



Corporate Human  
Rights Benchmark  
**Key Findings 2017**



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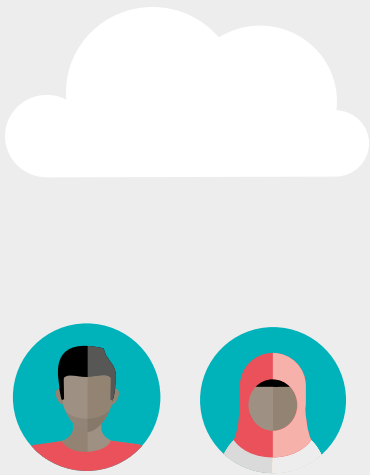


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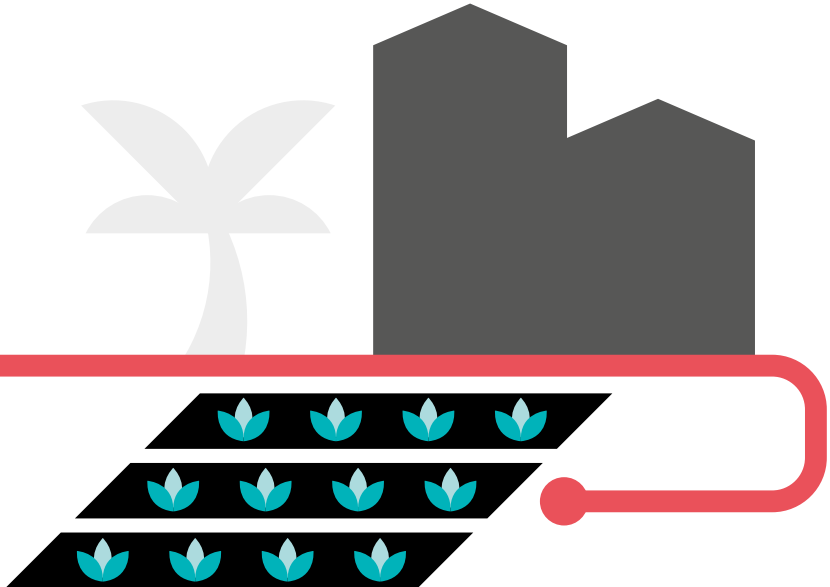
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# Table of Contents

<b>FOREWORD</b>	<b>4</b>
<b>1. GUIDE TO THE 2017 BENCHMARK</b>	<b>6</b>
<b>2. 2017 RESULTS – ACROSS INDUSTRIES</b>	<b>8</b>
<b>3. KEY MESSAGES</b>	<b>12</b>
<b>4. INDUSTRY ESSENTIALS</b>	<b>14</b>
Agricultural Products	16
Apparel	18
Extractives	20
<b>5. 2017 RESULTS BY MEASUREMENT THEME</b>	<b>22</b>
A. Governance and Policy Commitments	24
B. Embedding Respect and Human Rights Due Diligence	26
C. Remedies and Grievance Mechanisms	28
D. Performance: Company Human Rights Practices	30
E. Performance: Responses to Serious Allegations	38
F. Transparency	41
<b>6. CALL TO ACTION</b>	<b>42</b>
<b>Annex 1: Companies Benchmarked</b>	<b>46</b>
<b>Annex 2: Companies that Engaged in the 2017 Benchmark</b>	<b>48</b>





## Foreword



A deceptively simple question – which company performs best in human rights terms – has been impossible to answer objectively. Today, we take an important step towards answering the question as we rank just under 100 companies from three industries on the implementation of the UN Guiding Principles on Business and Human Rights and other internationally recognised human rights and industry standards.

The Corporate Human Rights Benchmark (CHRB) is about more than setting benchmarks. It's about ranking companies. It's about making this data public and free. It is also about "enlightened self-interest". Observing the highest standards of human rights is fundamental, we believe, to the credibility, effectiveness and sustainability of business – now and in the future. If business does not observe the highest standards of human rights then society is at risk. And if society does not observe human rights then business is at risk. With recent political events we have vividly witnessed the backlash against systems people feel do not work for them. So the CHRB is also about economic development and making markets work for everyone.

As we grow the CHRB year on year to include more industries and the top 500 companies on the planet, we believe it will become an invaluable tool for companies, investors, and also policy-makers, civil society, trade unions, the media, and academia. We hope that with your support CHRB can grow to provide increasing incentives for a race to the top, driven by the choices made by investors, public and private purchasing, consumers, and talent that wants to work for companies that reflect their values.

This first Benchmark is, inevitably, a snapshot of a company's human rights performance at one point in time. It is an opportunity to engage and initiate a conversation. The 2017 results signal to companies and their stakeholders where to explore in more detail. They highlight the human rights issues that need to be dealt

with, as well as areas of good and emerging practice. We are the first to acknowledge that the picture is as yet incomplete: there are many more industries to rank. But, following guidance from our own consultations, we have started with three industries that are known to have significant impacts on human rights: the agricultural products, apparel, and extractives industries.

The 2017 results highlight a cluster of companies taking a leadership position and driving forward corporate human rights performance. However there are still plenty of challenges that need to be overcome. For example, only three companies score more than 60%. And the average score is a mere 28.7%. There is clearly no perfect company or industry in human rights terms, and no scope for complacency anywhere. However, it is clear that some are trying much harder than others and we have identified clear leaders and laggards.

Implementing respect for human rights across a company's activities and business relationships is not simple. It takes commitment, resources, and time to embed respect for human rights into the ways that a large and diverse workforce thinks and acts. Moreover, companies rarely control all the circumstances in which they operate; those contexts may change rapidly and serious human rights dilemmas may arise.

That is why it is critical for all stakeholders in different roles to take action and use these results to drive improved corporate human rights performance. It is up to governments to provide the right regulations and incentives. It is up to owners and managers of a company to engage with their human rights risks, improve their approaches to managing them, and identify where they could do more and learn from their peers. It is up to investors to engage with companies and hold them to account. It is up to individuals to join companies that reflect their values. It is up to civil society and the media to press for action and support advances, providing reputation reward for leading companies and reputation risk for laggards. And it is up to concerned customers to choose where to shop.

This report summarises the 2017 results of the Corporate Human Rights Benchmark and the key findings they signal. Detailed results by industry, measurement theme, and company are available at [www.corporatebenchmark.org](http://www.corporatebenchmark.org).

### Steve Waygood

Chief Responsible Investment Officer, Aviva Investors  
Chair, Corporate Human Rights Benchmark

## Acknowledgments

The CHRB Pilot Methodology is the result of extensive multi-stakeholder consultation around the world over two years, involving representatives from over 400 companies, governments, civil society organisations, investors, academics and legal experts. The CHRB would like to sincerely thank all stakeholders for their insights and contributions during the CHRB consultations and the development of the CHRB Pilot Methodology and in its subsequent application.

The CHRB would like to acknowledge Vigeo Eiris who provided the group of analysts to carry out the data collection and assessment for the 2017 results according to the CHRB Pilot Methodology and Addendum, and RepRisk and Business and Human Rights Resource Centre who provided sources for the Responses to Serious Allegations Measurement Theme.

The CHRB would also like to thank and recognise the number of individuals within companies that contributed significant time and considerable effort to ensure the CHRB had the correct information when analysing the company in question. We would particularly like to thank the companies that engaged with us during the benchmarking process (please see Annex 2 for the full list).

The CHRB would like to thank the Governments of the Netherlands, United Kingdom, and Switzerland, as well as The Joseph Roundtree Charitable Trust for their financial support.

Finally the CHRB would like to thank all its stakeholders for their support in making the concept of a corporate human rights benchmark a reality, and we encourage them to continue helping to strengthen the CHRB Methodology and benchmarking process over time.





# Guide to the 2017 Benchmark

The CHRB’s Pilot Methodology is the result of extensive multi-stakeholder consultation around the world over two years, involving representatives from over 400 companies, governments, civil society organisations, investors, academics and legal experts. The Pilot Methodology and Addendum are detailed and therefore not repeated here, but can be accessed at [www.corporatebenchmark.org](http://www.corporatebenchmark.org). However, below are some key points of information readers will require to understand the 2017 results.

## Publicly Available Information

In an effort to drive greater transparency, the CHRB is based on only publicly available information from company websites, documents, and additional company input to the CHRB Disclosure Platform. As such, some companies may have non-public information which would not be taken into account in the 2017 results.

For example, a score of 0 on an individual indicator does not necessarily mean that bad practices are present or there is no company action on the issue. Rather, it means that CHRB has been unable to identify in public company documentation all of the elements required for a positive score.

## Industries

The three industries in focus – Agricultural Products, Apparel, and Extractives – were selected following multistakeholder consultation, taking into account their high human rights risks, the extent of previous work on the issue, and global economic significance. The CHRB follows a specific approach in relation to the scope of each industry covered, the scope of company activities within the value chain, as well as the scope of business relationships considered. See the CHRB Pilot Methodology and Addendum for further information.

## Companies

The selected 98 publicly traded companies were chosen on the basis of their size (market capitalisation) and revenues, as well as geographic and industry balance. For the full list of companies see Annex 1, which includes the scope of business relationship that they were assessed against.

## International and Industry-Specific Standards

The Benchmark is grounded in the UN Guiding Principles on Business and Human Rights, as well as additional standards and guidance focused on specific industries and specific issues. This is reflected in the focus of the

CHRB Measurement Themes, which look at companies’ policies, governance, processes, practices and transparency, as well as how they respond to serious allegations.

## Measurement Themes

The CHRB Pilot Methodology is composed of indicators spread across six Measurement Themes with different weightings (see Table 1).

These levels have been carefully developed through numerous consultations with stakeholders to seek to achieve a balance between measuring actual human rights impacts on the ground as well as the effectiveness of policies and processes implemented across large and complex companies to systematically address their human rights risks and impacts.

## Scoring

Indicators follow a set structure, awarding either 0,1, or 2 points depending whether the requirements are fulfilled through a review of publicly available information.

A company’s score on a Measurement Theme is calculated by adding the number of points awarded in the respective Theme and dividing it by the maximum number of points available. The scores on all Measurement Themes are then weighted to produce a company’s total CHRB score.

## Companies in Two Industries

Companies may be assessed against more than one CHRB industry, where they derive at least 20 % of their revenues from the relevant CHRB industry. Eight companies fell into both the Agricultural Products and Apparel industries. In this case the companies were assessed both in terms of how they manage their Agricultural Products and Apparel business. As such, these particular companies are presented in both industry results where relevant.

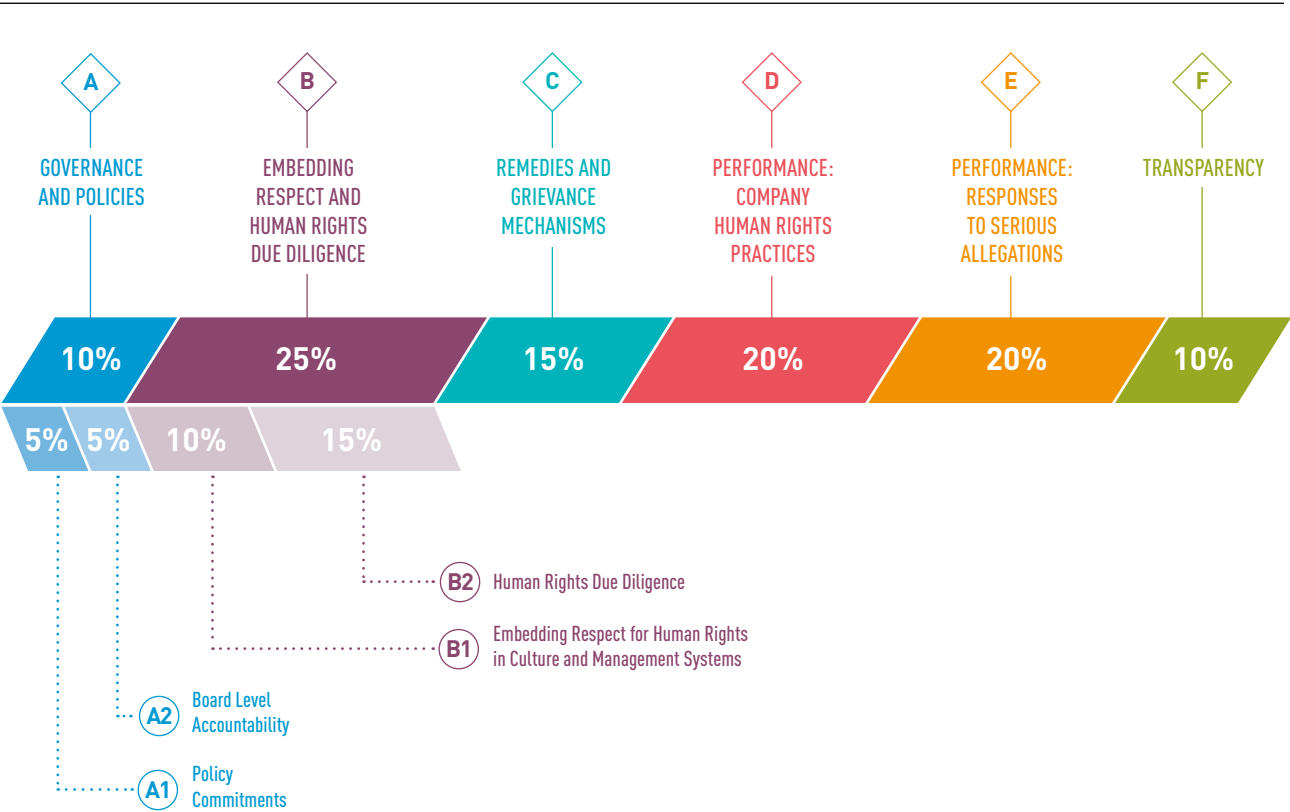


Table 1: Weighting of CHRB Measurement Themes

## Icons and Abbreviations

Industry icons are used throughout this Report wherever possible to clearly highlight industry results.

Similarly, industry abbreviations are often used to clarify which industry companies were assessed against.

These abbreviations are:

- AG: Agricultural Products
- AP: Apparel
- AG/AP: Companies falling in both the Agricultural Products and Apparel industries
- EX: Extractives

## Out of Scope

There are some aspects that contribute to the human rights performance of companies, but which are not be covered in the 2017 Benchmark in order to focus on key issues, maintain a manageable scope and to learn lessons from the inaugural results.

These are:

- Geography
- Consumption of Products and Services

- Positive Impacts
- Collective Impacts (such as climate change)

See the CHRB Pilot Methodology for further details.

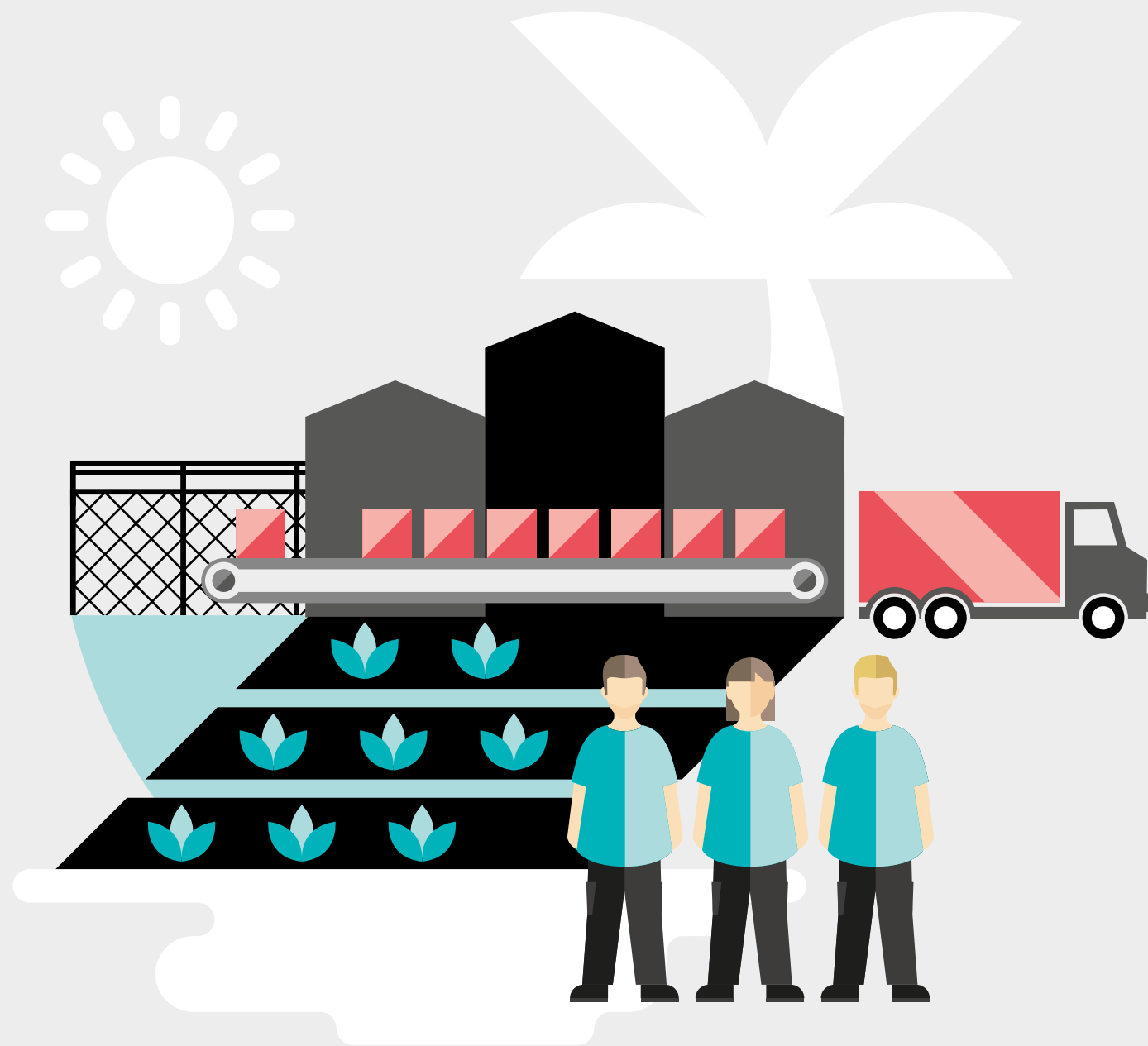
## Benchmarking Process

Company representatives were contacted in March 2016 notifying them that they were selected for benchmarking and offered the opportunity to highlight or disclose initial information relevant to the criteria in the CHRB Pilot Methodology. In May 2016 research began by Vigeo Eiris according to the CHRB Pilot methodology. As a result of the initial research phase, several indicators were adjusted to ensure fairness in application and rigour in the 2017 results. These are reflected in the CHRB Pilot Methodology Addendum.

In November 2016 all companies received their draft research profile, including scores for individual indicators. Companies were offered the opportunity to review the research and feedback issues to the research team, as well as disclose any further information not previously in the public domain to the publicly available CHRB Disclosure Platform. A second research review phase was then carried out against this company feedback to finalise scores for publication in March 2017.

For the full list of companies that engaged in the benchmarking process see Annex 2.





## 2 2017 Results Across Industries

### A note about measuring corporate human rights performance

As CHRB we want to emphasise that the results will always be a proxy for good human rights management, and not an absolute measure of performance. This is because there are no fundamental units of measurement for human rights. Human rights assessments are therefore necessarily more subjective than objective. The Benchmark also captures only a snap shot in time. We therefore want to encourage companies, investors, civil society and governments to look at the broad performance bands that companies are ranked within rather than their precise score because, as with all measurements, and particularly one as new as the CHRB which is in its pilot phase, there is a reasonably wide margin of error possible in interpretation.

For example, a score of 0 on an individual indicator does not necessarily mean that bad practices are present

or there is no company action on the issue. Rather, it means that CHRB has been unable to identify in public company documentation all of the elements required for a positive score.

We also want to encourage a greater analytical focus on how scores improve over time rather than upon how a company compares to other companies in the same industry today. The spirit of the exercise is to promote continual improvement via an open assessment process and a common understanding of the importance of the UN Guiding Principles on Business and Human Rights. As noted on the CHRB website ([www.corporatebenchmark.org](http://www.corporatebenchmark.org)), CHRB will be conducting an open consultation on this pilot phase and we encourage feedback on the pilot as part of this spirit of continual improvement.



# 2017 Results - Across Industries

OVERALL  
AVERAGE **28.7%**



Table 2: Average Score by Measurement Theme (darker colour blocks indicate proportion achieved)

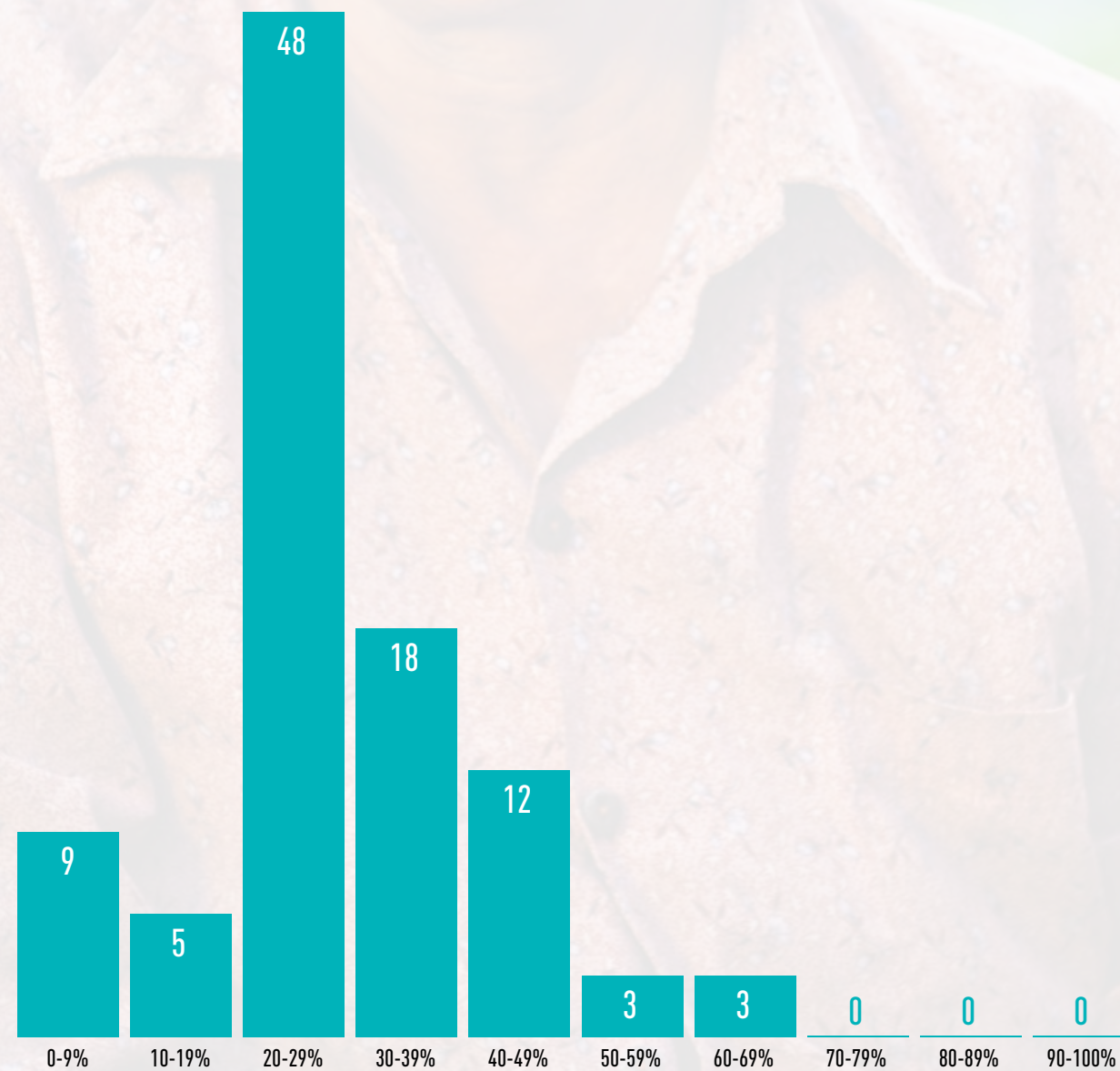


Table 3: Number of Companies (out of 98) in each Band

BAND RANGE	COMPANY	INDUSTRY	BAND RANGE	COMPANY	INDUSTRY
60-69%	BHP Billiton	EX	20-29% (cont.)	Canadian Natural Resources	EX
	Marks & Spencer Group	AG / AP		PetroChina	EX
	Rio Tinto	EX		Compass Group	AG
50-59%	Nestle	AG		Norilsk Nickel	EX
	Adidas	AP		Starbucks	AG
	Unilever	AG		Marathon Petroleum	EX
40-49%	Total	EX		Woolworths	AG
	Hennes & Mauritz	AP		Nordstrom	AP
	Kellogg	AG		Anadarko Petroleum	EX
	Anglo American	EX		Phillips 66	EX
	Gap	AP		Mondelez International	AG
	Freeport-McMoRan	EX		PepsiCo	AG
	BP	EX		Coach	AP
	Tesco	AG / AP		Lukoil	EX
	ConocoPhillips	EX		Kroger	AG
	Chevron Corporation	EX		Shoprite	AG
	The Coca-Cola Company	AG		Next	AP
	Nike	AP		Surgutneftgas	EX
30-39%	Statoil	EX		Alimentation Couche-tard	AG
	Pernod-Ricard	AG		Aeon Company	AG / AP
	Royal Dutch Shell	EX		Gazprom	EX
	General Mills	AG		EOG Resources	EX
	VF	AP		Valero Energy	EX
	Inditex	AP		Carrefour	AG
	Sasol	EX		Repsol	EX
	Hanesbrands	AP		Prada	AP
	Vale	EX		Falabella	AP / AP
	Ecopetrol	EX		CNOOC	EX
	Glencore	EX		Eni	EX
	Heineken NV	AG		Rosneft Oil	EX
	Exxon Mobil	EX		China Shenhua Energy	EX
	Suncor Energy	EX		Hermes International	AP
	Diageo	AG		Heilan Home	AP
	The Hershey Company	AG		Kraft Heinz	AG
	Occidental Petroleum	EX		Kweichow Moutai	AG
20-29%	Target	AG / AP	10-19%	Petrobras	EX
	Danone	AG		Under Armour	AP
	PTT	EX		Fast Retailing	AP
	Devon Energy	EX		Wal-Mart Stores	AG / AP
	Kering	AP	0-9%	McDonald's	AG
	Archer Daniels Midland	AG		Coal India	EX
	Goldcorp	EX		China Petroleum & Chemical	EX
	BRF	AG		Ross Stores	AP
	Associated British Foods	AG / AP		Kohl's	AP
	Anheuser-Busch InBev	AG		Oil & Natural Gas Corporation	EX
	Sysco	AG		Yum! Brands	AG
	TJX Companies	AP		Grupo Mexico	EX
	L Brands	AP		Macy's	AP
	Christian Dior	AP		Costco Wholesale	AG / AP

Table 4: Company Results by Band



## Key Messages

### There are some clear leaders, but improvements can still be made

There are leading companies in each industry which are out ahead of the pack on human rights. But these leaders are both few in number – 3, 3, and 12 companies in the top three bands respectively – and do not yet achieve top marks across the board. The highest band any company has earned is in the 60-69 % range, with the bulk of leaders scoring between 40-49 %.

With at least two companies from each industry in the top two bands, these leaders provide the examples of current best practice that other companies can quickly learn from and emulate.

### The results skew significantly to the lower bands

The 2017 results are significantly skewed toward the lower bands. This reflects the relatively early stage that many companies are still at when implementing the UN Guiding Principles and other internationally recognised human rights and industry standards. Nearly six years on from the UN Guiding Principles' endorsement, this is an important if uncomfortable finding. Subsequent years of Benchmark results will indicate whether this average improves, with the skew reducing and hopefully shifting to the right over time, with the upper range also increasing. Indeed, part of the point of the Benchmark is to play a role in promoting this improvement, and this is one way of measuring the CHRB's success.

### Lowest performing companies must improve urgently

The large majority of low performing companies (0-29 %) are falling overwhelmingly behind, with all the dangers for human rights abuse of workers and communities that this implies. The leading companies in the Benchmark have recognised the moral imperative, business case, and commercial viability of taking action on human rights, and the critical mass of low performing companies must now look to the leaders' example and make urgent improvements.

They need to act decisively, learn from leading practices, and emulate rapidly their existing standards. Many of the companies in the Benchmark have strong public brands, have a large market capitalisation, and in high risk industries for human rights. With increasing public scrutiny, any inaction runs a high reputation risk with investors, customers, and the talent that their future success depends on.

### Commitments must be followed through

Companies tend to perform more strongly on policy commitments, high-level governance arrangements, and the early stages of human rights due diligence. These results point to a growing willingness to commit to respect human rights, establish systems to embed that commitment in the company's DNA, and begin to understand the risks the company poses to human rights.

Performance drops off however, even amongst leading companies, when it comes to acting on those risks, tracking responses, communicating effectiveness, remediating harms, and undertaking specific practices linked to preventing key industry risks.

It is clear that for any company to improve their corporate human rights performance moving forward, a concentrated focus must be put on implementation in practice and continually learning the valuable lessons the ongoing due diligence and remedy processes offer.

### Engagement with those potentially affected is lacking

Engagement with potentially affected stakeholders – communities and workers especially – is a feature of several indicators across the Benchmark, but levels of corporate performance against each are low. For example: 56 % of companies do not score any points for their commitments to such engagement; 84 % do not score any points for having a framework for such engagement; and an alarming 91 % of companies do not score any points for involving users in the design or performance of their grievance mechanisms.

These key stakeholders have valuable insights into how company products, operations and services enhance or harm people in their operations and supply chains, and whether the company's human rights policy and approach is working.

The 2017 results indicate that there are few companies that could safely feel they are performing strongly against this fundamental feature of meaningful corporate performance on human rights.

### There is a gap between responding publicly to serious allegations and taking appropriate action

The responses to the serious allegations measurement theme is one of the unique features distinguishing the CHRB from many other benchmarks. The CHRB does not consider the veracity of the allegation itself but whether a company responds when such allegations are made, whether there are appropriate policies in place, and whether they have taken appropriate action.

The 2017 results indicate that the companies that faced serious allegations were those in the top and bottom bands of the Benchmark. In other words, the companies in the middle bands tended not to face allegations meeting CHRB's threshold of severity for inclusion.

Of the allegations considered, the results show that companies are commonly responding to allegations publicly, and generally have appropriate policies in place covering the issue in question. Where performance falls away is in taking appropriate action, with 77 % of companies earning 0 points, no company earning the full 2 points, and just 23 % earning 1 point.







## 4 Industry Essentials

### A note about measuring corporate human rights performance

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# Agricultural Products

OVERALL AVERAGE : 28.8%

Average score per Measurement Theme

The 35 largest agriculture companies in the world were assessed against the CHRB’s Agricultural Products criteria (of which 8 were also assessed against the Apparel criteria). The highest scoring Measurement Theme was Transparency, followed by Policy. Companies score lowest in Company Human Rights Practices.

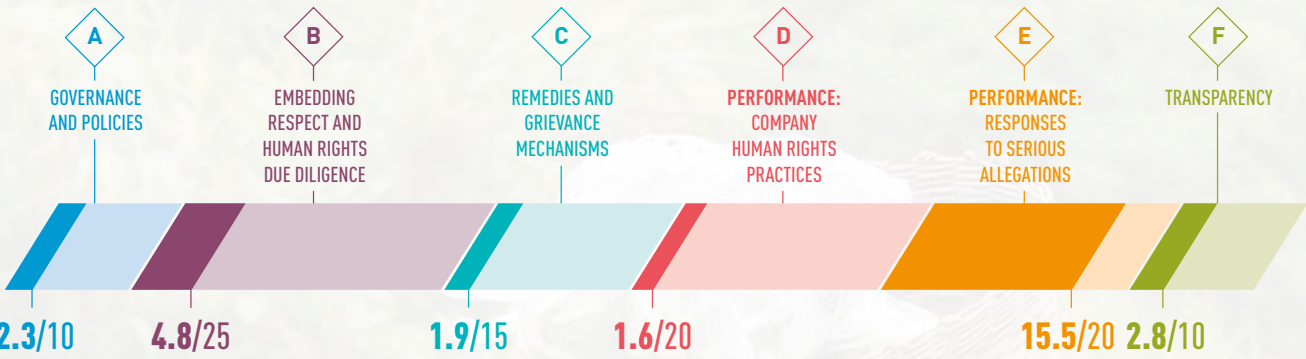


Table 5: Average Score by Measurement Theme (darker colour blocks indicate proportion achieved)

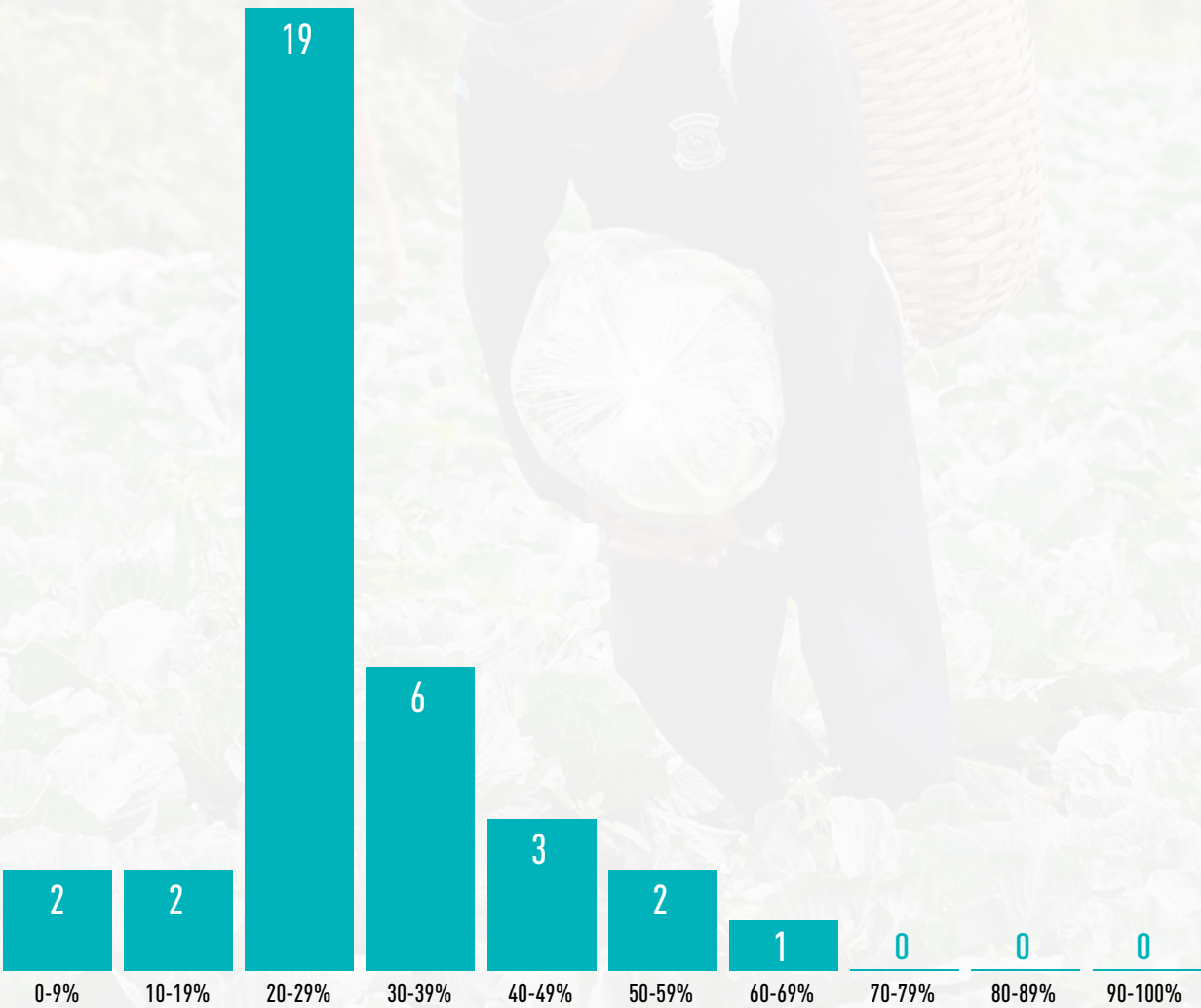


Table 6: Number of Agricultural Companies (out of 35) in each Band

BAND RANGE	COMPANY	INDUSTRY	BAND RANGE	COMPANY	INDUSTRY
60-69%	Marks & Spencer Group	AG / AP	20-29% (cont.)	Compass Group	AG
50-59%	Nestle	AG		Starbucks	AG
	Unilever	AG		Woolworths	AG
40-49%	Kellogg	AG		Mondelez International	AG
	Tesco	AG / AP		PepsiCo	AG
	The Coca-Cola Company	AG		Kroger	AG
30-39%	Pernod-Ricard	AG		Shoprite	AG
	General Mills	AG		Alimentation Couche-tard	AG
	Heineken NV	AG		Aeon Company	AG / AP
	Diageo	AG		Carrefour	AG
	The Hershey Company	AG		Falabella	AG / AP
	Target	AG / AP		Kraft Heinz	AG
20-29%	Danone	AG		Kweichow Moutai	AG
	Archer Daniels Midland	AG	10-19%	Wal-Mart Stores	AG / AP
	BRF	AG		McDonald's	AG
	Associated British Foods	AG / AP	0-9%	Yum! Brands	AG
	Anheuser-Busch InBev	AG		Costco Wholesale	AG / AP
	Sysco	AG			

Table 7: Agricultural Products Company Results by Band

A	B	C	D	E	F
POLICY COMMITMENTS	EMBEDDING RESPECT AND HUMAN RIGHTS DUE DILIGENCE	REMEDIES AND GRIEVANCE MECHANISMS	COMPANY HUMAN RIGHTS PRACTICES	RESPONSES TO SERIOUS ALLEGATIONS	TRANSPARENCY
<b>Leading scoring companies:</b> Marks & Spencer Group Unilever Nestle	<b>Leading scoring companies:</b> Unilever Marks & Spencer Group The Coca-Cola Company	<b>Leading scoring companies:</b> Marks & Spencer Group Nestle Unilever	<b>Leading scoring companies:</b> Marks & Spencer Group The Coca-Cola Company Nestle Unilever	<b>23 companies with no serious allegations that meet the CHRB severity threshold.</b>  <b>Leading scorers in responding to serious allegations:</b> Marks & Spencer Group Unilever	<b>Leading scoring companies:</b> Marks & Spencer Group Nestle The Coca-Cola Company
<b>Companies that scored 0 overall:</b> Costco Wholesale Kraft Heinz Kroger Kweichow Moutai Wal-Mart Stores	<b>Companies that scored 0 overall:</b> Alimentation Couche-tard Costco Wholesale Falabella Kraft Heinz Kweichow Moutai Shoprite	<b>Companies that scored 0 overall:</b> Aeon Company Falabella Kraft Heinz Kweichow Moutai Yum! Brands	<b>Companies that scored 0 overall:</b> Aeon Company Alimentation Couche-tard Archer Daniels Midland Compass Group Danone Diageo Falabella General Mills Heineken NV Kraft Heinz Kroger Kweichow Moutai McDonald's Shoprite The Hershey Company Yum! Brands	<b>12 companies with serious allegations meeting the CHRB severity threshold.</b>  <b>Lowest scorers in responding to serious allegations:</b> Carrefour Costo Wholesale	<b>Companies that scored 0 overall:</b> Kraft Heinz Kweichow Moutai

Table 8: Highest and Lowest Scoring Agricultural Products Companies in each Measurement Theme

Note: A score of 0 does not necessarily mean that bad practices are present or there is no company action on the issue. Rather, it means that CHRB has been unable to identify in public company documentation all of the elements required for a positive score.



Apparel

Average score per Measurement Theme

The 30 largest apparel companies in the world were assessed against the CHRB’s Apparel criteria (of which 8 companies were also assessed against the Agricultural Products criteria). The highest scoring Measurement Theme was Transparency, followed by Policy, with companies scoring lowest in Remedies and Grievance Mechanisms.

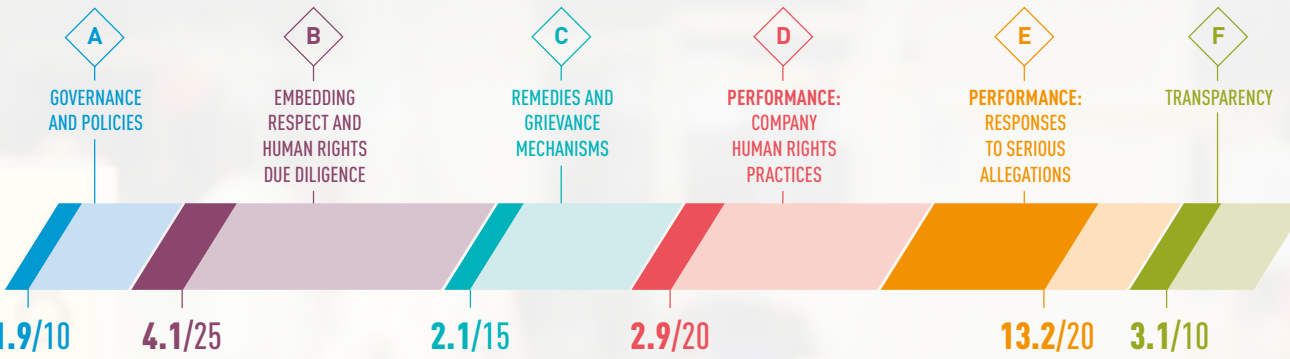


Table 9: Average Score by Measurement Theme (darker colour blocks indicate proportion achieved)

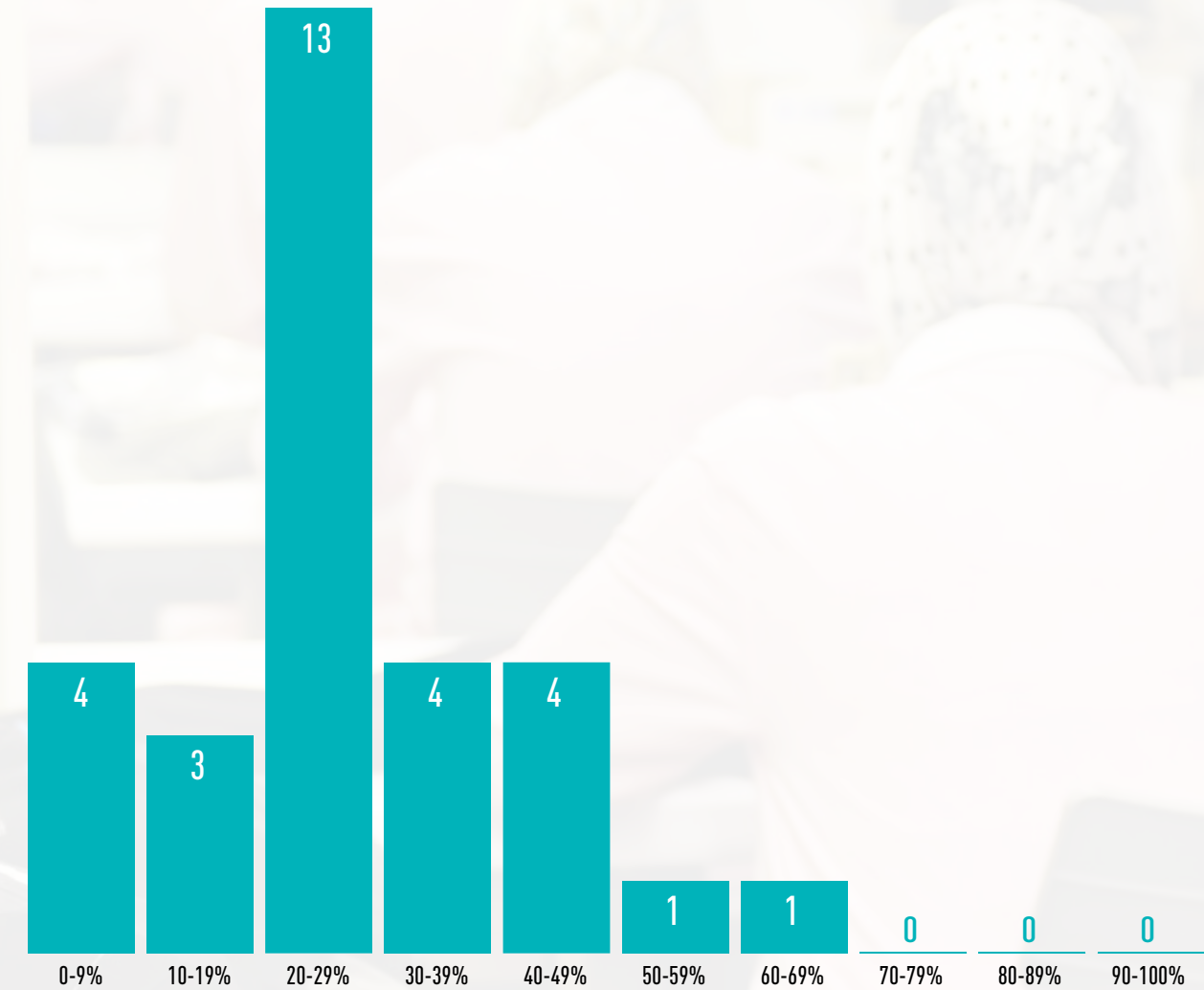


Table 10: Number of Apparel Companies (out of 30) in each Band

BAND RANGE	COMPANY	INDUSTRY
60-69%	Marks & Spencer Group	AP
50-59%	Adidas	AP
40-49%	Hennes & Mauritz	AP
	Gap	AP
	Tesco	AG / AP
	Nike	AP
30-39%	VF	AP
	Inditex	AP
	Hanesbrands	AP
	Target	AG / AP
20-29%	Kering	AP
	Associated British Foods	AG / AP
	TJX Companies	AP
	L Brands	AP
	Christian Dior	AP

BAND RANGE	COMPANY	INDUSTRY
20-29% (cont.)	Nordstrom	AP
	Coach	AP
	Next	AP
	Aeon Company	AG / AP
	Prada	AP
	Falabella	AG / AP
	Hermes International	AP
	Heilan Home	AP
10-19%	Under Armour	AP
	Fast Retailing	AP
	Wal-Mart Stores	AG / AP
0-9%	Ross Stores	AP
	Kohl's	AP
	Macy's	AP
	Costco Wholesale	AG / AP

Table 11: Apparel Company Results by Band

A POLICY COMMITMENTS	B EMBEDDING RESPECT AND HUMAN RIGHTS DUE DILIGENCE	C REMEDIES AND GRIEVANCE MECHANISMS	D COMPANY HUMAN RIGHTS PRACTICES	E RESPONSES TO SERIOUS ALLEGATIONS	F TRANSPARENCY
<b>Leading scoring companies:</b> Marks & Spencer Group Gap Adidas	<b>Leading scoring companies:</b> Marks & Spencer Group Hennes & Mauritz Adidas	<b>Leading scoring companies:</b> Adidas Hanesbrands Marks & Spencer Group VF	<b>Leading scoring companies:</b> Adidas Marks & Spencer Group Nike	<b>14 companies with no serious allegations that meet the CHRB severity threshold.</b>  <b>Leading scorers in responding to serious allegations:</b> Marks and Spencer Group Gap	<b>Leading scoring companies:</b> Adidas Gap Marks & Spencer Group
<b>Companies that scored 0 overall:</b> Coach Costco Wholesale Fast Retailing Heilan Home Hermes International L Brands Macy's Nordstrom Prada Ross Stores Under Armour Wal-Mart Stores	<b>Companies that scored 0 overall:</b> Costco Wholesale Falabella Heilan Home Hermes International Prada	<b>Companies that scored 0 overall:</b> Aeon Company Christian Dior Falabella Heilan Home Hermes International Kohl's Macy's Next Nike Prada	<b>Companies that scored 0 overall:</b> Aeon Company Coach Falabella Heilan Home Hermes International L Brands Nordstrom Ross Stores TJX Companies	<b>16 companies with serious allegations meeting the CHRB severity threshold.</b>  <b>Lowest scorers in responding to serious allegations:</b> Kohl's Macy's Costco Wholesale	<b>Companies that scored 0 overall:</b> Heilan Home

Table 12: Highest and Lowest Scoring Apparel Companies in each Measurement Theme

Note: A score of 0 does not necessarily mean that bad practices are present or there is no company action on the issue. Rather, it means that CHRB has been unable to identify in public company documentation all of the elements required for a positive score.



Extractives

Average score per Measurement Theme

The 41 largest extractives companies in the world were assessed against the CHRB’s extractives criteria. The highest scoring Measurement Theme was Transparency, followed by Policy, with companies scoring lowest in Embedding Respect and Human Rights Due Diligence.

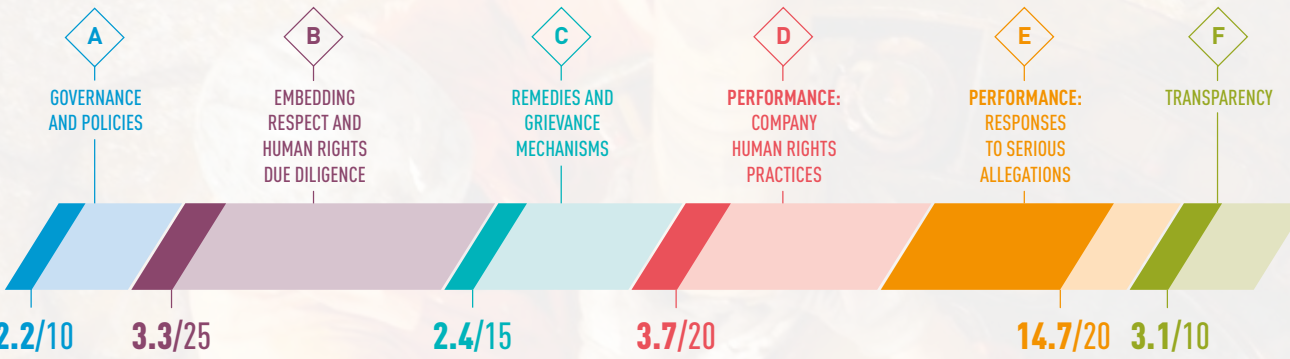


Table 13: Average Score by Measurement Theme (darker colour blocks indicate proportion achieved)

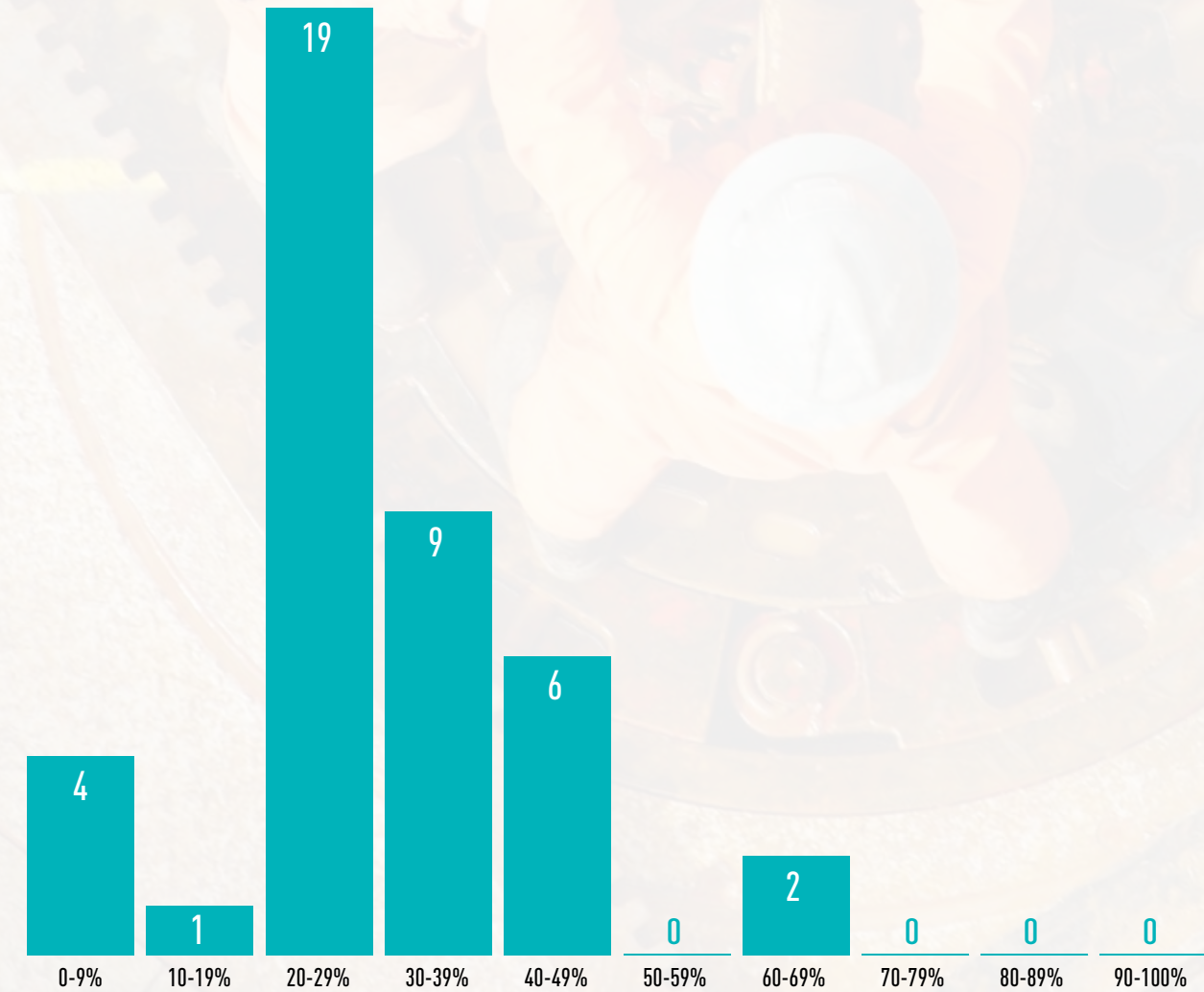


Table 14: Number of Extractive Companies (out of 41) in each Band

BAND RANGE	COMPANY	INDUSTRY
60-69%	BHP Billiton	EX
	Rio Tinto	EX
50-59%		
40-49%	Total	EX
	Anglo American	EX
	Freeport-McMoRan	EX
	BP	EX
	ConocoPhillips	EX
	Chevron Corporation	EX
	Statoil	EX
	Royal Dutch Shell	EX
	Sasol	EX
	Vale	EX
30-39%	Ecopetrol	EX
	Glencore	EX
	Exxon Mobil	EX
	Suncor Energy	EX
	Occidental Petroleum	EX
	PTT	EX
	Devon Energy	EX
	Goldcorp	EX
20-29%		

BAND RANGE	COMPANY	INDUSTRY
20-29% (cont.)	Canadian Natural Resources	EX
	PetroChina	EX
	Norilsk Nickel	EX
	Marathon Petroleum	EX
	Anadarko Petroleum	EX
	Phillips 66	EX
	Lukoil	EX
	Surgutneftgas	EX
	Gazprom	EX
	EOG Resources	EX
	Valero Energy	EX
	Repsol	EX
	CNOOC	EX
	Eni	EX
10-19%	Rosneft Oil	EX
	China Shenhua Energy	EX
0-9%	Petrobras	EX
	Coal India	EX
	China Petroleum & Chemical	EX
	Oil & Natural Gas Corporation	EX
	Grupo Mexico	EX

Table 15: Extractive Company Results by Band

A POLICY COMMITMENTS	B EMBEDDING RESPECT AND HUMAN RIGHTS DUE DILIGENCE	C REMEDIES AND GRIEVANCE MECHANISMS	D COMPANY HUMAN RIGHTS PRACTICES	E RESPONSES TO SERIOUS ALLEGATIONS	F TRANSPARENCY
<b>Leading scoring companies:</b> BHP Billiton Rio Tinto Anglo American Total	<b>Leading scoring companies:</b> Total BHP Billiton Rio Tinto	<b>Leading scoring companies:</b> BHP Billiton Anglo American Rio Tinto	<b>Leading scoring companies:</b> BHP Billiton Rio Tinto Total	<b>24 companies with no serious allegations that meet the CHRB severity threshold.</b>  <b>Leading scorers in responding to serious allegations:</b> Rio Tinto Rosneft Oil BHP Billiton Glencore	<b>Leading scoring companies:</b> Anglo American BHP Billiton Rio Tinto Repsol
<b>Companies that scored 0 overall:</b> China Shenhua Energy EOG Resources Gazprom PetroChina Surgutneftgas Valero Energy	<b>Companies that scored 0 overall:</b> Canadian Natural Resources China Petroleum & Chemical China Shenhua Energy CNOOC Devon Energy EOG Resources Gazprom Grupo Mexico Lukoil Marathon Petroleum Norilsk Nickel Oil & Natural Gas Corp PetroChina Phillips 66 Surgutneftgas Valero Energy	<b>Companies that scored 0 overall:</b> China Petroleum & Chemical China Shenhua Energy CNOOC Gazprom Lukoil Norilsk Nickel Surgutneftgas	<b>Companies that scored 0 overall:</b> Anadarko Petroleum China Petroleum & Chemical China Shenhua Energy CNOOC EOG Resources Grupo Mexico Marathon Petroleum Phillips 66 Valero Energy	<b>17 companies with serious allegations meeting the CHRB severity threshold.</b>  <b>Lowest scorers in responding to serious allegations:</b> Coal India Oil & Natural Gas Corp Repsol	<b>Companies that scored 0 overall:</b> Surgutneftgas

Table 16: Highest and Lowest Scoring Extractive Companies in each Measurement Theme

Note: A score of 0 does not necessarily mean that bad practices are present or there is no company action on the issue. Rather, it means that CHRB has been unable to identify in public company documentation all of the elements required for a positive score.



# 5 2017 Results by Measurement Theme

## A note about measuring corporate human rights performance

As CHRB we want to emphasise that the results will always be a proxy for good human rights management, and not an absolute measure of performance. This is because there are no fundamental units of measurement for human rights. Human rights assessments are therefore necessarily more subjective than objective. The Benchmark also captures only a snap shot in time. We therefore want to encourage companies, investors, civil society and governments to look at the broad performance bands that companies are ranked within rather than their precise score because, as with all measurements, and particularly one as new as the CHRB which is in its pilot phase, there is a reasonably wide margin of error possible in interpretation.

For example, a score of 0 on an individual indicator does not necessarily mean that bad practices are present

or there is no company action on the issue. Rather, it means that CHRB has been unable to identify in public company documentation all of the elements required for a positive score.

We also want to encourage a greater analytical focus on how scores improve over time rather than upon how a company compares to other companies in the same industry today. The spirit of the exercise is to promote continual improvement via an open assessment process and a common understanding of the importance of the UN Guiding Principles on Business and Human Rights. As noted on the CHRB website ([www.corporatebenchmark.org](http://www.corporatebenchmark.org)), CHRB will be conducting an open consultation on this pilot phase and we encourage feedback on the pilot as part of this spirit of continual improvement.



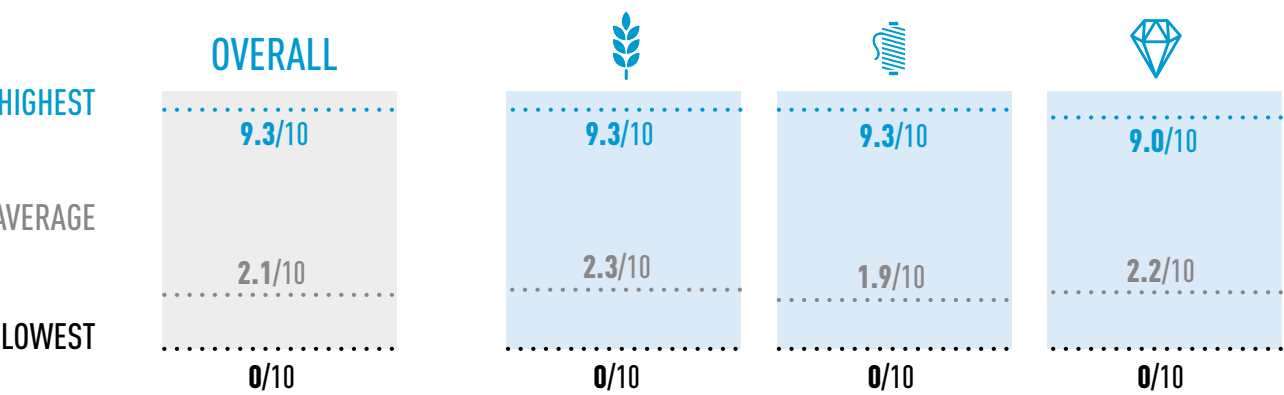
# 2017 Results by Measurement Theme

## A. Governance and Policy Commitments 10% of overall score

This Measurement Theme focuses on a company’s human rights related policy commitments and how they are governed. It includes two related sub-themes:

- Policy Commitments: These indicators aim to assess the extent to which a company acknowledges its responsibility to respect human rights, and how it formally incorporates this into publicly available statements of policy.
- Board Level Accountability: These indicators seek to assess how the company’s policy commitments are managed as part of the Board’s role and responsibility.

*Note: The following descriptions of each indicator are shortened and paraphrased to briefly illustrate the type of requirement against which scores have been earned. For the full description of all the criteria required to fulfill each indicator, please refer to the CHRB Pilot Methodology and Addendum.*



### A.1 Policy Commitments

Of the 98 companies assessed, more than two-thirds score points for having some level of public policy commitment to human rights (with 45 % scoring 1’s and 25 % scoring 2’s on A.1.1). More than one-third of companies score points for their public policy commitment to respect the labour rights outlined in the eight ILO core conventions (with 4 % scoring 1’s and 36 % scoring 2’s on A.1.2).

Nonetheless, roughly one-third of companies are not scoring anything for publicly committing to respect human rights (with 30 % scoring 0’s on A.1.1), and over one-half are not scoring anything for publicly committing to respect the core labour rights (with 64 % scoring 0’s on A.1.2).

### A.2 Board Level Accountability

There is clear leading practice within some companies around CEO’s and Boards approving the company’s human rights commitments (with 28 % scoring 1’s and 13 % scoring 2’s for A.2.1), and discussing performance against the commitment at Board meetings (with 19 % scoring 1’s and 7 % scoring 2’s for A.2.2).

However, over half of companies are failing to score any points on setting this tone at the top (with 57 % scoring 0’s on A.2.1 and 74 % scoring 0’s on A.2.2). Moreover, the leaders scoring drops off when it comes to formally incentivising Board responsibility for human rights (with just 3 % scoring 1’s and 2 % scoring 2’s for A.2.3).

## Some Emerging Practices

Industries that scored

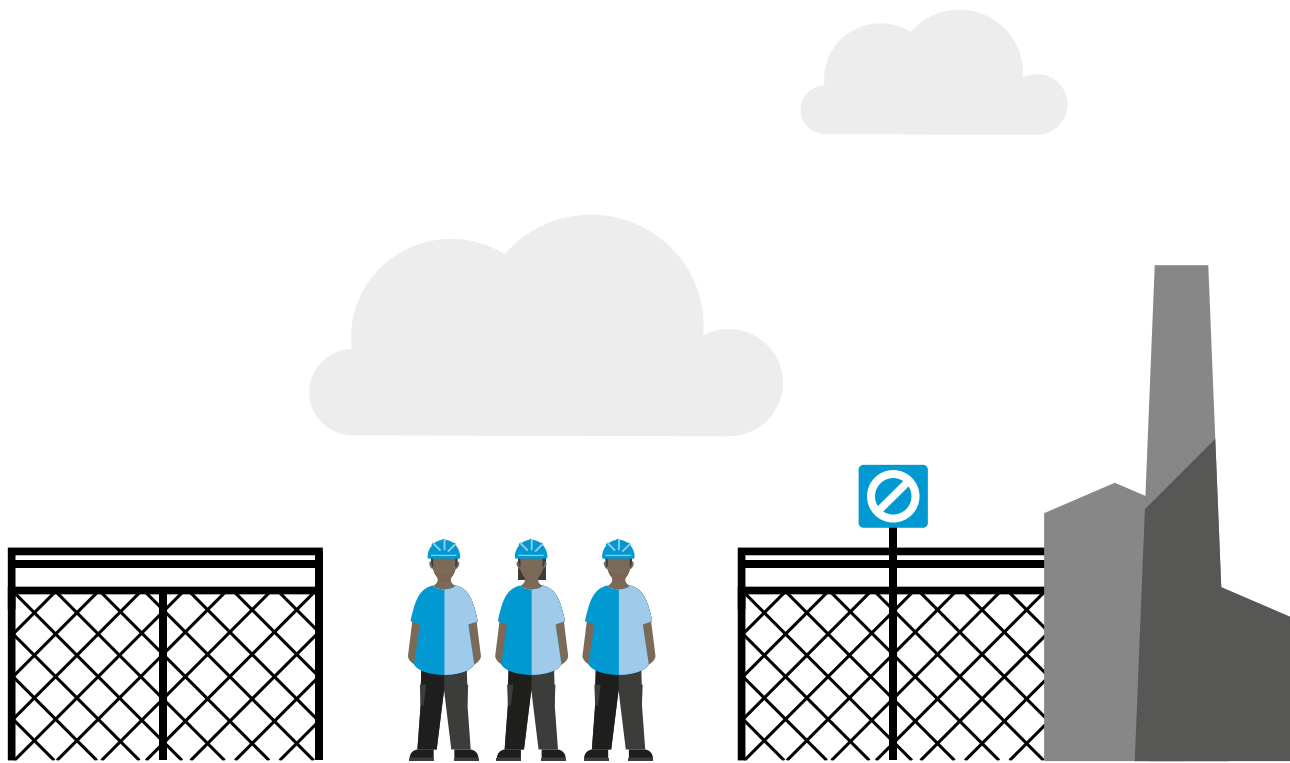
**Commitment to respect human rights defenders (A.1.6):** Marks & Spencer Group (AG/AP), Adidas (AP) and Hanesbrands (AP) scored the only 2’s on this indicator, with public commitments not to interfere with the activities of human rights defenders, including when their campaigns may target the company, and expressing to their business partners that they expect them to make the same commitment.



**Board discussions on human rights (A.2.2):** Unilever (AG), Marks & Spencer Group (AG/AP), Adidas (AP), BHP Billiton (EX), Freeport-McMoRan (EX), Goldcorp (EX) and Rio Tinto (EX) scored the only 2’s on this indicator. Each lays out the process for the company’s human rights commitments and risks to be regularly discussed at Board level and provides an example of this in practice.



**Board incentives and performance management (A.2.3):** Marks & Spencer Group (AG/AP) and BHP Billiton (EX) scored the only 2’s on this indicator. Each indicates that at least one Board member has incentives linked to aspects of the company’s human rights policy commitments, and also makes that criteria public.





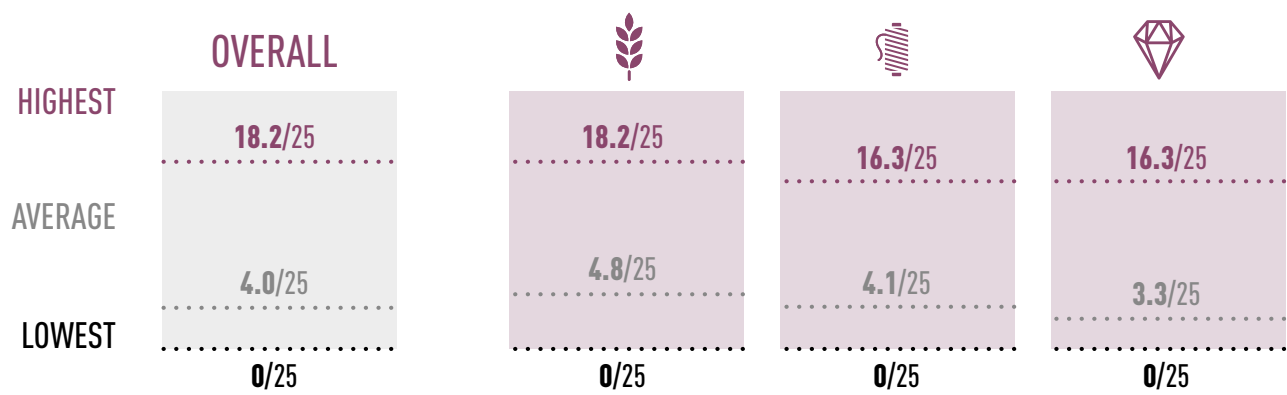
# 2017 Results by Measurement Theme

## B. Embedding Respect and Human Rights Due Diligence 25% of overall score

This Measurement Theme assesses the extent of a company’s systems and processes established to implement the company’s policy commitments in practice. It includes two related sub-themes:

- **Embedding:** These indicators seek to assess how the company’s human rights policy commitments are embedded in company culture and across its management systems and day-to-day activities, including within the management systems covering their business relationships.
- **Human rights due diligence:** These indicators focus on the specific systems the company has in place to ensure that due diligence processes are implemented to assess the real-time risks to human rights that the company poses, to integrate and act on these findings so as to prevent and mitigate the impacts, and to track and communicate those actions.

**Note:** The following descriptions of each indicator are shortened and paraphrased to briefly illustrate the type of requirement against which scores have been earned. For the full description of all the criteria required to fulfill each indicator, please refer to the CHRB Pilot Methodology and Addendum.



### B.1 Embedding Respect

Roughly one-quarter of companies score for indicating the senior manager roles responsible for relevant human rights issues (with 24 % scoring 1’s on B.1.1), and one in seven score an additional point for their more specific description of how day-day responsibility, resources, and decision making on human rights are allocated across the range of relevant company functions (with 14 % scoring 2’s on B.1.1). However, these approaches are not commonly found on related indicators around incentives and performance management systems for senior managers (with 93 % scoring 0’s for B.1.2), nor with training for relevant managers and staff (with 76 % scoring 0’s for B.1.5).

More than one-third of companies are scoring points for their approaches to integrating human rights into their enterprise risk management systems (with 33 % scoring 1’s and 5 % scoring 2’s on B.1.3). Similarly, one-third are scoring for their specific monitoring and corrective action approaches of the company’s human rights commitments (with 31 % scoring 1’s and 3 % scoring 2’s on B.1.6).

Points scored for communication of human rights policy commitments to business relationships are far more common (with 12 % scoring 1’s and 30 % scoring 2’s on B.1.4.b) than within company’s own operations (with 28 % scoring 1’s on B.1.4.a, and no company scoring a 2). However, these levels seem to point to a clear gap in moving from having a policy on paper (for which 70 % of companies score 1 or 2 points – see A. above) to taking the first step toward making the policy work in practice by making it known and understood internally and externally.

### B.2 Human Rights Due Diligence

There are clearly positive trends in companies seeking to embed human rights within the culture of the organisation at the macro-level (see B.1 above), but much more work is to be done at the day-to-day or micro-level of the company to systematically implement all components of the human rights due diligence process. Implementation follows a similar trajectory in each industry.

Roughly one-third of companies scored for their efforts to identify their human rights risks (with 22 % scoring 1’s and 10 % scoring 2’s on B.2.1), and just under one-third scored for assessing them to understand which are the most salient (with 20 % scoring 1’s and 9 % scoring 2’s on B.2.2).

However, scores for implementation of the human rights due diligence processes then drop off, even within that minority, when it comes to integrating and acting on those risks (with just 12 % scoring 1’s and 8 % scoring 2’s on B.2.3), tracking them (with 12 % scoring 1’s and 6 % scoring 2’s on B.2.4), and especially communicating on effectiveness (with just 2 % or two companies scoring 1’s and one company scoring a 2 on B.2.5 – leaving 97 % scoring 0’s). Based on public information found, only a small cluster of leaders seem, therefore, to have a human rights due diligence system continually preventing and mitigating their human rights risks.

### Some Emerging Practices

Industries that scored

**Incentives and performance management (B.1.2):** Unilever (AG), Adidas (AP), Marks & Spencer Group (AG/AP), Anglo American (EX), Conoco Phillips (EX), scored the only 1’s on this indicator, demonstrating at least one senior manager has an incentive or performance management scheme linked to human rights. BHP Billiton (EX) and Freeport-McMoRan (EX) scored the only 2’s, making the specific incentive criteria publicly available.



**Integration with enterprise risk management (B.1.3):** Hanesbrands (AP), BHP Billiton (EX), Freeport-McMoRan (EX), Rio Tinto (EX), and Total (EX) earned the only 2’s on this indicator, explaining how attention to human rights risks are integrated into their broader enterprise risk management systems, and undertaking Board Audit Committee or independent assessments of the system’s adequacy to manage human rights.



**Monitoring and corrective actions (B.1.6):** Nestle (AG), Adidas (AP), and Total (EX) earned the only 2’s for this indicator. Each monitors the implementation of their human rights policy commitments across global operations and relevant business relationships, and describes their corrective actions, number of incidences, and examples in practice.



**Framework for engaging potentially affected stakeholders (B.1.8):** BHP Billiton (EX), Rio Tinto (EX), and Total (EX) – all extractives companies – earned the only 2’s for this indicator. Each explains their systems for identifying those potentially affected by their operations, products, or services, the frequency and triggers for engagement, and indication of the views given.



**Tracking (B.2.4):** The Coca-Cola Company (AG), Mondelez International (AG), Unilever (AG), Anglo American (EX), BHP Billiton (EX), and Royal Dutch Shell (EX) earned the only 2’s for this indicator. Each clearly indicates their systems for actions taken in response to their human rights risks, but also provides examples of lessons learned for the due diligence process through tracking effectiveness.



**Communicating (B.2.5):** Rio Tinto (EX) earned the only 2 for this indicator, having clear criteria for communicating on the effectiveness of their human rights due diligence and ensuring potentially affected stakeholders are able to meaningfully access and use such information. Marks & Spencer Group (AG/AP) and VF (AP) earned the only 1’s for this indicator, meeting at least one of the two requirements.



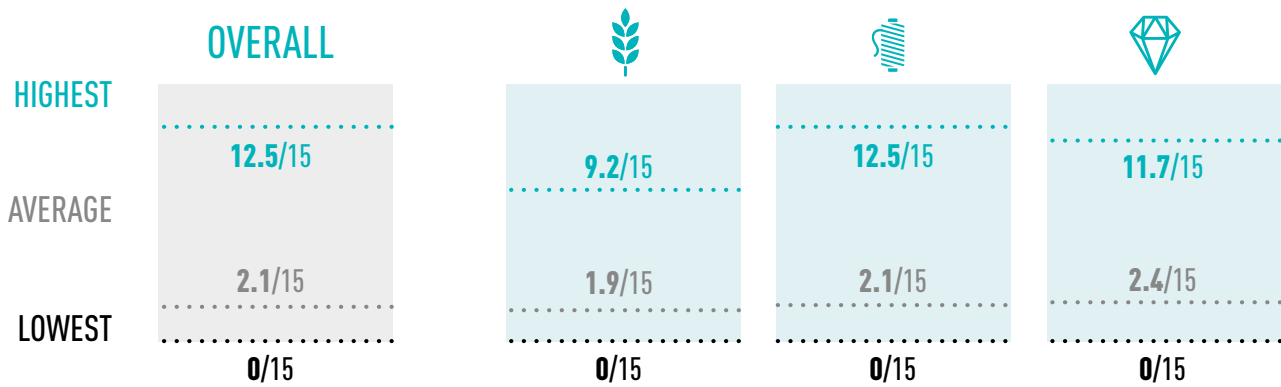


# 2017 Results by Measurement Theme

## C. Remedies and Grievance Mechanisms 15% of overall score

This Measurement Theme focuses on the extent to which a Company provides remedy in addressing actual adverse impacts on human rights. It covers a Company’s approach to providing or cooperating in remediation when human rights harms – actual human rights impacts – have occurred. The indicators aim to assess the extent to which a Company has appropriate processes in place so that grievances may be addressed early and remediated directly where appropriate. The indicators also test the Company’s willingness to participate in other remedy options and its approach to litigation concerning credible allegations of human rights impacts.

**Note:** The following descriptions of each indicator are shortened and paraphrased to briefly illustrate the type of requirement against which scores have been earned. For the full description of all the criteria required to fulfill each indicator, please refer to the CHRB Pilot Methodology and Addendum.



Encouragingly, two-thirds of companies score for having some level of complaints mechanism for workers (59 % scoring 1’s and 7 % scoring 2’s on C.1). Whilst lower, more than one-third also score for having a mechanism available for communities and other external potentially affected stakeholders (25 % scoring 1’s and 13 % scoring 2’s on C.2). However, nine out of ten companies do not score any points for involving users in the mechanism’s design or operations (91 % scoring 0’s on C.3, with no company scoring a 2), indicating seemingly stark inaction around ensuring the mechanism is truly fit for purpose.

Practices also need to evolve beyond just having a mechanism. Nine out of ten companies do not seem to be adequately ensuring the mechanisms are publicly available and explained (with 92 % scoring 0’s for C.4), nearly three-quarters do not seem to be committing to non-retaliation over complaints made (with 74 % scoring 0’s on C.5), and almost no company has been found to be explaining how they align and cooperate with state-based grievance mechanisms (96 % scoring 0’s for C.6).

Most fundamentally, more than three-quarters of companies do not seem to be publicly indicating how they actually remediate impacts when they occur and what lessons they have learned (83 % scoring 0’s on C.7), leaving a gap in understanding between the mechanism advertised and how it actually works in practice.

### Some Emerging Practices

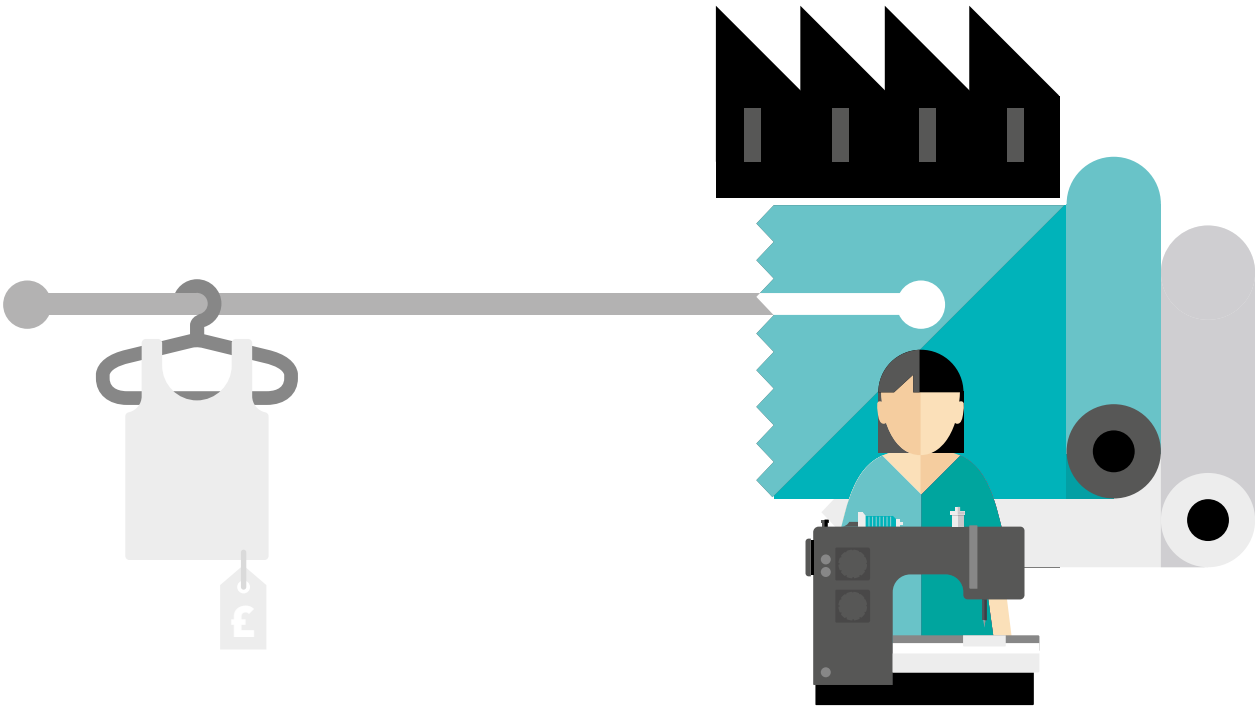
Industries that scored

**Involving users in the design and performance of the mechanism (C.3):** No company earned a 2 for this indicator, but Adidas (AP), Hanesbrands (AP), VF (AP), Anglo American (EX), BP (EX), Rio Tinto (EX), Total (EX), Vale (EX), and Repsol (EX) earned the only 1’s, pointing the way on where to start in engaging potential and actual users in design, implementation, and performance.

**Procedures are publicly available and explained (C.4):** The Coca-Cola Company (AG), Kellogg (AG), VF (AP), and Repsol (EX) earned the only 1’s for this indicator, explaining publicly how complaints are actually handled. Heineken NV (AG), Adidas (AP), Hanesbrands (AP), and BHP Billiton (EX) earned the only 2’s for this indicator, also explaining how complaints are escalated.

**Commitment to non-retaliation over complaints made (C.5):** Marks & Spencer Group (AG/AP), Adidas (AP), Hanesbrands (AP), VF (AP), and BHP Billiton (EX) earned the only 2’s for this indicator. Each publicly prohibits retaliation against complainants, describing how this is ensured in practice (such as through anonymity), and confirms they have never brought retaliatory claims against complainants (such as for defamation).

**Involvement with state-based grievance mechanisms (C.6):** Marks & Spencer Group (AG/AP) and Adidas (AP) earned the only 1’s for this indicator, committing to not impeding state-based grievance processes and indicating that they do not require affected individuals to waive their right to use such external mechanisms in order to participate in the company’s mechanism. Hanesbrands (AP) and BHP Billiton (EX) earned the only 2’s for this indicator by additionally clarifying how they proactively cooperate with state based mechanisms.





# 2017 Results by Measurement Theme

## D. Performance: Company Human Rights Practices 20% of overall score

This Measurement Theme focuses on selected human rights related practices specific to each industry. The indicators seek to assess the actual practices occurring within companies in order to implement key enabling factors and business processes and to prevent specific impacts on human rights particularly at risk of occurring given the industry in question. As such, not every focus area below was applied to every industry assessed.

The indicators also are split in relation to:

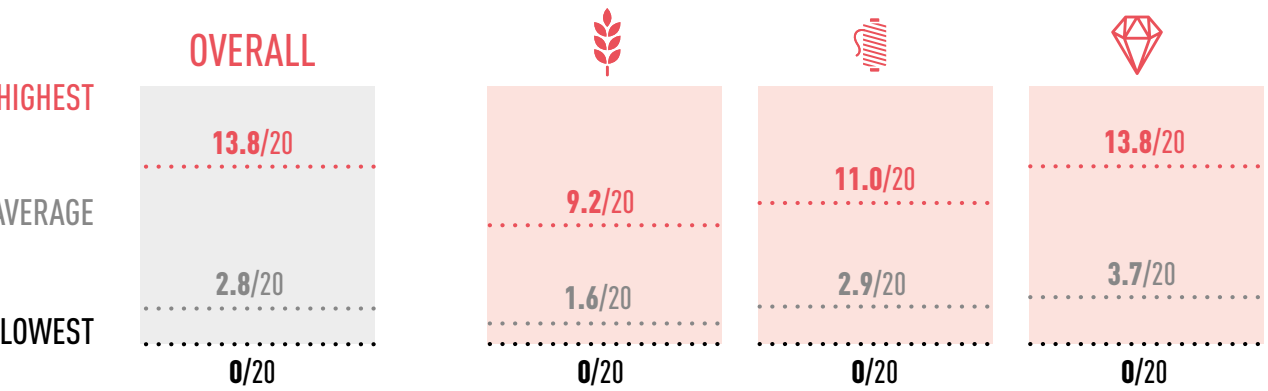


### A note about scores in this Measurement Theme

Assessments in this Measurement Theme are based upon a series of positive commitments and actions against which the CHRB seeks to measure specific company practices around key human rights issues. These requirements are explained in the CHRB Pilot Methodology and Addendum. This means that a score of 0 for an indicator does not necessarily mean that bad practices are present or action is nonexistent. Rather, it means that CHRB has been unable to identify the required positive elements in the company's public documentation.

In addition, most indicators contain several requirements for a score 1 or a score 2. As such, a score of 0 awarded to a company may mean that some, but not all, of the required elements have been met and the company therefore did not earn the relevant score 1 or score 2. In such cases, more details may be provided in individual company scorecards available on the CHRB website ([www.corporatebenchmark.org](http://www.corporatebenchmark.org)).

**Note:** The following descriptions of each indicator are shortened and paraphrased to briefly illustrate the type of requirement against which scores have been earned. For the full description of all the criteria required to fulfill each indicator, please refer to the CHRB Pilot Methodology and Addendum.





## Enabling Factors and Business Processes

### Living wage:

**Own operations indicators:** D.1.1.a / D.2.1.a / D.3.1. Industries assessed: AG / AP / EX  
**Supply chains indicators:** D.1.1.b / D.2.1.b. Industries assessed: AG / AP





#### Own operations:

Of 60 companies assessed across all three industries, 59 companies (98 %) score 0's on practices to publicly set target timeframes for paying workers a living wage. Only 1 company earns any points at all, scoring 2 for how they publicly determine what the living wage is where they operate, and on a more advanced level whether they publicly indicate they are regularly reviewing and meeting targets or demonstrating progress against them.

Scored 1	Scored 2
 None	 Unilever

#### Supply chain:




The picture only slightly improves when it comes to supply chain practices, with 8 companies out of 57 from the AG and AP industries (14 %) scoring 1's through having public living wage guidelines with suppliers or publicly describing how they work with them on the issue, and 1 company scoring a 2 by doing both measures and publicly demonstrating trends in progress. 48 companies score 0's (84 %).

Scored 1	Scored 2
 Kellogg Pernod Ricard Unilever	 Inditex
 Marks & Spencer Group	
 Adidas Hennes & Mauritz Hanesbrands Nike	

### Aligning purchasing decisions:

**Indicators:** D.1.2 / D.2.2. Industries assessed: AG / AP

Applied to the AG and AP industries, 9 out of 57 companies (16 %) score 1's for publicly demonstrating how they avoid business considerations (such as price or short notice requirements) undermining human rights or provide positive incentives to business relationships. No company scores a 2 for doing both and publicly providing an example, and 48 out of the 57 companies (84 %) score 0's.

Scored 1	Scored 2
 Associated British Foods	 None
 Adidas Gap Hennes & Mauritz Hanesbrands Inditex Nike Sysco Under Armour	

### Mapping and disclosing the supply chain:

**Indicators:** D.1.3 / D.2.3. Industries assessed: AG / AP

Applied to 57 companies from the AG and AP industries, 12 companies (21 %) score 1's by publicly indicating they know who their suppliers are to the level of their factories (apparel) or the relevant farms (agriculture), with another 6 companies (11 %) scoring 2's through publicly disclosing this mapping for the most significant parts of their supply chains. The remaining 39 companies (68 %) score 0's.



Scored 1	Scored 2
 Carrefour Kellogg Target	 The Coca-Cola Company Nestle
 Tesco	 Marks & Spencer Group
 Fast Retailing Gap Hanesbrands Inditex Kering Next Nike VF	 Adidas Hennes & Mauritz Woolworths



Transparency and accountability:

**Own operations indicators:** D.3.2. Industries assessed: EX

Of the 41 EX companies assessed, 12 companies (29 %) score 1’s for their membership within initiatives on transparency (such as revenue transparency and disclosing payments and contracts). A further 9 companies (22 %) score 2’s for additionally publicly outlining or providing an example of their participation in practice. 20 companies (49 %) score 0’s.

Scored 1	Scored 2
<div>Anglo American ConocoPhillips Devon Energy Exxon Mobil Glencore Goldcorp PTT Royal Dutch Shell Sasol Statoil Surgutneftgas Vale</div>	<div>BHP Billiton BP Chevron Eni Freeport-McMoRan Petrobras Rio Tinto Repsol Total</div>





Key Industry Risks

Child Labour - Age verification and corrective actions:

**Own operations indicators:** D.1.4.a / D.2.4.a. Industries assessed: AG / AP  
**Supply chains indicators:** D.1.4.b / D.2.4.b. Industries assessed: AG / AP

Own operations:

Of the 19 companies from the AG and AP industries assessed on practices in their own operations, 4 companies (21 %) score 1’s, publicly indicating they do not use child labour and verify the age of workers and applicants. No company scores a 2 by also publicly describing its involvement in related programmes for young workers, with 79 % scoring 0’s.

Scored 1	Scored 2
<div>Pernod Ricard Starbucks</div>	<div>None</div>
<div>Associated British Foods</div>	
<div>Hanesbrands</div>	

Supply chain:

The levels are similar around supply chain practices. Of the 57 companies assessed from the AG and AP industries, 13 companies (22 %) score 1’s through having public child labour guidelines with suppliers or describing how they work with them on the issue. No company earns a 2 by meeting both requirements and providing a public analysis of trends in progress, with 77 % scoring 0’s.


Scored 1	Scored 2
<div>The Coca-Cola Company Mondelez International Nestle</div>	<div>None</div>
<div>Associated British Foods Marks &amp; Spencer Group Walmart</div>	
<div>Adidas Fast Retailing Hennes &amp; Mauritz Inditex Next Nike VF</div>	

Forced Labour - Debt bondage and other unacceptable financial costs:

**Own operations indicators:** D.1.5.a / D.2.5.a. Industries assessed: AG / AP  
**Supply chains indicators:** D.1.5.b / D.2.5.b. Industries assessed: AG / AP

Own operations:





Of the 19 companies from the AG and AP industries assessed on practices in their own operations, only 1 company earns any points, scoring a 1 for its public indication that workers are paid regularly, in full, and on time,

Scored 1	Scored 2
<div>Hanesbrands</div>	<div>None</div>

providing payslips, and that it does not require workers to pay work-related fees or costs (such as recruitment fees). No company scores a 2 by meeting both requirements and publicly describing how it implements and monitors these practices in its own operations, with 18 companies scoring 0’s (95 %).

Supply chain:

The levels are improved around supply chain practices. Of the 57 companies assessed from the AP and AG industries, 15 companies (26 %) score 1’s through having public debt bondage guidelines with suppliers or explaining how they work with them on the issue. No company earns a 2 by meeting both requirements and providing a public analysis of trends in progress made, with 42 companies scoring 0’s (74 %).




Scored 1	Scored 2
<div>The Coca-Cola Company Pernod Ricard Unilever</div>	<div>None</div>
<div>Associated British Foods Costco Wholesale Marks &amp; Spencer Group Wal-Mart Stores</div>	
<div>Adidas Fast Retailing Hennes &amp; Mauritz Hanesbrands Next Nike Under Armour Woolworths</div>	

Forced Labour - Restrictions on Workers:

**Own operations indicators:** D.1.5.c / D.2.5.c. Industries assessed: AG / AP  
**Supply chains indicators:** D.1.5.d / D.2.5.d. Industries assessed: AG / AP

Own operations:

Of the 19 companies from the AG and AP industries assessed on practices in their own operations, only 2 companies earned any points (11 %), scoring 1’s for their public confirmation that they do not retain workers’ personal documents (such as passports) or restrict their movements outside work hours. No company scores 2 points by meeting both requirements and providing a public analysis of trends in progress made, with 17 companies scoring 0’s (89 %).

Scored 1	Scored 2
<div>Unilever</div>	<div>None</div>
<div>Hanesbrands</div>	

Supply chain:

Of the 57 AG and AP companies assessed on their supply chain practices, 14 companies (25 %) score 1’s through having public guidelines with suppliers on workers’ freedom of movement or explaining how they work with them on the issue. No company earns a 2 by meeting both requirements and providing a public analysis of trends in progress made, with 43 companies scoring 0’s (75 %).

Scored 1	Scored 2
<div>The Coca-Cola Company Nestle</div>	<div>None</div>
<div>Costco Wholesale Marks &amp; Spencer Group Wal-Mart Stores</div>	
<div>Adidas Fast Retailing Hennes &amp; Mauritz Hanesbrands Inditex Kohl’s Next Nike VF</div>	







Freedom of association and collective bargaining:

**Own operations indicators:** D.1.6.a / D.2.6.a / D.3.3. Industries assessed: AG / AP / EX  
**Supply chains indicators:** D.1.6.b / D.2.6.b. Industries assessed: AG / AP





Own operations:

Of the 60 companies across all three industries assessed on practices in their own operations, 17 companies (28 %) score 1’s through public commitments not to interfere with trade union and collective bargaining rights and putting in place measures to prohibit intimidation and retaliation. A further 2 companies (3 %) score 2’s, additionally publicly disclosing the percentage of work-force whose terms and conditions of worker are covered by collective bargaining agreements. The remaining 41 companies (68 %) score 0’s.

Scored 1	Scored 2
<div> Anheuser-Busch InBev Unilever</div>	<div> BHP Billiton Sasol</div>
<div> VF</div>	
<div> Anglo American Coal India Ecopetrol Gazprom Glencore Norilsk Nickel Occidental Petroleum Oil &amp; Natural Gas Corp Petrobras Repsol Rio Tinto Statoil Suncor Energy Total</div>	

Supply chain:

Of the 57 companies across the AG and AP industries assessed on their supply chain practices, 12 companies (21 %) scored 1’s through having public guidelines with suppliers on freedom of association and collective bargaining or explaining how they work with them on the issue. A further 1 company (2 %) scored 2 points, meeting both requirements and providing a public analysis of trends in progress. The remaining 44 companies (77 %) score 0’s.







Scored 1	Scored 2
<div> Carrefour The Coca-Cola Company</div>	<div> Adidas</div>
<div> Marks &amp; Spencer Group Wal-Mart Stores</div>	
<div> Gap Hennes &amp; Mauritz Hanesbrands Inditex Next Nike Under Armour VF</div>	


Health and safety:

**Own operations indicators:** D.1.7.a / D.2.7.a / D.3.4. Industries assessed: AG / AP / EX  
**Supply chains indicators:** D.1.7.b / D.2.7.b. Industries assessed: AG / AP

Own operations:



Of the 60 companies across all three industries assessed on practices in their own operations, 22 companies (37 %) score 1’s through publicly disclosing quantitative information on injury rates, lost days, or fatality rates. A further 11 companies (18 %) score 2’s, publicly explaining the figures or setting targets and demonstrating progress against them. 27 companies (45 %) score 0’s.

Scored 1	Scored 2
<div> Anheuser-Busch InBev BRF Pernod Ricard</div>	<div> Unilever</div>
<div> Christian Dior</div>	<div> Associated British Foods</div>
<div> Chevron Conoco Phillips Eni Exxon Mobil Glencore Goldcorp Lukoil Norilsk Nickel Oil &amp; Natural Gas Corp</div>	<div> Anglo American BHP Billiton BP Canadian Natural Resources Devon Energy Freeport-McMoRan Royal Dutch Shell Sasol Total</div>

<div> Pernod Ricard Petrobras PetroChina PTT Repsol Rio Tinto Rosneft Oil Statoil Suncor Energy Vale</div>	
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Supply chain:

In stark contrast, of the 57 companies from the AG and AP industries assessed on their supply chain practices, only 1 company earned any points, scoring 1 for publicly disclosing such quantitative information on health and safety for employees at suppliers. No company earns a 2 by also publicly describing how such practices are accounted for in new supplier relationships or publicly describing how it engages suppliers to improve, with 56 companies scoring 0’s (98 %).



Scored 1	Scored 2
<div> Nestle</div>	<div> None</div>

Land acquisition:

**Own operations indicators:** D.1.8.a / D.3.6. Industries assessed: AG / EX  
**Supply chains indicators:** D.1.8.b Industries assessed: AG




Own operations:

Of the 51 companies assessed from the AG and EX industries on practices in their own operations, just 3 companies (6 %) earn any points, scoring 1’s for their public indication of how they identify legitimate tenure holders and engagement with communities. No company scores a 2 by also publicly indicating its compensation approaches, with 48 companies scoring 0’s (94 %).

Scored 1	Scored 2
<div> BHP Billiton ConocoPhillips Rio Tinto</div>	<div> None</div>

Supply chain:

Of the 35 AG companies assessed on their supply chain practices, 4 companies (11 %) earn any points, scoring 1’s through having public land guidelines with their suppliers or explaining how they work with them on the issue. No company scores a 2 by meeting both of the requirements and providing a public analysis of trends in progress, and 31 companies score 0’s (89 %).




Scored 1	Scored 2
<div> The Coca-Cola Company Kellogg Unilever</div>	<div> None</div>
<div> Marks &amp; Spencer Group</div>	

Water and sanitation:

**Own operations indicators:** D.1.9.a / D.3.8. Industries assessed: AG / EX  
**Supply chains indicators:** D.1.9.b Industries assessed: AG

Own operations:

Of the 51 companies assessed from the AG and EX industries, 11 companies (22 %) score 1’s for publicly describing its preventative and corrective action plans against identified risks to the right to water. No company scores 2 points by also setting specific targets

Scored 1	Scored 2
<div> Anheuser-Busch InBev Unilever</div>	<div> None</div>
<div> Anglo American BHP Billiton</div>	






and publicly reporting on progress and trends, and 40 companies (78 %) score 0’s.

Ecopetrol Freeport-McMoRan Glencore Goldcorp Rio Tinto Total Vale
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Supply chain:

Supply chain practices are lower. Of the 35 AG companies assessed, 5 companies (14 %) score 1’s through having public water guidelines with their suppliers or explaining how they work with them on the issue. No company scores 2 by meeting both requirements and providing a public analysis of trends in progress, and 30 companies (86 %) score 0’s.




Scored 1	Scored 2
 The Coca-Cola Company Kellogg Nestle Pepsi Co	 None
 Marks & Spencer Group	

Women’s rights:

**Own operations indicators:** D.1.10.a / D.2.8.a. Industries assessed: AG / AP  
**Supply chains indicators:** D.1.10.b / D.2.9.b. Industries assessed: AG / AP





Own operations:

Of the 19 companies from the AG and AP industries assessed on the practices in their own operation, only 5 companies (26 %) earn any points, scoring 1’s for publicly describing how they prohibit violence, intimidation, and harassment of women, or how they account for differential impacts on men and women, or how they ensure and monitor equal opportunities. No company scores 2 points by meeting all of these requirements, and 14 companies score 0’s (74 %).

Scored 1	Scored 2
 Unilever	 None
 Christian Dior Fast Retailing Prada VF	

Supply chain:

Of the 57 companies from the AG and AP industries assessed on their supply chain practices, 6 companies (11 %) score 1’s through having public women’s rights guidelines with their suppliers or explaining how they work with them on the issue. No company scores 2 points by meeting both requirements and providing a public analysis of trends in progress made, and 51 companies (89 %) score 0’s.

Scored 1	Scored 2
 The Coca-Cola Company Kellogg Unilever	 None
 Marks & Spencer Group	
 Adidas Nike	

Working hours:

**Own operations indicators:** D.2.9.a. Industries assessed: AP  
**Supply chains indicators:** D.2.9.b. Industries assessed: AP




Own operations:

Of the 11 AP companies assessed on working hours practices in their own operations, all 11 companies (100 %) score 0’s.

Scored 1	Scored 2
 None	 None

Supply chain:

The picture improves slightly when it comes to supply chains. Of the 30 companies from the AP industry assessed, 9 companies (30 %) score 1’s through having public working hours guidelines with their suppliers or explaining how they work with them on the issue. No company scores 2 points by meeting both requirements and providing a public analysis of trends in progress, and 21 companies (70 %) score 0’s.



Scored 1	Scored 2
 Marks & Spencer Group Target Wal-Mart Stores	 None
 Adidas Gap Inditex Macy’s Next Nike	

Indigenous peoples rights and free, prior, and informed consent:

**Own operations indicators:** D.3.5. Industries assessed: EX

Own operations:

Of the 41 EX companies assessed, 8 companies (20 %) score 1’s for publicly explaining how they identify, recognise and engage with potentially affected indigenous peoples. Only 1 company (2 %) scores 2 points for additionally publicly indicating its commitment to the principle of free, prior, and informed consent and providing an example of obtaining this in practice. The remaining 32 companies (78 %) score 0’s.



Scored 1	Scored 2
 Chevron ConocoPhillips Glencore Rio Tinto Royal Dutch Shell Surgutneftgas Total Vale	 BHP Billiton

Security:

**Own operations indicators:** D.3.7. Industries assessed: EX

Own operations:

Of the 41 EX companies assessed, 8 companies (20 %) score 1’s for their public description around the implementation of their security policies and provide an example of it in practice. A further 4 companies (9 %) score 2’s for additionally describing their engagement with local communities on security and extending their security assessments and protection measures to cover local communities around operations. The remaining 29 companies (71 %) score 0’s.

Scored 1	Scored 2
 Anglo American BHP Billiton BP Chevron Glencore Goldcorp Royal Dutch Shell Statoil	 Exxon Mobil Freeport-McMoRan Rio Tinto Total



# 2017 Results by Measurement Theme

## E. Performance: Responses to Serious Allegations 20% of overall score

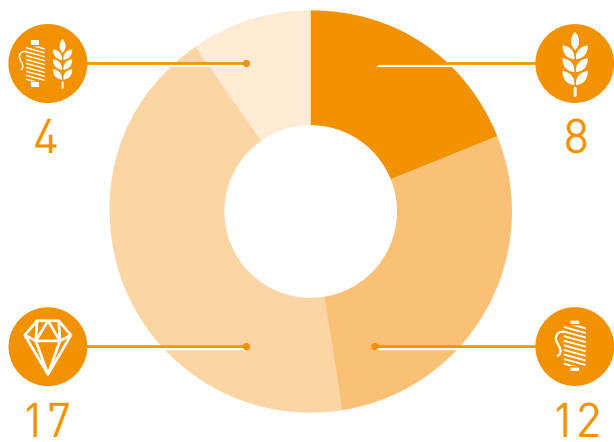
This Measurement Theme focuses on responses to serious allegations of negative impacts a Company may be alleged or reported to be involved in by an external source. Indicators in this Measurement Theme seek to assess a Company’s response to an allegation that an impact has occurred, and does not seek to assess the allegation itself.

**Note:** The following descriptions of each indicator are shortened and paraphrased to briefly illustrate the type of requirement against which scores have been earned. For the full description of all the criteria required to fulfill each indicator, please refer to the CHRB Pilot Methodology and Addendum.

For a company response to an allegation to have been considered in this Measurement Theme, it must have met a certain threshold of severity outlined in the CHRB Pilot Methodology. The 2017 results indicate that all of the leading companies, as well as the companies in the lowest bands, had serious allegations that met this threshold. In other words, the companies in the middle bands of the results tended not to be linked to allegations meeting this severity.

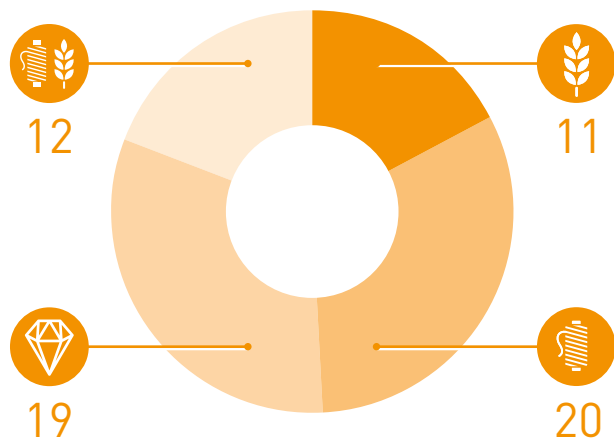
A total of 41 companies had serious allegations that met the CHRB threshold, covering allegations reported during the period of May 2013 - May 2016. These 41 companies represent 42 % of all the 98 companies benchmarked.

**41** Companies meet threshold for serious allegations



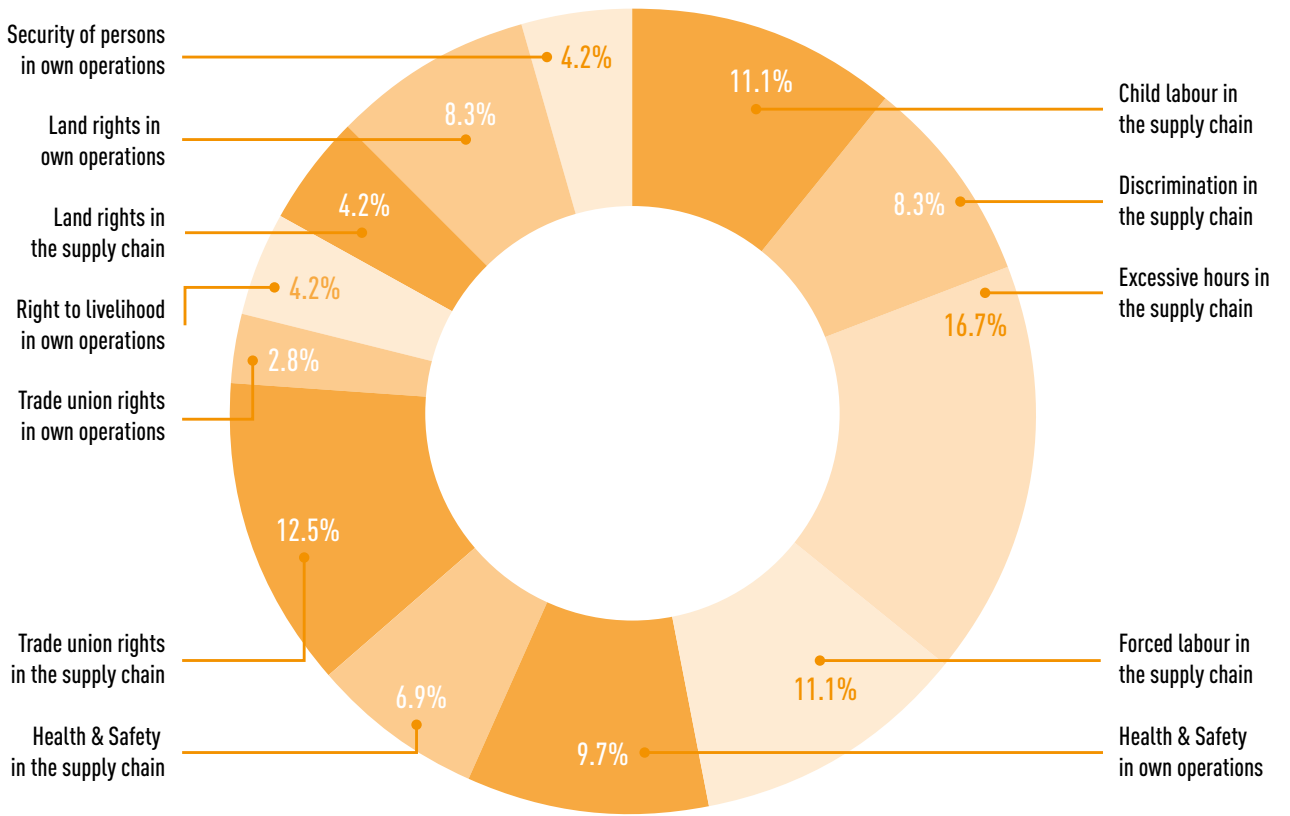
The vast majority of companies have just one allegation meeting the CHRB threshold. Of the 41 companies assessed, 29 have one allegation, 6 companies have two allegations, 4 companies have three allegations, 1 company has four allegations, and 1 company has five allegations that were considered.

**62** Serious allegations considered



The total number of allegations meeting the CHRB threshold was 62, constituting a somewhat even spread across the three CHRB industries (with companies assessed in the Agricultural Products and Apparel industries highlighted separately).

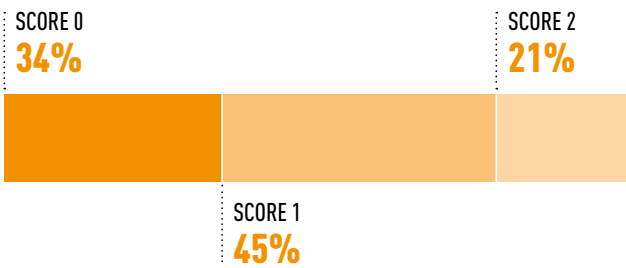
## Types of allegations considered



The CHRB Pilot Methodology and Addendum also outlines a series of the types of impacts that could meet the severity threshold for consideration. The 2017 results indicate a relatively even spread of impact types being raised, with the largest issues arising around excessive hours in the supply chain (16.7 % of allegations), trade union rights in the supply chain (12.5 % of allegations), child labour in the supply chain (11.1 %), and forced labour in the supply chain (11.1 %).

As far as company performance around their responses to these serious allegations, no company received full marks across all three indicators.

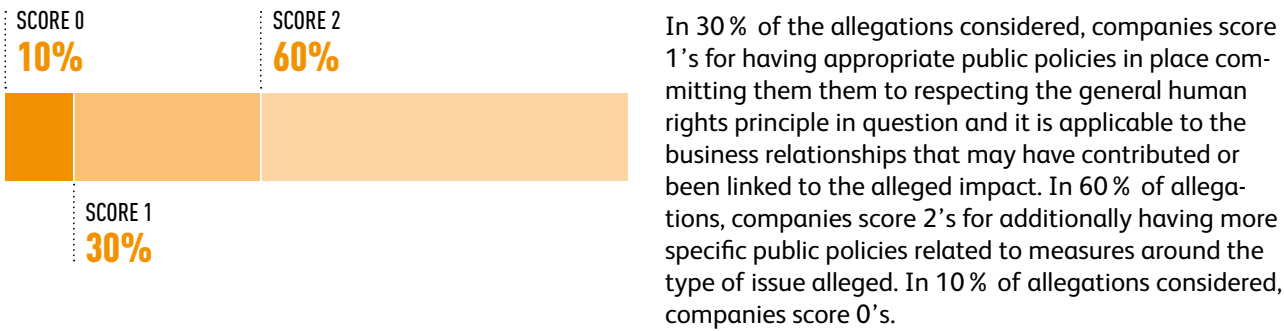
## E.1 The company has responded publicly to the allegation



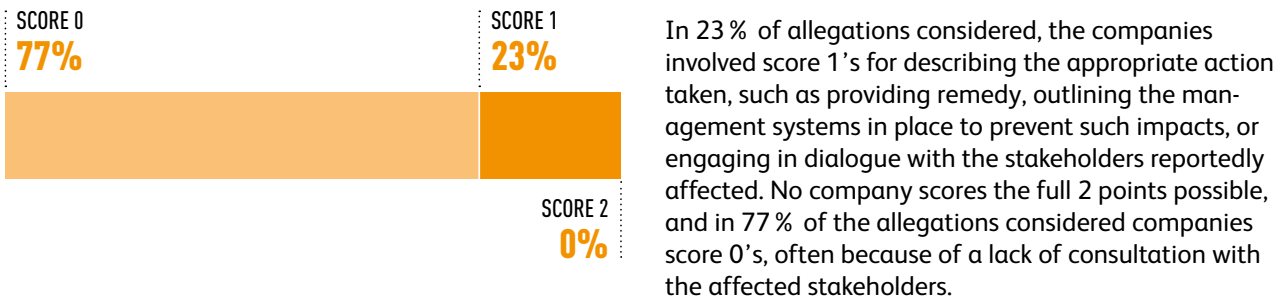
In over one-third of the allegations considered (34 %) the companies involved had not responded publicly to the allegations, scoring 0’s for E.1. In 45 % of the allegations considered, the companies involved had publicly responded, scoring 1 point. In 21 % of allegations considered, the companies publicly responded in detail on each aspect of the allegation, scoring them the full 2 points possible.



E.2 The company has appropriate policies in place



E.3 The company has taken appropriate action

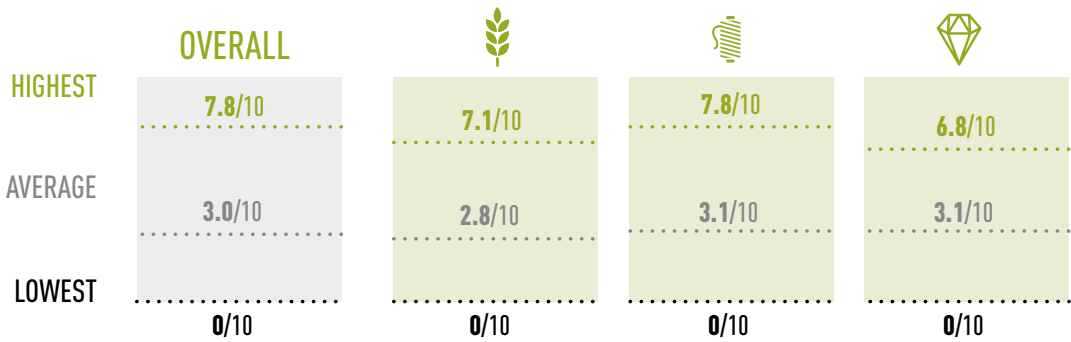


2017 Results by Measurement Theme

F. Transparency 10% of overall score

This Measurement Theme seeks to recognise companies that disclose relevant information on human rights, regardless of whether the disclosed information is sufficient to meet a Score 1 or 2 in a CHRB indicator. 'Disclosure points' are awarded to companies that report relevant information related to a CHRB indicator against specific requirements under the Global Reporting Initiative (GRI), Sustainability Accounting Standards Board (SASB), UN Guiding Principles Reporting Framework (UNGPRF) reporting standards or equivalent standards. The rationale of this Measurement Theme is to encourage even poor performing companies to become more transparent, as a first step towards respect for human rights.

**Note:** The following descriptions of each indicator are shortened and paraphrased to briefly illustrate the type of requirement against which scores have been earned. For the full description of all the criteria required to fulfill each indicator, please refer to the CHRB Pilot Methodology and Addendum.



Aside from the Responses to Serious Allegations Measurement Theme (which is scored in a different way from other Measurement Themes), Transparency is the highest scoring Measurement Theme for all industries. This indicates that companies are starting to disclose general information on human rights. However scores are still low overall, with an average of 30.2 %, with only 16 companies scoring more than 50 %, and 4 companies scoring 0 points in this Measurement Theme.

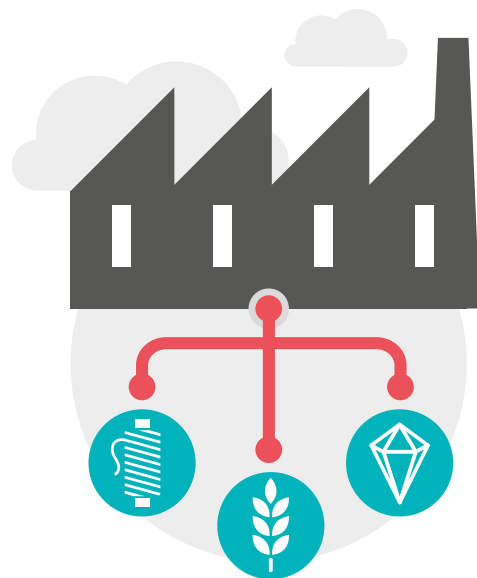
These results signal the need for greater transparency by companies, and highlight the challenge for stakeholders – including investors – to be able to understand which companies are engaged on human rights, reward those demonstrating commitment and respect, and identify what interventions might be needed for those yet to start or not yet demonstrating their progress.





# Call To Action

## BUSINESSES



Companies assessed in this Benchmark, particularly those in the middle and lower bands, should see the clear case for implementing their corporate responsibility to respect human rights under the UN Guiding Principles. Companies should take the opportunity to study the CHRB Pilot Methodology and Addendum as well as their company score cards and assess where improvements can be made. The 2017 results indicate there are opportunities to improve across the full spectrum of policies and governance, embedding respect and human rights due diligence, ensuring effective remedy, performance, and transparency.

The leading companies' approaches and emerging practices provide a crucial chance to learn from peers within and across industries, and improve preventative measures as well as effective remedies for victims. Equally, tools such as the UN Guiding Principles Reporting Framework, Global Reporting Initiative, and other reporting guidelines indicate the minimum information stakeholders are expecting to see around company implementation.

Experience counts, as it takes time to put systems and practices in place. Those that are underway with these efforts deserve due credit for their efforts, whether as leaders, or falling in the middle bands but working on implementation behind the scenes. Those that have yet to start implementing their human rights responsibilities must begin, as further delay runs the high risk of often preventable abuses occurring.

## INVESTORS



Investors have an opportunity to support the step change that is needed to encourage companies to embed the UN Guiding Principles. Institutional investors are of course also businesses. They should therefore consider how they embed the UN Guiding Principles on Business and Human Rights within their own operations, including how they encourage companies to which they deploy capital to ensure they respect human rights. This is particularly the case for equity investors, where they have voting influence through the rights of share ownership.

Investors can use CHRB's company-specific results as part of their overall investment analysis and capital allocation decision-making, particularly where they consider human rights to be material to the sector and performance is lacking. Investor engagement should focus in particular on the policy, governance and management frameworks, as well as the need for commitments to be followed through. Investors are encouraged to use their voting and engagement influence to promote better practice, particularly amongst those in the bottom bands. This includes questioning company management on key human rights risks during one-to-one meetings, as well as taking voting action on director re-election, board pay, and particularly the vote on the Report and Accounts at company Annual General Meetings.

## GOVERNMENTS



Governments play a critical role in protecting human rights alongside companies respecting them.

With these results, policy-makers and regulators now have a new means to help them focus on those companies and industries that have significant human rights risks and impacts, and those underperforming despite these risks and impacts.

Governments should recognise and reward those companies showing they are seeking to respect human rights and taking on the many challenges that this entails. Their example demonstrates what is possible. It also opens a space for governments to use a smart mix of regulation and incentives to enhance transparency and minimum standards of corporate behaviour and make the business case for respecting human rights.

Governments should identify their most powerful levers to protect human rights that emerge from the 2017 results and take action to strengthen due diligence, remedy, and practices around key industry risks.

This includes within National Action Plans on Business and Human Rights, public procurement policies and processes, due diligence processes of export credit agencies, and other such measures.

## CIVIL SOCIETY, WORKERS, COMMUNITIES, MEDIA AND CUSTOMERS



The Benchmark is designed to empower civil society, workers, communities, customers, and the media with better public information to reward, encourage, and promote human rights advances by companies and make well-informed choices about which companies to engage with.

History shows that one of the biggest motivating factors in getting companies started is the risk to their reputation that comes with human rights issues being made high profile. Equally, it takes determination to keep improving, and the human rights advocates within companies gain substantial influence from the public reward that companies receive when they enhance their human rights-related policies and performance.

This constituency has played a powerful role over the years in moving the needle on corporate performance, and the CHRB is intended to further empower all actors with an objective way of focusing their efforts and interventions.

The gap between the leaders and laggards can be bridged. It will be particularly important for civil society, workers, communities, customers, and the media to engage those companies in the middle and lower bands to understand what more they could be doing when it comes to human rights.





Annexes



Annex 1 - Companies Benchmarked\*

Company	Assessed Against** <i>Own industry operations and/or Supply Chains</i>	Country	Company	Assessed Against** <i>Own industry operations and/or Supply Chains</i>	Country
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Agricultural Products

Alimentation Couche-Tard		Canada	McDonald's		USA
Anheuser-Busch InBev		Belgium	Mondelez International		USA
Archer Daniels Midland		USA	Nestlé		Switzerland
BRF		Brazil	PepsiCo		USA
Carrefour		France	Pernod-Ricard		France
Compass Group		UK	Shoprite		South Africa
Danone		France	Starbucks		USA
Diageo		UK	Sysco		USA
General Mills		USA	The Coca-Cola Company		USA
Heineken NV		The Netherlands	The Hershey Company		USA
Kellogg		USA	Unilever		UK
Kraft Heinz		USA	Woolworths		Australia
Kroger		USA	Yum! Brands		USA
Kweichow Moutai		China			

Apparel

Adidas		Germany	Kohl's		USA
Christian Dior		France	L Brands		USA
Coach		USA	Macy's		USA
Fast Retailing		Japan	Next		UK
Gap		USA	Nike		USA
Hanesbrands		USA	Nordstrom		USA
Heilan Home		China	Prada		Hong Kong
Hennes & Mauritz		Sweden	Ross Stores		USA
Hermes International		France	TJX Companies		USA
Inditex		Spain	Under Armour		USA
Kering		France	VF		USA

\*106 companies were originally announced in the March 2016 publication of the CHRB Pilot Methodology, but 8 companies were subsequently removed due to mergers or being their subsidiaries of other companies: Ambev (Brazil – AG) ; BG Group (UK – EX); Coca-Cola Femsa (Mexico – AG) ; Hindustan Unilever (India – AG); Imperial Oil (Canada – EX); Koninklijke Ahold (Netherlands – AG); LVMH Moët Hennessy Louis Vuitton (France – AP); SABMiller (UK – AG).

Company	Assessed Against** <i>Own industry operations and/or Supply Chains</i>	Country	Company	Assessed Against** <i>Own industry operations and/or Supply Chains</i>	Country
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Apparel & Agricultural Products\*\*\*

Aeon Company		Japan	Marks & Spencer Group		UK
Associated British Foods		UK	Target		USA
Costco Wholesale		USA	Tesco		UK
Falabella		Chile	Wal-Mart Stores		USA

\*\*\*These companies fell into both the Agricultural Products and Apparel industries, and were therefore assessed against both sets of criteria in the CHRB Pilot Methodology and Addendum. As such, these particular companies may be presented in both industry results where relevant.

Extractives

Anadarko Petroleum		USA	Lukoil		Russia
Anglo American		South Africa / UK	Marathon Petroleum		USA
BHP Billiton		Australia / UK	Norilsk Nickel		Russia
BP		UK	Occidental Petroleum		USA
Canadian Natural Resources		Canada	Oil & Natural Gas Corporation		India
Chevron Corporation		USA	Petrobras		Brazil
China Petroleum & Chemical		China	PetroChina		China
China Shenhua Energy		China	Phillips 66		USA
CNOOC		China	PTT		Thailand
Coal India		India	Repsol		Spain
ConocoPhillips		USA	Rio Tinto		Australia / UK
Devon Energy		USA	Rosneft Oil		Russia
Ecopetrol		Colombia	Royal Dutch Shell		UK
ENI		Italy	Sasol		South Africa
EOG Resources		USA	Statoil		Norway
Exxon Mobil		USA	Suncor Energy		Canada
Freeport-McMoRan		USA	Surgutneftegas		Russia
Gazprom		Russia	Total		France
Glencore		UK	Vale		Brazil
Goldcorp		Canada	Valero Energy		USA
Grupo Mexico		Mexico			

\*\*These own operations versus supply chain assessments apply to Measurement Theme D on Company Human Rights Practices only. Specifically, 'own operations' refers not to the entirety of a company's own or in-house operations (such as including HQ offices), but rather to their own agricultural operations in the case of the Agricultural Products industry, their own production or manufacturing operations in the case of the Apparel industry, or their own extractives operations in the case of the Extractives industry.



# Annex 2 - Companies that Engaged in the 2017 Benchmark

The companies outlined below engaged in the Benchmark process either by disclosing information on the CHRB Disclosure Platform, providing written feedback during the engagement phase, or discussing their review on an engagement call.

CHRB recognises that a number of individuals within companies have gone to considerable effort to ensure the correct information is publicly available when analysing the company in question. We would particularly like to thank the companies that engaged with us during the process, which include:

## Agricultural Products

Carrefour
Danone
Diageo
General Mills
Heineken NV
Kellogg
Mondelez International
Nestlé
PepsiCo
Pernod-Ricard
Sysco
The Coca-Cola Company
Unilever
Woolworths
Yum! Brands

## Apparel

Adidas
Gap
Hanesbrands
Hennes & Mauritz
Inditex
Kering
Next
Nike
Nordstrom
VF

## Apparel & Agricultural Products

Associated British Foods
Marks & Spencer Group
Tesco

## Extractives

Anglo American
BHP Billiton
BP
Canadian Natural Resources
Chevron Corporation
ConocoPhillips
Ecopetrol
ENI
Freeport-McMoRan
Glencore
Goldcorp
Grupo Mexico
Occidental Petroleum
Petrobras
Repsol
Rio Tinto
Royal Dutch Shell
Sasol
Statoil
Total
Vale

## About the CHRB

Corporate Human Rights Benchmark Limited (CHRB Ltd.), is a not for profit company created to publish and promote the Corporate Human Rights Benchmark.

The Corporate Human Rights Benchmark was launched in 2013 as a multi-stakeholder initiative drawing on investor, business and human rights and benchmarking expertise from 8 organisations: APG Asset Management (APG), Aviva Investors, Business and Human Rights Resource Centre, Calvert Research and Management, The EIRIS Foundation, Institute for Human Rights and Business (IHRB), Nordea Wealth Management and VBDO.

The newly formed CHRB Ltd. is governed by a board of directors and chaired by Steve Waygood, Chief Responsible Investment Officer at Aviva Investors.







Harnessing the competitive nature of the markets to drive better human rights performance.