

**Company Name** PTT  
**Industry** Extractives  
**UNGP Core Score (\*)** 16.0 out of 26

Score	Out of	For indicators
<b>Governance and Policy Commitments</b>		
1	2	A.1.1 Commitment to respect human rights
2	2	A.1.2 Commitment to respect the human rights of workers
1	2	A.1.4 Commitment to engage with stakeholders
1	2	A.1.5 Commitment to remedy
<b>Embedding respect and Human Rights Due Diligence</b>		
Embedding respect		
1.5	2	B.1.1 Embedding - Responsibility and resources for day-to-day human rights functions
Human Rights Due Diligence (HRDD)		
1.5	2	B.2.1 HRDD - Identifying: Processes and triggers for identifying human rights risks and impacts
2	2	B.2.2 HRDD - Assessing: Assessment of risks and impacts identified (salient risks and key industry risks)
2	2	B.2.3 HRDD - Integrating and Acting: Integrating assessment findings internally and taking appropriate action
0	2	B.2.4 HRDD - Tracking: Monitoring and evaluating the effectiveness of actions to respond to human rights risks and impacts
0.5	2	B.2.5 HRDD - Reporting: Accounting for how human rights impacts are addressed
<b>Remedies and Grievance Mechanisms</b>		
1.5	2	C.1 Grievance channels/mechanisms to receive complaints or concerns from workers
1	2	C.2 Grievance channels/mechanisms to receive complaints or concerns from external individuals and communities
1	2	C.7 Remedying adverse impacts and incorporating lessons learned
<b>16.0</b>	<b>26</b>	

(\*) Instead of the full list of indicators in the 2020 CHRB Methodology, this year's assessment uses the CHRB Core UNGP Indicators. These are 13 non-industry specific indicators that focus on three key areas of the UNGPs: high level commitments, human rights due diligence and access to remedy.

The 13 indicators selected from the full CHRB Methodology are scored on a simple unweighted basis, with a maximum of 2 points for each indicator for a maximum total of 26 points.

In addition, allegations of severe human rights impacts (Measurement Theme E) were also assessed but do not impact overall final scores

Please note that the "Not met" labels in the Explanation boxes below do not necessarily mean that the company does not meet the requirements as they are described in the bullet point short text. Rather, it means that the analysts could not find information *in public sources* that met the requirements *as described in full* in the CHRB 2020 Methodology document. For example, a "Not met" under "General HRs Commitment", which is the first bullet point for indicator A.1.1, does not necessarily mean that the company does not have a general commitment to human rights. Rather, it means that the CHRB could not identify a public statement of policy in which the company commits to respecting human rights.

## Detailed assessment

### Governance and Policies

Indicator Code	Indicator name	Score (out of 2)	Explanation
A.1.1	Commitment to respect human rights	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: General HRs commitment: The Company 'acknowledges that promotion of human rights is essential for carrying out our business in a responsible and sustainable manner. The company is thus committed to respect human rights across its own business operations, its relationships with other businesses and the communities in which it operates'. [Human Rights Statement, 23/08/19: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Not met: UNGPs: The Company indicates (HR Statement) that it 'adheres to the expectations of companies expressed in other internationally accepted standards on human rights, including: United Nations Guiding Principles for Business and Human Rights'. However, wording used in this document does not qualify as a formal statement of commitment following CHRB wording criteria. In its Sustainability Management Framework, in relation to Employees' rights, the Company states that 'PTT has a human resource management policy in place that respects human rights, labor rights and fair treatment in accordance with the UN "Protect, Respect and Remedy" Framework for Business and Human Rights 2011, the International Labor Organization (ILO), and the OECD Guidelines for Multinational Enterprises'. However, the it is not clear that the Company is making a straight commitment to follow the UN Guiding principles, as it refers to a policy bein in accordance with the framework of the initiative. [Human Rights Statement, 23/08/19: <a href="http://pttplc.com">pttplc.com</a> &amp; Sustainability Management Framework, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Not met: OECD: The Company indicates, in its Human Rights Statement, that it 'adheres to the expectations of companies expressed in other internationally accepted standards on human rights, including: OECD guidelines for multinational enterprises'. Moreover, it indicates, in its tab Sustainable Human Resource Management, that 'PTT has a human resource management policy in place that respects human rights, labor rights and fair treatment in accordance with the (...) OECD Guidelines for Multinational Enterprises'. However, neither 'adheres to the expectations of companies' nor 'in accordance with' qualify as a formal commitment to the initiative according to CHRB wording Criteria. [Human Rights Statement, 23/08/19: <a href="http://pttplc.com">pttplc.com</a> &amp; Sustainable Human Resource Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul>
A.1.2	Commitment to respect the human rights of workers	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: UNGC principles 3-6: The Company is signatory to the UN Global Compact [UNGC PTT site, N/A: <a href="http://unglobalcompact.org">unglobalcompact.org</a>]</li> <li>• Met: Explicitly list All four ILO apply to EX BPs: In its Human Rights Statement, which also covers business partners, the Company indicates that 'PTT is committed to respect labor rights and working conditions by complying with local laws of the countries where the company operates and international agreements on workforce'. These labor rights and working conditions include ILO core labor standards such as freedom of association, non - discrimination, the prohibition of child labor and forced labor. 'Furthermore, PTT recognizes that employees have rights to choose whether to belong to a union and to seek to bargain collectively'. [Human Rights Statement, 23/08/19: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Met: Explicit commitment to All four ILO Core: In its Human Rights Statement, the Company indicates that 'PTT is committed to respect labor rights and working conditions by complying with local laws of the countries where the company operates and international agreements on workforce'. These labor rights and working conditions include ILO core labor standards such as freedom of association, non - discrimination, the prohibition of child labor and forced labor.</li> </ul>

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<p>'Furthermore, PTT recognizes that employees have rights to choose whether to belong to a union and to seek to bargain collectively'. [Human Rights Statement, 23/08/19: <a href="http://pttplc.com">pttplc.com</a>]</p> <ul style="list-style-type: none"> <li>• Met: Respect H&amp;S of workers: The Company indicates that 'PTT is committed to a high-quality, safe and healthy environment as a part of its employees' daily lives'. [Ethical Standards and Code of Business Ethics Handbook, 04/2017: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Met: H&amp;S applies to EX BPs: The Company indicates, in its Suppliers Sustainable Code of Conduct, that 'as a minimum, PTT expects our suppliers and contractors to maintain a strong commitment to: Managing production and service operations that adhere to relevant safety standards, to ensure their own safety and that of others, while also complying with relevant laws and regulations on occupational health, safety, and the environment; Ensuring that all operational facilities and working environment are safe, hygienic, and regularly maintained'. [Suppliers Sustainable Code of Conduc, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul>
A.1.4	Commitment to engage with stakeholders	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Commits to stakeholder engagement: The Company indicates, in its Sustainability Report 2018, that 'PTT's mission toward its stakeholders encloses 6 groups, which are the country, communities and society, customers, shareholders, partners, and employees (...). As a national energy company, the company must maintain balance between responding to stakeholders and taking into account the benefits of the people and the nation. Therefore, engaging with diverse groups of stakeholders assists PTT in understanding and prioritizing sustainability issues related to its business operations. Furthermore, it aids in effectively responding to sustainability challenges and opportunities that may potentially affect all stakeholder groups'. Also, in its Human Rights Statements, the Company states that it is 'committed to actively engage with affected stakeholders in remediating any adverse impact that the company have caused or contributed to'. [Sustainability Report 2018, 08/03/2019: <a href="http://pttplc.com">pttplc.com</a> &amp; Human Rights Statement, 23/08/19: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Not met: Commits to engage stakeholders in design: The Company states that 'PTT is also committed to actively engage with affected stakeholders in remediating any adverse impact that the company have caused or contributed to. Investigation and resolution will be taken where appropriate based on fair and equal treatment'. However, no publicly available statement of policy committing it to engaging with affected stakeholders and/or their legitimate representatives in the development or monitoring of its human rights approach found. [Human Rights Statement, 23/08/19: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Not met: Regular stakeholder design engagement: The Company indicates its engagement process and discloses its stakeholder groups, the channels used to engage each of them, their respective needs and expectations and examples of key performance. However, no details found of regular engagement with affected stakeholders and their legitimate representatives in the development or monitoring of its human rights approach. [2019 Sustainability Report, 10/03/2020: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul>
A.1.5	Commitment to remedy	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Commits to remedy: The Company indicates that it 'assesses the potential environmental, health and community impacts of its operations, and has community feedback procedures in place to enable people living close to our operations to raise concerns about the impacts of our activities and remedy any issues'. It also states that 'PTT will continuously improve in these three focus areas and further embed the responsibility to respect human rights in all business functions. As part of this responsibility, PTT is also committed to actively engage with affected stakeholders in remediating any adverse impact that the company have caused or contributed to'. [Human Rights Statement, 23/08/19: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Not met: Not obstructing access to other remedies</li> <li>• Not met: Collaborating with other remedy initiatives: The Company indicates that 'in case that the prevention and remediation processes cannot accommodate initial solution, PTT will designate the mechanism on prevention and remediation through grievance mechanism in the form of a tripartite taskforce. The taskforce consists of representatives from stakeholders including representative from local administration bodies, community leaders and relevant government agencies. This is to ensure that the case is properly and effectively managed, for the satisfaction of all parties'. However, no commitment to remedy which includes collaborating in</li> </ul>

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			<p>initiatives that provide access to remedy found. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</p> <ul style="list-style-type: none"> <li>• Not met: Work with EX BPs to remedy impacts: The Human rights statement indicates that 'PTT expects its suppliers to have processes in place to remediate those human rights abuses they cause or contribute to'. No further details found. [Human Rights Statement, 23/08/19: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul>

## Embedding Respect and Human Rights Due Diligence

Indicator Code	Indicator name	Score (out of 2)	Explanation
B.1.1	Responsibility and resources for day-to-day human rights functions	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Commits to ILO core conventions: See indicator A.1.2. The Company is signatory to the UN Global Compact.</li> <li>• Met: Senior responsibility for HR: This [sustainability management and policy, which covers human rights] is overseen by Organization Management and Sustainability Function, comprises Senior Executive Vice President and Executive Vice President for Sustainability Management. Furthermore, Corporate Management Department is assigned to manage performance in line with the Group's Human Rights Management System. Performance is reported to Corporate Governance Committee quarterly. This includes communicating policies to responsible functions, whose duty is to ensure effective compliance to human rights management approach'. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Met: Day-to-day responsibility: The Company indicates that 'Regarding the Group's Human Rights performance, PTT's Board of Directors has assigned Corporate Governance Committee to oversee PTT Group's Sustainability Management and Policy, which covers human rights management throughout PTT Group's supply chain. This is overseen by Organization Management and Sustainability Function, comprises Senior Executive Vice President and Executive Vice President for Sustainability Management. Furthermore, Corporate Management Department is assigned to manage performance in line with the Group's Human Rights Management System. This includes communicating policies to responsible functions, whose duty is to ensure effective compliance to human rights management approach across PTT. The Subject Matter Experts (SMEs) working group for human rights-related issues include the following functions: Human resource, Security, safety, health &amp; environment (SSHE), Corporate social responsibility, Procurement, and Compliance. Performance is reported to Corporate Governance Committee quarterly'. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Not met: Day-to-day responsibility for EX BRs: Regarding supply chain, the Company indicates that at corporate level 'PTT has standards for selecting, assessing and auditing suppliers in a fair and transparent manner in terms of the supplier's ability to secure business operations and respond to PTT's needs. PTT uses a pre-qualification questionnaire (PQ) to evaluate each supplier's potential in various aspects including service readiness, production rate, transportation, and industrial standards. In addition, sustainability criteria for supplier selection include business integrity, social responsibility, human rights, safety, and environmental management. Qualified suppliers will be included in the PTT Approved Vendor List (AVL). Suppliers must be able to operate according to the PTT Supplier Sustainable Code of Conduct'. Besides, at business unit level 'the requirements related to environmental and social practice and criteria for performance excellence are defined in each contract based on the Supplier Sustainable Code of Conduct'. However, it is not clear how day-to-day responsibility for managing human rights issues with its extractive business partners is allocated in terms of Company personnel. [Supply Chain Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul>

Indicator Code	Indicator name	Score (out of 2)	Explanation
B.2.1	Identifying: Processes and triggers for identifying human rights risks and impacts	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Identifying risks in own operations: On its website, the Company indicates that 'in 2016, PTT has set up PTT Group Human Rights Management System to serve as a guideline for management of human rights issues related to PTT Group's business operations. It also supports PTT Group's efforts in applying the necessary human rights management processes that covers all of PTT Group's activities which may incur human rights impacts throughout the operation cycle. These activities include merger and acquisition, construction, and decommission. PTT has announced its adoption of the system, and communicated to companies within PTT Group accordingly to ensure appropriate adoption of the system'. In the 2018 Sustainable Report, it also states that 'To ensure the efficacy of the human rights risk assessment, PTT has classified the following groups as vulnerable groups: women, ethnic minority members, foreign laborers, LGBTQI, underprivileged and handicapped individuals, and children. Moreover, PTT has established a practice where it reviews risks of human rights violations in conjunction with relevant organizations annually or as frequent as needed. Instances where such reviews are needed include significant changes in business operations, a new business development, or a divisional-/project-level change. A review may also take place if there is an occurrence of a potential violation of human rights issue'. PTT's 2018 annual human rights risk assessment covered the Group's activities and operations in 117 locations and 29 countries globally (or 8% of the total assessed locations.) The assessment revealed that 9 areas have a possibility to be at risk of human rights violations and are at a level which requires continuous monitoring. Such areas are in 4 countries which are Thailand, Cambodia, Laos and the Philippines. The plausible risks are: forced labor, occupational safety, community health and safety, and human rights management in the supply chain. [Sustainability Report 2018, 08/03/2019: <a href="http://pttplc.com">pttplc.com</a> &amp; Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Met: identifying risks in EX business partners: See above, one of the risk areas is human rights management in the supply chain (partners). [Sustainability Report 2018, 08/03/2019: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Met: Ongoing global risk identification: PTT has established a practice where it reviews risks of human rights violations in conjunction with relevant organizations annually or as frequent as needed. See below also the 'new circumstances' context. [Project management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Met: In consultation with stakeholders: The Company indicates that 'PTT identifies stakeholder groups who are potentially affected by its operations through stakeholders' need assessment via engagement channels such as meeting, grievance centres, and survey and recommendation forms. For balanced management, the needs will be prioritized by the importance to the company and stakeholders. In 2019, the result of assessment showed the issues with high risk on human rights management, consisting of Climate Change (environmental and community rights), Product Stewardship (customers and consumer rights), and Human Capital Development (labor rights)'. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Not met: In consultation with HR experts</li> <li>• Met: Triggered by new circumstances: The Company indicates that 'PTT has established a practice where it reviews risks of human rights violations in conjunction with relevant organizations annually or as frequent as needed. Instances where such reviews are needed include significant changes in business operations, a new business development, or a divisional-/project-level change. A review may also take place if there is an occurrence of a potential violation of human rights issue'. [Sustainability Report 2018, 08/03/2019: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Not met: Explains use of HRIAs or ESIA (inc HR): The Company indicates that it conducted Environmental Impact Assessment son important projects 'and fully implemented protective, impact remediation and monitoring measures as required by law'. However, no details found in relation on whether these assessments include human rights. [2019 Sustainability Report, 10/03/2020: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul>

Indicator Code	Indicator name	Score (out of 2)	Explanation
B.2.2	Assessing: Assessment of risks and impacts identified (salient risks and key industry risks)	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Salient risk assessment (and context): The Company indicates the following: 'The risk assessment process covers identification of key issues, impacts on stakeholders, including employees, third-party contracted labour, local communities, vulnerable groups, and the likelihood of impacts at the national-level of operations, both within PTT's own operations and in the value chain. Vulnerable groups include migrant labor, women, indigenous people, LBGTQI, people with disabilities, underprivileged people and children. The objective behind this risk assessment is to consolidate corporate human rights risk reports, in conjunction with project-level human right risks reports'. The different steps of its process of human rights risk assessment are: Define the Group's business boundaries, Establish the context on human rights, Identify/Assess human rights issues at operational areas and individual level, Including human rights issues in the value chain, Risk Assessment, Control and Mitigation Measures Identification, Residual Risk Assessment, Monitoring and Reviewing. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Met: Public disclosure of salient risks: In its CSR the Company states that 'PTT's 2018 annual human rights risk assessment covered the Group's activities and operations in 117 locations and 29 countries globally (or 8% of the total assessed locations.) The assessment revealed that 9 areas have a possibility to be at risk of human rights violations and are at a level which requires continuous monitoring. Such areas are in 4 countries which are Thailand, Cambodia, Laos and the Philippines. The plausible risks are: forced labor, occupational safety, community health and safety, and human rights management in the supply chain. Since then, each area has accordingly devised a risk mitigation and management plan for its supply chain. The plan passes on the expectations and commitment to conducting business operation whilst respecting labor rights to suppliers in the supply chain. The PTT Group Sustainability Alignment Committee receives quarterly progress updates regarding the plan'. [Sustainability Report 2018, 08/03/2019: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Met: Both requirements under score 1 met: See above</li> </ul>
B.2.3	Integrating and Acting: Integrating assessment findings internally and taking appropriate action	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Action Plans to mitigate risks: The Company, following the description of the risk assessment discloses a figure where it describes, for each Company level (own operations, joint ventures where it has controls, joint ventures where it doesn't have control, contractors and tier-1 suppliers), which are the potential human rights issues identified, the percentage of assessed areas with risks identified and percentage of those that have mitigation or remediation processes implemented. For each Company level, the Company describes mitigation plans for risk areas. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Met: Including amongst EX BPs: See above [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Met: Example of Actions decided: In the case of contractors operation, the Company identified 'safety and occupational health, employment and working environment, community rights, and environment'. Mitigation plans include, among other actions: 'Employees' individual development plan', 'drug and alcohol screening plan', 'provide first-aid supplies', 'collect data and statistics of occupational safety', etc. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Met: Both requirements under score 1 met: See above</li> </ul>
B.2.4	Tracking: Monitoring and evaluating the effectiveness of actions to respond to human rights risks and impacts	0	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Not met: System to check if Actions are effective: The Company indicates that 'there is quarterly monitoring on the operations to ensure risks remain within risk appetite. The monitoring also ascertains that control measures execute with maximum efficiency'. However, it is not clear its system(s) for tracking the actions taken in response to human rights risks and impacts assessed and for evaluating whether the actions have been effective or have missed key issues or not produced the desired results. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Not met: Lessons learnt from checking effectiveness</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Not met: Both requirement under score 1 met</li> </ul>

Indicator Code	Indicator name	Score (out of 2)	Explanation
B.2.5	Communicating : Accounting for how human rights impacts are addressed	0.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Comms plan re identifying risks: See indicator B.2.1</li> <li>• Met: Comms plan re assessing risks: See indicator B.2.2</li> <li>• Met: Comms plan re action plans for risks: See indicator B.2.3</li> <li>• Not met: Comms plan re reviewing action plans: In order to be awarded this indicator, the Company has to achieve a full score in B.2.4</li> <li>• Not met: Including EX business partners: In order to be awarded this indicator, the Company has to achieve a full score in B.2.2/B.2.3/B.2.4 and at least 1,5 points in B.2.1</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Not met: Responding to affected stakeholders concerns: On its website section 'Project Management' the Company states: 'PTT has defined the approaches and communication channels for gathering opinions and grievances of stakeholders and communities. PTT systematically and efficiently responds to complaints at all stages of the project lifecycle before, during and after project development. For major capital projects, the channels for addressing grievances are through the tripartite committee, comprised of PTT, representatives of relevant stakeholders, and government agencies.' In addition, it indicates, in its 2019 Sustainability Report, that, 'The Company has set up grievance centers within each project area to address and resolve any problems on the ground, and individuals are also able to report grievances through the PTT Contact Center 1365'. However, no evidence found on how it has responded to specific human rights concerns raised by stakeholders. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a> &amp; 2019 Sustainability Report, 10/03/2020: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Met: Ensuring affected stakeholders can access communications: In addition to explained above, the Company adds that it 'assign community relations officers to engage with local communities in accordance with the plan in each operation, to receive complaints, discuss needs and expectations, and listen to potential impacts from PTT's operations. All feedbacks will be used to improve the operation, design better complaint receiving process, and develop communication channels that are suitable to each area'. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul>

## Remedies and Grievance Mechanisms

Indicator Code	Indicator name	Score (out of 2)	Explanation
C.1	Grievance channel(s)/mechanism(s) to receive complaints or concerns from workers	1.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Channel accessible to all workers: The Company indicates that it 'has developed grievance mechanism to receive complaints through internal and external channels in Thai and English, in order to ensure accessibility of all stakeholders and ensure the process that addresses all kinds of grievances, which also include human rights grievances, as well as the potentially affected stakeholders' concerns and recommendations'. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Met: Number grievances filed, addressed or resolved: The Company states that 'there were no human rights grievances filed in 2019'. [2019 Sustainability Report, 10/03/2020: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Not met: Channel is available in all appropriate languages: The Company indicates that 'PTT has developed grievance mechanism to receive complaints through internal and external channels in Thai and English, in order to ensure accessibility of all stakeholders and ensure the process that addresses all kinds of grievances, which also include human rights grievances, as well as the potentially affected stakeholders' concerns and recommendations'. However, it is not clear it is available in all appropriate languages, as it also indicates that invests in 26 countries. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a> &amp; 2019 Sustainability Report, 10/03/2020: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Met: Opens own system to EX BPs workers: The Company indicates various channels available for suppliers and external parties, including online channels and complaint letters directly to CEO, Audit Committee, Executive Vice President, Office of Corporate Audit, Executive Vice President, Corporate Human Resource, or Vice President, Office of the President and Corporate Secretary, and Investor Relations. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul>
C.2	Grievance channel(s)/mechanism(s) to receive	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Grievance mechanism for community: In its Human Rights website section, the Company indicates: 'has developed grievance mechanism to receive complaints</li> </ul>

Indicator Code	Indicator name	Score (out of 2)	Explanation
	complaints or concerns from external individuals and communities		<p>through internal and external channels in Thai and English, in order to ensure accessibility of all stakeholders and ensure the process that addresses all kinds of grievances, which also include human rights grievances, as well as the potentially affected stakeholders' concerns and recommendations.' There are external channels, such as Customer Relations Center, submitting complaint letters directly to CEO, Audit Committee, Executive Vice President, Office of Corporate Audit, Executive Vice President, Corporate Human Resource, or Vice President, Office of the President and Corporate Secretary, and Investor Relations, or through various online channels'. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</p> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Not met: Describes accessibility and local languages: The Company indicates that External Parties can submit complaints and grievances through PTT Customer Relations; Submit complaint letters directly to CEO, Audit Committee, Executive Vice President, Office of Corporate Audit, Executive Vice President, Corporate Human Resource, or Vice President, Office of the President and Corporate Secretary, and Investor Relations and through various online channels, including a couple of webpages and Facebook pages of PTT News, We love PTT, PTT Blue Society, PTT Blue Card Application, etc. Also, 'PTT has developed grievance mechanism to receive complaints through internal and external channels in Thai and English, in order to ensure accessibility of all stakeholders and ensure the process that addresses all kinds of grievances, which also include human rights grievances, as well as the potentially affected stakeholders' concerns and recommendations. For PTT's subsidiaries in other countries, local websites and social media channels in local languages are available for contacting the company.' However, it is not clear it is available to all external individuals and communities in local languages (evidence seems to refer to Thai and English, which don't seem to cover all company locations). [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a> &amp; 2019 Sustainability Report, 10/03/2020: <a href="http://pttplc.com">pttplc.com</a>]</li> <li>• Not met: Expects EX BPs to have community grievance systems</li> <li>• Not met: EX BPs communities use global system: The Company indicates various channels available for external parties, including online channels and complaint letters directly to CEO, Audit Committee, Executive Vice President, Office of Corporate Audit, Executive Vice President, Corporate Human Resource, or Vice President, Office of the President and Corporate Secretary, and Investor Relations. No clear, however, if affected stakeholders and external parties of extractive business partners can file complaints as well. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul>
C.7	Remedying adverse impacts and incorporating lessons learned	1	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Says how it would remedy key sector risks: The Company indicates that it 'provides channels to receive complaints particularly in crisis and emergencies in all areas of operations, set the process for expedient access to remedy, both as financial remedies (compensation, financial supports), and non-financial remedies. Non-financial remedies may include establishing emergency point to receive grievances and complaints to provide initial remediation, providing advices or recommendation supports from specialist, as well as providing communication channel to listen to concerns and complaints from stakeholders. (...) For each complaint received, PTT will analyze the causes, find solution, and identify prevention measures. In case that the prevention and remediation processes cannot accommodate initial solution, PTT will designate the mechanism on prevention and remediation through grievance mechanism in the form of a tripartite taskforce. The taskforce consists of representatives from stakeholders including representative from local administration bodies, community leaders and relevant government agencies. This is to ensure that the case is properly and effectively managed, for the satisfaction of all parties'. [Human Rights Management, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Not met: Changes introduced to stop repetition: Regarding the Montara incident, the Company's key lessons in relation to governance were 'Systems and structures were put in place to ensure an appropriate level of corporate oversight of subsidiary activities, including a Corporate Governance Framework. In addition, Service Level Agreements (SLAs) between the PTTEP SSHE function and all operating Assets, both domestic and international, were developed to clearly describe expectations and responsibilities for SSHE Management System (MS) implementation. Corporate audits and reviews are used to monitor each subsidiary's activities and performance'. When it comes to safety culture, the key lessons were 'PTTEP AA completed a Safety Culture survey at the end of 2010, 2012, 2013 and 2015, showing a significant improvement. Results were analysed</li> </ul>



Indicator Code	Indicator name	Score (out of 2)	Explanation
			<p>and measures to improve Safety Culture have been followed up by a dedicated work group. Regular feedback on progress has been given to staff. The survey is to be repeated regularly for continuous improvement. Strengthening Safety Culture is also a key objective at PTTEP Corporate level. (...) In 2011 PTTEP launched the "Step Change in SSHE" initiative which is a catalyst for SSHE improvement including SSHE Culture. This initiative proved successful in helping improve SSHE Culture and performance. Step Change in SSHE was deployed until 2013 when a SSHE Culture Roadmap was implemented in response to changing circumstances'. SSHE stands to Safety, Security, Health and Environment. However, this refers to an issue that took place more than three reporting years ago. [Montara: A Lesson Learned, 03/2017]</p> <ul style="list-style-type: none"> <li>• Not met: Approach to learning from incident to prevent future impacts</li> <li>• Not met: Evaluation of the channel/mechanism</li> </ul>

## Performance: Responses to Serious Allegations (Not included in the overall score)

Indicator Code	Indicator name	Score (out of 2)	Explanation
E(1).0	Serious allegation No 1		<ul style="list-style-type: none"> <li>• Headline: Indonesian government sues PTTEP Australasia over Montara oil spill for USD 2 bn</li> <li>• Area: Environment Damage</li> <li>• Story: On May 3, 2017, the Indonesian government filed a lawsuit against PTT Exploration and Production (PTTEP) and its Australian subsidiary, PTTEP Australasia (PTTEP AA), over the so-called Montara oil spill off Australia in 2009, claiming that the accident caused environmental damage in the archipelago's waters. The Indonesian government is seeking USD 2 billion in damages at the Central Jakarta District Court.</li> </ul> <p>Due to the oil spill, 70,341.76 square kilometres area of the Timor Sea that borders the East Nusa Tenggara Province got polluted. In January of 2010, the leak was plugged and secured permanently. However, during the first year of the Montara oil spill-triggered pollution, fish catches from the Timor Sea waters dropped by 80 per cent.</p> <p>Over the years, Indonesia had tried to negotiate with the company to come to a resolution but was not satisfied with their response. According to the government, PTTEP was not willing to take responsibility for the pollution. A government representative pointed out that PTTEP AA harboured no good will of providing compensation to the victims of the oil spill and even denied polluting the Timor Sea.</p> <p>In response, PTTEP and PTTEP AA claimed that they are confident in proving that there was no damage as per the claim made by the Indonesian Government and reported by the media.</p> <ul style="list-style-type: none"> <li>• Sources: [The Nation, 7/5/2017: <a href="http://nationmultimedia.com">nationmultimedia.com</a>][The Australian, 5/5/2017: <a href="http://theaustralian.com.au">theaustralian.com.au</a>][Organisation of Asia-Pacific News Agencies, 7/5/2017: <a href="http://m.oananeews.org">m.oananeews.org</a>]</li> </ul>
E(1).1	The Company has responded publicly to the allegation	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Public response available: The Company states that "We refer to news reports regarding a lawsuit filed by the Ministry of Environment, Indonesia against PTT Exploration and Production Public Company Limited (PTTEP) and its subsidiary PTTEP Australasia (Ashmore Cartier) Pty Ltd (or 'PTTEP AA') at the Central Jakarta District Court, claiming compensation for damage which it is alleged resulted from a well blow-out during development of the company's Montara field in Australian waters of the Timor Sea in 2009." [Statement on Legal action commenced in Indonesia, 06/05/17]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Met: Response goes into detail: The Company states that " PTTEP would like to clarify that, following the Montara incident, PTTEP AA as the operator of the Montara field coordinated with the Australian Government to fund independent research institutions to conduct scientific studies on the environmental impacts that may have resulted from the oil spill. The studies found no lasting impact on the highly sensitive and biodiverse ecosystems in Australian waters in the areas closest to Indonesian waters. Satellite imagery, aerial surveys and trajectory modelling showed that the majority of oil remained in Australian waters and that no oil reached the Australian or Indonesian coastlines.</li> </ul>

Indicator Code	Indicator name	Score (out of 2)	Explanation
			<p>In 2010, PTTEP and PTTEP AA received a claim for compensation from the Government of Indonesia (Gol) regarding alleged impacts on the environment and the fishery sector in Indonesia.</p> <p>Representatives of PTTEP AA met with the Gol on a number of occasions in 2010 and 2011 and negotiated sincerely and cooperatively in good faith with the intention of establishing an independent committee mechanism under a Memorandum of Understanding (MoU) to establish whether there had been any damage to the environment in Indonesia, and if so, how this would be compensated. To further this objective, PTTEP AA submitted independent scientific research results to the Gol, including the results of water sampling in and around the reefs closest to Indonesian waters where testing had showed no presence of hydrocarbons from the Montara oil spill, and that the condition of the coral communities in that area was consistent with surveys conducted before the spill. At the time, the Gol would not permit PTTEP AA to access Indonesian waters around West Timor for further scientific studies." [Statement on Legal action commenced in Indonesia, 06/05/17]</p>
E(1).2	The Company has appropriate policies in place	2	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Company policies address the general issues raised: The Company states that "PTTEP's environmental management system is designed to address any environmental and social impacts that may arise from our operations. These include greenhouse gas management, water resources management, and waste management. The company remains committed to pursue opportunities to improve our environmental performance and mitigate any negative impacts." [Corporate Sustainability Report 2017, December 2017]</li> <li>• Met: Policies apply to the type of business relationships involved: The Company requires suppliers to commit to the environmental standards set out in the supplier code of conduct. [PTT Supplier Sustainable Code of Conduct, N/A: <a href="http://pttplc.com">pttplc.com</a>]</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Met: Policies address the specific rights in question: The Company states that "One of PTTEP's top priorities is to prevent oil and chemical spills which could cause adverse environmental and social impacts. PTTEP sets a target of zero spills and reviews the Spill Contingency Plan annually. The company regularly reviews specific spill response plan for every operation site to increase the effectiveness of the plan and to ensure compliance with the company's Emergency and Crisis Management Standards and other relevant international standards." [Corporate Sustainability Report 2017, December 2017]</li> </ul>
E(1).3	The Company has taken appropriate action	0.5	<p>The individual elements of the assessment are met or not as follows:</p> <p>Score 1</p> <ul style="list-style-type: none"> <li>• Met: Engages with affected stakeholders: The Company states that "Representatives of PTTEP AA met with the Gov on a number of occasions in 2010 and 2011 and negotiated sincerely and cooperatively in good faith with the intention of establishing an independent committee mechanism under a Memorandum of Understanding (MoU) to establish whether there had been any damage to the environment in Indonesia, and if so, how this would be compensated." [Statement on Legal action commenced in Indonesia, 06/05/17]</li> <li>• Not met: Provides remedies to affected stakeholders: CHRB did not find evidence of the Company providing remedies.</li> <li>• Not met: Has reviewed management systems to prevent recurrence: CHRB did not find evidence of the Company reviewing the system followed by the case.</li> </ul> <p>Score 2</p> <ul style="list-style-type: none"> <li>• Not met: Remedies are satisfactory to the victims</li> <li>• Not met: Has improved systems and engaged affected stakeholders: CHRB did not find evidence of the Company improving the system or engaging with stakeholders followed by the case.</li> </ul>

## Disclaimer

A score of zero for a particular indicator does not mean that bad practices are present. Rather it means that we have been unable to identify the required information in public documentation.

See the 2020 Key Findings report and the 2019 technical annex for more details of the research process.

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