



**OECD PILOT PROJECT IN THE MINING SECTOR:
PROMOTING RESPONSIBLE INVESTMENT THROUGH ENHANCED DUE DILIGENCE**

**PRELIMINARY LIST OF USEFUL RESOURCES FOR
DUE DILIGENCE IN THE MINING SECTOR**

RESOURCES FOR PRACTICAL GUIDANCE ON HUMAN RIGHTS AND RELATED ISSUES

HUMAN RIGHTS (GENERAL)

- **Guide to Human Rights Impact Assessment and Management.** International Finance Corporation, UN Global Compact and International Business Leaders Forum.
http://www.ifc.org/ifcext/sustainability.nsf/Content/OurStories_SocialResponsibility_HumanRights_Publication.
- **Human Rights Impact Assessments for Foreign Investment Projects - Volume I.** Rights & Democracy.
<http://www.dd-rd.ca/site/publications/index.php?subsection=catalogue&lang=en&id=2094>
- **Getting it Right: A step-by-step guide to assess the impact of foreign investment on human rights, Volume II.** Rights & Democracy
 - http://www.dd-rd.ca/site/PDF/publications/Getting-it-right_HRIA.pdf
 - http://www.dd-rd.ca/site/media/files/hria2_0_2.msi
- **Due Diligence for Human Rights: A Risk-Based Approach.** Corporate Social Responsibility Initiative Working Paper No. 53. Cambridge, MA: John F. Kennedy School of Government, Harvard University.
http://www.hks.harvard.edu/m-rcbg/CSRI/publications/workingpaper_53_taylor_etal.pdf
- **G3 Guidelines.** Global Reporting Initiative.
http://www.globalreporting.org/NR/rdonlyres/ED9E9B36-AB54-4DE1-BFF2-5F735235CA44/0/G3_GuidelinesENU.pdf
 - Indicator Protocols: Human Rights.
http://www.globalreporting.org/NR/rdonlyres/D2BC0DF8-FF2C-4BAB-B2B4-27DA868C2A5F/2803/G3_IP_HR_ENG_and_cov.pdf
- **Human Rights Translated: A Business Reference Guide.** UN Global Compact, Monash University, International Business Leaders Forum and UN Office of the High Commissioner for Human Rights.
http://www.unglobalcompact.org/docs/news_events/8.1/human_rights_translated.pdf
- **Human Rights Compliance Assessment.** Danish Institute for Human Rights.
<http://hrca.humanrightsbusiness.org>
- **A Resource Guide to Corporate Human Rights Reporting.** UN Global Compact, Global Reporting Initiative.
http://www.globalreporting.org/NR/rdonlyres/4C5DB4C6-5084-4A84-BE51-0D134B3B5A2E/3583/HR_ReportFINAL_Resource_Guide.pdf

- **Human Rights in the Mining & Metals Sector: Overview, Management Approach and Issues.** International Council on Mining & Metals (2009).
<http://www.icmm.com/document/716>
- **Human Rights in Business: Guide to human rights impact assessment tools.** Aim For Human Rights (2009).
<http://commdev.org/content/document/detail/2359/>

HUMAN RIGHTS, SECURITY AND CONFLICT

- **Voluntary Principles on Security and Human Rights.**
www.voluntaryprinciples.org
 - **Voluntary Principles on Security and Human Rights: An Implementation Toolkit for Major Project Sites.**
www.commdev.org/files/2194_file_VPSHR_Toolkit_v3.pdf
- **OECD Risk Awareness Tool for Multinational Enterprises in Weak Governance Zones.**
http://www.oecd.org/document/26/0,3343,en_2649_33765_36899994_1_1_1_1,00.html
- **Extractive Industries: Conflict–Sensitive Business Practice.** International Alert.
http://www.international-alert.org/pdfs/conflict_sensitive_business_practice_all.pdf
- **Red Flags: Liability Risks for Companies Operating in High Risk Zones,** International Alert.
<http://www.redflags.info/>
- **Business Guide for Conflict Impact Assessment and Risk Management.** UN Global Compact.
http://www.unglobalcompact.org/docs/issues_doc/7.2.3/BusinessGuide.pdf
- **Business and international humanitarian law: An introduction to the rights and obligations of business enterprises under international humanitarian law.** International Committee of the Red Cross, Geneva
[http://www.icrc.org/Web/Eng/siteeng0.nsf/htmlall/p0882/\\$File/ICRC_002_0882.PDF](http://www.icrc.org/Web/Eng/siteeng0.nsf/htmlall/p0882/$File/ICRC_002_0882.PDF)
- **Minerals and conflict: a toolkit for intervention.** USAID (2005). United States for International Development, Washington DC
http://www.usaid.gov/our_work/crosscutting_programs/conflict/publications/docs/CMM_Minerals_and_Conflict_Toolkit_April_2005.pdf

GENDER ISSUES

- **Mainstreaming Gender into Extractive Industries Projects.** The World Bank
http://siteresources.worldbank.org/EXTOGMC/Resources/eifd9_gender_guidance.pdf

CULTURAL RIGHTS AND INDIGENOUS RIGHTS

- **International Finance Corporation's Performance Standards on Social & Environmental Sustainability.** International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_PerformanceStandards2006_full/\\$FILE/IFC+Performance+Standards.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_PerformanceStandards2006_full/$FILE/IFC+Performance+Standards.pdf)

- *Guidance Note 7: Indigenous Peoples*. International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_7/\\$FILE/2007+Updated+Guidance+Note_7.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_7/$FILE/2007+Updated+Guidance+Note_7.pdf)
- *Guidance Note 8: Cultural Heritage*. International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_8/\\$FILE/2007+Updated+Guidance+Note_8.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_8/$FILE/2007+Updated+Guidance+Note_8.pdf)

LABOUR RIGHTS

- **The Labour Principles of the UN Global Compact – A Guide for Business**. UN Global Compact.
http://www.unglobalcompact.org/docs/issues_doc/labour/the_labour_principles_a_guide_for_business.pdf
- **G3 Guidelines**. Global Reporting Initiative.
http://www.globalreporting.org/NR/rdonlyres/ED9E9B36-AB54-4DE1-BFF2-5F735235CA44/0/G3_GuidelinesENU.pdf
 - Indicator Protocols: Labor.
http://www.globalreporting.org/NR/rdonlyres/D2BC0DF8-FF2C-4BAB-B2B4-27DA868C2A5F/2806/G3_IP_LA_ENG_corr_and_cov.pdf
- **International Finance Corporation's Performance Standards on Social & Environmental Sustainability**. International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_PerformanceStandards2006_full/\\$FILE/IFC+Performance+Standards.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_PerformanceStandards2006_full/$FILE/IFC+Performance+Standards.pdf)
 - *Guidance Note 2: Labor and Working Conditions*. International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_2/\\$FILE/2007+Updated+Guidance+Note_2.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_2/$FILE/2007+Updated+Guidance+Note_2.pdf)
- **Good Practical Guidance on Occupational Health Risk Assessment**. International Council on Mining & Metals.
<http://www.icmm.com/document/629>
- **Good Practice Guidance on HIV/AIDS, TB and Malaria**. International Council on Mining & Metals.
<http://www.icmm.com/document/314>

RESOURCES FOR PRACTICAL GUIDANCE ON COMMUNITY ENGAGEMENT

- **Akwe: Kon Guidelines** (*Voluntary guidelines for the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities*). Secretariat of the Convention on Biological Diversity.
<http://www.cbd.int/doc/publications/akwe-brochure-en.pdf>
- **Community Risks and Opportunities: A Site Level Tool**. Centre for Social Responsibility in Mining.
http://commdev.org/files/2308_file_Community_Risks_and_Opportunities.pdf
- **Handbook on Resettlement: A Guide to Good Practice**. Asian Development Bank.
http://www.adb.org/Documents/Handbooks/Resettlement/Handbook_on_Resettlement.pdf
- **Projects and People: A Handbook for Addressing Project-Induced In-Migration**. International Finance Corporation.
http://commdev.org/files/2545_file_InfluxText.pdf
- **Addressing Grievances from Project-Affected Countries**. The International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/p_GrievanceMechanisms/\\$FILE/IFC+Grievance+Mechanisms.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/p_GrievanceMechanisms/$FILE/IFC+Grievance+Mechanisms.pdf)
- **G3 Guidelines**. Global Reporting Initiative.
http://www.globalreporting.org/NR/rdonlyres/ED9E9B36-AB54-4DE1-BFF2-5F735235CA44/0/G3_GuidelinesENU.pdf
 - Indicator Protocols: Society.
http://www.globalreporting.org/NR/rdonlyres/D2BC0DF8-FF2C-4BAB-B2B4-27DA868C2A5F/2802/G3_IP_SO_ENG_and_cov.pdf
- **G3: Community Impacts**. Global Reporting Initiative.
<http://www.globalreporting.org/NR/rdonlyres/6D00BC14-2035-42AB-AB6A-5102F1FF8961/0/CIRreportfinalnew.pdf>
- **International Finance Corporation's Performance Standards on Social & Environmental Sustainability**. International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_PerformanceStandards2006_full/\\$FILE/IFC+Performance+Standards.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_PerformanceStandards2006_full/$FILE/IFC+Performance+Standards.pdf)
 - *Guidance Note 4: Community Health, Safety and Security*. International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_4/\\$FILE/2007+Updated+Guidance+Note_4.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_4/$FILE/2007+Updated+Guidance+Note_4.pdf)
 - *Guidance Note 5: Land Acquisition and Involuntary Resettlement*. International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_5/\\$FILE/2007+Updated+Guidance+Note_5.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_5/$FILE/2007+Updated+Guidance+Note_5.pdf)
- **Socio-economic Assessment Toolbox**. Anglo American.
http://www.angloamerican.co.uk/aa/development/society/engagement/seat/seat_toolbox2.pdf
- **Local Conflict Mitigation Tools in Community Development**. CommDev
http://commdev.org/files/2105_file_Local_Conflict_Mitigation.zip

- **The Anglo Zimele Model.** Anglo Zimele and the World Bank Group.
http://commdev.org/files/2329_file_The_Anglo_Zimele_Model.pdf
- **Handbook for Preparing and Resettlement Action Plan: A Good Practice Guide to Designing and Implementing Resettlement Action Plans for IFC Clients and Private Sector Companies.** International Finance Corporation.
http://www.ifc.org/ifcext/sustainability.nsf/Content/Publications_GoodPractice_Resettlement
- **Investing in People: Sustaining Communities through improved Business Practice: A Community Development Resource Guide for Companies.** International Finance Corporation.
[http://www.ifc.org/ifcext/enviro.nsf/AttachmentsByTitle/p_comdev/\\$FILE/CommunityGuide.pdf](http://www.ifc.org/ifcext/enviro.nsf/AttachmentsByTitle/p_comdev/$FILE/CommunityGuide.pdf)
- **Handbook for Preparing a Resettlement Action Plan.** International Finance Corporation.
[http://www.ifc.org/ifcext/enviro.nsf/AttachmentsByTitle/p_resettle/\\$FILE/ResettlementHandbook.pdf](http://www.ifc.org/ifcext/enviro.nsf/AttachmentsByTitle/p_resettle/$FILE/ResettlementHandbook.pdf)
- **Community Development Toolkit.** International Council on Mining & Metals.
<http://www.icmm.com/document/2>
- **A Guide to Designing and Implementing Grievance Mechanisms for Development Projects.** Compliance Advisor/Ombudsman.
<http://commdev.org/content/document/detail/2269/>
- **Community Engagement and Development: Leading Practice Sustainable Development Program for the Mining Industry.** Department of Industry, Tourism and Resources, Commonwealth of Australia.
<http://www.ret.gov.au/resources/Documents/LPSDP/LPSDP-CommunityEngagement.pdf>

RESOURCES FOR PRACTICAL GUIDANCE ON ENVIRONMENT

- **Measuring Business Success from Sustainability Certification.** The Rainforest Alliance, UN Global Compact.
http://www.unglobalcompact.org/docs/news_events/8.1/UN_Rainforest_alliance.pdf
- **The Global Compact Environmental Principles Training Package.** UN Global Compact.
<http://www.unep.fr/outreach/compact/trainpack.htm>
- **Good Practice Guidance for Mining and Biodiversity.** International Council on Mining & Metals.
<http://www.icmm.com/document/13>
- **Planning for Integrated Mine Closure: Toolkit.** International Council on Mining & Metals.
<http://www.icmm.com/document/310>
- **Mine Closure Toolbox.** Anglo American.
http://www.angloamerican.co.uk/aa/development/performance/cs/cs2008/mine_closure/
- **Participatory Water Monitoring: A Guide for Preventing and Managing Conflict.** Office of the Compliance Officer/Ombudsman for the IFC and MIGA.
<http://www.cao-ombudsman.org/howwework/advisor/documents/watermoneng.pdf>
- **G3 Guidelines.** Global Reporting Initiative.
http://www.globalreporting.org/NR/rdonlyres/ED9E9B36-AB54-4DE1-BFF2-5F735235CA44/0/G3_GuidelinesENU.pdf
 - Indicator Protocols: Environment.
http://www.globalreporting.org/NR/rdonlyres/D2BC0DF8-FF2C-4BAB-B2B4-27DA868C2A5F/2800/smallG3_IP_EN_ENG_andcov.pdf
- **International Finance Corporation's Performance Standards on Social & Environmental Sustainability.** International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_PerformanceStandards2006_full/\\$FILE/IFC+Performance+Standards.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_PerformanceStandards2006_full/$FILE/IFC+Performance+Standards.pdf)
 - *Guidance Note 3: Pollution Prevention and Abatement.* International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_3/\\$FILE/2007+Updated+Guidance+Note_3.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_3/$FILE/2007+Updated+Guidance+Note_3.pdf)
 - *Guidance Note 6: Biodiversity Conservation and Sustainable Natural Resource Management.* International Finance Corporation.
[http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_6/\\$FILE/2007+Updated+Guidance+Note_6.pdf](http://www.ifc.org/ifcext/sustainability.nsf/AttachmentsByTitle/pol_GuidanceNote2007_6/$FILE/2007+Updated+Guidance+Note_6.pdf)

RESOURCES FOR PRACTICAL GUIDANCE ON ANTI-CORRUPTION

- **OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions.**
www.oecd.org/daf/nocorruption
- **Fighting Corruption Through Collective Action: A Guide for Business.** World Bank Institute.
http://info.worldbank.org/etools/docs/antic/Whole_guide_Oct.pdf
- **Business Principles for Countering Bribery.** Transparency International.
<http://www.transparency.org/content/download/43008/687420>
 - Six Step Implementation Process.
<http://www.transparency.org/content/download/2252/13124>
- **Guidelines on a Risk Based Approach for Managing Money Laundering Risks.** The Wolfsberg Group Standards on Anti-Money Laundering.
<http://www.wolfsberg-principles.com/risk-based-approach.html>
- **Resisting Extortion and Solicitation in International Transactions: A Company Tool for Employee Training (RESIST).** The International Chamber of Commerce, Transparency International, UN Global Compact.
<http://www.iccwbo.org/uploadedFiles/RESIST.pdf>
- **Fighting Corruption, International Corporate Integrity Handbook.** The International Chamber of Commerce.
<http://www.iccwbo.org/policy/anticorruption/icccgbdg/index.html>
- **The TRACE Compendium.** TRACE.
<https://secure.traceinternational.org/compendium/>
- **Guidelines on Reputational Due Diligence.** International Association of Oil and Gas Producers.
www.ogp.org.uk/pubs/356.pdf
- **A Primer on Mineral Taxation.** Baunsgaard, T. (2001). IMF Working Paper, WP/01/139, International Monetary Fund.
www.imf.org/external/pubs/ft/wp/2001/wp01139.pdf
- **Confronting corruption: The business case for an effective anti-corruption programme.** 2008. PricewaterhouseCoopers.
http://www.pwc.com/en_GX/gx/forensic-accounting-dispute-consultingservices/pdf/pwcconfronting-corruption.pdf

RESOURCES FOR PRACTICAL GUIDANCE ON TRANSPARENCY & REPORTING

- **Sustainable Development Framework.** International Council on Mining & Metals.
<http://www.icmm.com/our-work/sustainable-development-framework>
- **EITI Business Guide: How companies can support the implementation.** Extractive Industries Transparency Initiative (EITI).
<http://eitransparency.org/files/document/EITI%20Business%20Guide.pdf>
- **Advancing the EITI in the Mining Sector.** Extractive Industries Transparency Initiative (EITI).
<http://eitransparency.org/files/MINING%20Compressed.pdf>
- **G3 Guidelines.** Global Reporting Initiative.
http://www.globalreporting.org/NR/rdonlyres/ED9E9B36-AB54-4DE1-BFF2-5F735235CA44/0/G3_GuidelinesENU.pdf
- **Guidance Note on IFC Project Requirements for Annual Revenue Disclosure.** International Finance Corporation.
http://commdev.org/files/2336_file_Annual_Revenue_Disclosure_Guidance_Note.doc

RESOURCES FOR PRACTICAL GUIDANCE ON FISCAL ISSUES

- **OECD Transfer Pricing Guidelines for Multinational Enterprises and Tax Administrations.**
www.oecd.org/ctp/tp
- **G3 Guidelines.** Global Reporting Initiative.
 - Indicator Protocols: Economic.
http://www.globalreporting.org/NR/rdonlyres/D2BC0DF8-FF2C-4BAB-B2B4-27DA868C2A5F/2801/G3_IP_EC_ENG_and_cov.pdf

RESOURCES FOR PRACTICAL GUIDANCE ON SUPPLY CHAIN ISSUES

- **DRC Tin Supply Chain Initiative.** ITRI Ltd.
http://www.itri.co.uk/POOLED/ARTICLES/BF_PARTART/VIEW.ASP?Q=BF_PARTART_307564
- **Certified Trading Chains in Mineral Production.** Bundesanstalt für Geowissenschaften und Rohstoffe.
http://www.bgr.bund.de/cln_144/nm_335092/EN/Home/homepage_node.html?_nnn=true
- **Militarised Mining Areas in the Kivus.** International Peace Information Service.
<http://www.ipisresearch.be/mining-sites-kivus.php>

RESOURCES FOR PRACTICAL GUIDANCE ON SPEAKING OUT ABOUT WRONGDOING

- **OECD Risk Awareness Tool for Multinational Enterprises in Weak Governance Zones.** Chapter 6.
http://www.oecd.org/document/26/0,3343,en_2649_33765_36899994_1_1_1_1,00.html
- **ICC Guidelines on Whistleblowing.** The International Chamber of Commerce.
[http://www.iccwbo.org/uploadedFiles/ICC%20Guidelines%20Whistleblowing%20%20as%20adopted%204_08\(2\).pdf](http://www.iccwbo.org/uploadedFiles/ICC%20Guidelines%20Whistleblowing%20%20as%20adopted%204_08(2).pdf)

GENERAL RESOURCES FOR RESPONSIBLE MINING

- **Advisory Group Report.** National Roundtables on on Corporate Responsibility and the Canadian Extractive Industry in Developing Countries.
http://www.mining.ca/www/media_lib/MAC_Documents/Publications/CSRENG.pdf
- **Breaking New Ground.** The Report of the Mining, Minerals and Sustainable Development Project. MMSD.
<http://www.iiied.org/pubs/pdfs/9084IIED.pdf>
- **E3 Plus: A Framework for Responsible Exploration.** Prospectors & Developers Association of Canada.
<http://www.pdac.ca/e3plus/English/pg/index.aspx>
 - **The Social Responsibility in Exploration Toolkit.** Prospectors & Developers Association of Canada
<http://www.pdac.ca/e3plus/English/toolkits/sr/index.aspx>
 - **The Environmental Stewardship Toolkit.** Prospectors & Developers Association of Canada
<http://www.pdac.ca/e3plus/English/toolkits/es/index.aspx>
 - **The Health and Safety in Exploration Toolkit.** Prospectors & Developers Association of Canada
<http://www.pdac.ca/e3plus/English/toolkits/hs/index.aspx>
- **Framework for Responsible Mining: A Guide to Evolving Standards.** Marta Miranda, David Chambers and Catherine Coumans.
<http://www.frameworkforresponsiblemining.org/docs.html>