://www.europafrika.info/file_download/3/yaounde_agricultural_investment_farmers_workshop_synthesis_report.pdf

1.3.1.3 WWF 2050 Criteria: Guide to Responsible Investment in Agricultural, Forest and Seafood Commodities³²		
Created/led by	WWF	
Development stage	Launched in 2012	
Type & legal status	Reference document	
Target audience	Investors, finance and civil society	
D e s c r i p t i o n	Scope	To provide distilled guidance based on leading industry practice
	Purpose and expected output	Designed to serve as a field guide for investors to access mainstream agriculture, forest and seafood commodities in a responsible manner
	Summary of content	For each of the following commodity supply chains, the criteria outline, inter alia, primary environmental and social risks, key performance criteria for managing these risks, leading third-party certification, major trends and opportunities: Aquaculture, beef, bioenergy, cotton, dairy, palm oil, soy, sugar, timber, plp and paper, wild-caught fish, other terrestrial commodities
Format of consultation process	n.a.	
Compliance mechanism	none	
1.3.1.4 Fairtrade Standards³³		
Created/led by	Fairtrade International (non-profit, multi stakeholder body)	
Development stage	Launched in 2005, last revised in 2011	
Type & legal status	Co-regulation	
Target audience	One set of standards applies to smallholders that are working together in co-operatives or other organizations with a democratic structure. Another set on hired labour applies to employers that pay decent wages, guarantee the right to join trade unions, ensure health and safety standards and provide adequate housing where relevant. A third set of standards on contract production applies to promoting bodies (i.e., intermediary organization that contracts or supports small producers in producing and marketing crops. The promoting body can either be a trader (exporter/processors), or non-trader (including private) which is a legal entity forming a partnership with the producers it contracts or supports)	
D e s c r i p t i o n	Scope	To tackle poverty and empower producers in the poorest countries in the world, addressing both producers and traders.
	Purpose and expected output	Designed to support the sustainable development of small producer organizations and agricultural workers in the poorest countries in the world
	Summary of content	Smallholder Trade: traceability, sourcing and contracts Production <ul style="list-style-type: none"> management of production practices environmental protection (pest management, soil and water, waste, GMOs,

³² http://awsassets.panda.org/downloads/the_2050_criteria_report.pdf

³³ http://www.fairtrade.net/our_standards.html

		<p>biodiversity, energy and greenhouse gases emissions)</p> <ul style="list-style-type: none"> labour conditions (freedom of discrimination, freedom of labour, child labour and child protection, freedom of association and collective bargaining, conditions of employment, occupational health and safety) <p>Business and development (development potential, democracy, participation and transparency, non-discrimination)</p> <p>Hired labour</p> <ul style="list-style-type: none"> social development (development potential and capacity building, freedom of discrimination, freedom of labour, freedom of association and collective bargaining, conditions of employment, occupational health and safety) economic development environmental protection (pest management, soil and water, waste, GMOs, biodiversity, energy and greenhouse gases emissions) <p>Contract production (promoting body)</p> <p>Trade: traceability, sourcing and contracts</p> <p>Production</p> <ul style="list-style-type: none"> monitoring systems environmental protection (pest management, soil and water, waste, GMOs, biodiversity, energy and greenhouse gases emissions) labour conditions (freedom of discrimination, freedom of labour) <p>Business and development (development potential, democracy, participation and transparency, non-discrimination)</p>
Format of consultation process	Two rounds of stakeholder consultations for the development of the standards by posting the draft standards on a website and by circulating open questions to determine options concerning the inclusion of certain standards. Workshops may be arranged to ensure that all relevant stakeholders, including disadvantaged groups, are consulted. A consultation result synopsis is published and sent to all stakeholders that submitted comments, to provide an overview of comments received and clarify how each material issue had been addressed. Stakeholders are given another possibility to provide comments on the basis of the consultation synopsis. Each round of consultations lasts for 60 days.	
Compliance mechanism	Certification	

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