

TRAINING MANUAL

ON RESPONSIBLE BUSINESS PRACTICES



Facilitated by





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A. INTRODUCTION TO THE TRAINING COURSE

This manual instruction is an integrated part of the training package on responsible business practices in Vietnam and offers HOW the users of this package (trainers) could use this package to deliver training activities. It is recommended that the trainers complete a thorough reading of this document and make references to component 2 – Lecture slides - where appropriate, before moving to other components of this package.

I. OBJECTIVES OF TRAINING

The course introduces an overview of global trends in responsible business practices, as well as the United Nations Guiding Principles on Business and Human Rights (UNGPs), along with businesses' responsibilities and practices that respect human rights.

At the end of the course, learners should:

- Have a fundamental understanding of responsible business.
- Have a fundamental understanding of the expectations set by Japan and other major economies about responsible business practices (RBP)
- Understand the fundamentals of the United Nations Guiding Principles on Business and Human Rights (UNGPs);
- Understand and practice the steps of human rights due diligence in enterprises in accordance with the UNGPs.

II. OVERVIEW OF THE TRAINING PACKAGE

The training package includes 08 components which could be used as follows:

- *Materials for learners: these materials* are distributed in printed or electronic form to learners to aid in reference and memorization. Materials for learners, including the materials in components 2, 3, 5, 6, 7 and 8. Before training activities, learners should receive the registration form (in component 5),

lecture slides (component 2) and UNGPs (in component 7). In the class, learners would be distributed lecture slides (component 2 in printed form), group activity exercises (component 3) and a working sheet template (component 6). Upon the completion of training activities, the evaluation form (in component 5) should be filled out by learners. Other materials (in component 7 and 8) will be sent to learners after training activities.

- *Materials for trainers:* All the materials in this training package provide trainers with specific guidance on how to use various tools and lectures, as well as practical and appropriate training methods. Amongst others, the materials in components 7 and 8 assist trainers in implementing and adding lecture-related content. Trainers are recommended to use materials as instructed in this training manual.

N o.	Materials	Learners	Trainers	Notes
1	Training Manual		X	
2	Lecture slides	X	X	Send beforehand (electronic form) and distribute in a training class (printed form)
3	Group activity exercises	X	X	Distribute to learners in a training class
4	Warm-up Games		X	
5	Registration and Evaluation Form	X	X	
6	Working sheet	X	X	Distribute to learners in a training class

7	Reference resources of the training packages	X	X	Send after training
8	Recommended materials for further integration	X	X	Send after training

III. LEARNERS' S PROFILE

The learners in this training program are the executives and managers of businesses and supply chains. Potential participants may include management and executives from departments managing supply chains, human resources, sustainability, corporate social responsibility, risk management, legal and compliance.

IV. CONTENTS OF THE TRAINING COURSE

The training course contents are interrelated, forming an integrated knowledge system pertaining to responsible business and human rights due diligence.

The two-day training program consists of three primary modules:

- Module 1: Responsible business and the expectations set by Japan and other major economies about responsible business practices (RBP)
- Module 2: Human rights and the United Nations Guiding Principles on Business and Human Rights (UNGPs)
- Module 3: Human rights due diligence for businesses

Notes: Depending on other training objectives, the trainer can modify the activities and select appropriate modules for each learner group.

V. EVALUATION

5.1 Objectives of the evaluation:

The course monitoring and evaluation activities are intended to assist course organizers and trainers in assessing the effectiveness of the training session based on trainee feedback. Adjustments/additions are then made to ensure that training content and methods are effective and applicable and meet the needs

of learners. To achieve the aforementioned objectives, the evaluation activity must collect the following data:

- Changes in the learners' knowledge and abilities before and after the training course.
- Evaluation of learners on the training course's content, teaching methods, and organization.

5.2 Evaluation methods:

The training courses' evaluation form primarily use the first two levels of the Kirkpatrick model to evaluate the training outcomes.

Level 1. Learner's perception of the training course.

Principle: assess the overall satisfaction, level of learner engagement, usefulness, and relevance of the content. The Assessment at Level 1 enhances the Learner Experience.

Measurement methods/instruments:

- Observe learners' reactions and participation in the learning process.
- Summary: evaluation sheet.

Level 2. Acquired knowledge, abilities, and attitudes after completing the training:

Principle: evaluate the knowledge and abilities acquired by course participants. Appreciate the learner's increased knowledge, self-assurance, and commitment to implementing this information in their businesses.

Measuring methods:

- Process: group discussions and case studies.
- Summary: review papers, pre-course, and post-course surveys.

As for level 3&4 (Behavior & Result) in the Kirkpatrick model: it seems not to be possible to evaluate everyone's ex-post action in the context of 02 days training due to limited resource and capacity but it is critical to emphasize the importance for learners to change their action and to get a better result after the training

course. In addition to the evaluation form, this package provides a working sheet which the learners can use for further changing behavior and action.

5.3 Evaluation Tools:

No.	Tools	Obtainable information
1	Evaluation Form	<ul style="list-style-type: none"> - Learner evaluations of the course in general - Learner evaluations of the course's practical and interactive - The knowledge improvement of the learner - The way that the organizers can do to organize the class better



Tips: Beside the above evaluation form, trainers could develop a questionnaire (from 10 -15 questions) as a simple test to check the improvement of knowledge of learners before and after the training course. This will provide quantitative indicators for evaluation. Other appropriate forms of evaluation are encouraged.

VI. TRAINING AGENDA

The below agenda is a standard two-day programme incorporating the activities and reference materials outlined in this training package. As previously noted, trainers could make necessary adjustments to fit the focus and needs of their target learners. (More tips to be found in section VII - Notes for trainers)

DAY 1 INTRODUCTION TO RESPONSIBLE BUSINESS AND UNGPs	
Time	Activities
8:00–8:30	Arrival and registration
8:30–8:45	Opening remarks, training overview
8.45 – 9.00	Game on Responsible Business (RB)

<p>9:00–9:30</p>	<p>Module 1a. Overview of responsible business (RB)</p> <ul style="list-style-type: none"> - Why do businesses need to be responsible? - What are the basic principles of RB? - What are the different stages of RB? - Comparisons between RB, and corporate social responsibility (CSR).
<p>9:30-10:00</p>	<p>Module 1b. Expectations set by Japan and other major economies about responsible business practices (RBP)</p> <ul style="list-style-type: none"> - What are HRDD legislation and expectations set by major economies - Japan “deep-dive”: Japan National Action Plan on Business and Human Rights and Guidelines for respecting human rights in responsible supply chain and its implications to Japanese companies and their supply chain in Viet Nam - How does it impact Vietnamese Businesses
<p>10:00–10:15</p>	<p>Q&A and discussions</p>
<p>10:15–10:30</p>	<p>Break</p>
<p>10:30–12:00</p>	<p>Module 2. The United Nations Guiding Principles on Business and Human Rights (UNGPs)</p> <ul style="list-style-type: none"> - What are human rights? - Why should businesses respect human rights? - Introduction of the UNGPs - Policy commitment - The premise of the human rights due diligence - Individual activities: Checklist about human rights policy commitment in participants’ companies & discussion
<p>12:00 - 13.00</p>	<p>LUNCH</p>
<p>13:00 - 13:45</p>	<p>Module 3. A Practical Guide to Human Rights Due Diligence (HRDD)</p> <p><i>Part 1: Identifying and assessing risks</i></p> <ul style="list-style-type: none"> - Identify stakeholders - Assess industrial and local environment

	<ul style="list-style-type: none"> - Identify and assess potential for human rights risks based on value chain - Prioritize risks and how to assess a supplier - Introduction to Human Rights Due Diligence Assessment Tools
13:45 - 14:30	Group Activity on <i>Identification and assessment risks: Group discussion</i>
14.30-14.45	Break
14. 45-15. 45	<p>Group Activity on <i>Identification and assessment risks:</i></p> <ul style="list-style-type: none"> - Group presentation - Conclusion on Identification and assessment right risks - Q&A
15.45 – 16:00	Wrap up/Q&A and discussion
DAY 2	
SUPPLY CHAIN DUE DILIGENCE	
8.30 – 9.15	<i>Game on business and human rights, UNGPs, Identifying and assessing human rights risks (HRDD)</i>
9:15–9:45	<p>Module 3. A Practical Guide to Human Rights Due Diligence (HRDD)</p> <p><i>Part 2: Integrating and acting on findings</i></p> <ul style="list-style-type: none"> - Role of businesses in addressing human rights abuse risks - Actions upon findings
9:45 - 10:15	<p>Module 3. A Practical Guide to Human Rights Due Diligence (HRDD)</p> <p><i>Part 3 : Tracking effectiveness</i></p> <ul style="list-style-type: none"> - Key indicators - Guidelines for tracking effectiveness - Q&A and discussions
10.15 – 10.30	Break

10:30- 11:00	Group activity on <i>Integrating and acting on findings and Tracking effectiveness</i>: Group discussion
11:00 - 12:00	Group activity on <i>Integrating and acting on findings and Tracking effectiveness</i> <ul style="list-style-type: none"> - Group presentation - Conclusion - Q&A
12.00 - 13.00	LUNCH
13.00 - 13.30	Module 3. A Practical Guide to Human Rights Due Diligence (HRDD) Part 4: Communicating actions <ul style="list-style-type: none"> ○ Purpose of communicating actions ○ Forms of communication
13.30– 14.15	Case study: Introduction of case study and group discussion
14:15– 14:30	Break
14:30– 15:15	Case study <ul style="list-style-type: none"> - Group presentation - Tripartite discussion - Conclusion on case study - Q&A
15:15– 15:30	Introduction of useful tools, resources and the follow-up supports from organizers to learners (if any)
15.30- 15.45	Certificate of Attendance Ceremony
15:45– 16:00	Wrap-up and next steps

VII. NOTES TO THE TRAINERS

To effectively conduct the course, the trainer must pay attention to the following issues:

- Sensitivity to the needs of learners: Trainers must carefully examine the needs of learners, and adjust teaching content (such as case exercises and real practices) to meet learners' expectations. Trainers cultivate an environment of trust and candor in which learners feel comfortable expressing their opinions and where differences of opinion are respected.
- Before conducting the training course, trainers must meticulously plan and allot sufficient time for each activity and topic, ensure effective time management, and ensure that all content has been prepared to achieve the course's overall objectives.
- Connect with learners: Trainers must constantly connect with their learners through body language, questions, and discussions. Trainers must ensure that all participants have the opportunity to participate in the learning process and feel included.
- Listening to learners: Trainers must attentively listen to learners' opinions to comprehend and accurately sense the learners' emotions and desires.
- Good time management: Trainers must carefully examine the duration of each lesson to develop a suitable lesson plan.
- Interactive methodology is encouraged whenever it is possible throughout the training programme. Trainers should also minimize the top-down lecturing. Although this will require more time and effort invested by trainers in preparation, the training results are supposedly more meaningful for learners. Therefore, trainers are encouraged to go beyond what is suggested by this package to make training courses more interactive and learner-centered.



In addition to the general notes for trainers, this training manual also provides specific notes and useful tips for each activity of the training as instructed in Part B below.

B. CONTENT OF THE TRAINING

MODULE 1. RESPONSIBLE BUSINESS (RB) & EXPECTATIONS SET BY JAPAN AND OTHER MAJOR ECONOMIES ABOUT RESPONSIBLE BUSINESS (RB)

LEARNING OUTCOMES

By the end of the first module, learners will be able to:

- Master key principles of responsible business.
- Differentiate between business responsibility and corporate social responsibility.
- Understand business and human rights frameworks.
- Understand HRDD legislation and expectations set by major economies (e.g., EU, Germany, UK, France) and their implications for Japanese firms and their supply chain in Viet Nam.
- Appreciate the importance of improving responsible business practices that respect human rights in their operation.

1.1 Activity 1. Game on Responsible Business (RB)

1.1.1 Objectives:

- Establish a positive environment at the start of the course.
- Assist learners in conceptualizing the repercussions of human rights violations in businesses.

1.1.2 Preparation:

- Quizzes on responsible business (Warm-up game for day 1, component 4 – Warm-up games)
- Aha Slide/ Kahoot game account
- QR code for the game to be displayed on projector for easy access by all learners
- Prizes awarded to the winners (optional)

- Trainers to practice their facilitation of this game in advance to get used to how it works.

1.1.3. Implementation process:

No.	Contents	Activities	Time	Notes
1	Introduction to game rules	<ul style="list-style-type: none"> • Introduce learners to the game's rules, emphasizing that this game does not require any background knowledge on RBP • Provide instructions on how to name players, encourage learners to choose their nicknames freely. • Checking the readiness of learners 	2 minutes	<ul style="list-style-type: none"> - See “Warm-up game day 1” in component 4 – Warm-up games - Display of QR code of the game-link on the large screen <p> Tip: encourage learners to make relaxing nicknames.</p>
2	Playing Game	<ul style="list-style-type: none"> • The trainer shows each question on the screen • At the end of each question, the trainer declares the correct answer and who are leading the game • At the end of all questions, the trainer announces the winner 	10 minutes	<ul style="list-style-type: none"> - See “Warm-up game for day 1” in component 4 – Warm-up games
3	Wrap - up	<ul style="list-style-type: none"> • The organizers give prizes to the winners (Optional) • Wrap up and introduce the lesson 	3 minutes	

1.2 Activity 2. Responsible business

1.2.1 Objectives:

- Help learners understand aspects of responsible business
- Help learners understand the difference between traditional and responsible business approaches.
- Assist learners in mastering the fundamental principles of responsible business.
- Assist learners in distinguishing between responsible business and corporate social responsibility.

1.2.1 Preparation:

- Presentation slides of Module 1.a in Component 2 – Lecture Slides
- Writing board/flip-charts, markers for trainers.
- A4 papers for learners.

1.2.3 Implementation process:

N o.	Contents	Activities	Time	Notes
1	Why do businesses need to be responsible?	Trainer's presentation	5 minutes	<ul style="list-style-type: none">- See Lecture slides of Module 1.a in Component 2 – Lecture Slides.- Apply interactive lecturing by asking simple questions
2	What are the basic principles of RB?	Trainer's presentation	10 minutes	<ul style="list-style-type: none">- Being discussion-oriented by encouraging learners to make simple questions
3	What are the different stages of RB?	Trainer's presentation	5 minutes	

4	Comparison between RB, Corporate Social Responsibility (CSR).	Trainer's presentation	5 minutes	
5	Q&A	<ul style="list-style-type: none"> - Learners ask questions/write questions on A4 paper - The organizers stick the questions on the board - Open discussion 	5 minutes	 Tip: Open discussion may be suitable for close groups. For groups with diversity of background. The organizers could use a QR code that links to a Q&A form by which learners could make question anonymously Trainers may also encourage learners to answer their peers' questions before responding to those questions

1.2.4 Key take-away messages

Key take-away messages
<p>In the 21st century, making profit is not everything for enterprises. Businesses need to practice responsible business, in order to meet the growing expectations of their stakeholders. Responsible business ensures the business mission, respects the rights of stakeholders and does no harm to the community, society and environment. Responsible business is a business approach that is integrated into daily business operations and is non-compensatory (no good-for-bad offset);</p> <p>Responsible business differs from corporate social responsibility: doing everything right for stakeholders and being the responsibility of businesses within their business activities.</p> <p>Enterprises need to provide training on responsible business; participate in the implementation of the National Action Program on Responsible Business; conduct</p>

Key take-away messages

responsible business and human rights due diligence; develop internal control regulations and codes of responsible business conduct.

1.3 Activity 3. Expectations set by Japan and other major economies on responsible business (RB)

1.3.1 Objectives:

- Provide learners with an introduction to international business and human rights frameworks and the global trend of responsible business
- Provide learners with an introduction to the legislation and expectations of human rights due diligence in major economies and their impacts on Vietnamese businesses.
- Assist learners in evaluating the impacts of the new context on business operations.

Notice: This session contains the content of expectation from Japan. This content is useful for Japanese companies and their supply chain in Viet Nam. Although it is optional, other companies could use it as reference.

1.3.2 Preparation:

- Presentation slides of Module 1.b in component 2 – Lecturing slides

- Writing board, markers for trainers

1.3.3 Implementation process:

No.	Contents	Activities	Time	Notes
1.	Opening	-Announce topic of the presentation, its structure and key content -Notify learners of the Q-A exercise where learners could make questions at the end of this session -Remind learners to use the working sheet		
2	HRDD legislation and expectations set by major economies (e.g., EU, Germany, UK, France)	Trainer's presentation	5 minutes	Emphasizing that HRDD framework over the world is "hardening"
3	Japan "deep-dive": Japan National Action Plan on Business and Human Rights and	Trainer's presentation	15 minutes	Focus on the scope of the guidelines

No.	Contents	Activities	Time	Notes
	Guidelines for respecting human rights in responsible supply chain and its implications to Japanese companies and their supply chain in Viet Nam			
5	Impacts on Vietnamese firms	Trainer's presentation Discussions	5 minutes	
6	Q&A			 Tip: If the trainer used a QR code for anonymous questioning as suggested in the previous section, that QR code can be reused here

1.3.4 Key take-away messages

Key take-away messages

The world is witnessing a significant increase in requirements and regulations about responsible business and human rights due diligence in the supply chain. Guidance for responsible business and human rights due diligence in the supply chain have been developed by many international organizations. In addition, many nations have enacted legislation mandating human rights due diligence or imposing sanctions on businesses that cause, facilitate, or profit from violations of human rights.

In addition, several governments are creating a national action plan to address challenges regarding human rights. Consequently, the world is moving toward stricter requirements, regulations, and sanctions regarding human rights due diligence in the supply chain.

Currently, Japan is making a bigger effort in the B+HR area. In October 2020, the government of Japan launched the country's first National Action Plan (NAP) on Business and Human Rights (BHR) and the guideline on respecting human rights in responsible supply chain. Therefore, understanding of B+HR is important to every Japanese company, their partners and suppliers

MODULE 2. HUMAN RIGHT AND THE UNITED NATIONS GUIDING PRINCIPLES ON BUSINESS AND HUMAN RIGHTS (UNGPS)

LEARNING OUTCOMES

By the end of the second module, learners will be able to:

- Understand fundamental human rights that could be impacted by business activities.
- Understand the United Nations Guiding Principles on Business and Human Rights (UNGPs) goals and key pillars.

2.1 Activity 1. Human rights

2.1.1 Objectives:

- Help learners understand the fundamental rights associated with business activities.
- Help learners comprehend the advantages of respecting human rights in business.
- Help learners comprehend the risks posed when businesses disregard human rights.

2.1.2 Preparation:

- Presentation slides : Section 2.1 of Module 2 in component 2 – Lecture slides
- Writing board, markers for trainers
- A4 papers for learners.

2.1.3 Implementation process:

No.	Contents	Activities	Time	Notes
1	Opening	<ul style="list-style-type: none"> • Announce the topic • Remind learners to use the working sheet (if necessary) 		
2	Human rights	<ul style="list-style-type: none"> • Trainer's presentation 	10 minutes	List out the human rights that usually are impacted by businesses, with examples
3	Why should businesses respect human rights?	<ul style="list-style-type: none"> • Trainer's presentation 	5 minutes	Trainers need to give examples of real case in local context.

No.	Contents	Activities	Time	Notes
				The presentation slide provides some examples, trainers may search for more information on these cases (Hansae's dismissal of their employee, Fomosa's pollution catastrophe, Facebook's violation on privacy, especially the Rana Plaza disaster).
4	Q&A	<ul style="list-style-type: none"> • Learners ask questions • The trainer answers and guides the class in an in-depth discussion 	5 minutes	

2.1.4 Key take-away messages

Key take-away messages

Human rights is a set of minimum rights that are for us - human-being to live in dignity and equality. It have three main principles:

1. Universal and inalienable: We are all equally entitled to our human rights, across the world. Human rights should not be taken away, except in specific situations and according to due process

2. Indivisible and interdependent: One human right cannot be enjoyed fully without the others
3. Equal and non-discriminatory: All humans should have equal enjoyment of human rights regardless of nationality, sex, national or ethnic origin, color, religion, language, or any other status.

Business activities could create adverse impacts on human rights, such as right to life, freedom from forced labour, freedom from discrimination, freedom of association, right to health, right to favourable working conditions, fair-remuneration, and right to privacy, etc.

Businesses must respect human rights. This is not only a risk management activity but also helps to create new business opportunities. On the other hand, businesses' failures to respect human rights can result in significant risks such as operational, financial, reputational and legal risk.

2.2 Activity 2. United Nations Guiding Principles on Business and Human Rights (UNGPs)

2.2.1 Objectives:

- Help learners understand the goals of the UNGPs.
- Help learners have a preliminary understanding of the three main pillars of the UNGPs.
- Help learners understand the responsibility of businesses in respecting human rights, according to UNGPs.

2.2.2 Preparation:

- Presentation slides: Section 2.2 of Module 2 in component 2 – Lecture slides
- Writing board, markers for trainers
- Stick to wall the below slides:

- + A0 paper with "Three main pillars of UNGPs" printed on it (Slide No. 23 of Module 2)
- + A0 paper with "3 principles of corporate responsibility in respecting human rights according to UNGPs" printed on it (Slide No. 29 of Module 2)

2.2.3 Implementation process:

No.	Contents	Activities	Time	Notes
1	Objectives of UNGPs	Trainer's presentation	5 minutes	Emphasizing the importance of UNGPs which creates a new BHR era, inspiring the development of law and international standards over the world
2	Three pillars of the UNGPs	Trainer's presentation, using both the prepared slides and the Printed A0	5 minutes	The organizers stick the A0, printed "Three main pillars of UNGPs" slide on the classroom wall  Tip: trainers should indicate the location of A0 slides and ask learners to take a look at their break time if needed.
3	Corporate responsibility to respect human rights according to the UNGPs	The trainer's presentation, using both the prepared slides and the printed A0.	5 minutes	The organizers stick the A0 printed "3 principles of corporate responsibility in respecting human rights according to UNGPs" slide on the classroom wall  Tip: Trainers should indicate the location of A0 slides and ask learners to take a look at their break time if needed.

N o .	Contents	Activities	Time	Notes
4	Wrap-up	<ul style="list-style-type: none"> • Learners directly ask questions • The trainer guides the class to discuss, then summarize 	5 minutes	

2.2.4 Key take-away messages

Key take-away messages

The UN Guiding Principles on Business and Human rights are a set of guidelines for states and companies to prevent, address and remedy human rights abuses committed in business operations. UNGPs contain three pillars: i) state duty to protect human rights; ii) corporate responsibility to respect human rights and iii) grievance mechanisms. the UNGPs recognize the distinct but complementary roles that the state and business have in acting in accordance with international human rights norms.

Seven fundamental principles of the UNGPs:

1. Do no harm: Avoid causing/contributing to abuses
2. Prevent/mitigate negative impacts committed by suppliers or business partners
3. Address direct & indirect human rights impacts related to the company
4. Includes all companies
5. Includes all internationally recognized human rights
6. Does not imply a new legal obligation – elaborates the consequences of existing obligations and practices in relation to the actions of companies
7. Human rights can't be compensated: doing good in one aspect does not compensate for damage caused in another aspect

2.3 Activity 3. Policy commitment - The premise of the human rights due diligence

2.3.1 Objectives:

- Help learners understand 3 levels of policy commitment
- Help learners practice reviewing and evaluating levels of policy commitment in their enterprise

2.3.2 Preparation:

- Lecture slides: Section 2.3 of Module 2 in component 2 – Lecture slides
- Writing board, markers for trainers
- Stick to wall the A0 printed slide “Formation and announcement of Human rights policy” (Slide 45 of Module 2)

- “Human right policy commitment” working sheet (handed out to each learner)

2.3.3 Implementation process:

No.	Contents	Activities	Time	Notes
1	Three levels of policy commitment	Trainer's presentation	10 minutes	Stick the A0 printed slide “Formation and announcement of Human rights policy” (Slide 45) on the class wall and share its location for learners to read (if necessary)
2	Practice reviewing and evaluating the level of policy commitment	<ul style="list-style-type: none"> Learners individually conduct a review and evaluation of corporate policy commitment levels Trainers explain and clarify the levels of policy commitment The trainer gives examples of some policies that can pose human rights risks in enterprises 	30 minutes	See “Working Sheet” – component 6  Tip: trainers should go around the class, ask questions and answer questions from learners.
4	Wrap-up	The trainer guides the class to open discussions and then summarize	20 minutes	

2.2.4 Key take-away messages

Key take-away messages
A policy commitment is a critical component of implementing the responsibility to respect human rights, as it serves as the foundation of right-respecting culture as well as the basis for embedding the principles of ‘respect to human rights’ into processes and policies across operations and its value chain.

Key take-away messages

Policy commitment has three levels:

1. Level 1. High-level reference: A short reference to human rights in the company's mission, values statement, or another overarching document
2. Level 2. Policy statement: A more elaborate statement outlining the company's expectations and accountability structures concerning human rights, either in a stand-alone policy or integrated into a broader sustainability policy or code of conduct
3. Level 3. Operational Guidance: Detailed guidance in functional or geographical areas, instructing managers and others what they specifically need to do in their daily work, often integrated into existing operational policies

MODULE 3. HUMAN RIGHTS DUE DILIGENCE (HRDD)

LEARNING OUTCOMES

By the end of the third module, learners will be able to:

- Master the steps of human rights due diligence following the UNGPs.
- Be capable of developing a business plan for human rights due diligence.

3.1 Activity 1 - Identifying and assessing human rights risks

3.1.1 Objectives:

- Help learners master the principles of identifying and assessing human rights risks.
- Help learners have a preliminary understanding of the enterprise's business activities.

3.1.2 Preparation:

- Presentation slides: section 3.1 of Module 3 in component 2 – Lecture slides
- Writing board, markers for trainers- A0 paper and markers for learners
- Stick to wall the below slides:

- + A0 paper with "Steps to the practice of HRDD" printed on it (Slide No. 6, Module 3)
- + A0 paper with "Stakeholders" printed on it (Slide No. 12, Module 3)
- + A0 paper with "Assessing actual and potential human rights impacts" printed on it (Slide No. 19 of Module 3)
- + A0 paper with "The involvement of business in human rights adverse impacts and corresponding actions" printed on it (Slide No.34, Module 3)

3.1.3 Implementation process:

N o .	Contents	Activities	Time	Notes
1	Steps of human rights due diligence	<ul style="list-style-type: none"> • Trainer's presentation 	5 minutes	<ul style="list-style-type: none"> • The organizers stick the A0, "Steps to the practice of HRDD" printed slide on the classroom wall • Remind learners to use the working sheet • In the presentation slide, there is an example of NIKE. Trainers could find more information about this by searching "Nike's dark past: Making money on the backs of Asian "cheap workers" and the change.
2	Brainstorming about "stakeholders."	<ul style="list-style-type: none"> • The trainer explains the notion of stakeholders • The trainer poses questions regarding stakeholders 	10 minutes	

N o .	Contents	Activities	Time	Notes
		<ul style="list-style-type: none"> Learners give examples of stakeholders The trainer sums up. 		
3	Identify and assess risks based on the organization's location, industry, and value chain.	The trainer presents the process of "Assessment of risks by locality, industry, and value chain of the organization."	5 minutes	
4	The involvement of businesses in adverse impacts on human rights and the corresponding actions	Trainer's presentation	10 minutes	The organizers stick the A0, with the "The involvement of business in human rights adverse impacts and corresponding actions" (Slide 34) printed slide on the classroom wall
5	Identify the prioritization	The trainer presents how to determine the priority level	15 minutes	Emphasizing the element of "severity."

3.1.4 Key take-away messages:

Key take-away messages

Conducting HRDD is a process to identify, prevent, mitigate, and account for adverse human rights impacts. HRDD includes four steps:

1. Step 1. Identify and assess actual and potential human rights impacts.
2. Step 2. Integrate and act upon the findings.
3. Step 3. Track and verify the effectiveness of responses
4. Step 4. Communicate and account for how impacts are addressed and any results

In the step of “Identifying and assessing actual and potential human rights impacts,” businesses need to identify and evaluate actual and potential negative risks and impacts on human rights through their activities or outcomes with stakeholders, including business relationships throughout the supply/value chain. This process should: i) Seek information and expertise from internal and/or external sources and ii) Consultation with potentially affected groups and other stakeholders, and should be appropriate to the size of the business and the nature and context of its operations.

3.2 Activity 2 – Group activity 1 in Identifying and assessing human rights risks

3.2.1 Objectives:

- Helping learners know and practice assessing risks based on the organization's location, industry, and value chain.
- Help learners master the principles and be able to practice prioritization.
- Provide the chance for peer-learning.

3.2.2 Preparation:

- Writing board, markers for trainers

- A0 paper with one of the 2 value chains printed on it (Group activity 1 in component 3 – Group activities)

3.2.3 Implementation process:

N o .	Contents	Activities	Time	Notes
1	Group division	The organizers divide learners into 4 groups	5 minutes	See “Group activity 1” in component 3- “Group activity exercises”
2	Group discussion	<ul style="list-style-type: none"> • Ask the groups to discuss and present their answers on A0 paper • Group presentations 	45 minutes	Give each group 1 sheet of A0 paper with one value chain. Every 2 groups work on the same value chain. Tip: trainers should walk around the class to support and make suggestions by asking questions to  learners (if necessary)
3	Group presentations	A representative of each group presents the result of their discussion	45 minutes	
4	Wrap-up	Trainer invites other groups to comment	15 minutes	



No.	Contents	Activities	Time	Notes
		before giving their ents, instruction & wrap-up		

3.3 Activity 3 – Warm-up game for day 2

3.3.1 Objectives:

- Establish a positive environment at the start of the lesson.
- Help learners in reviewing previously learned lessons.

3.3.1 Preparation:

- Quizzes about responsible business, UNGPs, and identifying and assessing human rights risks (HRDD) (Contents learned on the first day) (see the warm-up game for day 2 in component 4 – Warm-up game

Tip: trainers may change the crosswords in the game to the ones that are relevant to their training courses and context.

- The puzzle board is printed on A0 size
- Prizes for winner team (optional)

3.3.3. Implementation process:

No.	Contents	Activities	Time	Notes
1	Introduction to the rules of the game	<ul style="list-style-type: none"> • Introduce learners to the game's rules. 	5 minutes	See “Warm-up game for day 2” in the folder “Warm-up game.”

No.	Contents	Activities	Time	Notes
3	Group division	<ul style="list-style-type: none"> The organizers divide learners into 4 groups 	5 minutes	
2	Playing game	<ul style="list-style-type: none"> When each horizontal crossword is opened, the trainer repeats the knowledge learned on the first day. At the end of all questions, the trainer announces the winning team 	30 minutes	
3	Wrap up	<ul style="list-style-type: none"> Give out prizes The trainer summarizes and emphasizes the confusing content for the learners. 	5 minutes	

3.4 Activity 4 – Integrating and acting on findings

3.4.1 Objectives:

- Help learners recognize 3 ways in which business can be involved in adverse impacts on human rights and the relevant actions for each mode of involvement.
- Help learners comprehend the principles and practice the integration of results into related processes and functions in their firms.

3.4.2 Preparation:

- Presentation slides: section 3.2 of Module 3 in Component 2 – Lecture Slides
- Writing board, markers for trainers
- Stick on the wall the below slide

- + A0 paper with "The involvement of business in human rights adverse impacts and corresponding actions" printed on it (Slide No. 34, module 3)
- + A0 paper with "Integration and risk mitigation" printed on it (Slide No. 47, Module 3)

3.4.3 Implementation process:

No	Contents	Activities	Time	Notes
1	Integrate the results into related processes and functions	Trainer's presentation	20 minutes	Trainer should ask the participant about their company's action
2	Q&A	<ul style="list-style-type: none"> • Learners ask questions • The trainers guide the discussion 	10 minutes	

3.4.4 Key take-away messages

Key take-away messages
<p>Action will vary depending on whether the business directly causes or contributes to these adverse impacts. When integrating and acting upon the findings required, the business should:</p> <ul style="list-style-type: none"> - Integrate the findings from their human rights risk assessments across relevant internal functions and processes - Take appropriate action Integration, in turn, requires two things: i) Assigning responsibility for addressing risks and impacts to the appropriate unit within the business enterprise and ii) Ensuring efforts to address risks and impacts are: Supported by budget allocations, subject to oversight and compliance measures, aligned with the internal decision-making process

3.5 Activity 5. Tracking effectiveness

3.5.1 Objectives:

- Help learners understand the principles of tracking the effectiveness
- Help learners understand and be able to build key tracking indicators
- Help learners understand and be able to create an effective tracking plan

3.5.2 Preparation:

- Presentation slides: section 3.3 of Module 3 in Component 2 – Lecture slides
- Writing board, markers for trainers
- A0 paper and markers for learners
- Stick to wall the A0 printed “tracking, reporting and communication” slide (Slide No. 52 of Module 3)

3.5.3 Implementation process:

N o	Contents	Activities	Time	Notes
1	Principles of tracking the effectiveness	Trainer's presentation	5 minutes	
2	Tracking indicators	The trainer presents the notes when developing indicators to track the effectiveness	15 minutes	
3	Tracking plan	The trainer presents the tracking plan	10 minutes	

3.5.4 Key take-away messages:

Key take-away messages:

Tracking the effectiveness of efforts is essential if staff are to account for their success in respecting human rights and learn from any shortcomings. Tracking human rights issues and responses also helps a business to identify trends and patterns and delineate systemic challenges. Tracking may also allow for best practices to be identified and help improve business performance. Mostly, tracking is critical to preventing or mitigating the continuation or recurrence of human rights abuses.

Tracking requires:

- Developing appropriate qualitative and quantitative indicators
- Drawing from feedback from both internal and external sources

3.6 Activity 6. Group Activity 2

3.6.1 Objectives:

- Helping learners master and practice integrating and acting on findings
- Help learners master the practice tracking effectiveness
- Provide the chance for peer-learning.

3.6.2 Preparation:

- Writing board, markers for trainers
- A4 printed case study for group activity
- A0 paper for team

3.6.3 Implementation process:

N o .	Contents	Activities	Time	Notes
1	Group division	<ul style="list-style-type: none">• The organizers divide learners into 4 groups	5 minutes	Organizers distribute A0 papers, markers for groups

N o .	Contents	Activities	Time	Notes
2	Group discussion	<ul style="list-style-type: none"> Ask the groups to discuss and present their answers on A0 paper Group presentations 	30 minutes	<ul style="list-style-type: none"> Every 02 groups work on one scenario. See “Group activity 2” in component 3-r “Group activity exercises.”
3	Group presentations	<ul style="list-style-type: none"> Group presentations 	40 minutes	Organizers support the presentation by sticking A0 papers of groups
4	Wrap-up	<ul style="list-style-type: none"> The lecturer gives comments, instruction & wrap-up 	15 minutes	

3.7 Activity 7. Communicating actions

3.7.1 Objectives:

- Help learners understand the benefits of communicating actions.
- Help learners understand the various forms of communicating actions.
- Emphasizing the importance of stakeholder engagement in the whole HRDD process

3.7.2 Preparation:

- Presentation slides
- Writing board, markers for trainers

3.7.3 Implementation process

No.	Contents	Activities	Time	Notes
1	Why are communication actions necessary?	Trainer's presentation	5 minutes	
2	Various forms of communication actions	Trainer's presentation	10 minutes	
3	Stakeholder engagement	Trainer's presentation	15 minutes	<p>In the presentation slides, there are some examples of companies which trainers should search for further information</p> <p> Tip: invite guest speakers from stakeholders for sharing (if any)</p>

3.5.3 Key take-away messages

Key take-away messages
<p>Communication requires a business to report on their impacts as well as actions that are taken by businesses to prevent, mitigate, and address their adverse impacts on human rights. Communication could increase stakeholder engagement and improve the transparency of business, reducing potential risks and helping businesses to meet reporting requirements/standards in global value chains.</p> <p>Communication should be in a form and frequency that reflect an enterprise's activities and commensurate with the human rights impacts. Should:</p>

1. Be accessible to intended audiences
2. Provide information that is sufficient to evaluate the adequacy of an enterprise's response to the particular human rights impact involved
3. Not pose risks to affected stakeholders or personnel;
4. Respect privacy (not include names/locations that could disclose identities of rights holders who may face retaliation)
5. Not pose risks to legitimate requirements of commercial confidentiality

3.8 Activity 8. Case studies

3.8.1 Objectives:

- Assist learners in reviewing the entire training program's content.
- Offer learners the opportunity to practice the steps of human rights due diligence.
- Replicate UNGPs' three-pillars model

3.8.2 Preparation

- 4-color stickers/ Group name cards
- Writing board, markers for trainers
- Papers with situational questions (handed to learners)
- A0 paper and markers for learners
- Prize for the victorious team (optional)

3.8.3 Implementation process

N o .	Contents	Activities	Time	Notes
1	Disseminate content for learners.	<ul style="list-style-type: none"> • The trainer disseminates information regarding case studies, group activities' evaluations, and the winning team's rewards (optional). 	10 minutes	See "Group activity 3" in Component 3- "Group activity"

N o .	Contents	Activities	Time	Notes
2	Group division	<ul style="list-style-type: none"> Then divide the class into three groups. Each group presents for 1 of 3 actors: i) state, ii) enterprise, iii) affected community Trainers acting as the 4th party – council of experts for consulting 	5 minutes	
3	Name the groups	<ul style="list-style-type: none"> The groups proceed to name the group 	5 minutes	
4	Group activities	<ul style="list-style-type: none"> The groups discuss the case studies and present their answers on the A0 paper. Each group has 10 minutes to deliver the results. 	30 minutes	<ul style="list-style-type: none"> The organizers distribute papers with case studies to learners The organizers distribute A0 paper and markers to groups
5	Conduct tripartite discussion	<ul style="list-style-type: none"> Each group has 5 minutes to deliver the results. Discuss and dialogue to find the solutions 	45 minutes	
6	Summary of case studies	<ul style="list-style-type: none"> The trainer sums up. The trainer emphasizes the lesson's content, mainly where confusion exists. Trainers and groups conduct group evaluation and ranking The organizers award the prizes to the group with the highest evaluation. 	15 minutes	

C. SUMMARY, EVALUATION OF THE TRAINING COURSE

OBJECTIVES

- Assess the learners' acquired knowledge and abilities as a result of their participation in the training program.
- Assess learner satisfaction.
- Completing the documents, contents, teaching methods, and organizational methods scientifically.

PREPARATION

- A Post-course survey
- QR code of the Post-course survey

IMPLEMENTATION PROCESS

N o. .	Contents	Activities	Time	Notes
1	Preliminary comments	<ul style="list-style-type: none"> The trainer asks the learners to write three words they think about the class. The trainer displays the results on a large screen. 	5 minutes	The organizers display the QR Code that leads to the link
2	Hand out the survey	<ul style="list-style-type: none"> The trainer explains the purpose of the Survey 	3 minutes	The organizers display the QR Code that leads to the survey
3	Fill out and	<ul style="list-style-type: none"> Learners fill in the form and submit it 	7 minutes	

No.	Contents	Activities	Time	Notes
	submit the form			
4	Award certificate of course completion to the learners	<ul style="list-style-type: none"> - The organizers conduct awarding certificates of participation in the course to learners 	15 minutes	
5	Closing ceremony	<ul style="list-style-type: none"> The organizers summarize the course and express gratitude to learners and partners. 	5 minutes	

D. CONTACT INFORMATION

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