



PTTEP


PTT Exploration and Production Public Company Limited

Human Rights Management System Guideline

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THIS DOCUMENT WILL BE REVIEWED EVERY **3 YEARS** FROM DATE OF APPROVAL OR REVISED EARLIER IF NECESSARY.

Revision History			
Rev.	Description of Revision	Authorized by	Effective Date
0	New	SBD	May 2019
1	<p>Revised specific contents owned by the Sustainability and Decarbonization Department are summarized as follows;</p> <ul style="list-style-type: none"> - Replaced the Human Rights Policy with a new edition which elaborates a risk assessment in the aspect of employee, communities and vulnerable groups, supply chain, security and environment to ensure no human rights violation as stated in the International Finance Corporation (IFC) Guide to Human Rights Impact Assessment and Management (HRIAM); - Updated the roles and responsibilities in the document to be in line with the current organization structure and PTTEP Document Management Standard; - Updated the Human Rights governance structure to reflect the current organization structure and valid committee and working team; - Included staff compliance with Human Rights requirements as stated in in-house training packages; - Updated human rights risk reporting and management process, stating that identified High risks shall be reported to Management Committee (MC) and quarterly mitigation plan follow-up will be required for identified Medium and High risks; - Added a definition of 'Business Partner' and 'Vulnerable Group'. <p>Remark: As the contents revised in Rev.1 are owned by the Sustainability and Decarbonization Department, the Technical Review is not required in this revision but can be referred to in Rev.0.</p>	SCS	18 May 2021
2	<p>Revised specific contents owned by the Sustainability and Decarbonization Department are summarized as follows;</p> <ul style="list-style-type: none"> - Added a definition of 'Human Rights Defender' and examples in 4 aspects: Workplace, SSHE, Supply Chain and Community. - Included PTTEP's acknowledgement of consulting human rights defenders as an expert resource as part of human rights due diligence in alignment with the UN Guiding Principles on Business and Human Rights. - Expanded association types to cover a group of human rights defenders under Freedom of Association and collective Bargaining. - Integrated human rights risk assessment as part of Enterprise Risk Management with updated risk matrix. - Expanded the responsibilities of Corporate Sustainability Team to cover the coordination with 	SCS	29 April 2022

Revision History			
Rev.	Description of Revision	Authorized by	Effective Date
	<p>related functions in the development of human rights training course for all employees.</p> <ul style="list-style-type: none"> - Replaced the Human Rights Policy with the latest version (Ref No. 10010-PCY-002-R05, Effective Date: 27 April 2022). - Updated reference documents to the current revision. <p>Remark: As the contents revised in Rev.2 are owned by the Sustainability and Decarbonization Department, the Technical Review is not required in this revision but can be referred to in Rev.0.</p>		
3	<p>Revised methodology to align with the updated human rights risk assessment process as follows:</p> <ul style="list-style-type: none"> - Added the definitions of 'Community Health and Safety', 'Discrimination', 'Fair Labor and Working Conditions', 'Gender Equality', 'Human Trafficking', 'Land Acquisition', 'Quality of Life', 'Sexual Harassment', and 'Standard of Living'. - Added 'BSR', 'HRIAM', 'LGBTQ+', 'ITUC', 'UNEP FI' to common abbreviations. - Included Diversity, Equity and Inclusion (DE&I) management in Human Resources Division's roles and responsibilities. - Revised Human Rights Commitments to align with PTTEP's 2023 version of the Human Rights Policy - Updated the Human Rights Risk Assessment context, criteria, and integration with enterprise risk management. - Edited the Human Rights Management Requirements to 2 stakeholder groups: Employees, Contractors, and Suppliers, and Community, and updated the details of risk management approach. - Changed the examples of potential human rights impacts assessment in appendix to correspond to the new human rights assessment process. - Updated the Human Rights Risk Criteria. <p>Remark: The document code is revised from 12154 to 12165 in response to the new organization structure.</p>	Acting TSM	3 November 2023

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1. PURPOSE

This Human Rights Management System Guideline is written in accordance with PTTEP Human Rights Policy and in alignment with PTT Group Sustainability Management Framework, Operational Excellence Management System (OEMS) and PTT Group Human Rights Management System. The purposes of this Guideline are to:

- Clarify expectations, roles and responsibilities and procedures required to implement the Human Rights Policy.
- Provide context and recommendation on management approach for managing human rights issues relevant to PTTEP business.
- Apply systematic management process to assess human rights risks, define effective measures relevant with level of risks exposed, report on progress and integrate lessons learnt review to better manage key human rights risks in PTTEP business value chain.

2. SCOPE

The Guideline is an internal approach for PTTEP to manage human rights risks associated with the company activities. It shall not overrule local and international laws, regulations which the company is committed to.

PTTEP strives to prioritize the management of the human rights impacts of our business activities based on the operational context, our leverage and business relationships. While we aim to also prevent and mitigate adverse human rights impacts in our value chain, our primary concentration is on own and/or operated operations as well as where we have significant influence.

Scope of Application

Organization	Application	Elaboration
PTTEP Operated Business	Adopt	Implement the process and requirements formally and systematically.
Non-operated Joint Ventures	Align	Review alignment and apply the guideline to existing management approaches.
Suppliers and Contractors	Inform	Acknowledge adherence to the principle and report performance if requested.



Adapted from the concept in "The Global Compact and Human Rights: Understanding Sphere of Influence and Complicity"
Figure 1: Degree of Oversight in Relation to PTTEP's Sphere of Influence

3. REFERENCE

3.1 PTTEP HUMAN RIGHTS MANAGEMENT CONTROLLING DOCUMENTS

Document Title	Document Number
PTTEP Sustainability Policy	10010-PCY-001-R04
PTTEP Human Rights Policy	10010-PCY-002-R06
PTTEP Sustainable Development Guideline	12165-GDL-001-R02

3.2 OTHER REFERENCE DOCUMENTS

HRMS Elements / Document Title	Document Number
1. Commitment	
Good Corporate Governance and Business Ethics	BOD-RGL-CGC-006-R12
PTTEP Sustainability Policy	10010-PCY-001-R04
PTTEP Human Rights Policy	10010-PCY-002-R06
Corporate Social Responsibility Policy	-
Community Relation and Management Policy	-
PTTEP Vendor Sustainable Code of Conduct	-
2. Risks and Impact Assessment	
Risk Governance Framework	BOD-RGL-RMC-019-R01
Risk Appetite Statement	BOD-RGL-RMC-017-R02
Enterprise Risk Management Policy	12048-PCY-001-R02
Risk Management Standard	12142-STD-001-R05
Risk Management Guideline	12142-GDL-001-R02
SSHE Risk Management Standard	11003-STD-SSHE-401-R06
Health Risk Assessment Procedure	11003-PDR-SSHE-401/02-R01

HRMS Elements / Document Title			Document Number
Security Risk and Threat Analysis and Assessment Guideline			12148-GDL-SSHE-401/00/07-R03
Environmental Impact Assessment for Exploration and Production Procedure			12146-PDR-SSHE-401/01-R03
Issue and Stakeholder Management System			12052-GDL-008-R04
3. Integrated Human Rights Management			
Employee	Working Condition Freedom of Association Forced Labor, Child Labor Discrimination	Good Corporate Governance and Business Ethics	BOD-RGL-CGC-006-R12
		Human Resource Management Regulations B.E. 2548 (2005)	BOD-RGL-HR-009-R01
		HIV/AIDS Management Guideline	11038-GDL-SSHE-507/00/07-R01
	Safe and Healthy Working Conditions	SSHE Policy	-
		Occupational Health Management Standard	11038-STD-SSHE-507-R02
		Permit to Work Procedure	12148-PDR-SSHE-505/42-R00
		Fitness to Work Guideline	11038-GDL-SSHE-507/00/04-R02
		Ergonomic Management for Computer User Guideline	11038-GDL-SSHE-507/00/11-R01
		Work Related Injury-Illness Case Management Procedure	11038-PDR-SSHE-507/02-R01
Community	Community and Employee Health and Safety	HIV/AIDS Management Guideline	11038-GDL-SSHE-507/00/07-R01
		Site Medical and Healthcare Service Guideline	11038-GDL-SSHE-507/00/05-R02

HRMS Elements / Document Title			Document Number
3. Integrated Human Rights Management			
Community	Community Engagement	Issue and Stakeholder Management System Guideline	12052-GDL-008-R04
		Community Management Work Procedures	12088-PDR-001-01
		Stakeholder Management Guideline	12144-GDL-001-R02
		Grievance Handling Guideline	12140-GDL-009-R01
	Minorities and Indigenous Resettlement	Corporate Social Responsibility Framework	12052-GDL-001
		PTTEP Involuntary Resettlement Guideline	12088-GDL-002-R02
	Standard of Living Quality of Life and Cultural Heritage	Social Responsibility Work Procedures	12052-PDR-001-01
		PTTEP Social Investment Guideline	12052-GDL-005
		PTTEP Philanthropy Guideline	12052-GDL-006-R02
		Creating Shared Value Roadmap	12140-GDL-002-R00
Supply Chain	Supplier Code of Conduct	Supply Chain Management Policy	10009-OSM-PCY-0001-R01
	Supplier Engagement	PTTEP Vendor Sustainable Code of Conduct	-
		Management of Contractors and Suppliers Standard	11017-STD-PRO-1001-R02
		Guideline for Contractor/Supplier Performance Evaluation	10009-OPC-GDL-4004
		PTTEP Vendor Guide	11017-GDL-PRO-4005-R05
		SSHE Contractor Management Standard	SSHE-106-STD-310
		SSHE Contractor Management Procedure	12148-PDR-SSHE-304/01-R00
Security	Security Management	Security Management Standard	11038-STD-SSHE-504-R04
		Working with Armed Security Forces Guideline	12148-GDL-SSHE-534-019-R01
		Security Awareness Guideline	12148-GDL-SSHE-535-015-R01
		New Development Security Planning and Requirements Guideline	12148-GDL-SSHE-532-018-R02
		Security Risk and Threat Analysis and Assessment	12148-GDL-SSHE-401/00/07-R03

HRMS Elements / Document Title			Document Number
3. Integrated Human Rights Management			
Environment	Impact Management	Environmental Impact Assessment for Exploration and Production Procedure	12146-PDR-SSHE-401/01-R03
	Impact of Air Pollution	Environmental Management Standard	11038-STD-SSHE-503-R02
	Water security	Water Management Guideline	12146-GDL-SSHE-503/00/02-R01
	Waste Management	Waste Management Procedure	12146-PDR-SSHE-503/01-R01
		Waste Management Guideline	SSHE-106-GDL-521
		Spill Management Plan	12146-PDR-SSHE-501/03-R02
	Biodiversity	Biodiversity and Ecosystem Services Management Guideline	12146-GDL-SSHE-503/00/01-R02
4. Track and Monitor			
Performance Monitoring	Incident Management Standard	11038-STD-SSHE-601-R07	
	Medical Surveillance Management Guideline	SSHE-106-GDL-569	
	Industrial Hygiene Monitoring Guideline	SSHE-106-GDL-566	
	Environmental Performance Reporting Procedure	12002-PDR-SSHE-612-003-R02	
	Security Review and Audit Guideline	12148-GDL-SSHE-701-021-R02	
5. Remedy			
Grievance Management	Reporting and Whistleblowing Regulation B.E.2556 (2013)	-	
	Grievance Handling Guideline	12140-GDL-009-R01	
	Incident Management Standard	11038-STD-SSHE-601-R07	
6. Reporting			
Disclosure	PTTEP Sustainability Reporting Guideline	12052-GDL-007	

4. DEFINITION

4.1 GENERAL DEFINITIONS

Terminology	Description
Affected Community	A population, or individual(s) affected economically, socially, or environmentally by project impacts.
ALARP	As low as reasonably practical.
Business Partner	Business Partner includes Joint Venture (JV), supplier, contractor, service provider, etc.
Biodiversity	The variability among living organisms from all sources, including terrestrial, marine, and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species, and of ecosystems. (IFC)
Child Labor	A person under a certain age, usually the age which legally demarcates childhood from adulthood. (ILO)
Community Health and Safety	Community health and safety refers to protecting local communities from hazards caused and/or exacerbated by project activities (including flooding, landslides, contamination or other natural or human-made hazards), disease, and the accidental collapse or failure of project structural elements such as dams. Project-related activities may directly, or cumulatively change community exposure to hazards. A significant concern with major development projects is the spread of communicable diseases from the workforce to the surrounding communities. (UNDP)
Cultural Heritage	Properties and sites of archaeological, historical, cultural, artistic and religious significance (including graves and burial sites), which can comprise natural features such as sacred graves or rock formations (tangible heritage); and cultural knowledge, innovations and practices including language, music and traditions (intangible heritage).
DE&I	DE&I or diversity, equity, and inclusion is a concept that organizations use to ensure a diverse, equitable and inclusive environment for different groups of individuals in terms of language, race, religion, belief, social status, age, ability, gender, and sexual orientation.
Discrimination	An individual is treated less favorably than another individual in a similar situation and this treatment cannot be objectively and reasonably justified. (Equality and Human Rights Commission)
Fair Labor and Working Conditions	Companies treat their workers fairly, provide safe and healthy working conditions, avoid the use of child or forced labor, and identify risks in their primary supply chain. (IFC)
Forced or Compulsory Labor	All work or service which is exacted from any person under the threat of a penalty and for which the person has not offered himself or herself voluntarily.
Gender Equality	A situation in which access to rights or opportunities is unaffected by gender.

Human Rights Defender	A human rights defender is a person who can act to address any human right (or rights) for own self or on behalf of individuals or groups. Human rights defenders seek the promotion and protection of civil and political rights as well as the promotion, protection and realization of economic, social and cultural rights in good faith.
Human Trafficking	The unlawful act of transporting or coercing people in order to benefit from their work or service, typically in the form of forced labor or sexual exploitation.
Indigenous Peoples	Peoples in independent countries who are regarded as indigenous on account of their descent from the populations which inhabited the country, or a geographical region to which the country belongs, at the time of conquest or colonization or the establishment of present State boundaries and who, irrespective of their legal status, retain some or all of their own social, economic, cultural and political institutions.
Land Acquisition	<p>The process of acquiring or procuring land, typically by a government, organization, or individual, through legal means, often involving purchasing, leasing, or obtaining land rights for various purposes such as infrastructure development, urban expansion, industrial projects, or public initiatives.</p> <p>This process may include negotiations, compensation to landowners, and legal procedures to transfer land ownership or usage rights from private individuals or entities to the acquirer for specific purposes, while adhering to established laws and regulations.</p>
Migrant Workers	Workers when employed in countries other than their own include both migrants and refugees. (ILO)
Minorities	A group numerically inferior to the rest of the population of a State, in a non-dominant position, whose members, being nationals of the State, possess ethnic, religious, or linguistic characteristics differing from those of the rest of the population. (OHCHR)
Quality of Life	The standard of health, comfort, and happiness experienced by an individual or group.
Sexual Harassment	Behavior characterized by the making of unwelcome and inappropriate sexual remarks or physical advances in a workplace or other professional or social situation.
Standard of Living	The degree of wealth and material comfort available to a person or community.
Vulnerable Group	Vulnerable Group includes children, indigenous peoples, migrant workers, minorities, persons with disabilities, youth and elder workers, LGBTQ+, etc.

4.2 ORGANISATION AND DEPARTMENTS

Terminology	Description
Corporate	Refers to the PTTEP business groups hierarchically above asset level, and located in the PTTEP headquarters, Bangkok.
Function Group	Refers to a Corporate level business group. These may have associated Divisions, Departments, or operational assets within their hierarchy.
Division	A business group may have one or more distinct groups within its hierarchy. These are referred to as Divisions.
Asset / Project	Refers to an asset, site, or location within a respective Function Group.
Department	A subgroup within a Function Group, Division or asset.

4.3 LANGUAGE

Terminology	Description
May	Indicates a possible course of action.
Should	Indicates a preferred course of action.
Shall	Indicates a course of action with a mandatory status.
Must	Indicates a mandatory and regulatory course of action.

4.4 COMMON ACRONYMS AND ABBREVIATION

Set out below are common specific terms presented in alphabetical order:

Terminology	Description
AC	Audit Committee
BoD	The Board of Directors
BSR	Business for Social Responsibility
CGS	The Corporate Governance and Sustainability Committee
CEO	Chief Executive Officer
DJSI	Dow Jones Sustainability Index
EITI	Extractive Industries Transparency Initiative
ERM	Enterprise Risk Management
EVP	Executive Vice President
GRC	Governance Risk and Compliance
HR	Human Resources
HRIAM	Human Rights Impact Assessment Management
ICCPR	International Covenant on Civil and Political Rights
ICESCR	International Covenant on Economic, Social and Cultural Rights
IFC	International Finance Corporation
ILO	International Labor Organization
IPIECA	International Petroleum Industry Environmental Conservation Association
ISMS	Issue and Stakeholder Management
ITUC	International Trade Union Confederation
JOA	Joint Operating Agreement
UNEP FI	United Nations Environment Programme Financial Initiative

Terminology	Description
JOC	Joint Operating Company
JV	Joint Venture
LGBTQ+	Lesbian, Gay, Bisexual, Transgender, Queer, and More Identities
MC	Management Committee
OHCHR	Office of the United Nations High Commissioner for Human Rights
RMC	Risk Management Committee
SD	Sustainable Development
SSHE	Safety, Security, Health, and Environment
SSHE MS	Safety, Security, Health, and Environment Management System
SVP	Senior Vice President
UDHR	Universal Declaration on Human Rights
UNEP FI	United Nations Environment Programme Finance Initiative
UNGC	United Nations Global Compact
VP	Vice President

5. DOCUMENT RESPONSIBILITY

5.1 OWNERSHIP OF THE DOCUMENT

The owner of this Human Rights Management System Guideline is:

- SVP of Sustainability and Stakeholder Management Division

The responsibilities of the document owners are:

- Issuing of this Human Rights Management System Guideline and its revisions,
- Leading and demonstrating commitment by personal involvement in the implementation of this Human Rights Management System Guideline

5.2 CUSTODIAN OF THE DOCUMENT

The custodian of this Human Rights Management System Guideline is Sustainability and Decarbonization Department as Corporate Sustainability Team, whose responsibilities are:

- Identifying deficiencies or potential improvements;
- Initiating periodic revision, and;
- Maintaining revision history and document status register

5.3 DOCUMENT REVIEW

To reinforce continuous efforts and improve Human Rights Management governance, this Guideline shall be reviewed every 3 years to validate its continuing suitability and effectiveness. Any deficiency of this Guideline should be discussed with the custodian to further initiate the Guideline review and revision.

6. HUMAN RIGHTS MANAGEMENT SYSTEM

6.1 HUMAN RIGHTS MANAGEMENT PROCESS

Aligned with PTT Group Human Rights Management System¹ as the framework, PTTEP has further developed PTTEP Human Rights Management System in line with UN Global Compact Management Model; A Guide for Integrating Human Rights into Business Management², IPIECA Human Rights Due Diligence Process³, UN Guiding Principle on Business and Human Rights⁴ and IFC Guide to Human Rights Impact Assessment and Management (HRIAM)⁵. (See key human rights initiatives and relevance to PTTEP in Appendix E) The process comprises 6 key elements as shown in Figure 2.

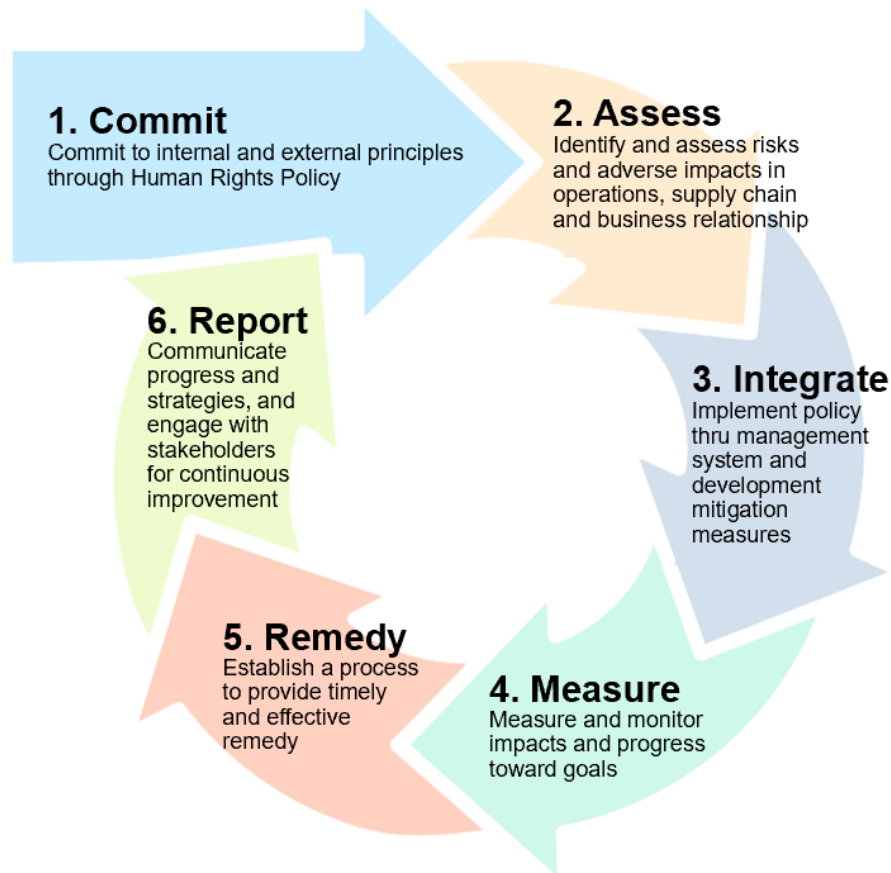


Figure 2: PTTEP Human Rights Management System

¹ PTT Group Human Rights Management System (S-PTT-99-0018),
http://www.pttplc.com/th/Sustainability/Social/HumanRights/Documents/PTT%20Group%20HRMS%20Guideline_TH_27Jan2017_FN.pdf

² UNGC, Business Leaders Initiative on Human Rights,
<https://www.ohchr.org/Documents/Publications/GuideHRBusinessen.pdf>

³ IPIECA, Human rights due diligence process: a practical guide to implementation for oil and gas companies

⁴ UN Guiding Principle on Business and Human Rights,
https://www.ohchr.org/documents/publications/guidingprinciplesbusinesshr_en.pdf

⁵ IFC Guide to Human Rights Impact Assessment and Management (HRIAM),
https://d306pr3pise04h.cloudfront.net/docs/issues_doc%2Fhuman_rights%2FGuidetoHRIAM.pdf

1. Commit

Commit to supporting the Global Compact and making the ten principles part of the strategy, culture, and day-to-day operations of the company, with oversight provided by transparent governance structures under the PTT Group Sustainability Management Framework⁶ and PTT Way of Conduct⁷. PTTEP ensures that employees at all levels understand and follow PTTEP human rights requirements as stated in in-house training packages.

2. Assess

Assess human rights risks and potential impact to operations and business activities at country, industry, and site levels, on an ongoing basis in order to refine strategies, and policies. Further details on Human Rights Risk Assessment Process in Section 8.

3. Integrate

Develop and execute risk management plan by applying relevant PTTEP's standards, guidelines and management systems such as OEMS, GRC, SSHE MS, ISMS in order to integrate execution into business as usual.

4. Measure

Schedule a follow-up according to risk management plan including audit to ensure the effectiveness of the execution. This include establishing channels for affected individuals or group to send their inquiry, concerns or a formal complaint as well as defining effective grievance management mechanism considering accessibility, stakeholder context (e.g. minorities and indigenous), steps to protect grievance filling parties and process to ensure the proper functioning of the mechanism.

5. Remedy

Establish a process to provide timely and effective remedy for any harm caused to people's human rights until resolving human rights complaints about PTTEP business.

6. Report

Disclose related operation results, as well as progress and outcome of risk management implementation to the stakeholders.

⁶ PTT Group Sustainability Management Framework,
[http://www.pttplc.com/th/Sustainability/PTT-](http://www.pttplc.com/th/Sustainability/PTT-Sustainability/Governance/Pages/Sustainability-Governance-and-Framework.aspx)

[Sustainability/Governance/Pages/Sustainability-Governance-and-Framework.aspx](http://www.pttplc.com/th/Sustainability/Governance/Pages/Sustainability-Governance-and-Framework.aspx)

⁷ PTT Way of Conduct, Safeguarding Policy: Sustainability Management Policy

6.2 HUMAN RIGHTS GOVERNANCE AND ACCOUNTABILITY

Integrating human rights into existing governance and business process is crucial for the deployment and implementation of the Human Rights Policy. As human rights are a fundamental principle in the Corporate Governance and Code of Business Conduct, **PTTEP Board of Directors** is the highest governance body who provide supervisory and holds PTTEP up to standard, transparent, efficient, ethical and auditable in terms of respecting Human Rights. In terms of operation management, human rights is an element in PTTEP Sustainability Management, where **CEO** with advisory of Management Committee (MC) is responsible for overseeing and endorsement of PTTEP's sustainability-related policies and strategies. The Management Committee is chaired by CEO and comprises all EVPs. This committee convenes regularly to oversee the progress of PTTEP against sustainability targets including human rights. To drive execution, **the Corporate Sustainability Team works with Sustainability Representatives from each function group**, acting as a focal point for effective implementation of the policy, strategies, roadmap and work plan with its discipline to ensure expectations in this Management System are met. To ensure the highest standards of practices in individual discipline, the Three Lines of Defense Model approach is systematically applied. Functional management is account for managing human rights risk by its own professional standards to accomplish PTTEP's expectations as the first line of defense. The **Corporate Sustainability Team**, functional planning section in collaboration with Risk Management also routinely monitor, assess and report on conformity of execution with the Human Rights Policy to the CEO as the second line of defense. Finally, under whistleblowing mechanism, all the valid Human Rights cases accepted via whistleblowing channel will be reported to Audit Committee and/or Corporate Governance and Sustainability Committee (subject to form of misconduct) and will be reported to the Board of Directors.

To ensure efficiency and effectiveness of human rights management, the governance is structured as depicted in figure 3.



Figure 3: Human Rights Governance Structure

Through the structure above, controls are instilled into the human rights management to ensure control, compliance and transparency to applicable laws and regulations. The accountability of governance bodies under the Human Rights Management System is summarized as following:

6.2.1 Management Committee (MC)

- Endorse Human Rights Policy and Strategy to safeguard company growth and corporate sustainability objectives against human rights risks and opportunities.
- Regularly review and advise on approaches for human rights management. Ensure that they are effectively implemented throughout PTTEP and in alignment with PTT Group's direction.
- Ensure necessary resources for effective implementation of Human Rights Policy and Management System e.g. financial, manpower, information, technology, networking, etc.
- Review performance on human rights management result annually to ensure continuous improvement.

6.2.2 Corporate Sustainability Team

- Work with Sustainability Representatives from each function group.
- Propose strategies, short and long-term work plan on human rights management to PTTEP Management Committee for endorsement and implementation.
- Initiate and facilitate development and update of human rights policy, strategy, work plan and propose for endorsement and approval.
- Establish Human Rights Management System and drive the effective implementation of PTTEP's Human Rights policy, strategies, roadmap and work plan in PTTEP and with PTTEP's stakeholders to achieve short-term and long-term sustainability targets.
- Provide relevant information to assist in fulfilment of human rights internal and external benchmarking i.e. PTT Group Human Rights Management System, DJSI, UNGC Advanced Level, etc. and develop strategy and action plans to achieve Company target.
- Monitor and measure progress on the implementation of Human Rights Management System and report to PTTEP Management Committee.
- Arrange meeting to update and discuss human rights situation to the authorized body e.g. Management Committee and also monitor progress of actions defined in both strategy work plan and meetings.
- Be a focal point to gather information required to measure effectiveness of human rights initiatives implementation, status report, risk register i.e. PTT Group Sustainability Management assessment, DJSI, etc.
- Provide advice and assurance service to ensure that all functions within PTTEP comply with the policy and this MS.
- Develop internal and external communication strategies to raise awareness in order to create common perception and engagement of all stakeholders.
- Coordinate with related functions in the development of human rights training course covering human rights fundamentals, business expectations and due diligence covering SSHE, Supply Chain, Community, and Workplace including discrimination and harassment for all employees.

6.3 ROLES AND RESPONSIBILITIES

To enable a more coordinated and efficient approach, while eliminating duplicate efforts in managing human rights risks, the accountability is integrated into existing functional structure of PTTEP organization adopting the Three Lines of Defense model as best practices for human rights risk governance. The concept of the Three Lines of Defense is:

The First Line of Defense is primarily responsible for performing day-to-day work activities as process owners. The first line owns the risk, and the design and execution of the organization's controls to respond to those risks to achieve PTTEP objectives as well as their functional objectives simultaneously. The examples of the first line of defense are Human Resources Division, Social Responsibility Department, Security Section, Environmental Management Department, etc.

The Second Line of Defense consists of business units which put in place policies, standards, procedure and guidelines to support management in terms of expertise, process excellence and management. They are responsible for monitoring the proper execution and compliance against their established documents alongside the first line to help ensure that risk and control are effectively managed. The second line of defense functions are separate from the first line of defense but can be under the control and direction of senior management in the same function. The examples of the second line of defense are Corporate Sustainability Team, Risk Management Department, Compliance Department, etc.

The Third Line of Defense consists of Internal Audit Division and/or other independent audit teams. It provides an independent assurance by evaluating the compliance and effectiveness of the company's management systems, control and governance processes provides assurance to senior management, Management Committee and the Board of Directors with advisory of sub-committee over both the first and second lines' efforts consistent with the expectations of the company.

Table Overview on Key Activities, Roles and Responsibilities under Human Rights Management System for each Line of Defense

Stages	1 st Line of Defense	2 nd Line of Defense	3 rd Line of Defense
1. Commit	<ul style="list-style-type: none"> Determine relevant policies, standards and procedures under own discipline to achieve PTTEP human rights commitments. Lead by example in compliance of and be accountable for general human rights principles and statements of intent about PTTEP human rights commitments. Provide decision making guidance/ direction to management as subject matter expert. 	<ul style="list-style-type: none"> Support disciplines in developing effective policies, standards and procedures. 	<ul style="list-style-type: none"> Assess the effectiveness of company policy, strategies, and other processes in achieving the desired level of legal and ethical compliance.
2. Assess	<ul style="list-style-type: none"> Identify and assess risks related to human rights requirements in its own area across business value chain. Design control and mitigations related to human rights as well as necessary resources and funds. 	<ul style="list-style-type: none"> As assigned by management, individuals in the second line of defense may also participate in the selection and development of specific controls; however, management retains responsibility for the system of internal controls. 	<ul style="list-style-type: none"> Evaluate effectiveness and quality of human rights risks due diligence process and results.
3. Integrate	<ul style="list-style-type: none"> Determine strategies, workplans, and activities to achieve corporate objectives and commitments including creating relevant policies, procedures and communication plan to support the achievement of objectives. Establish structures, accountabilities for controlling identified human rights risks as well as assure competent personnel with sufficient authority performing control activities. Embed control activities built into business processes, relevant procedures and employees' day-to-day activities to comply with human rights policy. Implement controls and mitigation measures to detect, deter, control, and mitigate human rights risk as identified during due diligence. 	<ul style="list-style-type: none"> Participate in the selection and development of specific management system, process, controls as assigned by management. Ensure that responsible personnel, design process and authority are developed in relation to the organization's established risk appetite. 	<ul style="list-style-type: none"> Provide assurance regarding the design and implementation of policies, procedures and other controls.

Stages	1 st Line of Defense	2 nd Line of Defense	3 rd Line of Defense
	<ul style="list-style-type: none"> Establish and maintain effective management system or process for executing risk and control procedures on a day-to-day basis. 		
4. Measure	<ul style="list-style-type: none"> Monitor progress of controls and mitigation result and periodically evaluating the effectiveness of design control. Review results from periodic evaluations and implement corrective actions when necessary. Incorporate Lessons Learned and Findings from audits to ensure effective control. Establish communication channel processes and to monitor and manage grievance from stakeholder. 	<ul style="list-style-type: none"> Monitor specific controls, grievance mechanism and compliance with policies and procedures. Periodically assess the assurance of relevant human rights requirements. Ensures that human rights controls are accomplished according to professional standards and against benchmark. Provide suggestions intended to continuously improve the efficiency and effectiveness of controls. 	<ul style="list-style-type: none"> Provide assurance that the controls put in place are designed appropriately, implemented effectively, and operating as intended to mitigate risks to achieve objectives to acceptable levels.
5. Remedy	<ul style="list-style-type: none"> Take action to manage grievance effectively and in a timely manner. Tracks whether grievance are remediated on a timely basis. 	<ul style="list-style-type: none"> Monitor and report specific types of grievance and conflict resolution. 	<ul style="list-style-type: none"> Establish and maintain a system to monitor the disposition of internal audit findings and recommendations regarding grievance resolution.
6. Report	<ul style="list-style-type: none"> Communicate relevant and timely information to internal and external stakeholders e.g. employees, communities, suppliers, partners, regulators, and other external parties. Report on progress, performances, issues and relevant information to management. Adopt effective methods of communication considering timing, audience, and nature of the communication and legal, regulatory, and requirements and expectations. 	<ul style="list-style-type: none"> Provide management with high level report on overall performance, progress status, and relevant information essential for management decision. Manage certain communications and disclosure to external parties in support of Company position and benchmarking. 	<ul style="list-style-type: none"> Provide assurance that the essential communications are accurate.

The contribution of each Support Team and the depth of the analysis may vary depending on the phase of project. The table below shows the example responsibility for each discipline.

Accountable Bodies	Responsible Areas under Each Discipline
Strategy and Business Development Group	<ul style="list-style-type: none"> • Ensure human rights risks of future projects – for choice of future asset, JV partners, are considered in strategy and business development. • Incorporate human rights due diligence as part of business development process – from opportunity screening to asset integration. • Ensure that human rights issues are considered in strategic planning processes, with reference to the rights of local communities.
Human Resources Division	<ul style="list-style-type: none"> • Ensure human resource management includes human rights issues such as discrimination protection, privacy protection, protection of part-time employees (contracted staff). • Ensure human resource policy and management are in place to respect and promote diversity, equity, and inclusion (DE&I) in terms of language, race, religion, belief, social status, age, ability, gender, and sexual orientation. • Ensure training on human rights issues are incorporated into relevant capacity building programs across the Human Resources Group.
Assets and Projects	<ul style="list-style-type: none"> • Ensure human rights risks are considered in all aspects of operation process – from planning through construction and day-to-day operation. • Ensure technical services providers of engineering, subsurface, drilling, security, contractor and supplier are appropriately identified, rated and managed with regards to human rights risks.
Supply Chain Management Division	<ul style="list-style-type: none"> • Ensure human rights management requirements are incorporated into code of conduct and contract terms with key measures and monitors put in place. • Ensure human rights risks mitigation measures are appropriately incorporated into supply chain management and monitoring processes. • Ensure human rights risks arising from services providers are appropriately identified, assessed and managed.
Social Responsibility Department	<ul style="list-style-type: none"> • Ensure PTTEP's human rights requirements are conformed with reference to the rights of local communities. • Ensure human rights issues are managed in accordance to PTTEP's requirements when establishing new community projects. • Ensure that community engagement and feedback system on protection of rights of community, resettlement programs are appropriately put in place with key monitors and measures.
Safety, Security, Health and Environment Division	<ul style="list-style-type: none"> • Ensure SSHE Management System include the protection of safety and health of local community, natural resources of communities, monitoring programs. • Ensure environmental management programs are able to assure the natural resources access of communities, monitoring programs.
Risk Management Department	<ul style="list-style-type: none"> • Ensure risks including human rights are appropriately incorporated into PTTEP's Enterprise Risk Management (ERM) assessment process; ensure that all functional units incorporate human rights risk assessment into the ERM process.

7. HUMAN RIGHTS COMMITMENT

Human rights are generally defined as basic standards of treatment to which all people are entitled, regardless of nationality, gender, race, economic status or religion⁸. PTTEP is committed to prohibiting the use of child labor, forced labor and human trafficking, as well as having zero tolerance for discriminatory actions and all forms of harassments (i.e. sexual and non-sexual harassment). PTTEP is also committed to respecting human rights associated with the freedom of association, the right to collective bargaining, equal remuneration, fair working condition, health and safety and data privacy of all relevant parties under PTTEP's operational control.

Internal Commitments

PTTEP developed corporate Human Rights Policy (known as the RIGHT policy) in 2014 to state the company's position and commitment in human rights where all PTTEP operating assets and JVs must adhere to. Corporate SUSTAINABILITY Team in corporation with SUSTAINABILITY Representatives from each function will be responsible for ensuring Human Rights Policy, and Human Rights Management System are implemented across PTTEP business value chain; in line with expectation of the PTT Group Sustainability Management Framework, Operational Excellence Management System (OEMS) and PTT Group Human Rights Management.

External Stakeholders and Voluntary Commitments

The Human Rights Policy adopts the same principles from the United Nations Universal Declaration of Human Rights (UDHR), United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), United Nations Guiding Principles on Business and Human Rights (UNGPs or Ruggie Framework), United Nations Global Compact (UNGC), and the International Labor Organization Declaration on Fundamental Principles and Rights at Work. PTTEP voluntarily implements human rights related initiatives and is an active member of UNGC and IPIECA. Moreover, the Company voluntarily discloses financial information in line with the principle of the Extractive Industries Transparency Initiative (EITI), a global standard that promotes revenue transparency. Details of these principles and relevance to PTTEP business are described in External Stakeholders and Voluntary Commitments Section of this document.

Relevant Regulatory and Public Policy Advocacy

Compliance to applicable laws and regulations of the host countries is the basic requirement which PTTEP must adhere to. PTTEP reviews the country based human rights risks⁹ to understand human rights issues currently exist in the country of operations. Where appropriate, PTTEP will ethically and constructively participate in reviewing and commenting on the proposed legislation, regulations and emerging policy issues. In addition, PTTEP will respect local customary laws and regulations for our operation.

⁸ IPIECA, 2013, Human Rights Training Tool

⁹ World Report, Human Rights Watch, <https://www.hrw.org/previous-world-reports>

7.1 POSITION STATEMENT

PTTEP commits to conducting our business in an ethical and responsible manner that supports and respects the protection of human rights wherever it operates. We communicate our commitment clearly through stand-alone Human Rights Policy; embed it in our core values through Good Corporate Governance and Business Ethics (CG&BE) and make it clear to business partners, suppliers and contractors on our commitment through PTTEP Vendor Sustainable Code of Conduct.

Good Corporate Governance and Business Ethics

The Board of Directors has approved of the Good Corporate Governance and Business Ethics of the PTTEP Group as a guide on the company's expectations for Directors, Executives, and employees' manners in conducting business. PTTEP also encourages those of its joint ventures that are not under its oversight and control, along with suppliers and anyone who acts on behalf of PTTEP to uphold the Good Corporate Governance and Business Ethics of the PTTEP Group as appropriate. Our Good Corporate Governance and Business Ethics are publicly available at PTTEP website.

Human Rights Policy

PTTEP Human Rights Policy is a stand-alone public statement endorsed by the Chief Executive Officer committing to protect the health and safety of our employees and contractors, safeguard the environment, create a sustainable positive impact in our host communities, and respect all human rights where we operate. It has been designed to ensure that all PTTEP's activities around the world are considered and managed for human rights issues arising as well as an opportunity to make positive contributions in the areas of governance, transparency, respect for the rule of law, and socioeconomic development in the area where we operate.

Vendor Sustainable Code of Conduct

PTTEP understands the importance of ensuring the standards of sustainability, safety, and environmental protection, compliance with human rights, and fair labor practices as well as anti-corruption along the value chain. Suppliers and contractors are considered to be part of PTTEP 'Extended Area of Influence' and PTTEP Vendor Sustainable Code of Conduct describes PTTEP's expectations for suppliers and contractors in conducting business with PTTEP. We have established and maintain appropriate procedures to evaluate and select suppliers and contractors based on our core values, human rights policy, and supplier code of conduct. For more details, refer to PTTEP Vendor Sustainable Code of Conduct on company website.



Human Rights Policy

As an integral part of our values to be an energy partner of choice to all stakeholders, PTTEP bases our principles around the respect on fundamental human rights and seeks to uphold our belief by respecting local laws, cultures, customs, and values in dealing with employees and those affected by our business execution worldwide equally with dignity, fairness and respect. We expect our employees, business partners, suppliers and contractors to commit to respecting human rights, and to conduct their business in an ethical manner and not complicit in human rights abuses. Henceforth, PTTEP is committed to prohibiting the use of child labor, forced labor and human trafficking, as well as having zero tolerance for discriminatory actions and all forms of harassments (i.e. sexual and non-sexual harassment). PTTEP is also committed to respecting human rights associated with the freedom of association, the right to collective bargaining, equal remuneration, fair working condition, health and safety and data privacy of all relevant parties under PTTEP's operational control.

In line with our commitment, our approach to the management of human rights is outlined as follows:

- **Respect the rights of individuals and human beings** as outlined in the UN Universal Declaration of Human Rights and its corresponding covenants, where applicable to business including the international principles relating to labor practices and supporting the UN Declaration on the Rights of Indigenous Peoples, the UN Global Compact, UN Guiding Principles on Business and Human Rights, Voluntary Principles on Security and Human Rights and International Labour Organization's Declaration on Fundamental Principles and Rights at Work (ILO), etc.
- **Identify human rights risks**, as part of PTTEP human rights due diligence, to manage potential issues and impacts through conducting risk assessments, which undergo a systematic periodic review, in the aspect of own operations, and our business activities, as well as in joint ventures and in new business relations (i.e. mergers, acquisitions). This includes employees, communities, vulnerable groups, customers, supply chain, security and environment to ensure no human rights violation associated with human trafficking, child labor, forced labor, discrimination and harassment, fair working condition, health and safety and right to privacy as well as other issues as stated in the International Finance Corporation (IFC) Guide to Human Rights Impact Assessment and Management (HRIAM). The risk assessment also covers at-risk groups consisting of own employees, women, children, indigenous people, migrant workers, third-party employees, local communities, underprivileged people, LGBTQI+, and elderly.
- **Good management practices** are conducted and reinforced throughout all functional levels to ensure effective safeguards against identified risks. As an integral part of our human rights management in supply chain, PTTEP shall take all necessary steps to ensure that our suppliers and contractors are aware of and align with our human rights requirements stated in PTTEP Vendor Sustainable Code of Conduct.
- **Human rights compliance assurance** is conducted to ensure that workforce understands, implements and complies with identified requirements, process, and risk mitigations effectively through an operational-level grievance mechanisms including auditing.

-2-/ Transparency...

- 2 -

- **Transparency is a milestone in our human rights management**, and we commit to ensuring that our stakeholders are informed of the various issues that may arise from our activities including upholding the Principle of Free, Prior Informed Consent in the management of indigenous peoples.

The Policy is applied to all PTTEP's own operations (all employees, direct activities, products and services). Likewise, PTTEP will use our best efforts to have third parties such as Suppliers & Contractors and Business Partners commit to the same values and principles as those in our policy.



(Mr. Montri Rawanchaikul)
Chief Executive Officer
20 January 2023

Ref No. 10010-PCY-002-R06, Effective Date: 20 January 2023

Figure 4: Human Rights Policy

(Available in 6 languages: Thai, English, French, Malay, Myanmar and Arabic)

8. HUMAN RIGHTS RISK ASSESSMENT

A human rights risk assessment shall be conducted every three years and reviewed annually (Figure 5). This process involves four steps. First, relevant functions such as SSHE, CSR, HR, Stakeholder Management, Risk Management, Supply Chain, Domestic and International Assets shall complete the risk register by adding human rights cases and mitigation measures. Second, the risk register shall be validated and, therefore, salient human rights issues shall also be identified. Third, additional measures for salient issues shall be identified to lower human rights risk. Finally, salient issues shall be integrated into Enterprise Risk Management.

PTTEP Human Rights Risk Assessment Process is developed based on PTTEP Risk Management Standard, incorporating the international guidance such as the IPECA's Human Rights Due Diligence process, the International Finance Corporation (IFC)'s Guide to Human Rights Impact Assessment and Management and the UN Global Compact Guide to Human Rights Impact Assessment and Management. While the risk catalogue and scale are maintained in line with the PTT Group Human Rights Risk Assessment Procedure, there may be local regulatory requirements that will be considered as part of annual risk assessment process.

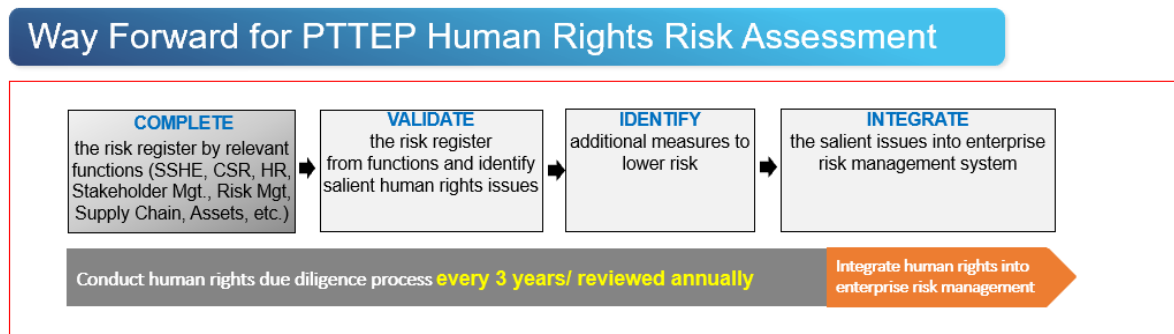


Figure 5: Human Rights Risk Assessment Process

Additionally, in order to screen human rights related risks associated with the potential partners, countries, or areas of projects or operations, it is recommended to apply the Human Rights Due Diligence Checklist (Appendix C) as part of the process when entering into a new country, region, area, and new joint venture.

8.1 ESTABLISH THE CONTEXT

Relevant human rights context should be reviewed based on the industry, sizes and types of business, locations, and varieties of operations. Four-step review should be applied to better understand the context as follows:

Country Level: The human rights situation in each country has different degrees of severity. Refer to internationally recognized sources of information for preliminary screening including reports from Human Rights Watch, Amnesty International, United Nations Human Rights Council (Universal Periodic Review), also rankings such as CSR Risk Check, Corruption Perceptions Index, and ITUC Global Rights Index. Moreover, additional information can be found through consultation with NGOs, rightsholders, and issue experts.

Industry Sector Level: Each industry sector has its own intrinsic human rights issues. For example, petroleum exploration and production may have key risk of involuntary relocation. While this guideline concentrates on managing oil and gas sector for PTTEP, the concept may be applied to any other PTTEP operating company where human rights abuse is concerned. Good sources for sector-specific assessments are Business for Social Responsibility (BSR) and United Nations Environment Programme Finance Initiative (UNEP FI). Moreover, previous cases in the sector can be found on Business and Human Rights Resource Centre's database and media review.

Business Operation Level: Analyze the linkages of the human rights context in relation with business operation activities (e.g. construction activities, operation and logistics) and vulnerable groups in the area. Business relationship e.g. suppliers and security personnel should be taken to account for this level. Some country level issues may not be relevant when considering business activities at certain stage, while some issues may be significant and related directly to the company's business activities or business relationship. For example, if a country reports a misuse of armed force security by the government, it is important to focus on the issue as it may be perceived as PTTEP being complicit to human rights abuses. Refer to documents from business partners and consult with rightsholders, local NGOs or external organizations in the area for information.

Individual Human Rights Issues: Identify specific human rights related with the aspects defined in the previous steps. For example: Environmental impacts may affect *Rights in Health*. Supplier and contractor impacts may be involved in the *Right to Work in a Fair and Appropriate Condition*. The list of human rights issues and definition of rights are provided in Appendix A and B. For more detailed description on each issue, refer to the IFC's Guide to Human Rights Impact Assessment Management (HRIAM).

8.2 ASSESS HUMAN RIGHTS RISKS

This step focuses on assessing the risks of conducting business activities that may have direct or indirect impact on human rights. Risk owners shall determine whether human rights issue may arise from PTTEP's key activities across project lifecycle. Risk owners shall assess the risks by considering two components: Severity and Likelihood on scale of 1 to 5 as per criteria below. The risk assessment scale has been adapted from the Enterprise Risk Management process to be in line with UNGP's guidelines. See Appendix D. for description of human rights severity and likelihood criteria.

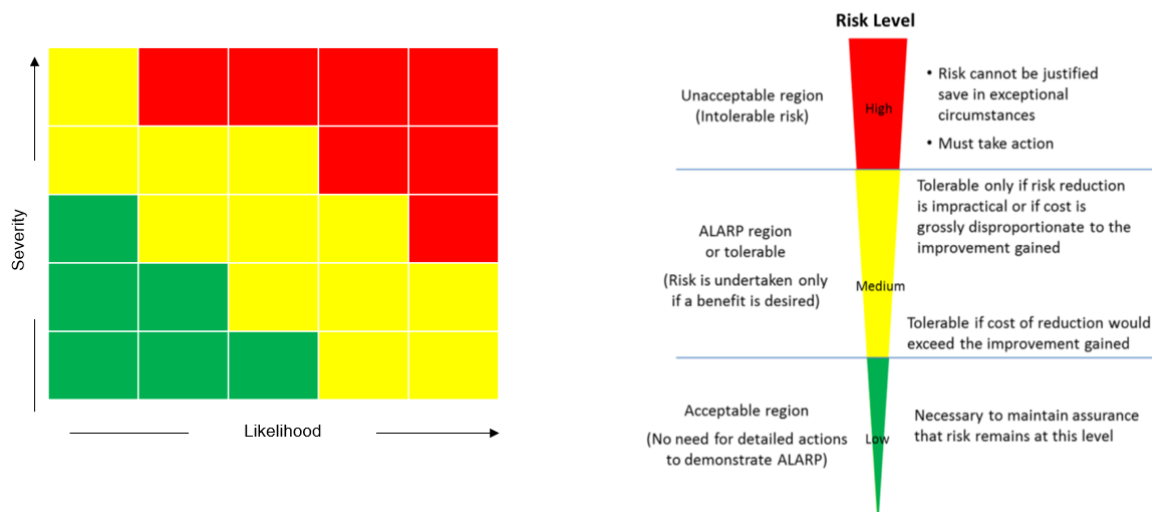


Figure 6: Human Rights Risk Assessment Scale

8.3 INTEGRATE WITH ENTERPRISE RISK MANAGEMENT

Salient human rights issues identified through the human rights risk assessment process should then be integrated into the Enterprise Risk Management through the following process. First, the salient human rights issue should be assessed through the Enterprise Risk Management criteria. If the salient issues are considered high, then the issues should be integrated into the Enterprise Risk Management dashboard.

8.4 DEVELOP RISK TREATMENT

Business unit shall formulate Additional Responses (AR) to further reduce human rights risk to the ALARP level. Any risks in the High Risk (red zone) should be mitigated immediately with action plan developed. Risks in Medium (yellow zone), and Low (green zone), are the next priority to be mitigated to the ALARP (as low as reasonably practical) level following mitigation hierarchy of:

- **Terminate:** exiting or avoiding an activity giving rise to such risk e.g. adjusting project design, scheduling, or operation requirements to eliminate or reduce the risk.
- **Treat:** taking actions to reduce the likelihood and/or impact of a risk e.g. implementing mitigation measures;
- **Transfer:** sharing a portion of the risk and reward with a third party e.g. insurance on environmental impact.
- **Take:** accepting the risk, as all mitigating options are deployed or uneconomical and that the risk level is acceptable e.g. monitor the environment for changes that affect the nature and/or the impact of the risk.

Mitigation plan follow-up will be done on a quarterly basis for risks identified as Medium and High.

For details, refer to PTTEP Risk Management Guidelines for determining risk mitigation handling options. After business unit formulates Mitigation Plan, further assessment to review “**residual**” risk by taking into account the effectiveness of risk management execution as planned. Effectiveness of execution to be determined upon conducting the human rights self-assessment process. If the residual risks remains at a medium or higher level, an additional response should be developed to mitigate risk to an acceptable levels.

8.5 MONITOR AND REVIEW

Changes in business environment may introduce a new risk or nullify another risk. Therefore, a regular risk monitoring is essential for an effective risk management process. Changes in human rights context to monitor are suggested below:

- New human rights issues in countries where business activities are conducted
- Issues that need urgent attention which affect the human rights risks of the company
- Changes in business/ operation activities
- Changes in the Company’s human rights policy/ standards and/or effectiveness of implementation
- New regulatory requirements

Human Rights Watch is a trustworthy UN source, providing an updated overview of human rights landscape at country and industry sector level.

In the case of significant changes in the new business or organizational/ project level changes, including human rights incidents, PTTEP Human Rights Risk Register shall be updated as well as revision of plan with appropriate measures to prevent the human rights consequences resulting from these factors.

8.6 COMMUNICATE AND CONSULT

Communication on human rights risk management can happen at any stage of the process.

Internal Communication: Management reporting - At the minimum, PTTEP Human Rights Risk Register should be updated on an annual basis and reported to Management Committee only for the risks identified as High.

External Communication: Human rights risk information may be disclosed to external parties, such as the PTT Group Human Rights Management System, PTTEP website, Sustainability Report, etc.

For both communications, Corporate Sustainability Team is the focal point to keep risk information in these reports up-to-date, accurate, sufficient, and appropriate and work with SUSTAINABILITY Representatives from each function to ensure that management, employee, suppliers and contractors understand PTTEP human rights risk management process through training, report, company communication, etc. by working in collaboration with PTTEP functional experts overseeing the relevant areas or stakeholders e.g. Risk management, Human Resources, Supply Chain Management, Corporate Affairs, SSHE, etc.

In the aspect of consultation, PTTEP acknowledges the UN Guiding Principles on Business and Human Rights where businesses are urged to consult human rights defender(s) if available in the areas that require consultancy as an important expert resource as part of their human rights due diligence, as human rights defenders have a key role as watchdogs, advocates and voice for affected stakeholders. The involvement of human right defenders shall be taken into consideration of the responsible parties for arising human rights issues.

9. HUMAN RIGHTS MANAGEMENT REQUIREMENT

Human Rights Management System Process is developed to help corporate functions as well as operation teams to systematically and effectively exercise holistic due diligence in assessing and addressing the human rights issues (list of internationally accepted human rights is provided in Appendix A.) Risk assessment shall be performed at least on an annual basis as part of strategic planning process and as part of due diligence process prior to key operational changes such as merger and acquisition, decommissioning, etc. For examples of potential impacts from Oil and Gas activities in each phase on stakeholder groups and due diligence checklist, refer to Appendix B and C.

In order to ensure integrated risk management, PTTEP defines human rights risk management approach at two levels, i.e. **Corporate Level** and **Operation Site Level** for appropriate roles and responsibilities and effective execution of mitigation measures. Based on the external human rights initiatives as listed in Appendix F, relevant issues are separated into 2 stakeholders groups, 1) Employees, Contractors, and Suppliers, 2) Communities, as shown in the below diagram. Scope and detailed requirements under each issue are described in Chapter 9 and are considered as PTTEP Group requirements. In implementing the HRMS, PTTEP focuses our efforts on issues and relationships in which we have greater degrees of control and influence, as outlined in the [Scope of Application](#).

Employees, Contractors, and Suppliers	Community
<ol style="list-style-type: none"> 1. Fair labor and working conditions 2. Freedom of association, freedom of expression, and the effective recognition of collective bargaining 3. Forced and compulsory labor 4. Child labor 5. Human trafficking 6. Safe and healthy working environment 7. Discrimination (Non-discrimination in respect of employment and occupation) and harassment 8. Gender equality 9. Minorities including rights of refugees and migrants 10. Digital security/privacy 11. Security management (security forces) 12. Discrimination in procurement process 	<ol style="list-style-type: none"> 1. Standard of living and quality of life 2. Access to water and sanitation 3. Community health and safety 4. Cultural heritage 5. Minorities including rights of indigenous peoples and rights of refugees and migrants 6. Land acquisition and resettlement 7. Security management (security forces)

Figure 7: Overview of Human Rights Issues relevant with PTTEP Business

9.1 EMPLOYEES, CONTRACTORS, AND SUPPLIERS

Within this component, the relevant aspects are fair labor and working conditions, freedom of association, freedom of expression, and the effective recognition of collective bargaining, forced and compulsory labor, child labor, human trafficking, safe and healthy working environment, discrimination (non-discrimination in respect of employment and occupation) and harassment, gender equality, minorities including rights of refugees and migrants, digital security/privacy, security management (security forces), and discrimination in procurement process.

9.1.1 FAIR LABOR AND WORKING CONDITIONS

Relevance:	
While many of conditions of work are required by law, some are set up by the company as a legal binding agreement between employer and workers (i.e. employees, contractors, sub-contractors, and suppliers). Conditions of work include wages, working time, rest periods, holidays, disciplinary and dismissal practice, maternity protection and welfare matters such as safe drinking water, sanitation, canteens and access to medical services ¹⁰ .	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Ensure that the conditions of work comply with national laws and regulations and are consistent with applicable international labor¹¹ standards. Company's related standards, guidelines and procedures shall be kept up to date in accordance with applicable laws and regulations. Corporate standards include but not limit to the followings: <ul style="list-style-type: none"> Fair remuneration, equal remuneration for work of equal value Prohibiting forced labor, mandatory and non-compensated overtime and compensate workers for overtime in accordance with laws Healthy and safe conditions of work Equal opportunity for promotion and employment, without discrimination Rest periods and holidays Provide two-way communication channels to inform workers (i.e. employees, contractors, sub-contractors, and suppliers) of working condition standards or regulations. Ensure effective communication between PTTEP and subsidiary companies with regards to issues related to working conditions. 	<ul style="list-style-type: none"> Ensure that the conditions of work comply with local laws and regulations. Implement corporate standards and employment regulations. Ensure the effectiveness of grievance mechanisms for workers.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Labor practices extend beyond the company's direct employees or workplace that it owns or directly controls¹². Tripartite consultation to address social issues related employment¹³. Remuneration must be enough to provide workers with a decent living for themselves and their families. Provide additional support to workers to help them achieve work-life balance such as childcare and other facilities. 	

¹⁰ ISO 26000, 2010, 6.4.4.1 Description of issue

¹¹ ISO 26000, 2010, 6.4.4.2 Related actions and expectations

¹² ISO 26000, 2010, 6.4.1.1 Organizations and labor practices

¹³ ILO, 2006, Tripartite declaration of principles concerning multinational enterprises and social policy

9.1.2 FREEDOM OF ASSOCIATION, FREEDOM OF EXPRESSION, AND THE EFFECTIVE RECOGNITION OF COLLECTIVE BARGAINING

Relevance:

Individuals have rights to assemble and gather peacefully when a gathering takes place for a specific purpose, where there is discussion or where ideas are proclaimed. Freedom of assembly encompasses the right to demonstrate in groups, whether in stationary gatherings or marches. However, this right may only be restricted by Government in circumstances that are set down in law and are necessary to protect national security, public order, or the rights and freedoms of others.

Basic Human Rights Risk Management

Corporate Supports

- Allow individuals to form or join all types of association such as political parties, religious societies, recreational clubs, non-governmental organizations, trade unions and a group of human rights defenders as long as it complies with the Company's rules and regulations and does not cause potential damage/ impact to the Company's operations and reputation. Communicate the availability of associations to workers.
- Allow the gathering of individuals where it is exercised in conformity with the reasonable requirements of country's laws¹⁴.
- Allow the formation of labor/ trade unions to function freely, subject only to limitations that are lawful and necessary to protect national security, public order or the rights of others¹⁵. Individuals should not be discriminated against because of trade union membership.
- Bargain collectively with workers or their representatives (e.g. Welfare Committee) when determining wages, working conditions, and other concerns^{16,17}.
- Not obstruct workers who seek to join their own associations (e.g. trade union) or gathering by dismissing or discriminating against them or by making any direct or indirect threat.

Operation Responsibilities

- Not obstruct workers who seek to join their own associations (e.g. trade union) or gathering by dismissing or discriminating against them or by making any direct or indirect threat.
- Communicate to workers when changes in operations would have major impacts, provide notice to the representatives of workers to jointly examine the implications.

Additional Human Rights Risk Management (Best Practice)

Corporate Supports

- Refrain from encouraging government or joining in business with organizations that restrict the exercise of the internationally recognized rights of freedom of association and collective bargaining¹⁸.
- Encourage Supplier to implement Right to have Union.

Operation Responsibilities

¹⁴ ICESCR, 1966, Article 8: Right to form trade unions and join the trade union, and the right to strike

¹⁵ ILO, 1948, Convention 87: Freedom of association and protection of right to organize

¹⁶ ILO, 1949, Convention 98: Right to organize and collective bargaining

¹⁷ UNGC, 2015, Principle 3

¹⁸ ISO 26000, 2010, 6.4.5.2 Related actions and expectations

9.1.3 FORCED AND COMPULSORY LABOR

Relevance:

The rights to freedom of forced or compulsory labor are subject to no restrictions or qualifications.^{19,20} Company risks allegations of abusing these rights if it directly makes use of slaves, forced, bonded or involuntary prison labor; in addition, company may also risk allegations of complicity if it benefits from the use of such labor by suppliers, subcontractors and other business partners¹⁹.

Company can promote the elimination of all forms of forced or compulsory labor (e.g. debt bondage, trafficking and other forms of modern slavery) when it engages through initiatives that help raise awareness about forced labor and human trafficking.

Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Ensure that all forms of forced or compulsory labor is strictly prohibited by the company^{20, 21, 22} through the development of company policies and standards. Apply company policies and standards with regards to forced or compulsory labor to suppliers and contractors. 	<ul style="list-style-type: none"> Emphasize to associated suppliers and contractors to acknowledge the corporate policy of forced/compulsory labor.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Terminate the contract when suppliers or contractors are involved in any forms of Forced or Compulsory Labor. 	<ul style="list-style-type: none"> Perform regular audit to ensure compliance of suppliers and contractors.

¹⁹ ICCPR, 1966, Article 8 Right not to be subjected to slavery, servitude or forced labor

²⁰ ILO, 1930, Convention 29: Forced labor

²¹ ILO, 1957, Convention 105: Abolition of forced labor

²² UNGC, 2015, Principle 4

9.1.4 CHILD LABOR

Relevance:	
<p>Children are recognized by the International Covenant on Civil and Political Rights (ICCPR) as being in need of special protection as required by their status as minors²³.</p> <p>Children may not be engaged to do work that is hazardous, arduous, and for which they are underpaid, or to work for the same number of hours as adults. Child laborers are frequently denied the opportunity to undertake education as a result of going to work, and their mental and physical health can suffer due to poor working conditions, long hours of work, and ill-treatment by employers²⁴.</p>	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Ensure that corporate employment policy is in compliance with the laws regarding minimum age for employment²⁵. Apply company's policies and standards related to labor to suppliers and contractors. 	<ul style="list-style-type: none"> Communicate corporate policy of labor standards to associated suppliers and contractors to acknowledge and comply with.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> If the company has child labor in the operations or within its sphere of influence, it should ensure that the children are removed from work and provided with appropriate alternative (e.g. education). Terminate the contract when suppliers or contractors are involved in child labor. 	<ul style="list-style-type: none"> Perform regular audit to ensure that suppliers and contractors are in compliance to the corporate labor standards.

²³ ICCPR, 1966, Article 24 Rights of protection for the child

²⁴ ILO, 1999, Convention 182: Worst forms of child labor

²⁵ ILO, 1973, Convention 138: Minimum age

9.1.5 SAFE AND HEALTHY WORKING CONDITIONS

Relevance:	
<p>Individuals have rights to healthy and safe conditions of work^{26, 27}. Health and safety at work concerns the promotion and maintenance of the physical, mental and social well-being of workers and prevention of harm to health caused by working conditions²⁸.</p> <p>Company's activities and products can impact on the right to health of employees, and are expected to ensure that their operations and products do not impact on the right to health of people such as employees, workers, consumers and local communities.</p>	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Develop and update occupational health policy, and related standards, guidelines, and procedures by analyzing the health and safety risks involved throughout company's activities. Develop policy, standard, or controls to prevent or minimize risk of worker exposure to hazardous chemicals. Communicate requirements to employees to acknowledge and act according to health and safety standards, guidelines, and procedures. Educate employees of health and safety issues related to occupational diseases and others such as infectious diseases (e.g. malaria, HIV/AIDS, etc.). 	<ul style="list-style-type: none"> Implement the occupational health policy and related standards, guidelines, and procedures. Minimize or eliminate the risk of worker exposure to hazardous substances in workplace. Monitor health and safety performance and investigate incidents in order to prevent or minimize them. Ensure provision/ installation of protective equipment/ tools (e.g. personal protective equipment, first aid kits, etc.).
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Even though informal workers are often not covered by local legislation, company should take steps to ensure that any persons within its supply chains are not exposed to occupational health and safety dangers. In countries where communicable diseases, such as HIV/AIDS and malaria, are prevalent, many companies may seek to assist local health care by offering treatment to employees and by supporting the health infrastructure. Offer HIV testing for workers. Process should be confidential and no discrimination should follow from the results. 	<ul style="list-style-type: none"> Build awareness and share lesson learned of cases occur within the operation.

²⁶ ICESCR, 1966, Article 7: Right to enjoy just and favorable conditions of work

²⁷ ICESCR, 1966, Article 12: Right to health

²⁸ ISO 26000, 2010, 6.4.6.1 Description of the issue

9.1.6 DISCRIMINATION (NON-DISCRIMINATION IN RESPECT OF EMPLOYMENT AND OCCUPATION) AND HARASSMENT

Relevance:	
<p>Discrimination means any distinction, exclusion or preference made that has the effect of reducing or removing altogether equality of opportunity or treatment for the victim.</p> <p>Company's activities can impact on the right of nondiscrimination of their workforce, business partners, community and customers. To promote DE&I and ensure a more diverse, equitable, and inclusive environment, each of these stakeholders should be treated without discrimination, for example, in recruitment, pay and training for workers and in the provision of services to customers. Workers are particularly vulnerable to discrimination by employers especially those employed in countries other than their own²⁹. They should not be discriminated against or harassed, nor should they be disciplined without fair procedures.</p> <p>These individuals should be protected from discrimination on different grounds including race, color, sex, language, religion, political or other opinion, national or social origin, property, and birth or other status (e.g. HIV/AIDS, disability, marital status, age and sexual orientation)³⁰.</p>	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Develop corporate policy to promote DE&I and confirm commitment against discrimination based on race, color, gender, religion, national extraction, social origin, political opinion, age, disability, or other status (e.g. HIV/AIDS, marital status, etc.). Ensure that company has no discrimination in the hiring policies and procedures, employment conditions, access to training and promotion, remuneration³¹ and termination of employment. Promote DE&I in the workplace. This may take the form of permitting employees to observe religious holidays, wear traditional attire, or through the provision of employment opportunities for minorities. 	<ul style="list-style-type: none"> Implement corporate policy and related standards, guidelines, and procedures. Prevent or minimize the risk of workforce exposure to discrimination and harassment. Monitor whether discrimination exists and support during investigation with respect to each allegation to ascertain all relevant facts relating to the complaint
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Provide assistance for the protection and advancement of vulnerable groups (e.g. establishing workplace for persons with disabilities, promoting of employment for youth and elder workers, equal employment opportunities, balancing representation of women in senior positions). Prevent harassment in workplace through regular assessment of impacts of company's policies and activities on promotion of equal opportunities and non-discrimination³². 	

²⁹ Migration for Employment Convention (Revised), 1949 (No. 97) and Migrant Workers (Supplementary Provisions) Convention, 1975 (No. 143)

³⁰ ILO Guidelines for fair recruitment for decent of migrant labor for Enterprises

³¹ ILO, 1951, Convention 100: Equal remuneration

³² ISO 26000, 2010, 6.3.10.3 Related actions and expectations

9.1.7 GENDER EQUALITY

Relevance:	
<p>The Company's activities can impact the right of nondiscrimination based on gender of their workforce, business partners and customers. To promote DE&I and ensure a more diverse, equitable, and inclusive environment, each of these stakeholders should be treated without discrimination, for example, in recruitment, pay and training for workers and in the provision of services to customers. Individuals should be protected from discrimination on gender.</p>	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Develop corporate policy to promote DE&I and confirm commitment against discrimination based on gender. Ensure that company applies general principles on DE&I in the hiring policies and procedures, employment conditions, access to training and promotion, remuneration and termination of employment. Promote DE&I in their workplace and encourage to raise concern through grievance mechanism. 	<ul style="list-style-type: none"> Implement corporate policy and related standards, guidelines, and procedures regarding nondiscrimination. Monitor to prevent the discrimination practice based on gender in working areas.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Provide assistance for the protection and advancement of vulnerable groups (e.g. equal employment opportunities, balancing representation of diverse gender in senior positions). 	<ul style="list-style-type: none"> Prevent harassment in workplace through regular assessment of impacts of company's policies and activities on promotion of equal opportunities and non-discrimination.

9.1.8 MINORITIES INCLUDING RIGHTS OF REFUGEES AND MIGRANTS

Relevance:	
<p>The Company may find itself dealing with an evolving set of claims and social pressures at the intersection of corporate activity and minorities, refugees and migrants rights. Potential human rights issues may also include the right to work, right to health, right to minorities, etc. As part of the Company's commitment to DE&I, the Company is to consider these specific rights when engaging with minorities, refugees and migrants and informing them about potential impacts, benefits, and plans.</p>	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Develop approaches (i.e. guidelines, standards, and procedures) to interact/ engage and deal with the sensitive issues such as resettlement which must be in compliance to corporate Human Rights Policy, laws, and relevant requirements supporting rights of minorities e.g. UN Declaration on the Rights of Indigenous Peoples, ICCPR Article 27: Right of minorities, etc.). Apply free, prior and informed consent of all impacted/ relevant individuals including community, minority including indigenous people, refugees and migrant. Ensure the equality of accessibility and engagement with specific groups such as minorities (including indigenous, refugees and migrants). 	<ul style="list-style-type: none"> Implement effective process for meaningful engagement with specific groups such as minorities including indigenous peoples, refugees and migrants. Ensure that views of minority employees, contractors and suppliers are understood and taken into considerations. In case where indigenous peoples exist in the operational areas, ensure to understand the context and conditions of the environment or cultural believes, prior to the engagement with this groups of stakeholders.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Promote the implementation of minorities' related corporate guidelines, standards, and procedures to all employees, contractors, and suppliers in non-operated joint ventures. Contribute to the capability of migrant workers 	<ul style="list-style-type: none"> None

9.1.9 DIGITAL SECURITY/PRIVACY

Relevance:

Increasing use of online communication (including for financial transactions) raise concerns about how employee, contractor or supplier privacy can be protected, particularly with regard to personally identifiable information. Employee, contractor and supplier data protection and privacy are intended to safeguard employees, contractors and suppliers' rights of privacy by limiting the types of information gathered and the ways in which such information is obtained, used and secured.

Organizations can help to maintain their credibility and the confidence of employees, contractors and suppliers through the use of rigorous systems for obtaining, using and protecting their data.

Basic Human Rights Risk Management

Corporate Supports

- Develop a policy for customers and consumers' personal data collection that is essential for the provision of products and services or provided with the informed and voluntary consent of the consumer should be under limit.
- Develop a policy and measures to obtain data by lawful and fair means, including to inform customer and consumer objectives of personal data collection.
- Develop a policy and measures to ensure that consumer personal data is not disclosed, made available or otherwise used for purposes other than those specified, including marketing, except with the informed and voluntary consent of the consumer or when required by the law.

Operation Responsibilities

- Provide protection of personal data by adequate security safeguards.
- Monitor and report performance according to personal data privacy measurement.

Additional Human Rights Risk Management (Best Practice)

Corporate Supports

- Should be open about developments, practices and policies regarding personal data, and provide readily available ways of establishing the existence, nature and main uses of personal data.
- Should disclose the identity and usual location of the person accountable for data protection in the organization (sometimes called the data controller), and hold this person accountable for complying with the above measures and applicable law.

Operation Responsibilities

- Provide training or workshop on personal data privacy on a regular basis.

9.1.10 SECURITY MANAGEMENT (SECURITY FORCES)

Relevance:	
Working in high-risk locations may require the use of local security forces to assist in providing protection to the assets. This will require compliance with certain guidelines to ensure staff, suppliers, contractors or visitors do not have their safety, security compromised. The term security forces may include military, police or private security agencies.	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Develop corporate standards, guidelines, and/ or procedures that incorporate human rights considerations to assist workers in managing security personnel /forces. These documents may be based on the Voluntary Principles on Security and Human Rights³⁷ and/ or basic principles on the use of force and firearms by United Nations Human Rights³⁸. Analyze and assess risks associated with the provision of security (e.g. security selection, impacts of using security in the operational area). Incorporate human rights requirements as part of contractual agreements of security providers and communicate to business partners. Establish a process of reporting alleged human rights issues by security providers. 	<ul style="list-style-type: none"> Implement corporate standards, guidelines, and /or procedures related to the security management. Monitor of security arrangements. Report alleged human rights issues by security providers.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Guidelines and management processes on security in the areas of operations are consistent with the Voluntary Principles on Security and Human Rights and/ or United Nations Use of Force Guidelines. Engage with local authorities regarding security arrangements. 	<ul style="list-style-type: none"> Monitor the use of equipment provided by security provider company.

³⁷ The Voluntary Principles on Security and Human Rights, http://www.voluntaryprinciples.org/wpcontent/uploads/2013/03/voluntary_principles_english.pdf

³⁸ Basic Principles on the Use of Force and Firearms by Law Enforcement Officials, <http://www.ohchr.org/EN/ProfessionalInterest/Pages/UseOfForceAndFirearms.aspx>

9.2 COMMUNITIES

Within this component, the relevant aspects are standard of living and quality of life, access to water and sanitation, community health and safety, cultural heritage, minorities including rights of indigenous peoples and rights of refugees and migrants, land acquisition and resettlement, and security management (security forces).

9.2.1 STANDARD OF LIVING AND QUALITY OF LIFE

Relevance:	
<p>The right includes access to adequate standard of living including adequate food, clothing, housing and continuous improvement of living conditions, including sufficient water and sanitation³³.</p> <p>The Company may find its activities impact on the right to adequate housing if it is involved in land transactions that require population relocation or forced evictions, be this as landlords or to accommodate development projects or natural resource exploration. Forced evictions are not inconsistent with the right to adequate housing if procedural safeguards – such as comprehensive impact assessments, prior consultation and notification, provision of legal remedies, fair and just compensation, and adequate relocation – are deployed to minimize the adverse impacts, including on specific groups such as women and indigenous peoples.</p>	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Ensure that all risks that can potentially have impacts on the community's standard of living are identified and assessed for the levels of impacts. Ensure that company's activities do not cause direct or indirect impacts to community. Develop mitigation and preventive measures to control impacts on community. 	<ul style="list-style-type: none"> Engage locally with relevant stakeholders to discuss about concerns related to standard of living and quality of life and agree upon appropriate solutions. Implement mitigation and preventive measures to control impacts on community. Monitor and report performance or impacts.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Improve quality of life of community through social and community development projects. 	<ul style="list-style-type: none"> None

³³ ICESCR, 1966, Article 11: Right an adequate standard of living

9.2.2 ACCESS TO WATER AND SANITATION

Relevance:	
<p>The Company assesses water-related risks to identify sanitation impacts when withdrawing water from local sources and/or discharging wastewater from its operations. There is a risk that the Company exerts pressure on water-stressed areas, limiting the community's ability to access sufficient amount of clean water. The Company also focuses on efficiency of water use in water-stressed area to ensure no impact to the community. The Company should also ensure that water discharged from operations does not pollute water sources that support surrounding communities.</p>	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Ensure that water use and water supply, supporting communities and the project, are assessed for water stress levels. Ensure that the company's activities do not adversely impact water quality and quantity of, and access to water bodies that support surrounding communities. Ensure that appropriate measures are implemented to prevent or mitigate water conflicts with local communities. 	<ul style="list-style-type: none"> Report water activities' data related to the water stress area to Corporate. Ensure that the company's activities do not adversely impact water quality and quantity of, and access to water bodies that support surrounding communities. Ensure that appropriate measures are implemented to prevent or mitigate water conflicts with local communities.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Collaborate with nonprofit organizations and relevant agencies on improving access to clean water and sanitation for communities in need. 	<ul style="list-style-type: none"> None

9.2.3 COMMUNITY HEALTH AND SAFETY

Relevance:	
<p>There is a risk that the company may face close scrutiny over the policies and systems it has in place to ensure that pollution does not negatively impact on the right to health of workers and members of surrounding communities. The accountability of the company also depends on how it manages community's health and safety to ensure that its activities do not result in negative impacts on both workers and communities.</p>	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> • Ensure risks and impacts to community's health and safety are properly assessed for all company's activities. • Ensure adequate preventive measures and/or mitigation are developed to address the issues and minimize negative impacts. • Monitor impacts and measure implementation. • Raise awareness about health threats and major diseases and their prevention such as HIV/AIDS, malaria, tuberculosis, etc. 	<ul style="list-style-type: none"> • Engage with relevant stakeholders in communities and host country to understand the context of community's health, safety and security status or concerns as well as their approach to resolve issues. • Identify risks that company's activities could impact the community's health and safety status including assessing direct and indirect impacts. • Develop and implement mitigation measures. • Monitor impacts and report on performance.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> • Participate in public health campaigns. • Promote good health by contributing to access to medicines and vaccination and encouraging healthy lifestyles (e.g. exercise, good nutrition, early detection of diseases, annual health check-up, etc.) 	<ul style="list-style-type: none"> • Ensure that related organization including Suppliers and Contractors are made aware of human rights risks relevant to their activities on community health and safety.

9.2.4 CULTURAL HERITAGE

Relevance:	
Company's activities and project development can have impacts to cultural heritage sites. Company should identify and assess potential impacts to the sites in order to protect cultural heritage from the adverse impacts from project activities ³⁴ . Findings should be taken into account in the design of the relevant projects and ensure its preservation.	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Ensure cultural heritage and traditions of community are not adversely impacted by company's activities. In cases where company's activities may pose potential significant impacts on the cultural heritage, ensure that measures for conservation and protection are appropriately applied. 	<ul style="list-style-type: none"> Implement preventive measures to protect cultural heritage. Inform and ensure that contractors or suppliers are aware of the company's approach in preserving the cultural heritage and are in compliance with the identified measures.
Additional Human Rights Risk Management (Best Practice)	
<ul style="list-style-type: none"> Promote cultural activities where appropriate, recognize and value the local cultures and cultural traditions, consistent with the principle of respect for human rights. 	

³⁴ IFC Performance Standard 8 Cultural Heritage, 2012

9.2.5 MINORITIES INCLUDING RIGHTS OF INDIGENOUS PEOPLES AND RIGHTS OF REFUGEES AND MIGRANTS

Relevance:

Company may find itself dealing with an evolving set of claims and social pressures at the intersection of corporate activity and indigenous rights. Potential human rights issues may also include the rights of minorities, right to self-determination, and right to a cultural life. These specific rights are to be considered when engaging with indigenous peoples and informing them about potential impacts, benefits, and plans.

Consultation is crucial and should take place with indigenous and minority communities whenever decisions are made that may impact on their lands, livelihoods and culture. The claims of minorities will sometimes come into conflict with economic development projects. The affected peoples should be involved in the consultation process where their concerns and cultural needs taken into account in the design of the relevant projects.

Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Develop approaches (i.e. guidelines, standards, and procedures) to interact/ engage and deal with the sensitive issues such as resettlement which must be in compliance to corporate Human Rights Policy, laws, and relevant requirements supporting rights of minorities e.g. UN Declaration on the Rights of Indigenous Peoples, ICCPR Article 27: Right of minorities, etc.). Apply free, prior and informed consent of all impacted/ relevant individuals including community, minority including indigenous people, refugees and migrant. Ensure the equality of accessibility and engagement with specific groups such as minorities (including indigenous, refugees and migrants). 	<ul style="list-style-type: none"> Implement effective process for meaningful engagement with specific groups such as minorities including indigenous peoples, refugees and migrants. Ensure that views of minority communities are understood and taken into considerations. In cases where indigenous peoples exist in the operational areas, ensure to understand the context and conditions of the environment or cultural believes, prior to the engagement with this groups of stakeholders.
Additional Human Rights Risk Management (Best Practice)	
<ul style="list-style-type: none"> Promote the implementation of minorities' related corporate guidelines, standards, and procedures to all employees, contractors, and suppliers in non-operated joint ventures. Contribute to the capability of indigenous communities. 	<ul style="list-style-type: none"> None

9.2.6 LAND ACQUISITION AND RESETTLEMENT

Relevance:	
<p>Land acquisition for project development and operations by the Company can have consequences for the homes, shelters, and sources of livelihood in a community, such as those dependent on land-based or marine activities like fishing or farming. Resettlement is required to address the social and economic impacts on the affected people and ensure they are adequately compensated and provided with opportunities for a new life in a different location.</p>	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Develop approach for resettlement (i.e. guidelines, standards, and procedures) which is consistent with international standards from United Nations High Commissioner for Refugees (UNHCR), IFC, etc. Use informed decision-making where practicable in project planning on resettlement including: <ul style="list-style-type: none"> Avoid the need for resettlement or reduce the scope of resettlement required Replace land with land Replace assets with assets Provide monetary compensation if above is not practicable Engage in meaningful consultation with communities to inform them of potential impacts. Apply free, prior and informed consent of all impacted/ relevant individuals including community, minority including indigenous people, etc. Ensure the monitoring and assessment of indicators that reflect the successful resettlement. When resettlement is unavoidable, commit to work collaboratively and transparently with local communities, including indigenous peoples. 	<ul style="list-style-type: none"> Effectively apply corporate approach for resettlement. Develop ongoing monitoring for mitigation measures.
Additional Human Rights Risk Management (Best Practice)	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Involuntary resettlement should be conceived as an opportunity for improving the livelihoods of the affected people. 	

9.2.7 SECURITY MANAGEMENT (SECURITY FORCES)

Relevance:	
Working in high-risk locations may require the use of local security forces to assist in providing protection to the assets. This will require compliance with certain guidelines to ensure staff, suppliers, contractors or visitors do not have their safety/security compromised. The term security forces may include military, police or private security agencies.	
Basic Human Rights Risk Management	
Corporate Supports	Operation Responsibilities
<ul style="list-style-type: none"> Develop corporate standards, guidelines, and/or procedures that incorporate human rights considerations to assist workers in managing security personnel /forces. These documents may be based on the Voluntary Principles on Security and Human Rights³⁷ and/ or basic principles on the use of force and firearms by United Nations Human Rights³⁸. Develop training modules for security providers and train the trainers to be able to deliver key messages with regards to human rights related issues to security providers. Analyze and assess risks associated with the provision of security (e.g. security selection, impacts of using security in the operational area). Incorporate human rights requirements as part of contractual agreements of security providers and communicate to business partners. Establish a process of reporting alleged human rights issues by security providers. 	<ul style="list-style-type: none"> Implement corporate standards, guidelines, and /or procedures related to the security management. Train security providers regularly. Monitor of security arrangements. Report alleged human rights issues by security providers.
Additional Human Rights Risk Management (Best Practice)	
<ul style="list-style-type: none"> Guidelines and management processes on security in the areas of operations are consistent with the Voluntary Principles on Security and Human Rights and/ or United Nations Use of Force Guidelines. Build internal awareness on managing security in a manner that respects human rights. Engage with local authorities regarding security arrangements. 	<ul style="list-style-type: none"> Monitor the use of equipment provided by security provider company.

³⁷ The Voluntary Principles on Security and Human Rights, http://www.voluntaryprinciples.org/wpcontent/uploads/2013/03/voluntary_principles_english.pdf

³⁸ Basic Principles on the Use of Force and Firearms by Law Enforcement Officials, <http://www.ohchr.org/EN/ProfessionalInterest/Pages/UseOfForceAndFirearms.aspx>

APPENDIX A. LIST OF HUMAN RIGHTS ARTICLES AND DEFINITION

Human Rights Articles	Definition
Right to life. (ICCPR 6, UDHR 3)	<p>The right to life entails the right not to be deprived of life arbitrarily or unlawfully, and the right to have one's life protected.</p> <p>The right not to have one's life taken away by arbitrary killing is a fundamental right and includes a duty on governments to investigate such killings and punish offenders.</p>
Right to an adequate standard of living (Housing, Food, Water & Sanitation). (UDHR 25; ICESCR 11)	<p>Article 11 of the ICESCR guarantees the right to an adequate standard of living including adequate food, clothing, housing and continuous improvement of living conditions. It has also been interpreted as including access to sufficient water and sanitation.</p> <p>a) Right to adequate housing</p> <p>The right to adequate housing encompasses more than the provision of basic shelter; it is the right to live somewhere in security, dignity and peace. This means that housing or shelter must fulfil certain basic criteria, such as security of tenure, availability of utilities and other services (e.g. sewage facilities and access to safe drinking water), affordability, habitability, accessibility, location and cultural adequacy of housing. Governments should take progressive steps towards the achievement of all aspects of the right.</p> <p>b) Right to food</p> <p>Food is vital for human survival and also essential as a means to fully enjoy all other rights. The human rights to adequate food implies that food should be available and accessible to people in a quantity and of a quality sufficient to satisfy their nutritional needs, free from harmful substances, and acceptable to their culture. The right to food includes the possibilities for individuals to feed themselves and their family directly by productive land and other natural resources (e.g. farming, animal husbandry, fishing, hunting and food gathering), as well as to purchase foods at markets and stores. Various steps should be taken by States to improve methods of production, conservation and distribution of food through, for example, the development of better farming systems, as well as ensuring an equitable distribution of world food supplies in relation to need.</p>
Right of detained persons to humane treatment. (ICCPR 10)	<p>The right of detained persons to humane treatment provides special protection for detainees, a group that is highly vulnerable to human rights abuses.</p>
Right to education. (UDHR 26; ICESCR 13 and 14)	<p>The aim of the right to education is "the full development of the human personality and sense of dignity". Articles 13 and 14 of the ICESCR guarantee all children the right to free and compulsory primary education.</p>

Human Rights Articles	Definition
Right to equality before the law, equal protection of the law, non-discrimination. (UDHR 7; ICCPR 26; ILO No. 111)	<p>This right guarantees equality before the law, and the equal protection of the law without discrimination. Individuals should be protected from discrimination on different grounds including race, color, sex, language, religion, political or other opinion, national or social origin, property, and birth or other status. The latter ground is open-ended and has been interpreted to include statuses such as health status (e.g. HIV/AIDS), disability, marital status, age and sexual orientation.</p> <p>Discrimination means any distinction, exclusion or preference made on one or more of the grounds listed above that has the effect of reducing or removing altogether equality of opportunity or treatment for the victim.</p>
Right to enjoy just and favorable conditions of work (including rest and leisure). (UDHR 23 and 24; ICESCR 7)	The right to enjoy just and favorable working conditions has various components, which are all highly relevant to the actions of companies as they concern the treatment of employees. Companies can have a significant impact on the enjoyment of the various rights in Article 7 of the ICESCR in their capacity as employers.
Right to be free from retroactive criminal law. (UDHR 11; ICCPR 15)	The right to freedom from retroactive criminal law prohibits the State from imposing criminal penalties for an act done that was not illegal at the time it was committed. It also prevents States from imposing heavier penalties for crimes than those that were prescribed at the time the crime was committed.
Right to freedom from war propaganda, and freedom from incitement to racial, religious or national hatred. (UDHR 7; ICCPR 20)	This right requires the prohibition of war propaganda and the prohibition of any advocacy of national, racial or religious hatred that amounts to incitement to discrimination, hostility or violence. Therefore, the right carves out an area of speech that is not protected by the right to freedom of expression in Article 19 of the ICCPR.
Right to freedom of association. (UDHR 20; ICCPR 22; ILO No. 87)	Article 22 of the ICCPR protects the right to form or join all types of association such as political parties, religious societies, sporting and other recreational clubs, non-governmental organizations and trade unions.
Right to freedom of movement. (UDHR 13; ICCPR 12)	This right has four parts. It allows people who are lawfully in a country to move freely throughout the country, to choose where to live within the country, and to leave the country. These three parts of the right may be limited by restrictions on movement that are necessary to protect national security, public order, public health or morals, or the rights and freedoms of others. The right to freedom of movement also gives people the right not to be arbitrarily prevented from entering their own country.
Right to freedom of opinion, information and expression. (UDHR 19; ICCPR 19)	<p>Article 19 protects the right of each person to hold opinions free from outside interference. This right cannot be restricted in any circumstances.</p> <p>Article 19 also protects the right to freedom of expression, which is the right to seek, receive and impart ideas in whatever media or form. This right can be restricted by measures provided by law and necessary to protect the rights or reputations of others, or to protect national security, public order, public health or morals.</p>

Human Rights Articles	Definition
Right to freedom of thought, conscience and religion. (UDHR 18; ICCPR 18)	<p>The right to freedom of thought, conscience, and religion encompasses a person's freedom to choose, practice and observe his or her chosen religion or belief. The freedom also protects atheists and the right not to profess any religion or belief.</p> <p>The right to manifest a religion or belief includes the right to worship, as well as to teach and observe rituals such as the wearing of particular clothes or headwear.</p>
Right to health. (UDHR 25; ICESCR 12)	<p>This right recognizes the highest attainable standard of physical and mental health. States must take measures to prevent, treat and control diseases, reduce infant mortality and provide for the healthy development of children, improve all aspects of industrial and environmental hygiene, and to create conditions that will ensure universal access to appropriate medical services and medical attention in the event of sickness.</p> <p>The right includes the right to control over one's health and body, including reproductive and sexual rights, and freedom from interference, such as freedom from non-consensual medical treatment and experimentation. People must have access to the underlying building blocks of good health, such as adequate nutrition, housing, safe and potable water, adequate sanitation, medical supplies, healthy working conditions and a healthy environment.</p>
Rights of minorities. (ICCPR 27)	<p>This right recognizes the rights of members of ethnic, religious or linguistic minorities to enjoy their own culture, to practice their religion, and to speak their language.</p> <p>Indigenous peoples are included within the protection of Article 27 of the ICCPR. Their interests may also be protected under Article 1 (the right to self-determination) of both International Covenants (ICCPR and ICESCR). Article 27 also applies to migrants, including recently arrived migrants.</p>
Right of protection for the child. (UDHR 25; ICCPR 24; ILO No. 182)	<p>Children are recognized by this right as being in need of special protection as required by their status as minors.</p> <p>The duty to protect a child attaches to his or her family, community and the State. A child has the right to be registered and given a name immediately after being born, and the right to acquire a nationality.</p> <p>The age at which a child achieves majority and no longer requires the protections of Article 24 of the ICCPR is determined by governments in light of the relevant social and cultural conditions, so long as the age of majority is not unreasonably low or high.</p>
Right to recognition of a person before the law. (UDHR 6; ICCPR 16)	<p>Article 16 guarantees that an individual be endowed with the capacity to be a person before the law. That is, a human being must be recognized as a person with 'legal personality'. Examples of breaches of this Article are laws that treat married women as the property of their husbands, children as the property of their parents, or the property of a married woman as the property of her husband.</p>

Human Rights Articles	Definition
Right to access to effective remedies. (UDHR 8; ICCPR2)	This right, and in particular, Article 2 of the ICCPR contains the general obligations for a State to respect and ensure that all individuals within its territory, and subject to its jurisdiction, enjoy the rights recognized in the Convention without discrimination; it also underscores the right to provision of an effective remedy for victims.
Right to have a nationality. (UDHR 15)	It is rare that the activities of a company would have any direct or indirect impacts upon this right, though they may be complicit in the abuses of this right by others.
Right to freedom of assembly. (UDHR 20; ICCPR 21)	The right to assemble and gather together peacefully is protected by Article 21 of the ICCPR. Assembly in this context may refer to a gathering that takes place for a specific purpose, where there is public discussion, or where ideas are proclaimed.
Right to a fair trial. (UDHR 10; ICCPR 14)	<p>The right to a fair trial and equality before the courts is required in both criminal and civil proceedings to ensure the proper administration of justice. The rights include the entitlement to a public hearing before an impartial court or tribunal.</p> <p>Criminal proceedings demand extra guarantees for the accused such as the presumption of innocence, the right to examine witnesses on an equal basis with the prosecution, the right to an interpreter if the defendant does not understand the language used in the court, and the right to a review of conviction and sentence by a higher tribunal according to law.</p>
Right to liberty and security (including freedom from arbitrary arrest, detention or exile). (UDHR 3 and 9; ICCPR 9)	<p>The rights to liberty and security of person prohibit unlawful or arbitrary detention of any kind.</p> <p>'Arbitrary' (or unreasonable) detention is prohibited even if authorized under a state's domestic laws. This Article recognizes the right to security of people, whether in or out of detention. This part of the Article has the greatest potential relevance for companies. Security of the person encompasses protection from physical attacks, threats of physical attack, or other severe instances of harassment.</p>
Right to marry and form a family. (UDHR 16; ICCPR 23; ICESCR 10)	The right to family life requires protection of the family by society and the State. The concept of a family varies throughout the world; each society's own definition of a family is generally applied. This includes the rights of men and women of marriageable age to marry and start a family, and for marriage to be entered into freely and with full consent. According to this right, the widest possible protection and assistance should be given to the family, particularly during its establishment, and while it is responsible for the care and education of dependent children.
Right to own property. (UDHR 17; ICESR 15)	The right to property ensures that everyone is entitled to own property alone as well as in association with others. No one shall be arbitrarily deprived of his property.

Human Rights Articles	Definition
Right to privacy. (UDHR 12; ICCPR 17)	<p>This right protects people against arbitrary, unreasonable or unlawful interference with their privacy, family, home or correspondence, as well as attacks on their honor and reputation.</p> <p>'Arbitrary', or unreasonable, restrictions on privacy are prohibited even if authorized under a State's domestic laws.</p> <p>Governments have duties to protect against interferences with privacy by State agents or private bodies such as employers and the media. Arbitrary', or unreasonable, restrictions on privacy are prohibited even if authorized under a State's domestic laws. Governments have duties to protect against interferences with privacy by State agents or private bodies such as employers and the media.</p>
Right to seek asylum from prosecution in other countries. (UDHR 14)	<p>It is rare that the activities of a company would have any direct or indirect impacts upon this right, though they may be complicit in the abuses of this right by others.</p>
Right to social security, including social insurance. (UDHR 22; ICESCR 9)	<p>The right to social security encompasses the right to access and maintain benefits without discrimination. Governments are obliged to make available a system of social security. Such systems may involve contributory or insurance-based schemes, which normally entail compulsory contributions from the beneficiary and the beneficiary's employer (and sometimes the State), as well as universal or targeted schemes funded out of the public purpose. The right is essential in combating poverty, given its redistributive character; its realization can, for example, have a significant impact on the enjoyment of other related rights, such as the right to an adequate standard of living and the right to health.</p>
Right to work. (UDHR 23; ICESCR 6)	<p>The right to work recognizes the right of everyone to the opportunity to make their living by work which they freely choose or accept.</p> <p>This implies that one should not be forced to engage in employment and that States develop a system designed to guarantee all workers access to employment. Workers should not be unfairly deprived of employment. Work as specified in Article 6 of the ICESCR must be 'decent work', that is work that respects a person's human rights including workers' rights regarding conditions of remuneration and work safety. The right to work includes the prohibition of arbitrary dismissal.</p>
Right to self-determination. (ICCPR 1, ICESCR 1)	<p>This right allows peoples to determine their political status and their place in the international community. It includes the right of peoples to develop and progress in social, economic and cultural terms, to dispose of their land's natural resources and wealth, and not to be deprived of their own means of subsistence.</p> <p>The right to self-determination is concerned with freedom from domination by an alien power. It is a collective or group right held by 'peoples', often understood as peoples under colonial or comparable rule. The right of self-determination of indigenous peoples has also been recognized by the international community. As a right enjoyed by a group, it differs from most other human rights, which are framed as rights of the individual.</p>

Human Rights Articles	Definition
Right not to be subjected to slavery, servitude or forced labor. (UDHR 4; ICCPR 8; ILO No. 29; ILO No. 105)	<p>Slavery occurs when one human being effectively owns another. The right to freedom from servitude covers other forms of dominance, egregious economic exploitation, and degradation of human beings, which might arise for example in the context of the trafficking of workers (including sex workers), serfdom and debt bondage. Given the extreme nature of these human rights abuses, the rights to freedom from slavery and servitude are subject to no restrictions or qualifications.</p> <p>Forced or compulsory labor is also prohibited, and is defined by the International Labor Organization (ILO) as 'all work or service which is exacted from any person under menace of any penalty and for which the said person has not offered himself voluntarily.'</p>
Right not to be subjected to imprisonment for inability to fulfill a contract. (ICCPR 11)	This right prohibits the imprisonment of people who are unable to pay a debt when the debt in question is a private obligation (rather than a public debt such as the obligation to pay tax) and arises when a person is incapable (as opposed to unwilling) of paying the debt or fulfilling the contract.
Right to participate in public life. (UDHR 21; ICCPR 25)	<p>The right to participate in public life concerns the ability of citizens to take part in the conduct of public affairs and to freely choose representatives to perform governmental functions on their behalf.</p> <p>This right also delineates specific aspects of the right to political participation such as the rights to vote and to be elected in free and fair elections, and a right of equal access to positions within the public service. It is important that information and ideas about public and political issues are communicated freely.</p>
Right not to be subjected to torture, cruel, inhuman and/or degrading treatment or punishment. (UDHR 5; ICCPR 7)	<p>This right has a special status in international human rights law and is subject to no restrictions or provisos in any circumstances. Torture is the most serious of the prohibited acts of ill treatment: it involves a very high degree of pain and suffering that is intentionally inflicted for a particular purpose (e.g. extracting a confession).</p> <p>Cruel and/or inhuman treatment also entails severe suffering of the victim, though of a lesser scale than 'torture'. Degrading treatment is characterized by extreme humiliation of the victim.</p>
Right to form trade unions and join trade unions, and the right to strike. (UDHR 23; ICESCR 8; ILO No. 98)	Article 8 of the ICESCR concerns the right of everyone to form trade unions and to join the trade union of his or her choice, subject to the union's own membership rules. This right may only be restricted by States in circumstances that are set down in law and are necessary to protect national security, public order, or the rights and freedoms of others.
Right of aliens due process when facing expulsion. (ICCPR 13)	This right ensures that foreigners ('aliens') who are legally present in a country are not expelled from that country without due process in accordance with the law, including the right for an alien to be given the opportunity to present reasons why he or she should not be expelled and to have any expulsion decision reviewed.

Human Rights Articles	Definition
<p>Right to take part in cultural life, benefit from scientific progress, material and moral rights of authors and inventors. (UDHR 27; ICESCR 15)</p>	<p>Article 15 of the ICESCR guarantees the right to take part in the cultural life of society. It also guarantees the rights of all to enjoy the benefits of scientific progress. Its application is designed to ensure that everyone in society can enjoy technological advances, in particular disadvantaged groups.</p> <p>That right includes the right of everyone to seek and receive information about new scientific advancements and to have access to any developments that could enhance their quality of life. Finally, Article 15 guarantees a person protection of the moral and material interests resulting from any scientific, literary or artistic production of which he or she is the author.</p>

APPENDIX B. EXAMPLES OF POTENTIAL HUMAN RIGHTS IMPACTS ASSESSMENT

Value Chain	Human Rights Issues	Employee	Suppliers and Contractors	Affected Communities
Land Acquisition/ Resettlement	Security incidents, land grabbing, human rights defenders	E.g., Staff are required to carry out resettlement processes amidst strong resistance and conflict with affected communities, exposing them to risks to their safety - Rights to Life, Liberty and Security of the Person, Right to Highest Attainable Standard of Health.	E.g., Contractor staff from local communities are involved in activities to acquire land in the face of local opposition, exposing them to retaliation by other community members - Right to Security of the Person.	E.g., Compensation policies and processes are flawed, such as compensating for crops not land, below market rate compensation, or failure to compensate individuals who hold customary title to the land – Right to an Adequate Standard of Living, Right to Housing.
Drilling/ Seismic Testing	Safety, working conditions, access to land/fishing grounds and sacred sites, environmental impacts	E.g., Staff are pressured to obtain access agreements from resistant local landowners under extreme time pressure, leading to severe stress – Right to Highest Attainable Standard of Health.	E.g., In remote areas, contractor staff are provided with poor living and housing conditions in worker camps – Right to Just and Favorable Conditions of Work, Right to Highest Attainable Standard of Health.	E.g., Communities have restricted access to land/ fishing grounds due to drilling/ dredging activities/ seismic campaigns and are not provided with appropriate compensation – Right to an Adequate Standard of Living, Right to Food, Right to Liberty of Movement.
Construction of Facilities/ Pipelines	Safety, working conditions, recruitment practices, effects on standard of living	E.g., Staff are pressured to work excessive amounts of overtime, or to abstain from taking religious holidays, to meet a project schedule – Right to Just and Favorable Conditions of Work, Nondiscrimination.	E.g., Migrant workers' passports are taken away by recruitment and employment agencies supplying workers for construction, and/or such workers are subjected to high fees, placing them in a position of bonded labor – Freedom from all forms of Forced or Compulsory Labor.	E.g., Access to land needed for cattle grazing is restricted due to a pipeline route, with inadequate consultation and compensation; or the pipeline route blocks children's route to school, with inadequate consultation and mitigation measures – Right to an Adequate Standard of Living, Right to Education.

Asset Operations/ Operation Support (Onshore, Offshore)	Safety, oil spills and leaks, environmental impacts, climate change	E.g., Use of force by security providers leads to threats from local community against company workers – Rights to Life, Liberty and Security of the Person.	E.g., Private security providers lack opportunity to join a legitimate trade union – Right to Form and Join a Trade Union and Right to Collective Bargaining.	E.g., Security providers use force to break up a peaceful community protest – Right to Security of the Person, Freedom of Assembly.
Pipeline/ Logistics Operations	Safety, oil spills and leaks, environmental impacts, climate change	E.g., Staff are exposed to petrochemicals without adequate preparation and training for handling potential industrial risks – Right to Highest Attainable Standard of Health.	E.g., Contractor staff lack adequate protective equipment during the clean-up of spills/leakages – Right to Highest Attainable Standard of Health, Right to Just and F.	E.g., Air and water emissions are not effectively controlled, impacting on local community's land and environment – Right to an Adequate Standard of Living, Right to Highest Attainable Standard of Health, Right to Food, Right to Access to Clean Water and Sanitation.
Planning/ Execution of Decommissioning	Safety, payment and benefits, rehabilitation, consultation	E.g., Agency workers are given risky decommissioning work and no follow up health checks - Right to Just and Favorable Conditions of Work; Right to Highest Attainable Standard of Health.	E.g., Contractor staff are dismissed without payment of benefits due to them - Right to Just and Favorable Conditions of Work.	E.g., Lack of proper rehabilitation of industrial sites leads to long-term pollution resulting in erosion of food and water resources over time – Right to an Adequate Standard of Living, Right to Food, Right to Water and Sanitation, Right to Highest Attainable Standard of Health.

APPENDIX C. HUMAN RIGHTS DUE DILIGENCE CHECKLIST

The Human Rights Due Diligence Checklist is to be used as part of process to enter into a new country, region, area, and new joint venture in order to screen human rights related risks associated with the potential partners, countries, or areas of projects or operations. Business Development (BD) Team may consult current Country Level risks index and issues available through the Universal Human Rights Index Database to screening if BD support team shall ensure the Human Rights Risk is scrutinized during the due diligence process. Database can be accessed at <https://www.ohchr.org/en/hrbodies/pages/universalhumanrightsindexdatabase.aspx>

The human rights due diligence checklist below is provided as a simple tool for BD project manager's consideration together with the country based human rights risks index as reference (e.g. annual World Report by Human Rights Watch). Business Development (BD) shall include the evaluation results for the Investment Committee as part of Project Evaluation. In case Human Rights risks are identified and the acquisition/ merger is approved, BD project manager shall include appropriate mitigation including re-evaluation of Human Rights risks and impact as part of project integration plan. For Human Rights risks assessment, refer to Section 8. On the other hand, if the Investment Committee does not approve of the acquisition/ merger, the findings and risks will be eliminated out of the HRMS's risk register.

Human Rights Due Diligence Checklist	Yes	No
1. General situation in the country/ region (through a desktop research)		
1.1. Is there a human rights issue in the country/ region/ area of project/ asset? (Reports may be reported by UN, Amnesty International, Human Rights Watch, International Crisis Group)		
1.2 Is the region or community in Conflict Zone?		
1.3 Have military or armed security forces considered for employment been trained in the bounds of their authority and mandate, including the use of appropriate force?		
2. Relevance to PTTEP Process (combined approach: desktop/ field research)		
2.1. Are PTTEP's planned activities dependent on entities or groups (e.g. tribes, companies) known to involved in the violation of human rights?		

Human Rights Due Diligence Checklist	Yes	No
2.2 Would PTTEP directly or indirectly benefit from human rights violations committed by the counterparty in relation to the object to be purchased?		
2.3 Is there any Special Community Engagement procedure required e.g. Indigenous Group engagement involves the concept of free, prior, informed consent?		
2.4 Is there a significant land inhabitants or peoples with nomadic lifestyles (without legitimate land claimant based on title check reaching back 50 years (or more, if required by local law) needs to be relocated in order for the project to be completed?		
2.5 Does the operations have the potential to negatively impact the physical or economical accessibility, quality or quantity of water in the local area?		
2.6 Does natural resource usage relating to the operations have the potential to affect detrimentally the community's access to or use of these resources?		
2.7 Would the operations disrupt a local farming community, wildlife or fishing areas, or do such operations have the potential to negatively affect the local environment through the introduction of new or increased levels of pollution or contaminants?		
2.6 Does the land have important cultural value to the community (such as architectural, archeological, paleontological, artistic, historical or environmental)?		
3. Selection of Business Partners		
3.1 Does the selected business partner have commitments, policies, processes and controls related to human rights management in the aspects of employee, community, supply chain, environment, etc.?		
3.2 Does the selected business partner have history of human rights violation?		
3.3 Does the selected business partner have human rights policy? If not, does the selected business partner have other evidence that show its commitment in respecting the basic rights of relevant stakeholders?		

APPENDIX D. HUMAN RIGHTS RISK CRITERIA

The human rights severity depends on its scale, scope, and irremediability (the ability to restore the affected to a situation at least the same as, or equivalent to, their situation before the adverse impact).

SEVERITY (X-AXIS)			
Severity Level	Scale	Scope	Irremediable Nature
(5) Critical	<ul style="list-style-type: none"> - Multiple fatalities - Critical impact to mental health (require mental health treatment for life) 	Impact to all rights holders in the group, e.g., all members in the community, all employees, all suppliers, all customers (100%)	Impossible to remediate the impact
(4) Serious	<ul style="list-style-type: none"> - Multiple lost work day case (LWDC) - 1 permanent disability - 1 fatality - Serious impact to mental health (continuous medical treatment more than 6 months - 1 year) 	Impact to vast majority of rights holders in a particular group (>50% - <100%)	Take 5-10 years to remediate the impact
(3) Significant	<ul style="list-style-type: none"> - Single LWDC - Multiple restricted work day case (RWDC) - Significant impact to mental health (continuous medical treatment up to 6 months) 	Impact to large minority of the rights holders in a particular group (>25% - 50%)	Take 3-5 years to remediate the impact
(2) Moderate	<ul style="list-style-type: none"> - Medical treatment case (MTC) - Single RWDC - Moderate mental health impact – require medical treatment 1 time 	Impact to some rights holders in a particular group (>0% - 25%)	Take 1-3 years to remediate the impact
(1) Minor	<ul style="list-style-type: none"> - Minor injury with first aid - Minor mental health impact – no treatment required 	No negative impact to rights holders (0%)	Take less than 1 year to remediate the impact

LIKELIHOOD (Y-AXIS)	
Probability of Occurrence	Description
(5) Almost certain	Event has occurred frequently in E&P industry (more than 4 times per year) OR occurred more than once per year at the same location OR is expected to occur in PTTEP
(4) Likely	Event has occurred several times per year in the E&P industry (3-4 times per year) OR more than once per year in PTTEP OR occurred at the same location OR is likely to occur in PTTEP
(3) Possible	Event has occurred several times in the E&P industry (3-4 times in past 3 years) OR occurred once in PTTEP (once in past 3 years) OR may occur in PTTEP
(2) Unlikely	Event has occurred few times in the E&P industry (1-2 times in past 3 years) OR is unlikely to occur in PTTEP
(1) Rare	Event occurrence is remote and/or never heard of in the E&P industry

APPENDIX E. KEY HUMAN RIGHTS INITIATIVES AND RELEVANCE TO PTTEP

Organization	Human Rights Initiatives	Human Rights Commitment	Relevance to PTTEP	Relevant Function
IPIECA	Indigenous People and the Oil and Gas Industry	Overview of key issues and emerging good practices for the oil and gas industry's interface with indigenous peoples .	Business expansion: As PTTEP expands the Business overseas to countries with presence of indigenous people, PTTEP must be in compliance to corporate Human Rights Policy, laws, and relevant requirements with regards to Rights of indigenous people (e.g. UN Declaration on the Rights of indigenous Peoples).	Social Responsibility
	Human Rights Due Diligence Process	A due diligence process for human rights is an essential part of a company's overall risk management strategy, especially in countries where human rights issues may be more prevalent.	Business expansion: For M&A activity , PTTEP has human rights due diligence checklist when entering into a new country /region /area, or joint venture.	Business Development with Social Responsibility support
	Human Rights and Ethics in Oil and Gas Industry	Oil and gas companies are encouraged to have activities and programs to support the upholding of fundamental principles of human rights .	Business expansion: Increasingly, concerns over corruption, human rights and labor issues can deter international corporations, especially in the oil and gas industry, from making foreign investments. These issues also pose huge economic, social and political risks that threaten existing operations, as PTTEP expands the business overseas.	Sustainability Strategy with support from Functions as appropriate

Organization	Human Rights Initiatives	Human Rights Commitment	Relevance to PTTEP	Relevant Function
United Nations	United Nations Global Compact (UNGC)	Human rights: <ul style="list-style-type: none"> - Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and - Principle 2: Businesses should make sure they are not complicit in human rights abuses. Labor: <ul style="list-style-type: none"> - Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining; - Principle 4: Businesses should uphold the elimination of all forms of forced and compulsory labor; - Principle 5: Businesses should uphold the effective abolition of child labor; and - Principle 6: Businesses should uphold the elimination of discrimination in respect of employment and occupation. 	Human rights commitment: PTTEP's position on human rights is publicly disclosed through the Human Rights Policy to ensure that direct and indirect human rights abuses are completely avoided . Employment practice: Discrimination, child labor, freedom of association /assembly /trade union, unsafe working condition.	Sustainability Strategy Human Resources Supply Chain Management
United Nations Universal Declaration of Human Rights (UNUDHR)	Every and every organ of society shall promote respect for these rights and freedoms	Human rights commitment: As part of PTTEP Human Rights Policy, PTTEP shall respect the rights of individuals and human beings as outlined in the United Nations Universal Declaration of Human Rights .		Sustainability Strategy as focal point

Organization	Human Rights Initiatives	Human Rights Commitment	Relevance to PTTEP	Relevant Function
	United Nations Declaration on the Rights of Indigenous Peoples	Affirming that indigenous peoples are equal to all other peoples. Indigenous peoples, in the exercise of their rights, should be free from discrimination of any kind.	<ul style="list-style-type: none"> - Human rights commitment: As part of PTTEP Human Rights Policy, PTTEP also supports the United Nations Declaration on the Rights of Indigenous Peoples. - Environmental protection and community engagement: Extensive studies of risks and impacts to impacted stakeholders from PTTEP's activities including seismic survey, exploration, production, and decommissioning as part of approval process by relevant government agencies (DMF, ONEP). - Community engagement: Free, prior and informed consent of all involved individuals including community, minority, indigenous people, etc. 	Social Responsibility and Environmental Management
	International Labor Organization (ILO)	<ul style="list-style-type: none"> - Freedom of association and the right to collective bargaining - Effective abolition of child labor - Elimination of all forms of forced labor, including human trafficking - Elimination of discrimination in respect of employment and occupation. 	Employment practice: Discrimination, child labor, freedom of association /assembly /trade union, unsafe working condition.	Human Resources
Global Reporting Initiative (GRI)	Labor practice and decent work	<ul style="list-style-type: none"> - Employment - Labor/ Management Relations - Occupational health and safety - Training and education - Diversity and equal opportunity - Equal remuneration for women and men - Labor practices grievance mechanisms 	Employment practice: discrimination, child labor, freedom of association/assembly/ trade union, unsafe working condition.	Human Resources
		Supplier assessment for labor practices	Supplier management: PTTEP expects suppliers to adhere to the PTTEP Sustainable Supplier Code of Conduct which includes labor practice criteria as part of the requirements.	Supply Chain Management,

Organization	Human Rights Initiatives	Human Rights Commitment	Relevance to PTTEP	Relevant Function
	Environment	Water	Environmental protection: For on-shore operations, water sources significantly affected by withdrawal of water needs to be identified and mitigations and monitoring measures need to be implemented.	Environmental Management
		Emissions	Environmental protection: PTTEP commits in reducing GHG emissions and set GHG reduction target as corporate KPI.	Environmental Management
		Effluents and wastes	Environmental protection: To prevent impacts to society, environment and company, PTTEP commits to zero significant spills, zero waste to landfill, and zero discharge of produced water.	Environmental Management
		Biodiversity	<p>- Environmental protection: Extensive studies of risks and impacts to environment (including impacts on biodiversity such as endangered species, etc.) from PTTEP's activities including seismic survey, exploration, production, and decommissioning as part of approval process by relevant government agencies DMF, ONEP).</p> <p>- Environmental protection: PTTEP commits to create net positive impact to biodiversity. Management approach include PTT Group Biodiversity Statement, Biodiversity Management Guideline, Biodiversity Action Plan.</p>	Environmental Management
		Supplier environmental assessment	Supplier management: PTTEP expects suppliers to adhere to the PTTEP Sustainable Supplier Code of Conduct which includes environmental criteria as part of the requirements.	Supply Chain Management, Environmental Management
		Environmental grievance mechanism	Human rights commitment: PTTEP's grievance channels are available for both internal and external stakeholders to ensure the effectiveness of operations.	Safety Management

Organization	Human Rights Initiatives	Human Rights Commitment	Relevance to PTTEP	Relevant Function
	Human rights	Investment	<ul style="list-style-type: none"> - Business expansion: Increasingly, concerns over corruption, human rights and labor issues can deter international corporations, especially in the oil and gas industry, from making foreign investments. These issues also pose huge economic, social and political risks that threaten existing operations, as PTTEP expands the business oversea. - Employment practice: Provide human rights training to employee. 	BD and Support Team
		Security practices	Employment practice: Provide human rights training to security personnel.	Safety Management
		Indigenous rights	Community engagement: Track cases of violation involving rights of indigenous people. Free, prior and informed consent of all involved individuals including community, minority, indigenous people, etc.	Social Responsibility
		Grievance mechanism	Human rights commitment: PTTEP's grievance channels are available for both internal and external stakeholders to ensure the effectiveness of operations.	Social Responsibility, Corporate Management, Human Resources, Internal Audit
		Risk Assessment	Human rights commitment: PTTEP's human rights risk assessment.	Sustainability Strategy as focal point
		<ul style="list-style-type: none"> - Non-discrimination - Freedom of association and collective bargaining - Child labor - Forced or compulsory labor 	Employment practice: Discrimination, child labor, freedom of association/assembly/trade union, unsafe working condition.	Human Resources

Organization	Human Rights Initiatives	Human Rights Commitment	Relevance to PTTEP	Relevant Function
		- Supplier human rights assessment	Supplier management: PTTEP expects suppliers to adhere to the PTTEP Sustainable Supplier Code of Conduct which includes human rights criteria as part of the requirements.	Supply Chain Management
	Society	Local community	- Community engagement: PTTEP proactively engages with relevant stakeholders to understand needs and concerns - Community development: PTTEP improve quality of life of community through social and Community development projects.	Social Responsibility
		Supplier assessment for impacts on society	Supplier management: PTTEP expects suppliers to adhere to the PTTEP Sustainable Supplier Code of Conduct which includes social impact criteria as part of the requirements.	Supply Chain Management
		Grievance mechanisms for impacts on society	Human rights commitment: PTTEP's grievance channels are available for both internal and external stakeholders to ensure the effectiveness of operations.	Social Responsibility
International Finance Corporation (IFC)	Performance Standards for Environmental and Social Sustainability	Performance Standard 1: Assessment and management of environmental and social risks and impacts	Environmental protection and community engagement: Extensive studies of risks and impacts to environment and community from PTTEP's activities including seismic survey, exploration, production, and decommissioning as part of approval process by relevant government agencies (DMF, ONEP).	Environmental Management, Social Responsibility
		Performance Standard 2: Labor and working conditions	Employment practice: Discrimination, child labor, freedom of association/assembly/trade union, unsafe working condition.	Human Resources
		Performance Standard 3: Resource efficiency and pollution prevention	Employment practice: Discrimination, child labor, freedom of association/assembly/trade union, unsafe working condition.	Environmental Management
		Performance Standard 3: Resource efficiency and pollution prevention	- Seismic survey: Restricted access to natural resources (e.g. marine animals). - Development and production: Potential release of chemical/hydrocarbon spills, wastes, pollutions (e.g. NOx, SOx, VOC).	Environmental Management

Organization	Human Rights Initiatives	Human Rights Commitment	Relevance to PTTEP	Relevant Function
		Performance Standard 5: Land acquisition and involuntary resettlement	<ul style="list-style-type: none"> - Environmental protection: Extensive studies of risks and impacts to community from PTTEP's activities including seismic survey, exploration, production, and decommissioning as part of approval process by relevant government agencies (DMF, ONEP). - Community engagement: Free, prior and informed consent of all involved individuals including community, minority, indigenous people, etc. 	Social Responsibility
		Performance Standard 6: Biodiversity conservation and sustainable management of living natural resources	<ul style="list-style-type: none"> - Seismic survey: Restricted access to natural resources (e.g. marine animals), extension of seismic lines and denotation of explosives to area of cultural heritage, natural resources (e.g. hunting ground). - Development and production: Potential release of chemical/hydrocarbon spills, wastes, pollutions (e.g. NOx, SOx, VOC) that cause negative impacts to biodiversity. 	Environmental Management
		Performance Standard 7: Indigenous peoples	<ul style="list-style-type: none"> - Community engagement: Free, prior and informed consent of all impacted/relevant individuals including community, minority including indigenous people, etc. - Business expansion: As PTTEP expands the business oversea to countries with presence of indigenous people, PTTEP must be in compliance to corporate Human Rights Policy, laws, and relevant requirements with regards to rights of indigenous people (e.g. UN Declaration on the Rights of Indigenous Peoples). 	Social Responsibility
		Performance Standard 8: Cultural heritage	Seismic survey: Extension of seismic lines and denotation of explosives to area of cultural heritage, natural resources (e.g. hunting ground).	Social Responsibility

Organization	Human Rights Initiatives	Human Rights Commitment	Relevance to PTTEP	Relevant Function
ISO26000	Human rights	Issue 1: Due diligence Issue 2: Human rights risk situations Issue 3: Avoidance of complicity Issue 4: Resolving grievances Issue 5: Discrimination and vulnerable groups Issue 6: Civil and political rights Issue 7: Economic, social and cultural rights Issue 8: Fundamental principles and rights at work	<ul style="list-style-type: none"> - Business expansion: For M&A activity, PTTEP has human rights due diligence checklist when entering into a new country/region/area, or joint venture. - Environmental protection and community engagement: All assets and key functions need to identify human rights risks within the scope of work in order to prevent impacts to company, society or environment in the future. - Human rights commitment: Good Corporate Governance and Business Ethics of PTTEP Group covers human rights related issues such as discrimination, political contribution, rights of stakeholders, etc. 	Sustainability Strategy as focal point
	Labor practices	Issue 1: Employment and employment relationships Issue 2: Conditions of work and social protection Issue 3: Social dialogue Issue 4: Health and safety at work Issue 5: Human development and training in the workplace	<ul style="list-style-type: none"> - Employment practice: Transparent and no discriminated employment procedures. - Employment practice: Employee Manual covers relevant information which an employee should be informed to e.g. rights of employee, work conditions, health and safety, expected behaviors, etc. 	Human Resources
	The environment	Issue 1: Prevention of pollution Issue 2: Sustainable resource use Issue 3: Climate change mitigation and adaptation Issue 4: Protection of the environment, biodiversity and restoration of natural habitats	<ul style="list-style-type: none"> - Environmental protection: PTTEP commits in reducing GHG emissions and set GHG reduction target as corporate KPI. - Environmental protection: For on-shore operations, water sources significantly affected by withdrawal of water needs to be identified and mitigations and monitoring measures need to be implemented. - Environmental protection: Extensive studies of risks and impacts to environment (including impacts on biodiversity such as endangered species, etc.) from PTTEP's activities including seismic survey, exploration, production, and decommissioning as part of approval process by relevant government agencies (DMF, ONEP). - Environmental protection: PTTEP commits to create net positive impact to biodiversity. Management approach include PTT Group Biodiversity Statement, Biodiversity Management Guideline, Biodiversity Action Plan. 	Environmental Management

Organization	Human Rights Initiatives	Human Rights Commitment	Relevance to PTTEP	Relevant Function
	Fair operating practices	Issue 5: Respect for property rights	Community engagement: Free, prior and informed consent of all impacted/relevant individuals including community, minority including indigenous people, etc.	Social Responsibility
	Community involvement and development	Issue 1: Community involvement Issue 2: Education and culture Issue 6: Health Issue 7: Social investment	- Community engagement: PTTEP proactively engages with relevant stakeholders to understand needs and concerns. - Community development: PTTEP improve quality of life of community through social and community development projects.	Social Responsibility
Extractive Industries Transparency Initiative (EITI)	Transparently disclose payment to government (e.g. royalties) as an initiative to good governance and accountability. It is also an approach that involves multi-stakeholder group to ensure that the rights of civil society and company will not be violated or limited	More openness around how a country manages its natural resource wealth is necessary to ensure that these resources can benefit all citizens.	Business expansion: PTTEP publicly endorse EITI where PTTEP discloses actual financial information to multi-stakeholders as guided by the applicable laws. PTTEP also strictly complies with the contractual obligations of the projects in the host countries where PTTEP operates.	Corporate Management

APPENDIX F. EXAMPLES OF HUMAN RIGHTS DEFENDERS

Aspect	Example
Workplace	Company A forced its migrant workers to work overtime, exceeding maximum working hours, so Humanitarian Organisation for Migration Economics (HOME), dedicated to supporting and empowering migrant workers who experience abuse and exploitation, stepped in to offer advice to workers unsure of their rights and options. Additionally, HOME assisted with managing the end-to-end process of workers' cases, supporting them to seek recourse, whether that be legal, medical, financial or psychological.
SSHE	Community A got an environment impact from Company B's seismic survey (involving denotation of explosives), causing air and noise pollution to the community. However, Company B ignored this prolonged problem and continued the seismic activity as normal. Environmental Human Rights Defenders, therefore, stepped in to support Community A to protect their right to a healthy and sustainable environment by providing the community's legal help and support for free.
Supply Chain	Company C's employee found out that its contractor has secretly used child labour in the operation, so he started to collect evidence and filed a complaint in the company's whistleblowing system, hoping to get justice for the children who were wrongly treated and blacklist this contractor from the Company's qualified vendor list.
Community	Company D bought land in the rural area to develop a golf course, forcing villagers in the area to move from their home without providing adequate financial support for the resettlement as the people in that area were mostly uneducated and did not know the law. A lawyer, who was one of the villagers' son, learned about this problem and volunteered to support the community to fight for the rightful compensation from Company D without legal fee with aim to protect against human rights violations.