



# UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS

A Toolkit of Actions and Strategies for  
Oil, Gas, and Mining Companies



*Creating Markets, Creating Opportunities*



## UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS

A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies

# INTRODUCTION AND EXECUTIVE SUMMARY



UMBRELLA FACILITY  
FOR GENDER EQUALITY



ADMINISTERED BY  
WORLD BANK GROUP



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**International  
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*The Umbrella Facility for Gender Equality (UFGE) is a World Bank Group multi-donor trust fund expanding evidence, knowledge and data needed to identify and address key gaps between men and women to deliver better development solutions that boost prosperity and increase opportunity for all. The UFGE has received generous contributions from Australia, Canada, Denmark, Finland, Germany, Iceland, Netherlands, Norway, Spain, Sweden, Switzerland, United Kingdom, and the United States.*

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## INTRODUCTION AND EXECUTIVE SUMMARY



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## FOREWORD

As an investor in oil, gas, and mining projects around the world—and as a trusted advisor to companies operating in these sectors—we at IFC applaud and support the growing industry awareness about the importance of incorporating women’s perspectives, participation, and interests in project operations and community engagement. Increasingly, natural resource companies are acknowledging the value in improving the gender balance of their traditionally male-dominated workforces and in ensuring that project benefits are shared equally between men and women in affected communities.

The business case is strong and clear: a growing body of evidence shows that gender equality means increased productivity, improved operational efficiency, better access to finance, stronger community relations, reduced risk, and greater resilience to shocks.

Understanding the theoretical importance of opening more doors for women as employees, as managers and board directors, as contractors, and as valued community members is just the first step. Turning this understanding into action that will result in lasting change and positive impact is the next step—and an exciting challenge.

That’s where this toolkit comes in. It is designed as a practical resource to help oil, gas, and mining companies make tangible progress towards improved gender balance. It offers concrete guidance at several levels. Senior managers can use it to set strategic priorities for gender equality and allocation of resources, while operational teams can use it to design tactical approaches and actions to ensure implementation and uptake of these priorities.

This toolkit is intended to be a living document. We look forward to working with our clients to implement these tools and to draw on implementation experiences so that we can refine and update the tools based on real-world experiences. We encourage feedback and input in the hopes that this becomes part of a longer running conversation, with the joint IFC-industry goal of harnessing the full potential of the oil, gas, and mining industries to create a more gender-equitable world and more resilient companies.

IFC welcomes the opportunity to assist natural resource companies active in emerging markets as they seek to achieve their gender diversity goals.



Lance Crist

*Global Head of Natural Resources at IFC*

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## ABBREVIATIONS AND ACRONYMS

<b>ARPEL</b>	Regional Association of Oil, Gas, and Biofuels Sector Companies in Latin America and the Caribbean
<b>ASM</b>	Artisanal and Small-Scale Mining
<b>(PNG) BCFW</b>	Papua New Guinea Business Coalition for Women
<b>BIAC</b>	Business and Industry Advisory Committee to the OECD
<b>CEO</b>	Chief Executive Officer
<b>EI</b>	Extractive Industries
<b>FIFO</b>	Fly-In, Fly-Out
<b>FSV</b>	Family and Sexual Violence
<b>GBV</b>	Gender-Based Violence
<b>GDP</b>	Gross Domestic Product
<b>GRM</b>	Grievance Redress Mechanism
<b>HIV</b>	Human Immunodeficiency Virus
<b>HR</b>	Human Resources
<b>HREOC</b>	Australian Human Rights and Equal Opportunity Commission
<b>HQ</b>	Headquarters
<b>IFC</b>	International Finance Corporation
<b>IPV</b>	Intimate Partner Violence
<b>KDP</b>	Kecamatan Development Project
<b>KPIs</b>	Key Performance Indicators
<b>MOB</b>	Men-Owned Business
<b>NGOs</b>	Non-Governmental Organizations
<b>OECD</b>	Organization for Economic Cooperation and Development
<b>OGM</b>	Oil, Gas, and Mining
<b>PNG</b>	Papua New Guinea
<b>RFX</b>	Summary acronym that includes Request for Information (RFI), Request for Proposal (RFP), Request for Quote (RFQ), and Request for Bid (RFB)
<b>ROI</b>	Return on Investment
<b>RTMP</b>	Rio Tinto Management Peru
<b>SEC</b>	US Securities and Exchange Commission
<b>SH</b>	Sexual Harassment
<b>STEM</b>	Science Technology Engineering and Mathematics
<b>TOR</b>	Terms of Reference
<b>UNGC</b>	United Nations Global Compact
<b>WGEA</b>	Australia's Workplace Gender Equality Agency
<b>WEP</b>	Women's Empowerment Principles
<b>WOB</b>	Women-Owned Business

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# DEFINITIONS OF CONCEPTS USED IN THE TOOLKIT

- **Code of Conduct:** A set of rules that an organization or individual chooses to adopt, outlining its standards and principles of behavior. In this toolkit, companies are encouraged to develop codes of conduct that clearly specify the companies' position on issues such as gender-based violence. While policies are often developed, implemented, and monitored separately, codes of conduct can be signed at an institutional or individual level. When individuals sign a corporate code of conduct, they assume personal responsibility for upholding the values and behaviors contained within the code.
- **Elite Capture:** A situation in which resources or benefits meant for the community are usurped by individuals or groups who are wealthier or more powerful.
- **Gender:** Gender refers to men's and women's social roles and characteristics. These can vary between cultures and communities and are not fixed, but are often taught or expected based on an individual's sex—or biological—characteristics (typically indicated by the genitalia an individual is born with and how they develop, biologically). Gender is different from sexual orientation (to whom one is attracted), and in some cases, an individual's gender does not ascribe strictly to their biological characteristics, such as with transgender individuals. In some instances, biological characteristics may not be strictly binary. Individuals who do not conform to traditional sex characteristics or gender identity often face stigma and discrimination. It is therefore important to note that "gender" in this toolkit does not describe a strictly binary classification. Rather, it is meant to be inclusive of a range of gender identities.<sup>1</sup>
- **Gender-Based Violence (GBV):** Gender-based violence refers to violence driven by expectations and roles associated with gender. The term is not exclusive to violence against women and girls because such violence can also impact men and boys, particularly men who challenge or do not adhere to traditional "male" stereotypes.<sup>2</sup> GBV is not limited to physical violence either. It can include threats or acts that inflict physical or mental harm in public or private, on and off worksites. This toolkit primarily looks at GBV directed at women, as it remains the most pervasive form.

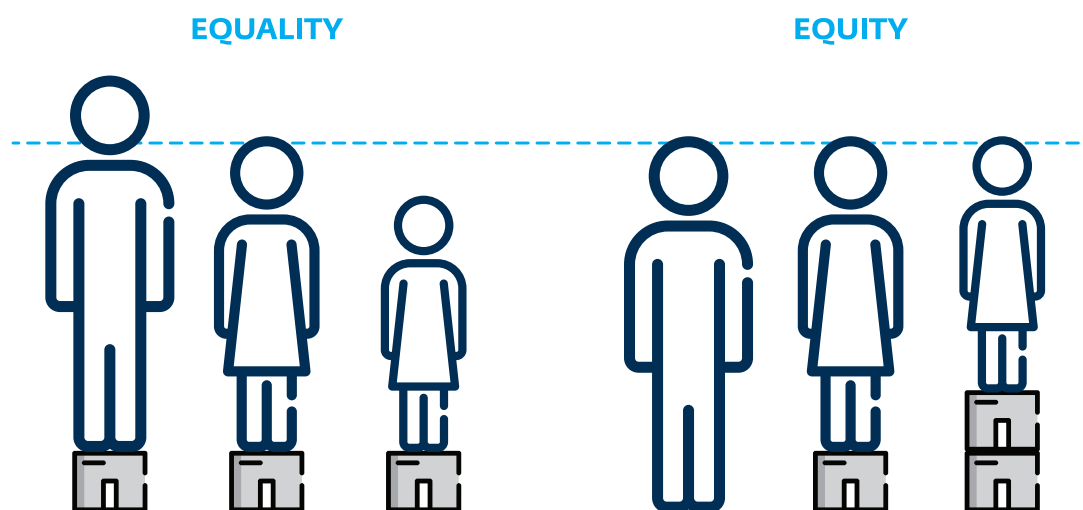
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<sup>1</sup> World Health Organization, "Gender, Equity, and Human Rights," <http://www.who.int/gender-equity-rights/understanding/gender-definition/en/>.

<sup>2</sup> WAVE and UNFPA, "Strengthening Health System Responses to Gender-Based Violence in Eastern Europe and Central Asia," <http://www.health-genderviolence.org/training-programme-for-health-care-providers/facts-on-gbv/defining-gender-based-violence/21>.

- **Gender Diversity:** Gender diversity means representation of all genders. Diversity is often associated with inclusion, but the two are very different concepts. While diversity means male and female representation, it does not speak to the relative power, influence, and position of men and women.<sup>3</sup>
- **Gender Equity and Gender Equality:** While similar and related, these terms refer to different aspects of interacting with men and women. According to the United Nations Population Fund (UNFPA): “Gender equity is the process of being fair to women and men. To ensure fairness, strategies and measures must often be available to compensate for women’s historical and social disadvantages that prevent women and men from otherwise operating on a level playing field. Equity leads to equality. Gender equality requires equal enjoyment by women and men of socially-valued goods, opportunities, resources and rewards... Therefore a critical aspect of promoting gender equality is the empowerment of women, with a focus on identifying and redressing power imbalances and giving women more autonomy to manage their own lives. Gender equality does not mean that men and women become the same; only that access to opportunities and life changes is neither dependent on, nor constrained by, their sex.” A gender-equitable approach is not about giving women jobs over men, or relaxing standards for hiring women, but rather designing policies and programs to support men and women to enjoy a more equal outcome.<sup>4</sup>

**FIGURE A** How Gender Affects Resettlement Impacts



<sup>3</sup> Women in Mining (WIM) Canada, *Welcoming to Women: An Action Plan for Canada’s Mining Employers*, Women in Mining Canada, November 2016, <http://wimcanada.org/wp-content/uploads/2017/01/WIM-NAP-book-full.pdf>.

<sup>4</sup> “Frequently Asked Questions about Gender Equality,” UNFPA, <http://www.unfpa.org/resources/frequently-asked-questions-about-gender-equality>.

- **Gender Inclusive:** Gender inclusive means that not only is there a fair representation of men and women, but that both are equally encouraged to participate. For example, a company with a gender-diverse but non-inclusive workforce is less likely to benefit as much from the diversity as a company in which both men and women can share opinions, voice concerns, and participate in teams and leadership positions.<sup>5</sup>
- **Gender Mainstreaming:** According to the International Labour Organization (ILO), gender mainstreaming is the “process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. It is a strategy for making the concerns and experiences of women as well as of men an integral part of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated.”<sup>6</sup>
- **Intimate Partner Violence (IPV):** Intimate partner violence (sometimes referred to as domestic violence) refers to violence between intimate partners, family members, or members of the same household. It can be perpetrated against men or women, but commonly refers to violence by a spouse/partner or parents against the other partner or children. Domestic or intimate partner violence is not limited to physical violence and can include psychological, sexual, emotional, financial, or physical abuse. It also can include coercive or controlling behavior.<sup>7</sup>
- **Natural Resource Industries:** In this toolkit, the term “natural resource industries” refers to the oil, gas, and mining industries, including oil, gas, and mining companies as well as their contractors and subsidiaries, along with firms involved with the extraction of metals, minerals, and/or aggregates.
- **Practical Gender Needs:** These are what women and men need to help them with their survival and respective daily activities, based on their socially accepted roles and responsibilities.
- **Sexual Exploitation and Abuse (SEA):** The United Nations defines SEA as “any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.”<sup>8</sup> SEA can become an issue of concern for companies because it can occur within the workplace and because it may be perpetrated against community members.

<sup>5</sup> Women in Mining (WIM) Canada, *Welcoming to Women: Action Plan for Canada's Mining Employers*, 7.

<sup>6</sup> International Labour Organization, “Gender Equality Tool,” <http://www.ilo.org/public/english/bureau/gender/newsite2002/about/defin.htm>.

<sup>7</sup> UK Government Home Office, “Domestic Abuse: Guidance and Support for the Armed Forces Community,” London: UK Government, March 6, 2016, <https://www.gov.uk/guidance/domestic-violence-and-abuse>.

<sup>8</sup> United Nations Secretariat, “Secretary-General’s Bulletin: Special measures for protection from sexual exploitation and sexual abuse,” UNHCR, October 9, 2003, 1, <http://www.unhcr.org/protection/operations/405ac6614/secretary-generals-bulletin-special-measures-protection-sexual-exploitation.html>.

- **Sexual Harassment:** Sexual harassment in the workplace includes unwelcome verbal advances, requests for sexual favors, sexual comments, verbal or physical conduct of a sexual nature, or unwelcome invitations on dates, particularly when employees may feel that their employment depends on either complying with requests or tolerating the behavior.<sup>9</sup> It also includes creating a hostile environment—for instance, through the display of sexually explicit or suggestive posters, websites, videos, screen savers and the like in the office.<sup>10</sup> Sexual harassment may take a quid pro quo nature, in which employees or persons in a position of power request sexual favors in exchange for professional opportunities. It also could involve creating a hostile environment with physical, verbal, or visual harassment.<sup>11</sup>
- **Social Accountability:** The World Bank defines social accountability as “an approach toward building accountability that relies on civic engagement, i.e., in which it is ordinary citizens and/or civil society organizations that participate directly or indirectly in exacting accountability. Social accountability refers to a broad range of actions and mechanisms that citizens, communities, independent media and civil society organizations can use to hold public officials, public servants, and companies accountable. These include, among others, participatory budgeting, participatory monitoring of corporate programs or public services, public expenditure tracking, investigative journalism, public commissions, and citizen advisory boards. These citizen-driven accountability measures complement and reinforce conventional mechanisms of accountability, including company-led monitoring and reporting, political checks and balances, accounting and auditing systems, administrative rules and legal procedures.”<sup>12</sup>
- **Social License to Operate:** Social license to operate is the “community’s perceptions of the acceptability of a company and its local operations.”<sup>13</sup> Social license is something that can be granted by the community, but maintaining social license must be an ongoing process. Social license at the outset of a project does not mean social license throughout. Companies must work continuously with communities—including men, women, minorities, and the vulnerable—to ensure broad support.

“Sexual harassment isn’t a women’s issue—it’s a workplace health and safety issue.”

—Lisa Heap

Source: “Sexual Harassment isn’t a Women’s Issue - it’s a Workplace Health and Safety Issue.”

<sup>9</sup> UN Women, “What is Sexual Harassment?” <http://www.un.org/womenwatch/osagi/pdf/whatishh.pdf>.

<sup>10</sup> Amy Luinstra, *Sexual Harassment in the Workplace*, Washington, D.C.: IFC, 2015, 3.

<sup>11</sup> Civility Partners, “White Paper: The Cost of Bad Behavior in the Work Place,” San Diego: StopIt Solutions, January 2012, 3.

<sup>12</sup> World Bank, *Social Accountability: An Introduction to the Concept and Emerging Practice*, Washington, DC: World Bank, 2004, 2.

<sup>13</sup> Thomas Boutilier and Ian Thomson, “Modelling and Measuring the Social License to Operate: Fruits of a Dialogue between Theory and Practice.” *Social License*, 2011, 2.

- **Strategic Gender Needs:** What women need to improve their quality of life as well as their societal status and equality in relation to that of men.
- **Time Poverty:** Working long hours and having no choice to do otherwise. An individual is time poor if he/she is working long hours and is also monetary poor or would fall into monetary poverty if he/she were to reduce his/her working hours below a given time poverty line.<sup>14</sup> Women are often more time poor than men since much of women's time is spent doing unpaid work to run the household or care for family members. This limits their availability and ability to participate in more productive, marketable, or participatory activities, or even to pursue personal interests.
- **Women-Owned Businesses:** Companies that are at least 51 percent female-owned and in which women manage long-term operations, make long-term decisions for the company, and hold the highest officer position.<sup>15</sup>



<sup>14</sup> World Bank definition, see: <https://elibrary.worldbank.org/doi/abs/10.1596/1813-9450-4961>

<sup>15</sup> U.S. Small Business Administration, "What You Need to Know if You are a Women Owned Small Business," <https://www.sba.gov/contracting/government-contracting-programs/women-owned-small-businesses/what-you-need-know-if-you-are-women-owned-small-business>.



# EXECUTIVE SUMMARY

“IFC believes that women have a crucial role in achieving sound economic growth and poverty reduction. They are an essential part of private sector development. IFC expects its clients to minimize gender-related risks from business activities and unintended gender differentiated impacts. Recognizing that women are often prevented from realizing their economic potential because of gender inequity, IFC is committed to creating opportunities for women through its investment and advisory activities.”

*Source: IFC Sustainability Framework*

In an environment of changing commodity prices, complex socio-environmental dynamics, and increasing interest in sustainability, oil, gas and mining (OGM) companies are striving to identify better, more responsible business practices that also contribute to a healthy bottom line. A growing body of evidence demonstrates that gender equity is a key determinant for firm performance. Gaining input from both men and women in host communities is critical to securing a company’s social license and in helping OGM companies operate responsibly. Increasingly, OGM companies are recognizing that equitable participation from men and women—as managers, employees, suppliers, and partners in community growth—will play a key role in realizing their goals for sustainable, responsible, and profitable business. Institutional investors and multilateral banks have also started to recognize gender as a factor in their investment decisions.

Working equitably with men and women—within the company, as suppliers, and in host communities—makes strong business sense. This toolkit presents detailed, step-by-step guidance for companies to work towards this goal in each of these areas. Some of these tools have been custom-written for this toolkit; others draw on the wealth of guidance that has been developed by the World Bank Group; some tools are adapted from publicly available materials for use in the gender-and-OGM context; and some were designed specifically for OGM companies. The toolkit is a modular, customizable guide that includes four tool suites focused on different issues:

**TOOL SUITE 1:** Increasing Gender Diversity from the Workforce to the Boardroom

**TOOL SUITE 2:** Women-Owned Businesses and the Supply Chain

**TOOL SUITE 3:** Women and Community Engagement

**TOOL SUITE 4:** Addressing Gender-Based Violence in the Workforce

The guidance is written specifically for relevant business units within OGM companies. Companies do not need to use all of the tools or all of the tool suites to develop a gender-sensitive approach; rather, the toolkit as a whole is intended as a menu of options for companies seeking to address particular gaps or issues in their gender approach.

As noted above, investors like the International Finance Corporation (IFC) and OGM companies themselves are placing greater emphasis on maximizing the potential benefits of working with both men and women. This toolkit will help companies respond to these priorities by strengthening their workforce and supply chain and by developing closer, more positive working relationships with communities.

Beyond the business case, a growing number of national governments recognize and require attention to gender equity. Multiple international accords and standards do the same. Gender is a major theme in the 2030 UN Sustainable Development Goals, which many companies have pledged to support through the UN Global Compact. The UN's Guiding Principles on Business and Human Rights, providing guidance on implementing the UN's Protect, Respect and Remedy framework, highlight gender as a key issue.<sup>16</sup> Gender also is a cross-cutting theme in the World Bank Group's Gender Strategy (2016-2023) and IFC's Sustainability Framework and Performance Standards, meaning that for IFC investment clients, assessing and addressing gender is a key compliance issue. The Equator Principles, a risk-management framework for international financial institutions—which, combined, hold 70 percent of emerging market international project finance debt—also highlights gender as a key consideration.<sup>17</sup>

At the national level, more governments are pushing for greater gender equity. For example, in Canada, there is a commitment to establish a gender-equitable governing cabinet. In the United Kingdom, the government has mandated a new requirement for gender pay gap reporting.<sup>18</sup> Such

“Gender diversity—including both men and women (as well as those with nonconforming gender identities)—has many benefits; but it needs to go hand-in-hand with inclusion—ensuring that everyone’s voice is heard, everyone is valued, and everyone is encouraged to participate. As noted in Women in Mining Canada’s Action Plan for Canada’s Mining Employers, ‘Diversity is being invited to the party. Inclusion is being asked to dance.’ Diversity alone will not help companies benefit from a diverse workforce; if there is not inclusion.”

*Source: Action Plan for Canada's Mining Employers, Women in Mining Canada*

<sup>16</sup> UNHCR, “Guiding Principles on Business and Human Rights: Implementing the United Nations ‘Protect, Respect, and Remedy’ Framework,” [http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR\\_EN.pdf](http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf).

<sup>17</sup> “About the Equator Principles,” Equator Principles Association, <http://www.equator-principles.com/index.php/about-ep>, 2011.

<sup>18</sup> UK Government, “Gender Pay Gap Reporting: Overview,” UK Government, December 1, 2017, <https://www.gov.uk/guidance/gender-pay-gap-reporting-overview>

efforts highlight a growing recognition that working towards gender equity is important not only for business growth, but also for economic and social progress.

## **WHY USE THIS TOOLKIT: THE BUSINESS CASE FOR CONSIDERING GENDER IN THE OIL, GAS, AND MINING INDUSTRIES**

Traditionally, OGM industries have been a male-dominated sector. This toolkit draws on the growing body of evidence demonstrating the business value of gender-diversified workforces and supply chains, as well as more meaningful engagement with women in the community. Increased diversity in the company and in the community will contribute to improved workforce performance and innovation, more secure and lower-cost supply chains, and a more supportive company-community relationship that is less prone to protests and shut-downs.

## **WHAT IS IN THE TOOLKIT: OVERVIEW OF FOUR TOOL SUITES**

This toolkit includes four tool suites, spanning the range of topics related to mainstreaming gender considerations into all aspects of an OGM company's operations.

### **Tool Suite 1: Increasing Gender Diversity from the Workforce to the Boardroom**

Although women have historically been under-represented in the OGM workforce—from the field worksite, to senior management, to the boardroom—the research is demonstrating that across all sectors, gender diversity leads to gains in performance, innovation, and profitability.

Many countries are seeing a growing number of women entering the engineering and technology fields. For companies drawing from these countries, considering only male applicants overlooks a growing and influential talent pool.<sup>19</sup> Encouraging both male and female applicants can double the potential talent pool. In addition, studies show that gender-diverse workforces improve innovation, communication, health, and safety among staff and teams, while reducing staff turnover and increasing revenue.

In some contexts, making a decision to hire local women instead of bringing in outside male labor also can improve the relationship between an OGM company and a community by enhancing the company's insights into community concerns and its ability to respond more holistically. It also helps the community develop a better grasp of the project, while increasing local employment and wealth generation within the community. Combined, all of this works to build a strong foundation for mutual understanding and respect, increasing the company's chance of achieving and maintaining social license to operate, which will in turn reduce the risk of production disruptions and protect the company's bottom line.

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<sup>19</sup> UNESCO, "Women still a minority in engineering and computer science," UNESCO, February 2, 2017, [http://www.unesco.org/new/en/unesco/themes/gender-equality/resources/single-view-gender/news/women\\_still\\_a\\_minority\\_in\\_engineering\\_and\\_computer\\_science/](http://www.unesco.org/new/en/unesco/themes/gender-equality/resources/single-view-gender/news/women_still_a_minority_in_engineering_and_computer_science/).

Gender diversity in senior management has been shown to improve companies' financial performance, increase innovation, promote investor confidence, and improve compliance with international regulations and requirements. According to one study by the American Chamber of Commerce in France, from 2007-2009, companies with greater numbers of women in senior management “outperformed those with no women by 41 percent in terms of return on equity (22 percent vs. 15 percent), and by 56 percent in terms of operating results (17 percent vs. 11 percent).”<sup>20</sup> Companies with more gender balance in senior leadership are often associated with higher rankings on environmental, social, and governance risk management indicators.

In terms of representation on corporate boards, companies with greater gender equity on boards have shown at least a 53 percent higher return on equity compared to those at the bottom of the ranking.<sup>21</sup> In a recent study, PwC found that “on average, for every £1 invested in [business related to mining], those with all male boards have a loss of 2 percent on their investment and those with two or more women make a return of 6 percent on their investment.”<sup>22</sup> In addition, studies show that investor confidence rises with gender diversity. Increasingly, global investors are requiring companies to disclose their efforts to have gender-diverse boards.

For example, IFC's Performance Standard 2, which specifies required labor and working conditions for projects in which IFC invests, also outlines requirements for non-discrimination and equal opportunity employment for men and women. The standard addresses occupational health and safety and emphasizes the prevention of gender-based violence.

Tool Suite 1 presents a detailed business case for increasing gender balance on boards, in senior management, and in the workforce. It features 16 tools to help companies:

- Assess their gender-balance performance at all levels of their organization
- Increase gender balance in their workforce
- Monitor and evaluate progress towards gender diversity targets

## **Tool Suite 2: Women-Owned Businesses and the Supply Chain**

According to recent research, companies that prioritize supplier diversity by taking steps such as increasing the number of women-owned and -operated businesses in the supply chain have a 133 percent greater return on procurement investments. Such businesses also spend 20 percent less on buying operations.<sup>23</sup> Diversity in the contracting pool can promote innovation, keep supply chain costs down, and reduce the risk of supply chain disruptions. In addition to enhancing profitability,

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<sup>20</sup> American Chamber of Commerce in France (AmCham France) and Business and Industry Advisory Committee to the OECD (BIAC), *Putting all our Minds to Work: Harnessing the Gender Dividend*, Paris: BIAC, 2012, 8.

<sup>21</sup> AmCham France and BIAC, *Putting all our Minds to Work: Harnessing the Gender Dividend*, 8.

<sup>22</sup> PwC, “Mining for Talent 2014: A Review of Women on Boards in the Mining Industry,” London: PwC, 2014, 6.

<sup>23</sup> Patrick Connaughton and Laura Gibbons, “Beyond Compliance: Top Supplier Diversity Programs Aim to Broaden Value Proposition,” Atlanta: The Hackett Group, 2016.

supporting women-led businesses contributes to community stability and growth, as women are known to reinvest more of their wages directly into their families and communities as compared to men.<sup>24</sup>

Tool Suite 2 presents a detailed business case for increasing the gender diversity of businesses that are part of an OGM company's supply chain. It features six tools to help companies:

- Evaluate their current supply chain
- Develop gender-sensitive criteria for qualified vendors to improve outreach to and development of women-owned businesses
- Monitor and sustain progress towards a more gender-diverse supply chain



### **Tool Suite 3: Women and Community Engagement**

In 2016, multinational consulting firm EY named “social license to operate” as the fourth biggest business risk to companies in mining and metals.<sup>25</sup> The term is defined by Boutilier and Thomson as “the community’s perceptions of the acceptability of a company and its local operations.”<sup>26</sup>

However, the evidence suggests that within this notion of “community acceptance,” the benefits and risks from OGM projects are disproportionately distributed between men and women in project-affected communities.<sup>27</sup> While OGM companies often have well-developed community engagement strategies meant to build positive relations with communities, many do not specifically seek to understand or accommodate the challenges women may face—or to consider the issues they

may face in voicing concerns or engaging with community engagement activities.

Companies that want to build broad-based and sustainable social license need to ensure that they are incorporating the perspectives of the entire community—including women—as they develop engagement strategies that respond to communal concerns, experiences, and goals. Failure to

<sup>24</sup> OECD, “Investing in Women and Girls,” <http://www.oecd.org/dac/gender-development/investinginwomenandgirls.htm>.

<sup>25</sup> EY, “Top 10 business risks facing mining and metals 2016–2017,” Washington, D.C.: EY, 2016, 1.

<sup>26</sup> Boutilier and Thomson, “Modelling and Measuring the Social License to Operate: Fruits of a Dialogue between Theory and Practice,” 2.

<sup>27</sup> Adriana Eftimie; Katherine Heller; and John Strongman, *Gender Dimensions of the Extractive Industries*, Washington, D.C.: World Bank, 2009, 1.

specifically engage with women or to build on their unique community understanding and roles not only disadvantages women, but can pose real business risks: wasting money on ineffective community development initiatives, ignoring key community interlocutors, and increasing the chances of protests and shutdowns.

In recognition of the important voice and role of women in host communities, some investors and financial institutions have begun to include gender requirements as conditions for project finance—part of a growing push for more thorough environmental and social due diligence. For instance, IFC’s Performance Standards require attention to the differences in the ways men and women are affected by community engagement strategies. Among the performance standards that specifically include this gender dimension: PS1: Assessment and Management of Environmental and Social Risks and Impacts; PS4: Community Health Safety and Security; PS5: Land Acquisition and Involuntary Settlement; PS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources; PS7: Indigenous Peoples; and PS8: Cultural Heritage.<sup>28</sup>

Tool Suite 3 presents the business case for considering the issues, perspectives, and concerns of female community members in a company’s community engagement activities. It features 10 tools to help companies:

- Assess the degree of gender sensitivity in their current community engagement approaches
- Integrate gender into existing community engagement assessments and activities
- Monitor and sustain progress towards a more gender-equitable community engagement strategy and activity portfolio

#### **Tool Suite 4: Addressing Gender-Based Violence in the Workforce**

For a number of reasons, the OGM industries have been linked to high rates of domestic and gender-based violence, both on operational sites and in surrounding communities. This is a cross-cutting issue that touches all aspects of gender and the workforce, including those addressed in tool suites 1-3.

Sexual harassment and gender-based violence (GBV) violate fundamental human rights. In many countries, such actions are illegal. As important local actors, OGM companies have opportunities



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<sup>28</sup> IFC, “IFC Environmental and Social Performance Standards,” Washington, D.C.: IFC, 2012.

to uphold local laws and—more broadly—to demonstrate leadership on this issue. GBV is damaging for women, communities, and businesses—in fact, there are significant business costs associated with sexual harassment and GBV, including the loss of productivity. Because of the seriousness of the stakes involved, Tool Suite 4 was developed to help companies recognize GBV and offer guidance on addressing the risks. Of note, IFC’s Performance Standard 2, on labor and working conditions, specifically outlines requirements for assessing and addressing gender-based violence in IFC client workforces.

Tool Suite 4 addresses and defines GBV, including intimate partner violence (IPV), sexual exploitation and abuse (SEA), and sexual harassment. It features seven tools to help companies:

- Recognize, address, and support victims of workplace sexual harassment
- Support employees who may have experienced IPV and SEA in the community
- Design activities as part of their community engagement portfolio, to recognize and address forms of GBV occurring in the community
- Monitor and sustain progress towards reducing GBV

## **HOW TO USE THE TOOLKIT: DEVELOPING A GENDER-SENSITIVE COMPANY ECOSYSTEM**

Specifically designed to provide stand-alone resources and a menu of options, the tools provided within each of the four tool suites can be customized based on company needs and local contexts. Consider your own situation and circumstances as you decide which tool suites are applicable, and which tools within the tool suites will help your company meet its gender goals.

Use the tools and tool suites as needed—they complement each other and can be mixed, matched, taken out of order, and implemented over varying timelines. Of note, each of the tools identify specific departments within the company that would benefit from the guidance, to enable rapid action on addressing gender-related opportunities and challenges.

Deployed separately or taken together, the user-friendly tools aim to help companies:

- Better understand how they are currently engaging with women and men
- Adapt policies and programs to optimize engagement with the local labor force and community

Drawing on the direction they provide, the four tool suites can start a process which, by its very nature, will require on-going focus and attention. They will serve as a handy reference as your company progresses along this gender-inclusive continuum, with guidance on refining and adapting gender initiatives as conditions change.



#### PHOTO CREDITS

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## TOOL SUITE 1

## UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS

A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies

# INCREASING GENDER DIVERSITY FROM THE WORKFORCE TO THE BOARDROOM



UMBRELLA FACILITY  
FOR GENDER EQUALITY



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**UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS**  
A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies

# INCREASING GENDER DIVERSITY FROM THE WORKFORCE TO THE BOARDROOM

Tools to help companies address gender gaps on boards, in senior management, and in the workforce





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## ABBREVIATIONS AND ACRONYMS

**ARPEL** Regional Association of Oil, Gas, and Biofuels Sector Companies in Latin America and the Caribbean

**ASM** Artisanal and Small-Scale Mining

**(PNG) BCFW** Papua New Guinea Business Coalition for Women

**BIAC** Business and Industry Advisory Committee to the OECD

**CEO** Chief Executive Officer

**EI** Extractive Industries

**FIFO** Fly-In, Fly-Out

**FSV** Family and Sexual Violence

**GBV** Gender-Based Violence

**GDP** Gross Domestic Product

**GRM** Grievance Redress Mechanism

**HIV** Human Immunodeficiency Virus

**HR** Human Resources

**HREOC** Australian Human Rights and Equal Opportunity Commission

**HQ** Headquarters

**IFC** International Finance Corporation

**IPV** Intimate Partner Violence

**KDP** Kecamatan Development Project

**KPIs** Key Performance Indicators

**MOB** Men-Owned Business

**NGOs** Non-Governmental Organizations

**OECD** Organization for Economic Cooperation and Development

**OGM** Oil, Gas, and Mining

**PNG** Papua New Guinea

**RFX** Summary acronym that includes Request for Information (RFI), Request for Proposal (RFP), Request for Quote (RFQ), and Request for Bid (RFB)

**ROI** Return on Investment

**RTMP** Rio Tinto Management Peru

**SEC** US Securities and Exchange Commission

**SH** Sexual Harassment

**STEM** Science Technology Engineering and Mathematics

**TOR** Terms of Reference

**UNCC** United Nations Global Compact

**WGEA** Australia's Workplace Gender Equality Agency

**WEP** Women's Empowerment Principles

**WOB** Women-Owned Business

## APPLICABLE IFC PERFORMANCE STANDARD

### **Performance Standard 2.** Labor and Working Conditions

This standard covers working conditions, protection of the workforce, operational health and safety, third party workers and workers involved in the supply chain. With regard to gender, it promotes non-discrimination and equal opportunity, health and safety of the workforce, protection of potentially vulnerable workers. It applies to workers directly engaged by the client (direct workers), workers engaged through third parties to perform work related to core business processes of the project for a substantial duration (contracted workers), as well as workers engaged by the client's primary suppliers (supply chain workers).

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# OVERVIEW: Gender Diversity and Inclusion in the OGM Workforce

The oil, gas, and mining industries have traditionally been male dominated. According to a study by Pricewaterhouse Coopers, women comprise only 10 percent of the global mining labor force and hold only 5 percent of positions at the top 500 mining companies.<sup>1</sup>

Despite growing evidence of the business and development benefits—and clear business arguments—for increasing gender diversity and inclusion at all levels of oil, gas, and mining companies, women continue to be underrepresented in the OGM workforce.

Tool Suite 1 presents the business case for improving gender diversity in the OGM workforce, management and leadership, from the boardroom and C-suites down into the mineshaft. It includes tools to help companies:

- Assess strengths, weakness, and opportunities for increasing women’s engagement
- Improve gender equity in recruitment, retention, and promotion of employees
- Monitor and evaluate initiatives and promote sustainability.

## THE BUSINESS CASE FOR GENDER DIVERSITY AND INCLUSION IN THE OGM WORKFORCE AND MANAGEMENT

This section makes the case for gender diversity at all levels of the OGM workforce, beginning at the very top.

### The Value of Gender-Diverse Boards

Gender-diverse boards yield multiple benefits for OGM companies. Boards that include a better balance of men and women, as well as the full range of complementary skills and experience, add significant value, highlighted below:

- **Increased profitability:** Evidence shows that increasing gender diversity on boards is correlated with improved performance, profitability, and rising investor confidence. In 2014, non-profit organization Catalyst found that among a broad range of companies, those with female

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<sup>1</sup> PwC, *Mining for Talent: A Study of Women on Boards in the Mining Industry* by WIM (UK) and PwC, London: PWC, 2013, 4.

board members have higher returns on equity, sales, and invested capital.<sup>2</sup> Another study, by the American Chamber of Commerce in France and the Business and Industry Advisory Committee to the OECD (BIAC), revealed that among U.S. Fortune 500 companies, those with the highest number of female board members outperformed those with the lowest, as measured by 53 percent higher returns on equity.<sup>3</sup>

- **Improved board performance:** Boards with greater gender diversity and inclusion also show greater accountability, increased and improved governance—as measured by the amount of time spent on audit and governance functions, and the presence of more effective board procedures—and improved collaboration and inclusion.<sup>4</sup> Increased gender diversity on boards increases compliance with national and international conventions and regulations, and strengthens corporate accountability to the public.<sup>5</sup>

This performance difference may stem from the differences in men’s and women’s leadership styles, and/or from different ways in which men and women come to hold board positions. Whereas men are often hired through social networks that are formed in academic, social, and professional settings, women often lack access to these networks. Embeddedness in, and accountability to, these networks may make men less likely to hold colleagues accountable or confront them for performance issues, while women may have fewer reservations.<sup>6</sup>

- **Increased attractiveness of the sector to women:** There is a positive correlation between the number of women at the board level in an industry and how attractive women find that

“Organizations that [have greater gender diversity] are seeing better bottom line results because they fish from a bigger pool of talent, thereby accessing a deeper level of knowledge and leveraging those resources throughout the business value chain for better business outcomes... Organizations with more diverse talent pools, especially at senior levels, manifest a workplace culture of openness, merit and rational decision making that benefits the bottom line.”

Source: AmCham France and BIAC, “Putting all our Minds to Work: Harnessing the Gender Dividend.”

<sup>2</sup> Deloitte, “Towards Gender Parity: Women on Boards Initiative,” 2016, <https://www2.deloitte.com/au/en/pages/economics/articles/toward-gender-parity-women-on-boards-initiative.html>.

<sup>3</sup> American Chamber of Commerce in France and BIAC, “Putting all our Minds to Work: Harnessing the Gender Dividend,” Paris: BIAC, 2012, 8.

<sup>4</sup> See: Rebecca, Walberg, “How to Improve Boardroom Diversity without Resorting to Quotas of Tokenism?” *Financial Post*, October 6, 2014; Workplace Gender Equality Agency, “The Business Case for Gender Equality,” Canberra: Australian Government, 2013; IFC, *SheWorks: Putting Gender Smart Commitments into Practice*, Washington, DC: IFC, 2016, 15.

<sup>5</sup> GRI and IFC, *Embedding Gender in Sustainability Reporting – A Practitioner’s Guide*, Washington, DC: IFC, 2009, 5.

<sup>6</sup> Walberg, “How to Improve Boardroom Diversity without Resorting to Quotas of ‘Tokenism?’”

industry. So, having more women on the board can also help companies reap the benefits of greater gender diversity.<sup>7</sup> This may be because of the presence and availability of women mentors and because women feel greater potential for recognition and advancement when the example of gender diversity is set publicly and prominently at the board level.<sup>8</sup>

- **Increased investor interest and growing requirements for gender diverse boards:** Increasingly, global investors are requiring companies to be more transparent in showing their efforts to build gender-diverse boards and in disclosing gender-related information. The U.S. Securities and Exchange Commission (SEC) now requires companies to disclose whether and how the nominating committee “considers diversity in identifying nominees” for directorships.<sup>9</sup> Since 2015, the Australian Institute of Company Directors (AICD) has advocated for boards to include at least 30 percent women, and have called on Australian Stock Exchange (ASX) 200 companies to meet this target by 2019. As of 2010, the ASX Corporate Governance Council calls on companies to either outline their boards’ gender objectives, progress towards these objectives, and the gender diversity proportion of board directors and senior managers in annual reports or provide an explanation for why this information is missing.<sup>10</sup> This focus is not limited to board-level diversity. In fact, indices such as the Calvert Responsible Index Series, the Pax Global Women’s Leadership Index, Pax Ellevest Global Women’s Index Fund, and the BUY UP index allow investors to use a range of key metrics with regards to gender diversity and leadership as investment criteria.

“The Top 20 organizations in the BusinessWeek Best Companies for Leaders are twice as likely to have more women in senior leadership positions.”

Source: BusinessWeek Online, “Women Leaders: The Hard Truth About Soft Skills”

## The Value of More Gender Diversity in Senior Management

As with more gender-diverse boards, there are a number of reasons that greater diversity in the ranks of senior management is a good thing.

- **Improved financial performance:** According to Deloitte and BIAAC, increased gender diversity in senior management is associated with improvements in sales revenue, customers, market share, return on equity, operating profits, and share price, particularly in developed countries.<sup>11</sup> A McKinsey study of 101 companies around the world demonstrated that companies with three or more women in senior management ranked more highly on a range of organizational

<sup>7</sup> Center for Women in Politics and Public Leadership, “The Pathway Forward: Creating Gender Inclusive Leadership in Mining and Resources,” Ottawa: Carlton University, 2012, 30.

<sup>8</sup> AmCham France and BIAAC, “Putting all our Minds to Work: Harnessing the Gender Dividend,” 15.

<sup>9</sup> Willem Adema et al, “Enhancing Women’s Economic Empowerment through Entrepreneurship and Business Leadership in OECD Countries,” Paris: OECD, 2014, 26.

<sup>10</sup> Deloitte, “Women in the Boardroom: A Global Perspective,” Deloitte: 2015, 8.

<sup>11</sup> Harry Sanderson, “Rio Tinto Faces Pressure Over Lack of Female Directors,” *The Financial Times*, April 11, 2017.

### BOX 1-A Shareholder Pressure Grows to Diversify Boards in the Mining Industry

Increased investor interest and pressure in gender-diverse boards is starting to have concrete ramifications for companies that are lagging behind.

For instance, in 2017, the \$330.4 billion investment fund Hermes EOS instituted a policy to vote against any FTSE 100 boards with less than 25 percent women and that lack a “credible plan for increasing the number of women.” On April 11, 2017, it was reported that the Hermes EOS pension advisory group was urging shareholders to hold current Rio Tinto Chairman Jan du Plessis accountable not only for the lack of gender diversity currently (currently 3 out of 14 board members, or 21 percent), but also for the lack of a credible plan to address the diversity issue.

However, the boards of FTSE 100 companies average approximately 26.7 percent female directors—in response to the UK government’s 2015 target of 25 percent female representation on boards of FTSE 100 companies. Recently, the government raised the target to 33 percent female representation by 2020. Rio Tinto has not yet publicly responded to the challenge.<sup>12</sup>

metrics including “capability, leadership, external orientation, accountability, motivation, coordination and control, innovation, direction, and work environment and values that are positively associated with higher operating margins.”<sup>13</sup> And the AmCham France study reveals that companies with more gender-diverse senior management teams outperformed those with less, as measured by 41 percent higher returns on equity and 56 percent better operating results.<sup>14</sup> The bottom line, according to Dow Jones: “A company’s odds for success increase with more female executives at the vice president and director levels.”<sup>15</sup>

- **Improved team function and innovation:** When managed well, broadly diverse teams (and not only in terms of gender) have been shown to perform better than homogenous teams, including on metrics such as fostering greater innovation.<sup>16</sup> A study published in the Harvard Business Review found that managers who listen to and act on women’s ideas enable a “speak-up culture” that capitalizes on women’s creativity. “Leaders who are willing to change direction based on women’s input are more than twice as likely to tap into winning ideas. And leaders who make sure each female member on the team gets constructive and supportive feedback are 128 percent more likely to elicit breakthrough ideas,” the study notes.<sup>17</sup>

<sup>12</sup> Deloitte and BIAC, “Putting All our Minds to Work: An Assessment: Business Survey Results,” Paris: Deloitte, 2014, 8.

<sup>13</sup> Georges Desvaux, Sandrine Devillard-Hoellinger, and Mary C. Meane, “A Business Case for Women,” *McKinsey Quarterly*, September 2008, 2.

<sup>14</sup> The study looked at data from 2007-2009, and found a 41 percent better return on equity (22 percent compared to 15 percent), and 56 percent higher operating results (17 percent compared to 11 percent). AmCham France and BIAC, “Putting all our Minds to Work: Harnessing the Gender Dividend,” 8.

<sup>15</sup> Workplace Gender Equality Agency, “The Business Case for Gender Equality,” 4.

<sup>16</sup> Deloitte and BIAC, Putting All our Minds to Work: An Assessment: Business Survey Results, 4.

<sup>17</sup> Sylvia Ann Hewlett, Melinda Marshall, and Laura Sherbin, “Women Drive Innovation and Growth,” *Harvard Business Review*, August 2013.

- **Improved management throughout the organization:** A study that examined 15 years of results from S&P1500 firms found a range of benefits associated with women in senior management, including a positive effect on managers of both sexes throughout the firm as well as a motivating impact for female middle managers.<sup>18</sup>
- **Diversity of leadership styles:** A McKinsey study that observed differences in male and female leadership styles noted the positive impact of women's leadership on company performance.<sup>19</sup> Women in leadership positions may be more “forward-looking” than men, which can manifest in less volatile or risky behavior, and increased attention to sustainability, “consensus-building, and compassion” in companies.<sup>20</sup> Studies show that while men tend to prefer working with other men, women are more likely to use teamwork and cooperative approaches that draw on the skills and resources of a broader network.<sup>21</sup> A 2013 Canadian study of more than 600 company boards noted that female directors outscored male directors on key decision-making metrics, such as “complex moral reasoning,” which can indicate better decision-making skills in complex situations with multiple competing interests.<sup>22</sup>
- **Better outcomes for sustainability and compliance:** Companies with more gender-inclusive senior leadership—particularly women-owned businesses—often rank higher on key environmental, social, and governance risk management indicators.<sup>23</sup> In addition, companies with more gender diverse senior management tend to have greater “public accountability, social justice, full participation and compliance with international conventions or national legislation.”<sup>24</sup>
- **Increased shareholder interest:** As with gender diversity at the board level, private and institutional investors increasingly are looking at gender balance in senior management as part of their investment criteria. Evidence also suggests that announcements of women being promoted into senior management can correspond to a rise in stock prices, especially in female-led industries in developed countries.<sup>25</sup>

## The Value of a More Gender-Diverse OGM Workforce

OGM companies benefit not just from gender diversity and inclusion on boards and in senior management. In fact, there is a strong business case for increased gender diversity at all levels of the workforce.

<sup>18</sup> IFC, *SheWorks: Putting Gender Smart Commitments into Practice*, 15, citing C. Deszo and D. Ross, “Does Female Representation in Top Management Improve Firm Performance? A Panel Data Investigation.” RHS Research Paper, 06-104, [https://www0.gsb.columbia.edu/mygsb/faculty/research/pubfiles/3063/female\\_representation.pdf](https://www0.gsb.columbia.edu/mygsb/faculty/research/pubfiles/3063/female_representation.pdf).

<sup>19</sup> McKinsey & Company, “Women Matter 2010: Women at the Top of Corporations: Making it Happen,” Paris: McKinsey & Co., 2011, 7.

<sup>20</sup> McKinsey & Company, “Women Matter 2: Female Leadership: A Competitive Edge for the Future,” Paris: McKinsey & Co., 2008, 1.

<sup>21</sup> OECD, “Background Report: Conference on Improving Women's Access to Leadership,” Paris: OECD, 2016, 28.

<sup>22</sup> International Corporate Governance Network, “ICGN Guidance on Gender Diversity on Boards,” London: ICGN, 2013, 9.

<sup>23</sup> OECD, “Background Report: Conference on Improving Women's Access to Leadership,” 26.

<sup>24</sup> GRI and IFC, *Embedding Gender in Sustainability Reporting – A Practitioner's Guide*, 5.

<sup>25</sup> OECD, “Background Report: Conference on Improving Women's Access to Leadership,” 28.

- **Deeper and wider talent pool:** In many countries, the change in mineral prices means that the mining sector is facing a shortage of skilled workers. Women represent an untapped resource. Hiring more women can help ease labor shortages, expand the talent pool, and enable companies to recruit more locally.
- **Improved innovation, performance and organizational culture:** As at the board and senior management level, gender-diverse work teams promote innovation, communication, and improved team dynamics more strongly than more homogenous workforces.<sup>26</sup> It is important to note here that these improvements result from an equitable gender mix, rather than from simply hiring more women.
- **Safer operating environment:** Numerous studies have demonstrated that female employees often are more likely to follow safety protocols, treat equipment responsibly, and operate safely.<sup>27</sup> In part, this may be due to socialized differences between men and women: men may have a greater tendency towards bravado and the desire to seem infallible, which can make them operate less safely; women, on the other hand, are more likely receptive to coaching or instruction and more likely to react cautiously or deliberately to dangerous or potentially hazardous situations. As a result, women operators are increasingly in demand, because their behavior yields better safety outcomes, reduced equipment maintenance and repair, and a more safety-conscious operating environment.<sup>28</sup> If this creates pushback from male staff, it is even more important to build an understanding that gender diversity and inclusion—and the related benefits—are good for the whole company.
- **Improved community relations:** Gender diversity in the workforce is also correlated with improved community relations. A gender-diverse community engagement staff gives companies a greater ability to internalize and respond to community concerns. This can lead to more gender-sensitive community engagement programs. Such a staff can help expand local employment, build wealth within the community, and serve as a conduit to enable better community understanding of the project. Greater gender diversity and awareness on the part of community engagement staff can bring about the hiring of more local women, rather than a hiring approach that draws mainly male workers from outside communities. In some contexts, hiring local women instead of men from other communities can help mitigate some of the social and economic stresses often associated with OGM projects. It also can contribute to building stronger relationships between the company and community.
- **Improving local and national economic conditions:** For OGM companies that are committed to the economic development of their host countries and host communities, increasing the

<sup>26</sup> AmCham and BIAC, “Putting all our Minds to Work: Harnessing the Gender Dividend,” 8.

<sup>27</sup> IFC, *Investing in Women’s Employment: Good for Business, Good for Development*, Washington, DC: IFC, 2013, 20.

<sup>28</sup> Women in Mining Canada, *Welcoming Women: An Action Plan for Canada’s Mining Employers*, Toronto: WIM Canada, 2016, 7.

### **BOX 1-B BHP Billiton Leads the Way in Balancing its Workforce Gender Scales**

In October 2016, BHP Billiton announced that it would aim for a 50 percent female workforce by 2025, up from the current 17 percent.

In a 2016 interview with the Financial Times, BHP CEO Andrew Mackenzie said that the business case for greater gender inclusiveness was “undeniable.” As of the date of the interview, the company had experienced a 15 percent improvement in performance in its 10 most gender-inclusive operations. To achieve the goal of gender parity in the workforce, BHP has developed interim targets, including holding senior managers accountable for improving women’s representation, he said.

Senior managers will need to be able to demonstrate how they have contributed to the goal of a 3 percent yearly increase in female representation throughout the company. The company has made strides towards hiring more women for junior positions; however, Mackenzie said that there will be greater emphasis on increasing gender parity in senior management and the board, where progress has not been quite as strong.<sup>29</sup>

numbers of working women can raise GDP, increase national competitiveness, and reduce household poverty rates significantly. PwC estimates that increasing the number of women in the workforce to the point of parity with men would raise GDPs in countries around the world—5 percent improvement in the U.S., 12 percent improvement in the United Arab Emirates, and 34 percent improvement in Egypt, for example.<sup>30</sup>

### **Reasons for Lack of Female Representation in the OGM Workforce**

Despite the strong business case for gender diversity, women are still underrepresented in the oil, gas, and mining industries. In 2016, women made up only 7.9 percent of board seats in the top 500 global mining companies; of those, among the top 100 companies, 94 percent of women represented were in non-executive positions. In Australia, women made up only 11.3 percent of the OGM workforce in 2009, although by 2015, this number had increased slightly—to 14.3 percent. In 2015, Canada, women comprised 19.4 percent of Canada’s mining, quarrying, and oil and gas extraction labor force.<sup>31</sup>

Meanwhile, in many countries, more women are graduating with engineering and other technical degrees. For instance, in the U.S., women earned only 2 percent of undergraduate engineering degrees conferred in 1975. Today, 18 percent of these degrees are held by women.<sup>32</sup> As the sector

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<sup>29</sup> PwC, “Empowering the Third Billion: Women and the World of Work,” San Francisco: PwC, 2012, 3.

<sup>30</sup> James Wilson, “BHP Billiton aims for 50% of workforce to be women by 2025,” *Financial Times*, October 19, 2016.

<sup>31</sup> Catalyst, “Women in Energy: Quick Take,” 2016, <http://www.catalyst.org/knowledge/women-energy>.

<sup>32</sup> According to the American Physical Society, engineering includes aerospace, chemical, civil, electrical, industrial, materials, mechanical, and other engineering fields. For more see: American Physical Society, “Fraction of Bachelor’s Degrees Earned by Women, by Major,” August 16, 2017, <https://www.aps.org/programs/education/statistics/womenmajors.cfm>.

becomes increasingly mechanized and less reliant on heavy manual labor, the traditional arguments for a male-dominated sector—such as that women are not strong enough to handle heavy manual labor and that women do not apply for these jobs— are becoming less valid.<sup>33</sup>

What are some of the external and internal factors that continue to keep women out of the OGM workforce?

### *External Factors*

External factors include bias, both inside and outside of the industry. Oil, gas, and mining jobs have traditionally been seen as “men’s work.” This can lead to unconscious bias in:

- **Recruitment materials:** Such as job descriptions that use the term “men” and advertisements that only feature male images and male voices.
- **Recruitment proceedings:** Such as over-reliance on sectoral networks, which may include primarily men, leading to low numbers of women applying for OGM jobs or pursuing degrees in fields that would lead to OGM work.

Among host communities, bias can make the sector unattractive to women. In an interview, Wilhemina Manaso, a mine manager for BHP Billiton in South Africa, observed, “As a woman, if you’re doing well in a male-dominated industry they think you’re having an affair with one of the senior managers. Every time I was promoted, they would say, ‘How come you promoted her? Is she having a relationship with you?’”<sup>34</sup>

### *Internal Factors*

An unsupportive corporate culture is among the internal factors that contribute to women’s underrepresentation in the OGM workforce. A long history of male-dominated workplaces can shape this corporate culture, making it less supportive of women employees. Other key culprits include:

- **Sexism:** Predominantly single-sex work environments can breed a culture of unconscious or overt sexism that makes it difficult, intimidating, or discouraging for employees or potential employees of the opposite sex.
- **Lower wages, fewer promotions:** Globally, across industries, women earn less than men for the same jobs and typically earn fewer promotions during their careers than their male counterparts. This can make male-dominated sectors even less attractive.<sup>35</sup> The disparities can be caused by a number of factors, including differences in negotiation tactics and the fact that

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<sup>33</sup> Mechanization can also mean a contraction in some traditional jobs, leading to decreased or changed labor force requirements.

<sup>34</sup> Worldwide Recruitment Solutions, “Let’s Talk About: Women in the Mining Industry,” 2014, <http://www.mining.com/lets-talk-about-women-in-the-mining-industry-31775/>.

<sup>35</sup> McKinsey and Lean In, “Women in the Workplace 2016,” 2016, 3.

women are more likely to work part-time or to have taken time off for family commitments, which may result in their being viewed as less committed to careers or discriminated against as part-time workers.<sup>36</sup>

- **Lack of mentors, female role models, and customized training:** Even as the number of women at various levels of OGM companies increases, there may not be enough mentors, female role models, or women-specific training to guide women's OGM career trajectories and navigate the specific challenges women encounter in OGM companies.
- **Lack of professional development opportunities for women:** With male-dominated workplaces and a lack of female senior managers, women may feel excluded from informal networking activities and from professional development opportunities. In addition, individual career counselling and career workshops may be or appear less available to women, especially when women lack the same social networks that men have and in situations where women in the workplace are few in number.<sup>37</sup>
- **Lack of support for flexible work arrangements and parental leave policies:** In communities where cultural expectations and/or legal or corporate regulations around parental leave assume that women are primary care-takers, leave policies in traditionally male-dominated industries may not provide the flexibility that parents need. When most employees are male, policies may not be designed to support re-entry and career progression for women who return after parental leave. Similarly, such environments may discourage men from taking advantage of flexible work arrangements.<sup>38</sup> If men chose to take time off as caretakers, they may not have sufficient leave available. They too may struggle to access professional development and opportunities upon their return. The nature of OGM work, which often requires fly-in, fly-out schedules or shift work, can make it particularly difficult for employees with child- or elder-care responsibilities, further discouraging women from applying or staying in the industry.
- **Infrastructural and technical challenges:** Lack of consideration for women as employees can dissuade women from considering the OGM industries as viable and welcoming job opportunities. This lack of consideration can be manifest by ill-fitting, inappropriate or unsafe uniforms, personal protective equipment, and other gear, such as overalls that do not accommodate pregnancy or equipment that is ergonomically challenging for women.

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<sup>36</sup> Australian Institute of Company Directors, "Gender Diversity Quarterly Report," September–November, 2015, 9, [https://aicd.companydirectors.com.au/~media/cd2/resources/advocacy/board-diversity/pdf/05180-4-coms-gender-diversity-quarterly-report-deb15-a4\\_v6.ashx](https://aicd.companydirectors.com.au/~media/cd2/resources/advocacy/board-diversity/pdf/05180-4-coms-gender-diversity-quarterly-report-deb15-a4_v6.ashx).

<sup>37</sup> Jonathan Dunlea et al, "Developing Female Leaders: Addressing Gender Bias in Global Mobility," Melbourne: PwC, 2015, 5.

<sup>38</sup> Melanie Sanders et al, "The Power of Flexibility: A Key Enabler to Boost Gender Parity and Employee Engagement," Bain and Company, 2016. <http://www.bain.com/publications/articles/the-power-of-flexibility.aspx>.

## Strategies to Address the Gender Gaps

OGM companies that want to narrow their gender gaps will need to take a multi-pronged approach to accomplish the goal. Presented here are several key strategies to keep in mind, along with the applicable tool that can help guide your company's approach.

- **Create an inclusive physical work environment:** Consider the physical infrastructure and workplace: What accommodations are made to ensure that both men and women can work safely and effectively on the job site? For instance, are there gender-neutral bathrooms and change houses? Are uniforms designed and fitted for men and women? Tool 1.1 includes questions for determining the safety and feasibility of the physical work environment and equipment.
- **Develop an organized gender equity strategy, including targets, monitoring, and accountability:** Companies looking for progress on gender diversity need to identify strategies for increasing levels of gender diversity, and implement accountability mechanisms. Are efforts at gender mainstreaming ad hoc by certain staff or have senior staff publicly declared to employees and stakeholders that gender diversity is a corporate commitment? Gender diversity should be part of management training and key performance indicators (KPIs). The strategy also should be focused on creating opportunities and a more supportive environment, as well as identifying ways to reduce bottlenecks for women beyond quota systems. Tool 1.4 provides insight on developing a gender equity strategy.
- **Revise recruitment policy materials to target men and women:** In male-dominated industries like oil, gas, and mining, recruitment campaigns often feature men as employees, or male-centric descriptions of the job lifestyle on-site, which may send implicit messages that discourage women applicants. If you want to encourage diverse applicants, you will need to work harder to explicitly communicate that there are opportunities for all. Print or media advertisements should feature inclusive imagery and voices: for example, showing both men and women in leadership positions and in non-traditional roles. Recruitment literature for on-site jobs could feature images of an inclusive on-site work culture that is welcoming to both men and women. Of note, job descriptions that use inclusive language, such as “foreman/forewoman” can be more appealing than gender-neutral language such as “foreperson.”<sup>39</sup> Advertisements should specifically encourage both men and women to apply.<sup>40</sup> See Tool 1.11 for insight on recruitment strategies to attract female applicants.
- **Build senior leadership support for gender diversity:** In OGM, senior leadership is overwhelmingly male. As a result, men typically are the gatekeepers to the positions of power.<sup>41</sup> This means that effective gender mainstreaming relies on leadership from the CEO

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<sup>39</sup> Australian Human Rights Commission, *Women in Male-Dominated Industries: A Toolkit of Strategies*, Canberra: Australian Government, 2013, 16.

<sup>40</sup> Iris Bohnet, *What Works: Gender Equality by Design*, Cambridge: Harvard University Press, 2016, 148.

<sup>41</sup> European Commission Network to Promote Women in Decision-Making in Politics and the Economy, “Working Paper: How to Engage Senior Men to Promote Women to Senior Decision-Making positions in their Organizations,” Brussels: Directorate-General for Justice and Consumers, 2012, 4.

and from the entire management cadre. Tool 1.12 provides guidance on how senior managers can support gender diversity.

- **Create a more inclusive, gender-supportive worksite culture:** To attract and retain female staff and reap the benefits of a diverse workforce, companies need to cultivate an organizational culture that is inclusive of both men and women. Creating a gender-inclusive work environment isn't just about policies to hire more women. It's also about creating an environment in which men and women alike recognize the benefits of gender diversity and enacting policies that ensure gender-equitable promotion possibilities, foster women's leadership and career development, support flexible work arrangements, address and penalize sexual harassment or discrimination, and do not penalize employees for balancing work and family commitments. Tool 1.13 helps companies identify and address barriers to an inclusive workplace culture and create a more inclusive work environment.
- **Support flexible work arrangements:** Flexible work policies should support full engagement in family life for both male and female employees. This includes creating opportunities for shorter rosters, shift-swapping, or condensed work schedules, among other tactics. It also includes establishing return policies for women who left the company to raise children. Providing or supporting childcare, laundry services, and on-site banking can help working parents better manage family and professional responsibilities. This also leads to a more efficient and effective workforce. Tool 1.13 provides strategies for developing flexible work schedules and supporting work-life balance are discussed.
- **Support career development opportunities for men and women:** Tool 1.14 provides strategies for career development activities that support more gender-equitable career development and create a more attractive workplace for potential candidates.

## **Realizing Gender Diversity Gains Takes Effort and Commitment**

Companies that recognize the potential benefits of creating equal opportunities for men and women, and take actions to target, recruit and retain both men and women, stand to benefit from a wide range of performance, innovation, and profitability gains.

Among the factors that inhibit gender diversity in the OGM workforce, some are issues that can be addressed by changes in work schedules, equipment, and by proactively reaching out to attract more gender diverse candidates. Others are based on gender bias and stereotypes. Approaches to tackle these various challenges will require both incremental changes in schedules and equipment, as well as training and changes in organizational culture.

Realizing these gains will require companies to examine and address their policies surrounding recruitment, performance management, work schedules, and compensation, to draw women into management and the workforce and, importantly, to keep them there. Tool Suite 1 provides concrete guidance that will help you better understand your company's gender diversity challenges, ways to address the challenges, and how to monitor and sustain progress.

# TOOL SUITE 1: Tools to Increase Gender Diversity and Inclusion in OGM Companies

What steps can your company take to recruit, attract, and retain women so that you can achieve better gender balance at all levels of your workforce, from the mineshaft up through and including senior-level management and the board?

Tool Suite 1 features 16 tools aimed at reducing gender gaps on boards, in senior management, and in the workforce. Because of the complexity of the effort, the tool suite is organized by theme. First, tools are provided to help you establish a baseline on company-wide gender diversity and create a gender diversity strategy. The next section focuses on increasing women's participation on boards. Finally, focus is on building a more gender-balanced senior management team and staff.

The tools will help you to:

- **Assess and prepare:** Assess your company's ability to understand and take action on gender gaps in your workforce, and put in place staff, structures, and plans to address these issues.
- **Address:** Take specific practical actions to increase gender diversity, inclusion, and gender-equitable opportunities through recruitment, retention, and promotion.
- **Monitor and sustain:** Monitor progress and institutionalize mechanisms to ensure continued improvement and sustained progress.

Table 1-A below provides a breakdown of the tool suite, based on topic area and key players within the company who will care about and be responsible for actions and interventions.

**TABLE 1-A** Overview of Tool Suite 1

TOOL	TARGET UNIT	GOAL
<b>Company-Wide Baseline and Strategy Development</b>		
<b>ASSESS and PREPARE</b>		
<b>TOOL 1.1:</b> Gender Audit	Executive Board, Senior Management, and Human Resources	Provide a baseline on gender diversity in the workforce
<b>TOOL 1.2:</b> Terms of Reference for Gender Audit	Executive Board, Senior Management, and Human Resources	Provide a terms of reference for hiring a firm to conduct a thorough gender audit
<b>TOOL 1.3:</b> Develop a Business Case for Gender Diversity	Executive Board, and Senior Management	Build support for gender-smart solutions

TOOL	TARGET UNIT	GOAL
<b>ADDRESS</b>		
<b>TOOL 1.4:</b> Establish a Gender Equity Strategy	Senior Management, Training, and Human Resources	Set corporate goals and strategy for gender diversity and prioritize tools and action on gender diversity
<b>TOOL 1.5:</b> Terms of Reference for a Gender Equity Champion	Human Resources and Senior Management	Lead and coordinate gender mainstreaming efforts
<b>Gender Diversity and Inclusion on Boards</b>		
<b>ASSESS and PREPARE</b>		
<b>TOOL 1.6:</b> Gender Diversity Board Assessment	Executive Board	Assess board gender diversity
<b>ADDRESS</b>		
<b>TOOL 1.7:</b> Checklist for Building a Gender Diversity Board Assessment	Executive Board	Increase board gender diversity
<b>MONITOR and SUSTAIN</b>		
<b>TOOL 1.8:</b> Checklist for Monitoring and Sustaining Gender-Diverse Boards	Executive Board	Maintain board gender diversity
<b>Gender Diversity in Senior Management and Staff</b>		
<b>ASSESS and PREPARE</b>		
<b>TOOL 1.9:</b> Terms of Reference for Pay Gap Study	Human Resources	Identify bias in compensation
<b>ADDRESS</b>		
<b>TOOL 1.10:</b> Review Recruitment Procedures	Human Resources	Developing a gender-equitable hiring process, and increasing number of women in the workforce
<b>TOOL 1.11:</b> Set Gender Recruitment Targets	Human Resources and Senior Management	Developing a gender-equitable hiring process, and increasing gender diversity and inclusion in the workforce
<b>TOOL 1.12:</b> Checklist for Senior Leadership to Demonstrate Commitment	Senior Management, Training, and Human Resources	Demonstrate commitment to creating a gender-equitable work-environment for both men and women across the company
<b>TOOL 1.13:</b> Develop Human Resources Policies to Support Gender Diverse Workforce	Human Resources	Develop policies that promote retention of both male and female employees
<b>TOOL 1.14:</b> Developing Women's Careers and Leadership	Training	Support gender equitable career development and mobility
<b>MONITOR and SUSTAIN</b>		
<b>TOOL 1.15:</b> Monitoring, Evaluation and Reporting	Human Resources	Track and support gender-diversity progress
<b>TOOL 1.16:</b> Monitor and Sustain Training Programs for Gender Equitable Career Development	Training	Monitor and sustain career development programs

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## TOOLS 1.1–1.5: Company-Wide Baseline and Strategy Development

### ASSESS, PREPARE, AND ADDRESS

This section includes several tools that will help you develop a baseline understanding of where your company stands on gender equality and equity. It also offers guidance on creating a gender strategy based on this understanding. These steps are critical to determining your overall approach to improving gender balance in your workforce.

Tools 1.1–1.5 provide guidance on these critical first steps, including defining a gender audit process, which will form the foundation of your company baseline. Once you have completed your overall baseline assessment and strategy development process, you can move into a more detailed exploration of how to identify and address specific gender gaps in your workforce. These issues are covered in more detail in subsequent sections of the tool suite.



## TOOL 1.1: Gender Audit

- **GOAL:** Assess gender equity across the organization
- **TARGET UNITS:** Led by Human Resources; organization-wide

### What is a Gender Audit?

A “gender audit” is a baseline assessment for companies that want to develop an understanding of where they stand on a range of gender-related issues. Depending on the company’s objectives, these metrics can include:

- Gender diversity among staff
- Potential for men and women to be promoted
- Retention of both male and female staff
- Suitability of the physical work environment for men and women
- Extent to which gender diversity is a demonstrated priority in recruitment
- Extent to which men and women are equitably consulted in community engagement

Gender audits are highly customizable, meaning that all companies can use this audit tool to establish a baseline, identify gaps, and suggest potential measures for improvement on gender diversity and inclusiveness. Gender audits can be conducted for a whole organization or for particular business units. They are essential for starting or improving on gender diversification. For companies developing an initial gender baseline, a gender audit of the whole company is recommended. It can be repeated periodically, with more frequent repetition in specific business units as necessary.

### Why Conduct a Gender Audit?

To gain a thorough understanding of your gender diversity issues, develop a strategy for action, and prioritize key interventions, a gender audit is a good first step.

Baseline assessments—and follow-up monitoring (see Tool 1.16 for more on monitoring)—are important for a number of reasons:

1. An initial baseline and stock-taking will help you identify areas of focus for your gender-sensitizing efforts: where are the most noticeable gaps? Where is the most work required? Are there gender equality-related areas where you are doing well? Where is there progress to be made?
2. Baseline and follow-up assessments will help you track the impact of policies and programs. This information will help you identify areas where you should set targets and invest

resources, such as activities to boost recruitment and retention of women employees. In addition, this data ultimately will help companies to evaluate whether activities and initiatives are bringing them closer to their goals or if modification is needed.

3. Follow-up assessments, in particular, can help determine how employees feel about programs. Such assessments offer insights on whether programs are having the desired effect of creating a more inclusive workforce. They also provide an indication of how well employees are responding to the efforts to change the corporate culture.
4. Surveys and assessments can help employees feel engaged in the corporate change process, to feel that their concerns and opinions are being heard, and to feel invested in affecting change.<sup>42</sup>

### Who Conducts a Gender Audit?

Gender audits should be done either by staff with experience conducting gender audits<sup>43</sup> or a firm of consultants with expertise in gender audits. When in-house staff handle the process, they should be allotted sufficient time. They should report directly to senior management on the outcomes.

### When Should a Gender Audit be Conducted?

A discussion at the board and/or senior management level to identify key gender diversity objectives and desired changes is the first step in developing a gender audit. By identifying key objectives, such as “gender diversity in the workforce,” “inclusive work environment,” “safe and inclusive physical work environment,” the audit can then target assessments to identify progress, opportunities, and bottlenecks.

With these recommendations, audits can become a first step toward developing a gender diversity strategy. In addition, they can serve as a monitoring and sustainability tool by repeating them periodically and focusing on particular priority areas as identified in the gender diversity strategy.

Audits should be the first step in a larger gender diversity process, in which the corporate board and senior management commit to following through on audit recommendations. Be sure to include a budget for follow-up activities based on audit recommendations, as well as monitoring and review, to assess progress.

Audits should be well-publicized internally. They should be communicated as an opportunity to understand challenges and bottlenecks and create improvements towards business outcomes that will benefit the whole company. Results and planned follow-up activities and changes should be communicated to all staff.

<sup>42</sup> IFC, *SheWorks: Putting Gender Smart Commitments into Practice*, 85.

<sup>43</sup> Staff can receive training from the ILO to become certified gender auditors. For more see: [http://www.ilo.org/gender/Informationresources/WCMS\\_187411/lang--en/index.htm%20and%20https://](http://www.ilo.org/gender/Informationresources/WCMS_187411/lang--en/index.htm%20and%20https://)

## What Types of Data are Collected in a Gender Audit?

Gender audits rely on data sources, such as staff surveys, focus groups, and key informant interviews with staff; reviews of corporate policies/manuals; quantitative analysis of metrics around recruitment, retention, and promotion; stakeholder reports and other communications; performance evaluations; and available gender compliance reports (for instance, Australia's Workplace Gender Equality Agency compliance reports). Audits can and should be conducted at the corporate level as well as at the site level, although the scope can be modified depending on resources available.

Gender audits also can include a participatory design phase. This enables staff to identify issues of greatest concern to them before the survey is rolled out more widely for data gathering across the entire organization.

The gender audit tool provided here features a non-exhaustive list of questions that might be included in an oil, gas, or mining company gender audit. It includes yes/no questions, open-ended questions, and questions that can be ranked on a scale from 1–5. It can be deployed by way of interviews, surveys, or focus groups. And it can be customized depending on your company's unique circumstances.

This list is a good place to start, although, as noted above, you should consider a participatory pilot process to solicit issues of key importance to employees, which could then be included as part of your final gender audit.

Note that the tool's focus is on how the company prioritizes and implements gender-diversity. It does not measure how well gender is integrated into supply chain policies, or community engagement activities. These issues are addressed specifically in tool suites 2 and 3.

## Gender-Sensitive Health and Safety Risk Assessments

Included in the gender audit are questions about physical safety and the health risks associated with certain jobs, job families, and the work environment. Questions also get at how health and safety risks are identified and addressed. Assessing and understanding the differences in male and female physical capabilities and vulnerabilities will help ensure a safe and productive work environment for all.

Such assessments also contribute to a better understanding of the ways in which men and women identify, define and perceive risks. It can improve risk reporting and help distinguish between presumed and genuine health and safety risks. Physical risk assessments can help to combat bias in hiring by ensuring that job descriptions and evaluation criteria focus on the specific physical skills required for a job rather than relying on traditional assumptions and bias.

In addition, use of health and safety risk assessments can give employees greater comfort in reporting health concerns. For instance, women of reproductive age, pregnant women, and breastfeeding

women may have certain acute health and safety risks about which they would be more forthcoming in reporting if such an assessment was part of the workplace culture. Health and safety risk assessments also serve as a tool to clarify actual risk factors, to avoid overly stigmatizing pregnant women or discouraging them from reporting pregnancies.

Men and women may have very different perceptions of risk, for instance with regards to sexual harassment or the potential for gender-based violence. Women may feel vulnerable in different situations than men (or vice versa), and in different cultural contexts men and women may feel differently able to report misconduct to managers.

In instances of sexual harassment or assault, it could be more challenging for men to report misconduct, particularly in environments that stigmatize homosexuality. At a male-dominated worksite, it might be assumed that women are more frequently the victims and there may be clearer avenues for women to report misconduct than for men. For this reason, it is important that both men and women are involved in identifying areas of concern or risk, as well as in evaluating these risks and developing recommendations for solutions that will alleviate their concerns.

In addition, it is important to note that in a male-dominated workforce, women may be under-represented in health and safety departments and therefore have fewer opportunities to identify female health and safety risks—including preventative measures to mitigate potential risks. Women also may believe that their jobs are less secure than those of male co-workers, so they may feel less empowered to report health and safety issues. In some cultural contexts, reporting issues to male colleagues could represent another problem. Finally, in some situations, reporting arrangements might not be conducive to disclosing highly sensitive information. For instance, inappropriately designed sexual harassment reporting mechanisms that require employees to report issues in person to a male manager who may or may not be trained in appropriate response mechanisms can mean that the issue goes underreported.<sup>44</sup>

Gender-sensitive health risk and safety assessments should be participatory to allow men and women to identify health and safety risks, which can then be assessed for prevalence and degree of risk.

What follows are the steps in a gender audit, a sample gender audit terms of reference, and a guidance note to help companies consider how to translate audit findings into recommendations and action.

### **Gender Audit in 3 Steps<sup>45</sup>**

A Gender audit typically requires several key steps, summarized here.

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<sup>44</sup> IFC, “Gender Smart Safety in the Workplace: Guidelines for New Product Roll-Out,” Washington, DC, (forthcoming), 8.

<sup>45</sup> Steps adapted from Jeannie Harvey and Patricia Morris, *The Gender Audit Handbook*, Washington, DC: InterAction, 2010.

### 1. Develop political will and organizational readiness.

As the first step in developing and implementing a gender strategy, gender audits require a degree of internal political will to commit resources and communicate the priority to the company. If a gender champion has already been recruited, this is the person who should spearhead efforts and develop momentum for a gender diversification initiative. If the gender champion has not yet been recruited (see Tool 1.5 for more on gender champions), committed senior staff must bring senior management on board to recognize the importance and potential value of improving gender balance, even before the initial audit has been conducted.

### 2. Conduct staff survey and organizational assessment.

Once a gender audit has been initiated, the gender auditors will conduct various layers of staff surveys, likely including written surveys, focus group discussions, and key informant interviews. Duration and scope will be determined by the company size, geographic scope, and the breadth of the audit agreed with the gender auditors. A phased approach is recommended, starting with a participatory process in which staff can provide input on gender equity issues and indicators of greatest importance to them, which can then be explored through broader data collection.

### 3. Follow-up with concrete action plan.

A key aspect of the gender audit is how it will be used: how will findings be translated into recommendations and action? How will actions be implemented? How will there be accountability for action? Guidance on how to interpret gender audit results and translate them into action are provided in the coming pages.

**TABLE 1-B** Sample Questions to be Included in a Gender Audit for OGM Industries<sup>46</sup>

#### CORPORATE GENDER PRIORITIES

- ▶ Is there a gender equity and/or diversity policy?
- ▶ Does the gender equity policy include explicit prohibition of discrimination based on gender, in hiring, salary and benefits, promotion, discipline and termination, layoffs, or retirement benefits? (Policies should prohibit discrimination based on race, religion, sex, ancestry, age, marital status, sexual orientation, and gender identity/expression)
- ▶ Is there a clear operational plan—including budget and accountability structures—for implementing the gender policy?
- ▶ If there is such a policy, does it apply to HQ as well as to country/field offices?
  - Is implementation/enforcement of this policy monitored at the HQ level?
  - Is implementation/enforcement of this policy monitored at the country- and site-level?

*continued on next page*

<sup>46</sup> Sample audit adapted from ILO, *Manual for Gender Audit Facilitators*, Geneva: 2012; and Harvey and Morris, *The Gender Audit Handbook*.

- ▶ Is there a gender focal point, or focal point team at the corporate level?
- ▶ Are there gender focal points in country/field offices?
- ▶ Does the company mandate that gender be a consideration in policy/project/program development and monitoring, for all projects/programs? (For instance, is it mandated that gender be considered in new HR policies and in community engagement activities such as social impact assessments or consultations, supply chain development activities, and other relevant documents?)
- ▶ Is attention to gender measured in KPIs:
  - At the board level?
  - In senior management?
  - Among staff with management authority?
- ▶ Are there company-sponsored opportunities to learn about corporate gender priorities, or other gender-focused trainings?

## HUMAN RESOURCES

- ▶ Have HR staff ever been given gender-awareness training? Or are there HR staff trained in gender-awareness and gender mainstreaming?
- ▶ Have HR staff taken the Harvard Women and Public Policy Program (WAPPP) Implicit Associations Test? If yes, what were their scores? If not, have staff take the test and record scores.
- ▶ Have all non-managerial or HR staff received gender bias training?
- ▶ Is there an ombudsperson or other conflict resolution service for women?
- ▶ Have targets been set and communicated for gender diversity in recruitment and staffing at all levels?
- ▶ Is there an organization-wide monitoring and evaluation system for measuring progress against gender targets?
- ▶ Does the company require gender-disaggregation of all company-wide hiring, promotion, and retention data?
- ▶ Has a pay gap assessment been conducted, including at HQ, country, and field offices?
  - If yes, what actions have been taken to address any identified gaps?

## RECRUITMENT PRACTICES

- ▶ In job advertisements, how often are female images and/or voices used, compared to male images?
- ▶ How often do job advertisements use language that specifically encourages female applicants?
- ▶ Do job descriptions describe required skills, rather than a type of person to fill vacancies?
- ▶ Do you ask interview questions related to marriage or family status of applicants?
- ▶ Have you briefed recruitment partners on the need to provide gender balanced long-lists?
- ▶ Do you advertise roles as open to flexible work patterns?
- ▶ Do you have diverse interview panels/interviewers?
- ▶ Do you include unconscious bias in your interview training?
- ▶ Are you open to candidates from non-traditional industries/sectors?

### TIPS:

- For any given position, monitor progress of female candidate at each stage of selection process.
- Conduct focus group with women on the recruitment process: What made them apply to the company? Did they perceive gender bias in the recruitment process? What would have made the process more attractive for female candidates?

## GENDER-SENSITIVE HR POLICIES AND UPTAKE

- ▶ Is maternal health coverage available so female employees do not sacrifice maternity care if they cannot work throughout the duration of a pregnancy?
- ▶ Is there a parental leave policy?
- ▶ What percentage of male and female employees return from parental leave?
- ▶ What support is available to assist men and women who are re-integrating into the workplace after parental leave?
- ▶ What percentage of male employees and female employees receive promotions after parental leave?
- ▶ Are there flexwork options and are they equally available to men and to women?
- ▶ Have flexwork options been communicated to all staff?
- ▶ What percentage of male employees make use of flexwork compared to female employees?
- ▶ Does health insurance include coverage for pre- and perinatal care, fertility treatment, and contraception (including emergency contraception)?
- ▶ Is there a gender-based violence policy, including a clear set of steps for employers to take when notified of gender-based violence issues?
- ▶ Are policies in place to ensure the safety of pregnant employees?
- ▶ Do these policies consider how to ensure appropriate work (i.e. of an equivalent grade, with equivalent career prospects) for pregnant employees during pregnancy?

## SEXUAL HARASSMENT AND GENDER-BASED VIOLENCE POLICIES

- ▶ Is there a written corporate policy on sexual harassment and gender-based violence?
  - ▶ Is there a complaints mechanism for sexual harassment and gender-based violence?
- TIP: Conduct focus group discussions to determine employees' level of comfort with using sexual harassment/gender-based violence complaints mechanisms and their degree of satisfaction with how these issues are resolved.*
- ▶ What are the most common sanctions for employees who have committed sexual harassment or gender-based violence?
  - ▶ Are staff given training on sexual harassment and gender-based violence?
  - ▶ What support is offered for survivors of intimate partner violence?

## BOARD COMPOSITION

- ▶ What is the ratio of women to men on the board?
- ▶ What is the ratio of women to men in executive positions on the board?
- ▶ How long have current board members been in their positions?

*TIP: Map this with relation to gender.*

- ▶ Is there a policy for gender diversity on the board?

## SENIOR MANAGEMENT

- ▶ Has senior management publicly expressed support for a gender diverse workforce?

*continued on next page*

- ▶ How are managers held accountable for attention to gender diversity in:
  - recruitment?
  - promotions?

- ▶ Is gender diversity included in management KPIs?

- ▶ Do incentives exist for managers to support gender diversity?
  - What type of incentives?

- ▶ Have senior staff received gender diversity training?

## STAFFING

- ▶ For each job family, what is the ratio between male and female employees?

*TIP: Disaggregate between HQ, country, field offices*

- ▶ For each job family, what is the ratio of pay between men and women in equivalent positions?

*TIP: Disaggregate between HQ, country, field offices*

- ▶ What is the percentage of male senior managers compared to female senior managers?

*TIP: Disaggregate between HQ, country, field offices*

- ▶ What is the percentage of female managers compared to male managers?

*TIP: Disaggregate between HQ, country, field offices*

- ▶ What is the percentage of profit and loss-related positions held by women compared to men?

*TIP: Disaggregate between HQ, country, field offices*

- ▶ Have promotions been analyzed for gender trends, compared to candidates potentially up for promotion?

- ▶ How do you use succession planning to improve gender diversity in more senior roles, for example, ensuring a gender-diverse talent pipeline is being developed?

- ▶ Within the company, is the ratio of women to men in job families above or below industry averages?

- ▶ What is the number and rate of turnover of employees by gender and age, per year?

*TIP: Disaggregate this by HQ, country, and field offices*

## WORKPLACE/ORGANIZATIONAL CULTURE

- ▶ Have surveys on male and female employee perceptions of organizational culture ever been conducted?

- ▶ Do men and women feel that they have equal opportunities for advancement?

- ▶ Do men and women feel that they are equally supported in taking/returning from parental leave?

- ▶ Do men and women feel that they are supported in utilizing flexwork?

- ▶ Is there an employee voice/grievance mechanism? If so, are both men and women involved?

- ▶ Do men and women feel that they have equal voice in employee voice/grievance mechanisms and that men's and women's concerns are given equal weight?

## LEADERSHIP DEVELOPMENT

- ▶ Where there are mentorship programs, are there programs specifically targeting women to connect junior women with more senior staff?

- ▶ Are there leadership development programs that specifically target both men and women?

- ▶ Is there a women's network within the company?

- ▶ Does the company participate in any industry mentorship or networking programs to promote women's professional development in the OGM sector?

## HEALTH AND SAFETY

- ▶ Has a gender-sensitive health risk assessment been conducted for all positions?
- ▶ Have results of health assessments been analyzed and used to modify facilities?
- ▶ Are there on-site health facilities and if so is there at least one female staff member?
- ▶ Have staff of on-site health facilities been trained on handling of sexual harassment/gender-based violence/intimate partner violence issues?
- ▶ For any safety audits regularly conducted, are men and women given equal opportunity to define and identify health and safety concerns?
- ▶ Does the department responsible for health and safety employ both men and women?
- ▶ If there are committees that deal with health and safety, are men and women represented on all of them?
- ▶ When women's health or safety issues are raised at the safety committee, are they heard respectfully and taken seriously?
- ▶ Do you feel that senior management understands men's and women's different health and safety concerns?
- ▶ If you have received health and safety training, did it include a discussion of the different issues facing men and women?
- ▶ Do the following policies/assessments include recognition of gender differences:
  - Health and safety assessment?
  - Health and safety policy?
  - Health and safety implementation plan?
  - Health and safety training plan?
  - Sexual harassment policy?
  - Bullying policy?
  - Diversity policy?
  - Equal opportunity policy?

### *Physical Gender Audit*

Companies can conduct an additional physical inspection to complement their gender audit. This inspection assesses the extent to which infrastructure is appropriate, safe, and adapted for both male and female employees. Such considerations are important for the comfort of both men and women on staff. In addition, they are part of addressing operational health and safety for a changing workforce. Safety is a key consideration on all OGM work sites. So, ensuring that safety applies equally for all staff is critical. These audits should be conducted across all operational sites, as well as headquarters.

As with the rest of the gender audit, companies are advised to include a participatory design phase before the audit, to allow employees to raise their own concerns and metrics for a gender inclusive workplace. With physical risks, this is equally important—employees may raise aspects of risk that auditors or employers might not have identified previously. They also might have innovative ideas on ways to mitigate these risks.

**TABLE 1-C** Sample Questions to be Included in a Physical Gender Audit for OGM Industries

**OPERATIONAL FACILITIES<sup>47</sup>**

- ▶ In locations where uniforms are required, such as on site, are there options for two-piece uniforms with reflectors, of the same color for men and women?
- ▶ Are maternity uniforms available?
- ▶ Are single-sex changing and shower facilities available?
  - If gender-segregated facilities are available, do they comply with international standards (for instance, one shower per six women)?
  - Do facilities include shower barricades?
  - Do they include sanitary bins for women?<sup>48</sup>
- ▶ Are there separate toilets for men and women underground? Or, if there are gender-neutral restrooms, do they provide sufficient privacy for the comfort of all users?
  - Do women's toilets or gender-neutral restrooms have facilities for the disposal of sanitary waste?

Are there lactation rooms and refrigerators?

*TIP: Disaggregate for HQ, country, and field offices*

- ▶ Has an ergonomic assessment been conducted to ensure that equipment is appropriate and safe for female staff?
- ▶ Are policies in place for cage etiquette?

*TIP: If no surveys have been done, conduct a survey and focus groups with female staff by job family, to identify safety issues with equipment or facilities and adjustment to ensure a safe and efficient worksite.*

**OPERATIONAL RISKS**

- ▶ Do health and safety risk assessments include the following considerations?
  - Exposure to radiation, certain chemicals, and hazardous gases can impact health outcomes for women and cause miscarriage or severe developmental conditions in fetuses.
  - Exposure to high noise levels has been associated with pre-term labor, low birth weight, and some congenital anomalies, in some studies.<sup>49</sup>
  - Prolonged exposure to high temperatures can be associated with developmental abnormalities in babies, miscarriage, or fetal distress.
  - Exposure to heavy equipment vibrations can damage a women's ability to conceive and may be associated with miscarriage and preterm delivery.<sup>50</sup>
  - Work environments that are designed for the male body may be ergonomically unfit for many women. Ill-fitting uniforms can create an unsafe work environment for women, leading to health and safety risks.
  - Unsafe travel to and from the worksite might be an even greater concern for women. Of particular concern is the potential for sexual harassment and gender-based violence.
- ▶ Are there programs to enable transition to equivalent-grade positions for pregnant and breastfeeding mothers so they can avoid hazards such as those listed above?

<sup>47</sup> IFC and Lonmin, *Women in Mining: A Guide to Integrating Women into the Workforce*, Washington, DC: IFC, 2009, 21.

<sup>48</sup> IFC and Lonmin, *Women in Mining: A Guide to Integrating Women into the Workforce*, 21.

<sup>49</sup> Committee on Environmental Health, "Noise: A Hazard for the Fetus and Newborn," *Pediatrics*, Volume 100/Issue 4, October, 1997.

<sup>50</sup> Sandra C. Dorman and Céline Boudreau-Larivière, *Guide to Health Pregnancies in the Mining Workplace*, Sudbury: Laurentian University, 2012, 6.

## DORMS

- ▶ Are men's and women's dorms co-located?
- ▶ Is there sufficient lighting to ensure staff feel safe going to and from dorms?
- ▶ Are there locks on all dorm rooms?

## FEMALE PERSONNEL

- ▶ Are there on-site women searchers?
- ▶ Are there women security personnel?

## TRANSPORTATION

- ▶ Does the company sponsor secure transport for community-based employees?

## How to Use the Results of a Gender Audit

The gender audit should return a wealth of information that can be used to identify potential areas for strengthening and improvement, in turn enhancing performance and profit. Table 1-D outlines some of the ways to use the results of the gender audit in designing potential interventions.

**TABLE 1-D** Turning Gender Audit Results into Action

AUDIT AREA	POTENTIAL FINDING	POTENTIAL INTERVENTION
Corporate gender priorities	<ul style="list-style-type: none"> <li>▶ Lack of uniform action/understanding on gender across the organization, which may lead to ad hoc gender mainstreaming, inability to maximize benefits of gender mainstreaming and diversity</li> <li>▶ Lack of uniformity in action/understanding on gender between HQ and field offices, which may create unequal treatment of men and women across the organization, resulting in lack of benefits from gender diversity and creation of different employment classes</li> </ul>	<ul style="list-style-type: none"> <li>▶ Develop business case for gender equity and diversity to highlight importance of comprehensive, cohesive strategy and target interventions accordingly (Tool 1.3)</li> <li>▶ Develop corporate gender strategy (Tool 1.4)</li> <li>▶ Appoint Gender Equity Champion (Tool 1.5)</li> </ul>
Human resources	<ul style="list-style-type: none"> <li>▶ Lack of gender training, meaning an inability to identify implicit gender bias in HR policies, recruitment, and other areas. This may be leading to biased working conditions and failure to maximize benefits of gender diversity and equity in the workforce</li> <li>▶ Lack of gender-trained ombudsperson, meaning that the company could be unaware of gender-related issues in the workplace</li> <li>▶ Lack of gender-disaggregated data or pay gap analysis, making it more difficult to address and improve retention, promotion, productivity, and job satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>▶ Provide gender training for HR (Tool 1.13)</li> <li>▶ Conduct a pay gap analysis (Tool 1.9)</li> <li>▶ Break down workforce data by gender</li> </ul>
Recruitment practices	<ul style="list-style-type: none"> <li>▶ Lack of awareness that gender bias may be woven into recruitment materials</li> <li>▶ Gender bias in recruitment materials, which could deter female candidates from applying</li> </ul>	<ul style="list-style-type: none"> <li>▶ Review and revise recruitment materials and procedures to attract a more gender-diverse candidate pool (Tools 1.10 and 1.11)</li> </ul>

*continued on next page*

Gender-sensitive HR policies and practices	<ul style="list-style-type: none"> <li>▶ Lack of family-friendly policies such as maternal health coverage, parental leave, and on-site childcare or a perception that taking advantage of such policies is discouraged, leading some employees to conclude that the workplace might not be conducive to parental leave. In turn this could increase turnover, reduce retention, or put parents at a disadvantage in professional development.</li> </ul>	<ul style="list-style-type: none"> <li>▶ Review and revise HR policies (Tools 1.10, 1.11 and 1.13)</li> <li>▶ Conduct cost/benefit analysis for family-friendly workplace policies (Tool 1.3)</li> <li>▶ Conduct training with managers on flex-work and benefits of family-friendly workplace policies</li> </ul>
Sexual harassment and gender-based violence	<ul style="list-style-type: none"> <li>▶ Lack of written policy on sexual harassment and gender-based violence, meaning a lack of established expectations, consequences, and accountability for upholding behavioral standards</li> <li>▶ Non-existent or unviable processes and/or lack of ombudsperson for reporting on sexual harassment and gender-based violence, meaning lack of information on incidence and costs of gender-based violence and sexual harassment</li> </ul>	<ul style="list-style-type: none"> <li>▶ Develop written gender-based violence and sexual harassment policy (Tools 4.3 and 4.4)</li> <li>▶ Conduct cost/benefit analysis to demonstrate costs of sexual harassment and gender-based violence (Tool 4.1)</li> </ul>
Board composition	<ul style="list-style-type: none"> <li>▶ Lack of awareness about the dimensions of board composition; inability to maximize benefits of gender diversity and equity</li> </ul>	<ul style="list-style-type: none"> <li>▶ Conduct a gender assessment of board composition and how board members are selected/appointed, and update operating procedures (Tool 1.6)</li> </ul>
Senior management	<ul style="list-style-type: none"> <li>▶ Lack of accountability for gender diversity in the workforce</li> <li>▶ Perceived/real barriers for women to enter senior management</li> </ul>	<ul style="list-style-type: none"> <li>▶ Provide gender diversity and equity training for senior management</li> </ul>
Staffing	<ul style="list-style-type: none"> <li>▶ Lack of information on gender diversity in various job families, levels</li> </ul>	<ul style="list-style-type: none"> <li>▶ Institute gender disaggregation of workforce data, including recruitment, retention, and promotion, further divided by HQ, country, and site offices</li> </ul>
Workplace/organizational culture	<ul style="list-style-type: none"> <li>▶ Perception that men and women have unequal access to opportunities, and less support (including lack of support for flex-work, parental leave, return from parental leave)</li> <li>▶ Perception that men's and women's voices are not heard equally in corporate decision-making processes</li> </ul>	<ul style="list-style-type: none"> <li>▶ Conduct cost-benefit analysis on specific aspects of non-supportive corporate culture; enable men's and women's voices to be heard in decision making and accountability mechanisms</li> </ul>
Leadership development	<ul style="list-style-type: none"> <li>▶ Inequitable mentorship, leadership development opportunities for men and women or a perception of inequality, negatively impacting career development</li> </ul>	<ul style="list-style-type: none"> <li>▶ Cost-benefit analysis on benefits of gender-inclusive leadership development programs</li> <li>▶ Improve/develop leadership development programs for men and women (Tool 1.14)</li> </ul>
Health and physical safety	<ul style="list-style-type: none"> <li>▶ Inadequate attention to gender-specific employee health and safety needs, creating hazards and increasing potential liability, while reducing employee effectiveness, and negatively impacting safety and job desirability</li> </ul>	<ul style="list-style-type: none"> <li>▶ Work with male and female employees to better identify perceived health and safety risks. A new IFC tool, in development now, will offer detailed guidance on conducting gender-smart safety assessments.</li> </ul>

## TOOL 1.2:

### Terms of Reference for Gender Audit

► **GOAL:** Assess gender equity and environment across company

► **TARGET UNITS:** Human Resources, Senior Management

This tool is designed as a model terms of reference for an independent consultant who can conduct a gender audit. The ToR is highly customizable to your company's needs, as is the audit itself, which can be modified to include other types of potential bias or discrimination, such as against employees with disabilities.

### MODEL TERMS OF REFERENCE FOR A GENDER AUDIT

#### Introduction

*[Outline reasons for [Company] to conduct a gender audit. Introduce what has occurred thus far, the business case for gender diversity, the key objectives for a strengthened gender diversity strategy and approach, policies and initiatives are already in place. Detail the internal support for gender audit and gender diversity program.]*

#### Objective

The objective of the gender audit is to provide a baseline for gender equity and gender diversity in the workforce for [Company]. This includes a thorough assessment of:

- a. All workforce policies, such as recruitment, leave, flexible work, and workplace safety, including policies on gender-based violence.
- b. Recruitment, wages, promotions, career development support, and benefits to identify gender-related trends and identify any potential areas of bias or discrimination.
- c. Assessment of the physical work environment, including transportation to and from the worksite, equipment, uniforms, work sites and offices.
- d. Assessment of the organizational culture: Do men and women perceive themselves to be equally included in the workplace? Are there instances of bias, discrimination or ways in which men or women may feel unsafe or discriminated against based on their gender? This assessment also includes the extent to which men and women feel that gender diversity and gender equity are prioritized, and the extent to which this is a corporate priority.

## Scope of Work

The gender auditors will be responsible for:

- a. Developing a detailed gender audit methodology, which includes detailed sets of questions and intended approaches, such as key informant interviews, focus groups, surveys, and policy and analysis review.
- b. Physical audit: Review physical facilities, services, and equipment, including uniforms, to determine safety and appropriateness of use by female staff, including pregnant staff. Review personal protective equipment, job testing facilities, and medical facilities.
- c. Recruitment procedure review: Are there explicit or implicit indicators of bias or discrimination? Are recruitment efforts inclusive, or do they send signals discouraging female applicants? Are selection panels gender-balanced? Have they received gender bias training? Are interview procedures standardized and transparent? Are candidate assessments conducted impartially and transparently? Are managers accountable for increased gender diversity in teams? Evaluate gender bias in corporate recruitment and opportunities for improvement.
- d. Policy review: Does the company have a gender diversity and/or equity strategy? Does it have non-discrimination policies covering wages, promotion, flexible work, and benefits? Does the company have flexible work policies? Are staff encouraged to utilize flexible work? Does the company have a gender-based violence policy? Identify what policies exist, how they are communicated, and how staff are supported in applying policies—for instance, ways in which staff are encouraged/discouraged from taking parental leave.
- e. Governance and corporate culture: Is corporate culture inclusive? Do male and female staff feel equally valued, able to advance, and protected by policies? Do male and female staff feel equally comfortable holding colleagues and managers accountable for any perceived gender bias or discrimination? What services exist for holding staff accountable?
- f. Performance management: Have performance evaluations been reviewed to identify any gender bias—for instance, bias against staff who take parental leave or utilize flexible work? Do staff performance evaluations include gender integration in their KPIs?

“Some leadership behaviors, which are more frequently applied by women than by men in management teams, prove to enhance corporate performance and will be a key factor in meeting tomorrow’s business challenges. Hence, promoting gender diversity and leadership variety is of strategic importance for companies.”

*Source: McKinsey & Company, Women Matter 2.*

## Deliverables

- a. Gender audit methodology
- b. Gender audit draft: The draft should include the following components:
  - i. Introduction: Introduce company, business case for gender equity, context for the gender audit, initiatives and programs already underway, management support, and plans for follow-up and implementation based on the audit.
  - ii. Summary of staff interviewed and their business units, along with the methodologies used.
  - ii. Summary of findings and recommendations: Summary of key findings and recommendations for addressing main challenges and opportunities.
  - iii. Results by business unit and priority area, as outlined in the scope of work, along with additional findings.
  - iv. Detailed evaluation and proposed follow-up steps
- c. Finalized gender audit: After incorporating company feedback during review process, provide a revised finalized version of the audit.

## Reporting

*[Identify a contact person within the company to whom the gender auditors will report and who will serve as point person for questions.]*

## Timeline

*[Identify the timeline for the entire job and for each of the specific deliverables.]*

**TOOL 1.3:****Develop a Business Case for Gender Diversity**

► **GOAL:** Build support for gender-smart solutions

► **TARGET UNIT:** Gender Equity Champion

Conducting a gender audit can help a company identify areas of concern, opportunities for improvement, and strengths on which to build. It can also help a company to understand areas where the company can make improvements to maximize gender diversity in the workforce. These findings can form the core of a business case highlighting reasons that attention to these issues will have positive impacts on the company. This business case, specific to your company, can be used in discussions with senior management, staff, shareholders, and other stakeholders. It showcases the potential business advantages of the gender audit and can form the basis for conversations with management, staff, and stakeholders.

The formulation of the business case will also contribute to the development of a gender equity strategy (see Tool 1.4 for more on this). The strategy transforms the business case into a concrete action plan, prioritizing tools and identifying the steps needed to make the changes identified in the gender audit.

The business case can include the operational reasons that gender diversity will make the company more profitable, innovative, and better integrated into the community. It can draw on industry and legislative commitments or requirements, such as the Women's Empowerment Principles,<sup>51</sup> corporate social responsibility commitments, and any applicable local and national laws and regulations.

The following steps are based on the IFC publication, *Investing in Women's Employment: Good for Business, Good for Development*.<sup>52</sup>

### **Step 1. Identify the drivers for gender diversity and equality.**

What are the key drivers for improving gender diversity and equality in your company? Here are several common reasons for undertaking a gender diversity-improvement initiative:

- **Performance and profitability opportunities:** Among the business case drivers are profitability gains from a more gender-diverse workforce, as demonstrated by innovation, productivity, condition of equipment and materials. Specific policies that can bring specific benefits to working women, such as improved childcare offerings, or more support for flex-work or family leave, can also positively impact profit and efficiency.

<sup>51</sup> The Women's Empowerment Principles were developed by UN Women and the United Nations Global Compact to provide guidance to the private sector on empowering women. More information on the WEP can be found here: <http://www.unwomen.org/en/partnerships/businesses-and-foundations/womens-empowerment-principles>.

<sup>52</sup> IFC, *Investing in Women's Employment: Good for Business, Good for Development*, 20.

- **Sustainability:** Has the company made commitments to diversity in the workforce, or for local hiring? Increased gender diversity can help meet these commitments and improve company integration within the community.
- **Industry commitments:** Has the company signed on to industry or other initiatives with commitments on gender diversity, such as the Women's Empowerment Principles? Developing a gender diversity strategy and targets will help companies meet these commitments and improve their competitive ranking compared to other industry players.
- **Legislative requirements:** Do the laws in the host country require a certain level of gender diversity or local employment? A proactive gender diversity strategy can help companies stay on top of both required and voluntary commitments.



## Step 2. Develop the business case.<sup>53</sup>

While the gender audit can help to identify key areas for improvement and strengthening, additional measurement will be needed to show the business benefits from making these changes. The goal of the business case is to demonstrate how changes in specific gender metrics could impact core business outcomes; however, showing a causal and specific relationship can be difficult, especially when other variables are in play, such as rising or falling mineral prices, or changes in resources or the operating environment. It can be particularly difficult to make short-term attribution (for instance, that a change in senior management had an immediate effect on profit), or to demonstrate longer-term impacts (for instance, how a strengthened gender diversity policy impacts reputation). And yet, developing a strong business case is important both for building buy-in and for demonstrating the importance of making gender equity a core business principle rather than a stand-alone initiative.

Of note: demonstrating the value of women's participation should not be about comparing men's and women's performance. Rather, it should focus on the benefits of gender equity and diversity—how creating equal opportunities for men and women can benefit the company.

<sup>53</sup> The information in Step 2 draws on: IFC, *Investing in Women's Employment*, 49–58.

To develop an effective business case, the following process is recommended:

- **Identify the intervention:** Based on the gender audit, identify specific areas or initiatives of focus, such as increasing the recruitment of women, improving safety of on-site accommodation, or changes in family-leave policies. The more specific the initiative being examined, the easier it will be to determine the potential impact of changed policies.
- **Develop a baseline:** For every initiative, develop a baseline—where the company is now—and determine how the business case will be presented. Options include the before-and-after approach that looks at a change in performance over time, or the with-and-without approach that looks at the performance of various business units that have adopted the proposed initiative compared to those that did not.
  - » Developing the baseline and collecting relevant data will require the buy-in of various business units. Depending on the intervention, this could include finance and HR, among others.
  - » Determine how the initiative will be measured, using employment and business metrics. For instance, an initiative focused on increasing gender diversity in employment should feature employment metrics on the number of women and men employed in various job families and at various levels. Business metrics will be determined based on the company's core business objectives, but should be tied to quantitative or qualitative indicators that demonstrate a change in its ability to meet key business targets. Part of this effort involves identifying the availability of relevant information, such as gender disaggregation of jobs at various levels—or whether work to gather data is required.
- » **Identify relevant costs and benefits:** Determine the anticipated costs of implementing an intervention compared to doing nothing as well as the potential benefits it may bring. For instance, for a proposed intervention to provide on-site childcare, identify the costs of not implementing it, such as loss of productivity when staff need to care for their children, potential attrition as employees who need to care for children quit, and the cost of recruiting and training replacement staff. Compare these implications to the costs of implementing the initiative, such as the cost of facilities and childcare staff, as well as the benefits of the proposed intervention, including improved productivity, increased employee satisfaction and reduced turnover.
- **Develop an evaluation methodology and conduct analysis:** Determine how costs and benefits will be measured. Options include using currently available data and conducting staff surveys or interviews, among others.

“Companies with the best record of promoting women to high positions enjoy 18–69% more profitability.”

—Roy Adler

*Source: “Women in the Executive Suite Correlate to High Profits”*

- **Compare costs and benefits:** Once costs and benefits have been identified, collected, and quantified, determine the return on investment of a particular initiative:

$$\frac{\text{Benefits} - \text{Costs}}{\text{Costs}} \times 100 = \text{Return on Investment}$$

A positive—or even neutral—return on investment can be a powerful tool in negotiating for gender diversity and equality initiatives.

- **Compile the business case:** A presentation-ready business case should include discussion of the proposed intervention and its objectives, any assumptions or estimates for the proposed program, discussion of methodology, ROI analysis, and any case studies or examples to support the case for proposed interventions. Also include recommendations on ways to move forward, whether or not additional assessments might be needed, and implementation options.

### Step 3: Use the business case to mobilize support.

Once the business case has been developed, it should be shared and used to gain management and stakeholder commitment and buy-in for the next steps in the process.

- **Mobilize management support:** Support from the CEO and the senior management team is essential for a successful gender diversity strategy. They will set the tone for how the strategy is received and implemented. So, it is important that they share their commitment publicly. They must send the message to all staff that gender diversity is both the right thing and the smart thing to do for the business. They also must let everyone know that managers and all staff will be held accountable for gains in gender diversity. In addition, the management team has to back up this verbal commitment with tangible engagement in the gender diversification process.
- **Communicate strategy to stakeholders:** Ultimately, CEOs and executive boards answer to their shareholders. So, the support of shareholders and other stakeholders (such as the community and local unions) is critical to the success of gender diversity initiatives. Once the business case for gender diversity has been developed, the process of communicating with stakeholders can begin. News about upcoming activities such as the gender audit and progress on the gender diversity strategy and targets will keep them informed. Be sure to include tie-ins to ways these initiatives will help the company meet its performance, profit, legislative, and industry objectives.

## TOOL 1.4:

### Establish a Gender Equity Strategy

- ▶ **GOAL:** Create a gender-equitable work environment for both men and women across the company
- ▶ **TARGET UNITS:** Senior Management, Training, Human Resources, Gender Equity Champion

The gender equity strategy is the foundation for any gender diversity improvement initiatives you have in mind. It provides the structure for gender equity commitments, actions, and progress monitoring. The strategy should lay out objectives, coordinate activities, and clarify accountability. It should frame clear targets, time-bound goals, and the pathway towards those goals. It should be based on the findings of the gender audit. It also should reinforce the business case by detailing a concrete set of actions that will help the company address shortcomings identified in the gender audit as well as help to realize the gains outlined in the business case. Among the advantages of a gender equity strategy:

- **Unified vision:** The gender strategy provides a clear set of objectives and values that the company can aim for. A clear, common, and communicated vision facilitates actions towards that goal, accountability for progress, and coordination between different parts of an organization. This can help ensure that all units are working towards the same goal and held to the same standard. It also enables teams to learn from others' experiences.
- **Consistency of approach:** A defined strategy ensures that teams are adopting the same goals and techniques. When several approaches are being piloted, all units can learn from the experience.
- **Motivation and momentum:** A strategy that includes incentives and monitoring can help motivate organizations to meet their goals.
- **Identify progress:** A strategy that includes specific goals provides a framework to measure progress and determine needed course corrections. Such information is especially important for companies required to report to investors and stock exchanges.

### DEVELOPING A GENDER EQUITY STRATEGY

What follows is a step-by-step guide to developing a gender equity strategy.

#### Step 1: Develop a gender equity task force.

This task force should include a gender equity champion (see Tool 1.5), a representative from the human resources department, and point persons from each business unit, creating an organization-wide team responsible for gender mainstreaming. Depending on company size, country-level

and departmental task forces might be needed as well to support implementation. These supplemental task forces should include representatives from all job grades. Among the responsibilities of the gender equity task force are developing a draft gender equity strategy, establishing targets, managing monitoring and accountability for targets, and communicating with senior management about progress and necessary course corrections.

The gender equity champion leads the task force. This individual is accountable for the task force, with primary responsibility for implementing the activities detailed here. These responsibilities include:

- Managing task force meetings
- Recording and sharing proceedings
- Leading the development of the gender equity strategy and target setting, as well as the implementation of related activities
- Leading/managing the monitoring and evaluation of progress towards targets
- Acting as point person for all contracted work, such as for a gender audit or pay gap review
- Documenting progress of gender equity initiatives
- Working with the communications team to ensure that progress is shared with employees, management, and stakeholders

## **Step 2: Set company-wide goals for gender equity and diversity.**

These goals are a precursor to more specific gender targets and should focus on the company's vision for gender diversity. The goals should reflect discussions on the business case: what did the gender audit highlight as key areas in need of improvement? How does senior management endorse and prioritize activities, for maximum impact on the company? How does this fit into the company's larger diversity and inclusion efforts? For many companies, gender is one of several diversity and inclusion goals.

In setting these goals, there are several key considerations to keep in mind. First, identify priority areas for your company. While all are important, rank them in order of importance. Several factors could influence this prioritization, such as which areas require the most improvement, or where improvement will have the greatest business impact. Use Table 1-E to help you rank priorities: High (H), Medium (M) or Low (L).<sup>54</sup>

Next, rate company progress. Rate each area, on a scale of 1–5, in terms of how well gender-equity principles have been integrated.

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<sup>54</sup> Adapted from: Australian Government Workplace Gender Equality Agency, *Gender Strategy Toolkit*, Sydney: Australian Government, 40.

Finally, examine the table to compare priority areas with areas of greater or lesser progress. Are there high-priority areas with poor performance to date? Are there unexpected gaps or areas that need improvement? Discuss with the task force how to prioritize key areas.<sup>55</sup>

**TABLE 1-E** Ranking Gender Diversity Priorities

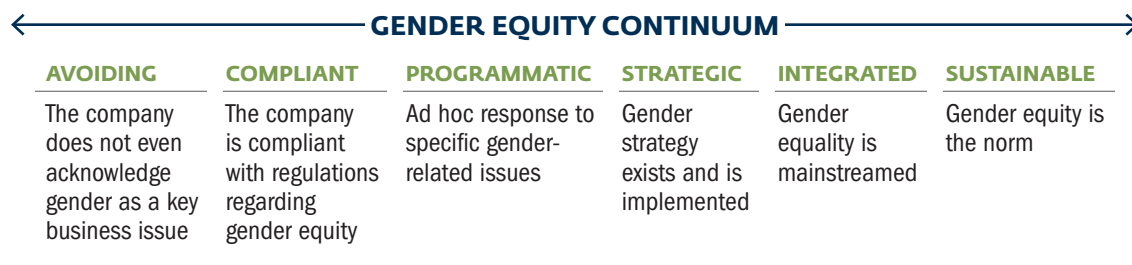
POTENTIAL PRIORITY AREAS	PRIORITY RATING	PROGRESS TO DATE
Stakeholder Management		
Leadership Accountability		
Strategy and Business Case		
Measuring and Reporting		
Policies and Processes		
Supply Chain		
Leadership and Manager Capability		
Talent Pipeline		
Flexibility		
Gender Pay Equity		
Gender Composition		
Gender Inclusive Culture		

### Step 3. For priority goals, set specific targets.

Based on Step 2, identify key gender equity targets for each priority goal (see Tool 1.11 for guidance on target setting). Develop draft targets to align with key corporate goals.

Figure 1-A below is a “Gender Equity Continuum.” It can help you set targets, measure the integration of gender issues, and the extent to which they are considered. By identifying your current spot along the continuum, you can set targets to move from one stage to the next—for instance, from *Compliant* to *Integrated*—over a set time period.<sup>56</sup>

**FIGURE 1-A** Gender Equity Continuum



<sup>55</sup> Australian Government Workplace Gender Equality Agency, *Gender Strategy Toolkit*, 39.

<sup>56</sup> Australian Government Workplace Gender Equality Agency, *Gender Strategy Toolkit*, 39.

### Step 4: Validate goals and targets.

Goals and targets should be discussed and validated with management and relevant business units, to ensure widespread understanding, support, and buy-in for the goals.

Here is a set of indicators to guide your implementation of a gender equity strategy. Originally developed by IFC in collaboration with Lonmin for the publication *Women in Mining: A Guide to Integrating Women in the Workforce*, they are reprinted in Tables 1-F and 1-G.<sup>57</sup>

**TABLE 1-F** Model Gender Equity Strategy Targets

	MANAGERS	ENGINEERING	MEDICAL	HUMAN RESOURCES	TRAINING/ CULTURE CHANGE/ COMMUNICATIONS
Outputs		<ul style="list-style-type: none"> <li>▶ # of change houses built</li> <li>▶ # of underground toilets installed</li> <li>▶ # of appropriate safety equipment issued</li> </ul>	<ul style="list-style-type: none"> <li>▶ # of jobs assessed for women</li> </ul>	<ul style="list-style-type: none"> <li>▶ # of policies developed/updated</li> <li>▶ # of women assisted with childcare</li> </ul>	<ul style="list-style-type: none"> <li>▶ # of hours training provided on gender bias</li> <li>▶ # of participants in trainings and workshops</li> <li>▶ # of people reached through communications efforts</li> </ul>
Outcomes	<ul style="list-style-type: none"> <li>▶ # of women employed by the company</li> <li>▶ % of women employed by the company</li> <li>▶ Female vs. male attrition rates</li> </ul>				
Anticipated Impacts	<ul style="list-style-type: none"> <li>▶ Compliance with government legislation</li> <li>▶ Increase in income of women, thereby impacting community wellbeing</li> <li>▶ Improved safety record due to hiring of women</li> <li>▶ Improved machinery care record due to hiring of women</li> </ul>				

### Step 5. Outline gender equity strategy.

Based on the key goals and targets identified, outline a strategy that effectively states how the company will achieve these goals, by whom, and by when. The strategy should be a simple, straightforward document that includes the following sections:<sup>58</sup>

- **Introduction/context:** This section should outline the key gender mainstreaming goals, the business case behind these objectives, a summary of diagnostics and the company's current status on meeting these goals.
- **Key focus areas:** For each focus area, identify the goals that have been set, anticipated actions to reach these goals, roles, responsibilities, and accountabilities for key activities, factors that would support or threaten success, and how progress will be measured. See Table 1-G for an example.

<sup>57</sup> IFC and Lonmin, *Women in Mining: A Guide to Integrating Women into the Workforce*, 17.

<sup>58</sup> Australian Government Workplace Gender Equality Agency, *Gender Strategy Toolkit*, 42.

- **Monitoring, consultation, and timeline review:** Ensure that business units are aware of how and when progress will be monitored as well as when the plan will be reviewed, tweaked, and updated, to support continued progress.
- **One-page summary of the gender equity strategy:** This will enable easy dissemination. Share the summary with all teams and make sure that they understand their responsibilities, accountability, and opportunities for input and revision. Based on the overall strategy, individual business units can develop their own implementation strategies.

Once the strategy is complete, the company's gender equity champion should develop and implement training for all staff across the organization on the strategy. This will familiarize staff with the strategy and reinforce corporate objectives and commitments, as well as the role each business unit is expected to play.

**TABLE 1-G** Example of a Gender Equity Strategy Outline

KEY FOCUS AREA	SPECIFIC TARGET	RESPONSIBLE UNIT	STRENGTHS AND THREATS TO SUCCESS	MEASURING PROGRESS	TIMEFRAME	RESOURCES NEEDED (SUCH AS FINANCIAL STAFF TIME)
Recruitment	At least 20 percent of job shortlist candidates are women	Human Resources and business units	<b>Strengths:</b> Improved outreach activities, and gender-inclusive recruiting can support success  <b>Threats:</b> Lack of female candidates	Quarterly review of total applicants, shortlists, and final candidates	Effective immediately	Budget, staff time, consultants

## TOOL 1.5:

### Terms of Reference for a Gender Equity Champion

- ▶ **GOAL:** Lead and coordinate gender mainstreaming efforts
- ▶ **TARGET UNITS:** Human Resources and Senior Management

#### ABOUT THE GENDER EQUITY CHAMPION

The gender equity champion is the company's lead on gender diversity and equity initiatives. The champion directs some activities, and serves in a coordinating role for others. This individual—preferably a person with a decision-making role—is responsible for implementing the business case and the gender strategy. The role of the champion includes:

- Gaining buy-in from senior management and other key players in support of the gender equity messaging
- Working with business units such as HR, procurement, and community engagement to develop unit-specific gender action plans
- Helping teams to implement their gender strategies
- Providing organization-wide coordination
- Assisting with external messaging on the company's gender commitments



Tool 1.5 outlines the main responsibilities of the gender equity champion in a ToR. While certain in-house staff might qualify for this position, be sure to allot time to do the job, rather than adding the role to existing full-time responsibilities. At a minimum, the champion's job should be considered a half-time position and there is a strong argument for designating it as a full-time position.

The champion role is not meant to substitute for subject-matter gender expertise in business units (i.e. gender expertise among community development experts or gender-based violence experts to conduct GBV assessments). Rather, the intent is to designate an individual to lead and coordinate implementation of the gender strategy across the organization.

In terms of seniority, the champion should rank in upper-middle management at a minimum. If the champion is not a senior manager, a board director should be designated to provide senior-level support and traction for the champion's proposals and work.

## SAMPLE TERMS OF REFERENCE FOR A GENDER EQUITY CHAMPION

### Introduction

Outline the reasons [*Company*] wants to hire a gender equity champion. Introduce steps taken to date on laying the groundwork for a gender equity strategy or program. Describe the gender equity commitments that underpin the hiring of a gender equity champion—for instance, commitments to increase recruitment of women, engage with more women-owned businesses, or ensure equitable consultation and engagement with male and female community members. Provide the corporate context and reporting lines: will the champion have a team or an office? To whom does the champion report? Has the champion's work program been defined or are plans in place to do so?

The objective of the Gender Equity Champion position is to have a corporate focal point who can provide leadership and coordination to help [*Company*] improve equity of opportunities for men and women within [*Company*] as well as in [*Company's*] interaction with suppliers and the community. The champion will be responsible for developing [*Company's*] gender equity strategy, securing buy-in within the company, and working across business units to support the implementation of the strategy.

### Scope of Work

The gender equity champion's responsibilities will include the following:

1. Facilitate corporate agenda-setting for gender:
  - a. Identify drivers for gender diversity and develop a business case for gender equity:
    - » Identify key drivers for improving gender diversity within the company, such as performance and profitability, corporate social responsibility, industry commitments, or legislative requirements.
    - » Explore and consolidate these drivers into a company-specific business case for gender equity. This business case should outline ways in which improvements in gender diversity and progress toward gender equity will—or will have the potential to—create business benefits for [*Company*].
  - b. Cultivate senior leadership support for gender equity:
    - » Meet with senior leadership to present the business case for gender equity
    - » Work with senior management to secure their commitment to support gender equity
  - c. Form a gender equity task force: The company's gender equity task force will be responsible for developing a draft gender equity strategy, establishing targets, managing monitoring and accountability for targets, and updating senior management on progress and necessary course

corrections. This task force should include the gender equity champion, human resources, and point persons representing every business unit, including communications and marketing, to create an organization-wide team responsible for gender mainstreaming. Depending on the size of the company, country-level and departmental task forces can be developed to support implementation, which should include representatives from all job grades. The task force itself should include male and female members.

- d. Assume the lead role in the task force. Duties here will include:
    - » Managing task force meetings
    - » Recording and sharing proceedings
    - » Leading the development of the gender equity strategy and targets, as well as being accountable for implementation of related activities
    - » Leading/managing the monitoring and evaluation of progress toward targets
    - » Acting as point person for all contracts, such as for the gender audit or pay gap review
    - » Documenting progress of gender equity initiatives
    - » Working with the communications team to ensure that progress is shared with employees, management, and stakeholders
  - e. Lead the development of the gender equity strategy through the gender equity task force:
    - » This strategy should provide the structure for commitments, actions, and monitoring progress towards gender equity. The strategy should lay out objectives, coordinate activities, clarify accountability, and frame clear targets, time-bound goals, and the pathway towards those goals.
    - » This strategy should establish company-wide goals for gender equity and diversity. These goals are a precursor to more specific gender targets and should focus on the company's vision for gender diversity. They should be discussed and validated with management and relevant business units, to ensure widespread understanding, support, and buy-in for the goals.
  - f. Support HR in the development and rollout of corporate-level gender equity/diversification programs.
  - g. Work with HR on a corporate-wide campaign to address sexual harassment and gender-based violence [*as necessary*].
2. Disseminate the gender equity strategy to all business units and support implementation across [*Company*]:
    - a. Identify operational champions in various business units.

- b. Work with senior management and business units to implement the gender equity strategy:
    - » Presenting the strategy to teams
    - » Working with teams to identify where they fit into the strategy
    - » Helping teams develop unit-specific gender plans
    - » Supporting implementation of unit-specific gender plans
  - c. Provide input as business units conduct assessments on relevant topics, such as women in the workforce, in the supply chain, and in community engagement, to help teams consider gender dimensions, ensure continuity of corporate messaging and priorities across activities, and ensure as much coordination between departments as possible.
  - d. Support HR in identifying independent teams to conduct gender audit and pay gap study, where required.
  - e. Work closely with supply chain and community engagement teams to develop a business case for engaging with women-owned businesses and supporting a gender-equitable approach to community development.
3. Serve as internal and external point of contact for questions or support regarding [Company]’s gender equity strategy:
- a. In addition to serving as the internal point person on gender equity, the champion may be called on to represent [Company] publicly on matters related to the gender equity strategy.

In addition to these tasks, the champion will be responsible for developing additional activities as needed to support training on and implementation of [Company’s] gender equity strategy, as well as ensuring that individual business units can apply and act on the strategy.

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## TOOLS 1.6–1.8: Gender Diversity and Inclusion on Boards

### ASSESS AND PREPARE, ADDRESS, MONITOR AND SUSTAIN

This section includes several tools that will help companies increase gender diversity and inclusion on their boards. It is divided into the three stages of an effective process:

- **Assess and prepare:** Tool 1.6 helps you gather a baseline understanding of what your board looks like today and identify actions needed to improve gender balance in the boardroom.
- **Address:** Tool 1.7 offers guidance on building a more gender-diverse board.
- **Monitor and sustain:** Tool 1.8 provides guidance on how to ensure that progress continues and improvements are sustained over the long term.



## TOOL 1.6:

### Gender Diversity Board Assessment<sup>59</sup>

► **GOAL:** Assess board gender diversity

► **TARGET UNIT:** Executive Board

A stocktaking of gender representation at the executive board level can help you determine what action is necessary to strengthen gender diversity. This exercise should examine the board's current gender composition. It should also look at the ways in which new board members are selected and the frequency with which new directors are chosen. In addition, it should examine the board's operational policies and procedures to evaluate women's ability to participate in board activities.

An independent consultant should conduct the stocktaking exercise and present the results to the board. The company and its shareholders should have access to the results, as well as to action plans that address issues identified.

Here are some suggested questions to include in a board stocktaking exercise on gender.

#### On Board Composition:

- What is the ratio of women to men on the board in executive and non-executive positions (including chair, deputy chair, treasurer)?
- What is the ratio of women to men in decision-making positions on the board?
- What is the ratio of women to men on the board?
- How long has each member been on the board? TIP: Map change in gender diversity over time (for instance, at 5 year intervals). Compare with board performance and company performance over time.
- What are the individual qualifications/backgrounds of board members?

#### On Board Operating Procedures:

- Is there a policy on board gender diversity?
- How often is board performance assessed?
- How are board members' performance measured?
- Does the nominating committee (or the committee responsible for ensuring gender diversity) have a clear reporting obligation to the board?

<sup>59</sup> This tool was adapted from a range of existing board checklists, including the Australian Institute of Company Directors' *Checklist for Assessing Board Composition*, Sydney: AICD, 2016, and draws on resources including: International Corporate Governance Network, *ICGN Guidance on Gender Diversity on Boards*, London: ICGN, 2013.

### On Protocols for Replacing Board Members:

This is a qualitative assessment of how the board is composed, whether there is impartiality in board member selection, and how key skills are evaluated.

- How often are new board seats available?
- Are there term limits?
- If there have been any changes, such as moving from no term limits to term limits, how has this changed board composition and impacted company performance?
- What is the protocol for selecting new members?
- How diverse are the networks and mechanisms through which new candidates are considered and selected?
- Is there gender bias or imbalance in the networks/avenues through which potential candidates are identified?
- Does the board have in place a skills matrix to identify and address any skills gaps through board member recruitment?
- If the skills matrix exists, how often is it updated?

By gathering responses to these questions, companies will have a better overview of the level and extent of the current board's gender diversity and whether there are policies or board self-assessments in place to support increased gender diversity. Analysis of the results will highlight gaps and reveal areas to address, monitor, and sustain.

**TOOL 1.7:****Checklist for Building a Gender-Diverse Board**

► **GOAL:** Increase board gender diversity

► **TARGET UNIT:** Executive Board

The checklist that follows can help improve gender diversity on boards by changing the way in which candidates are identified, selected, and held accountable for performance. The strategies listed here are designed for boards but can also be used across the organization, as led by the board. Based on the findings of Tool 1.6, you can customize this list according to your needs.<sup>60</sup>

- **Develop a strategy for improving gender diversity on the board:** Activities can include any of the actions listed here, outlined with clear timelines and accountabilities. They should align with gender diversity policies in the company.
  - » Formalize a commitment to achieving gender diversity on the board. This does not have to include a quota, but the chairman of the board should be encouraged to make a public or internal commitment to gender diversity and hold board members accountable.
  - » Commit to minimum gender diversity targets in candidate pools.
  - » Require search firms to meet minimum gender diversity targets in their proposed candidate pools.
  - » Require the nominations committee to report on measures taken to address gender diversity in the recruitment process.
  - » Adopt long-term strategies to support development of a gender-diverse pool of candidates. This can include identifying mechanisms through which the board can proactively support the development of future female board candidates, for instance by developing mentorship, training, and networking opportunities that reach out to female candidates.
  - » Appoint a board-level champion for this work.
- **Monitor and modify board practices to support gender diversity:**
  - » Maintain an up-to-date skills matrix for necessary board member skills, keep an updated record of how current board members' skills complement the matrix, and use this record to guide recruitment of new board members.
  - » Consider term limits for board members to promote turnover and potentially disrupt social networks that often favor men over women in senior management and corporate governance positions.

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<sup>60</sup> This checklist draws on the ICGN guidance.

- » Provide board member training to increase awareness of the importance of gender diversity and the benefits for the company at all levels.
- » Include gender diversity as a key agenda item and in KPIs of the board as a whole and of individual board members.
- **Promote gender diversity throughout the company:** As noted, the board's gender diversity strategy should align with the company's organization-wide gender diversity strategy. The board should also take responsibility for assessing gender diversity in senior management, as well as reviewing gender diversity measures across operations.
- **Collaborate for improvement:**
  - » Network with other companies to discuss successes and challenges with gender mainstreaming.<sup>61</sup>
- **Develop metrics for board performance:**
  - » Identify metrics to monitor performance of the board as a whole, as well as of individual members. These can include attendance, likelihood of sanction for non-performance, and company performance. Share the metrics and communicate results to shareholders.
  - » Demonstrate public accountability for gender diversity on the board and commit to transparency.
- **Make a public commitment:**
  - » It may take time to develop a pipeline and identify suitable candidates for a gender-diverse board. Still, boards can start the process immediately by adopting a commitment to gender diversity and communicating this commitment in board documents and other key corporate reporting formats.
  - » Disclose current gender diversity status and action plans for improving gender diversity at the board level and in annual reports to shareholders as well as throughout the organization.

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<sup>61</sup> Catalyst, "Leader to Leader: How to Transform the Boardroom from the Inside," New York: 2014.

**TOOL 1.8:****Checklist for Monitoring and Sustaining Gender-Diverse Boards**

► **GOAL:** Increase board gender diversity

► **TARGET UNIT:** Executive Board

After the initial stocktaking and actions to increase gender diversity on boards, use the following activities to monitor and sustain progress towards a gender-equitable board.

**Monitoring and Sustainability Stocktaking**

Conduct stocktaking at defined intervals, as appropriate, depending on board size and turnover. This exercise should look at:

- The level of gender diversity on the board, including ratio of women to men in decision-making roles
- Improvements in gender diversity in shortlists for recent board positions
- Existence of board-level gender diversity policy
- Presence of a board committee dedicated to monitoring and enacting the gender diversity action plan: How often does it meet? How is it held accountable?
- Existence of regular board communication with the company and shareholders about progress on the gender diversity action plan
- Existence of routine board evaluations, for the board as a whole and of individual board members: Are members being held accountable for their performance?

**Periodic Actions**

These actions should take place on a periodic basis to ensure that the gender diversification strategy remains the right fit for the organizations.

- Review skills matrix to ensure fit with current board needs
- Review board member skills
  - » Compare against skills matrix
  - » Identify new gaps that may have emerged
  - » Identify gaps that were filled through changes in board membership
- Review gender diversity action plan
  - » Ensure alignment between board plan and company-wide policies

- Report results of gender stocktaking and progress on gender diversity action plan
  - » Include board and company-wide results
  - » Report to shareholders
  - » Communicate results throughout the company

### **BOX 1-C Monitoring Gender Performance as Part of Sustainability Reporting**

The Global Reporting Initiative is an international multi-stakeholder network housed in the United Nations Environment Program.

GRI has developed a widely used framework for sustainability reporting. It includes gender as a key dimension for reporting, to understand gender distribution and to maximize use of labor and talent. Gender is incorporated in GRI's reporting standards on:

- Executive committees
- Employees
- Employment type
- Wages
- How employees use parental leave
- Injuries
- Occupational diseases
- Absenteeism and work-related fatalities
- Employee training
- Performance evaluations
- Incidences of discrimination and corrective actions taken
- Gender considerations in social impact assessments

For executive-level responsibilities, GRI requires reporting on the composition of the highest corporate governance body and committee by gender (For more, see Consolidated Set of GRI Sustainability Reporting Standards 2016).

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## TOOLS 1.9–1.16: Gender Diversity in Senior Management and Staff

### ASSESS AND PREPARE, ADDRESS, MONITOR AND SUSTAIN

This section includes several tools that will help you increase the number of female senior managers and staff in your workforce. As with the previous section, it is divided into the three stages of an effective process: assessing and preparing, addressing the issue, and monitoring and sustaining progress.

- **Assess and prepare:** Identifying and assessing key issues influencing gender diversity at all levels of the company is an important first step. Tool 1.9 provides guidance on designing an assessment that looks at all the issues influencing recruitment and retention of talented female staff—including any potential gender-related barriers to promotion.
- **Address:** Now that you have developed a baseline understanding of where you stand on gender equity, it is time to take action. Tools 1.10–1.15 provide guidance on improving the gender diversity of your workforce. Tools are organized by goal—recruitment, retention, and promotion—with an indication of the business units responsible for the proposed activities.
- **Monitor and sustain:** Developing strategies to monitor progress—as well as the effectiveness of training programs—will help ensure good returns on your gender diversity initiatives investments and that you have tangible evidence of improvement. Tools 1.15–1.16 provide guidance on monitoring and sustaining improvements.

“We need decent, powerful men to step up beside women to create a more gender equal world. The Male Champions of Change strategy is about male leaders advocating for and acting to advance gender equality. As one of the Male Champions of Change said: ‘Let’s not pretend that there aren’t already established norms that advantage men. Men invented the system. Men largely run the system. Men need to change the system.’”

— Elizabeth Broderick, former sex discrimination commissioner, Australia, and founder, Male Champions of Change

## TOOL 1.9: Terms of Reference for Pay Gap Study

- **GOAL:** Identify bias in compensation
- **TARGET UNIT:** Human Resources

To attract and retain a gender-diverse workforce, potential candidates need to be confident that they are being paid fairly for their work. “Equal pay for equal work” means that men and women will receive the same pay and same conditions for work of the same or similar job descriptions, and/or for jobs requiring similar levels of skill or qualification.<sup>62</sup> Pay equity is not only the right thing, it makes good business sense: paying all candidates equitably is important for retaining high performers, and developing a strong senior management pipeline.<sup>63</sup>

### BOX 1-D Defining the Gender Pay Gap

The International Labour Organization has developed a definition to describe gender inequalities in pay. According to the ILO:

*The gender pay gap measures the difference between male and female average earnings as a percentage of the male earnings. Overall, features such as differences in educational levels, qualifications, work experience, occupational category and hours worked account for the “explained” part of the gender pay gap. The remaining and more significant part, the “unexplained” portion of the pay gap, is attributable to the discrimination—conscious or unconscious—that is pervasive in workplaces.*

For more, see the ILO publication, *Pay Equity: A Key Driver of Gender Equality*.

Pay and related compensation should be set by the job function, not by the individual performing it. Bonus pay should be awarded according to a clear and transparent system, so that all staff understand the basis and metrics for bonus pay.<sup>64</sup>

A pay gap survey can help you identify differences in the ways in which men and women are being compensated for equivalent work. You may not even realize that you have a gender-related imbalance in pay, so pay gap surveys can be valuable tools for identifying and addressing issues. These surveys also can help to uncover other biases, such as lower wages for minority or local

<sup>62</sup> International Training Centre of the ILO, *Break Gender Stereotypes: Give Talent a Chance*, Brussels: European Commission, 2008, 54.

<sup>63</sup> ILO, *Pay Equity: A Key Driver of Gender Equality*, Geneva: ILO, 2015, 1.

<sup>64</sup> ILO, *Break Gender Stereotypes: Give Talent a Chance*, 54.

women. Pay gap surveys and follow-up actions are a straightforward way for companies to ensure that they can:

- Recruit and retain a diverse workforce
- Demonstrate a commitment to addressing gender imbalance
- Highlight their commitment to transparency, gender equity, and diversity

As part of planning your assessment, consider ways to make information available to employees and actions to take if pay gaps are revealed. Some countries are moving towards mandating transparency around pay gaps: Australia Germany, Austria, and Belgium have passed laws requiring companies of a certain size to publish pay gap information. The U.S. adopted a similar law in 2016. The U.K. is requiring companies with more than 250 employees to publish pay gap information by April 2018.<sup>65</sup>

Pay gap assessments can be complex and difficult. They require a look at multiple factors to identify areas in which men and women receive unequal pay for equal work. The model terms of reference provided here details the specific steps required to undertake such an assessment, which can be used for both internal and external purposes. The proposed approach divides the work into two main tasks, as follows:

- **Conduct a quick baseline on pay equity:** This can be incorporated as part of a broader gender audit, or can be conducted independently. Use these questions to build this baseline of the company's status on pay equity:<sup>66</sup>
  - » Is there a policy on equal pay for equal work?
  - » How have staff been informed of this policy?
  - » Is someone within the organization responsible for implementing this policy?
  - » Has the job evaluation metric been reviewed for gender bias?
  - » Has a pay gap review been conducted in the past to identify gaps in pay for equivalent work?
- **Conduct a pay gap survey:** The survey is a deeper dive to identify jobs or job families where men and women are not earning equitably. It helps uncover challenges or bottlenecks getting in the way of equal pay for equal work. The survey should identify target areas for improvement and potential actions to take. See below for a model terms of reference for a consultant who could conduct the survey, with the goal of identifying jobs or job families within the company in which men and women are not earning equal pay for equal work.

<sup>65</sup> Lucy Meakin, "Britain's Gender Pay Gap is Under the Spotlight," *Bloomberg Business Week*, July 31, 2017 and UK Government, "Gender Pay Gap: Closing it Together," <https://genderpaygap.campaign.gov.uk/> (Updated December 1, 2017).

<sup>66</sup> Irish Congress of Trade Unions, *Negotiating for Equality— Gender and Pay Toolkit*, Dublin: ICTU, 37.

### BOX 1-E Are Your Male and Female Employees Earning Equal Pay for Equal Work?

Not sure? Here are two methodologies to help you find out:

- **ILO's Gender-Neutral Job Evaluation for Equal Pay** provides a step-by-step guide for companies to compare jobs and evaluate their value, based on a number of gender-neutral qualifications. This objective assessment of positions is a necessary step in the gender audit, to ensure that jobs typically held by women are not under-valued. For more see: ILO publication "Promoting Equity"
- **Logib:** The Swiss Federal Office for Gender Equality has developed the Logib statistical tool for company self-assessments. To complete the assessment, you will need to input pay, qualifications, and employment profile data for all employees. The tool is available for free download. Download the tool: <https://www.ebg.admin.ch/ebg/en/home/services/equal-pay-self-test-tool--logib.html>

## MODEL TERMS OF REFERENCE FOR A PAY GAP REVIEW

### Introduction

*[Outline rationale for conducting a pay gap review. Introduce steps taken thus far to develop a business case for gender equity, as well as other actions such as gender audits, management support, education and staff awareness-raising. Explain the context for the pay gap review and how results will be used.]*

Consultants retained to conduct the pay gap review will be called the “consultants” for the purposes of this ToR.

### Objective

The objective of the pay gap review is to identify gender-based disparities in compensation—including salary, benefits, and bonuses—awarded to men and women who hold equivalent jobs in the company. The review will identify gaps, try to identify the drivers of the disparities, and make suggestions for addressing the disparities.

### Scope of Work

The assessment will involve the following activities:

- Evaluate jobs across the organization to determine jobs of same or similar job descriptions, and/or jobs requiring similar levels of skill or qualification, so that jobs and salaries can be compared.
- Based on the jobs assessment, develop a methodology for evaluating salary data between and across job families to analyze salary by job and by gender and identify trends and pay disparities. Data should be controlled for years at the company, but findings should be analyzed by gender, age, and role. If the company wants to assess race-based pay gaps, data can

also be analyzed for ethnicity, race, and other relevant metrics. Data should be disaggregated between local and international hires and among work sites to highlight potential differences between headquarters and country offices, and from country office to country office.

- c. Analyze findings to identify pay biases or trends based on gender.
- d. Identify areas of gender bias, versus gender-correlated trends: For instance, is there a trend towards lower salaries for women because of gender bias or because many women have taken time out from working for family reasons, meaning fewer years of experience? The analysis should explore the extent to which such trends are justified as well as identify situations in which there is truly unfair bias, with no basis in a business rationale.
- e. Identify challenges and opportunities for addressing gender-based pay disparities.

## Deliverables

- a. Pay gap review methodology
- b. Pay gap review draft, to include the following components:
  - i. Introduction: Introduce the company, business case for gender equity, context for the gender audit, initiatives and programs already underway, management support, and plans for follow-up and implementation based on the audit.
  - ii. Summary of interviews conducted and business units reached, as well as methodologies used.
  - iii. Summary of findings and recommendations: Key findings and recommendations for addressing main challenges and capitalizing on opportunities.
  - iv. Results by business unit and priority area, as outlined in the scope of work, and any additional findings.
  - v. Detailed evaluation and proposed follow-up steps.
- c. Finalized pay gap review: Provide a final, revised version of the review that incorporates company feedback gathered during the review process.

## Reporting

Identify a contact person within the company, to whom the consultants will report and who can respond to questions they may have.

## Timeline

Identify timeline for the entire job, as well as for each of the specific deliverables.

## TOOL 1.10: Review Recruitment Procedures

- ▶ **GOAL:** Developing a gender-equitable hiring process and increasing gender diversity and inclusion in the workforce
- ▶ **TARGET UNITS:** Human Resources, Communications

To attract and hire the best candidates, regardless of gender, a recruitment process free from gender bias is key. The process also needs to highlight the opportunities for male and female employees. Tool 1.10 helps you to identify and address areas of potential bias in the recruitment process, so you can be successful in attracting top talent of both genders.

### ATTRACTING DIVERSE CANDIDATES

- Check job descriptions for biased terms or gendered language: Gender-inclusive terms are more likely to signal gender inclusivity, and opportunities for both men and women:<sup>67</sup>
  - » Do job descriptions use gendered (such as foreman) or gender-neutral language (such as foreperson)?
  - » Do they use gender-inclusive terms (foreperson)?<sup>68</sup>
- Revise job descriptions if necessary, to encourage gender diversity:
  - » Describe the job requirements, not the person who will fill the job (or previously filled it). For instance, for physically demanding jobs, describe the specific tasks, rather than describing a “physically fit” candidate.
  - » Clearly state required or desirable skills; state any formal training/qualifications required (but only require them when they are necessary for the job).
  - » Specifically state that the job is open to all.
  - » Highlight opportunities for career progression.
  - » Clarify whether a job requires standard on-site working hours, shift-work, and/or the potential for flexible work arrangements.<sup>69</sup>
- Review job announcements, advertisements, and recruiting materials (such as print, television, and radio advertisements), for gender-biased language:
  - » Do they present a gender-diverse and inclusive image?

<sup>67</sup> ICTU, *Negotiating for Equality—Gender and Pay Toolkit*, 62.

<sup>68</sup> Australian Human Rights Commission, *Women in Male Dominated Industries: A Toolkit of Strategies*, Sydney: Australian Human Rights Commission, 2013, 22.

<sup>69</sup> ILO, *Break Gender Stereotypes: Give Talent a Chance*, 50.



- » Are men and women featured?
- » Are both men and women featured in operational roles?
- » Are women featured in “non-traditional” roles?
- » Do voice-overs in radio and television feature both men and women?
- » Do the advertisements communicate that men and women can advance across a range of job families?
- Revise job advertisements and materials to present a more gender-inclusive and diverse image:
  - » Include men and women in a variety of roles.
  - » Use men’s and women’s voices.
  - » Highlight career development potential for both men and women.
- Review job applications for questions that may prompt gender bias:
  - » Applications should only ask for relevant information—and not request details such as marital status or age.
  - » Applications should include opportunities for candidates to highlight previous formal and informal work experiences that support their ability to do the job.<sup>70</sup>
- Review job selection criteria that may create bias. For instance, a question asking for years of experience might not directly impact skills or qualifications; however, it could put at a disadvantage male or female applicants who have taken time out of work for family reasons.<sup>71</sup>

<sup>70</sup> ILO, *Break Gender Stereotypes: Give Talent a Chance*, 50.

<sup>71</sup> ICTU, *Negotiating for Equality—Gender and Pay Toolkit*, 62.

## SELECTING THE RIGHT CANDIDATE: ADDRESSING BIAS IN SELECTION<sup>72</sup>

- Ensure gender diversity in recruitment/selection teams: Selection teams should include at least one male and one female of equal seniority.
- Conduct bias training with HR and selection teams: This will help to identify and combat hidden biases, such as what work is appropriate for women, or how periods of absence from the workforce are judged. Ensure all members of selection teams are aware of relevant legislation related to non-discrimination.
- Test HR staff and selection teams for implicit bias: The Harvard Women and Public Policy Program's Implicit Associations Test can help identify unconscious biases, such as associations between women and men and different types of work.
- Develop a standardized, transparent recruitment process: This will ensure that all applicants have equal opportunity. Providing detailed criteria for all advertised positions will reduce reliance on subjective questions of "proper fit."
- Set minimum targets for the number of shortlisted female candidates: If you are using a recruitment firm, make sure the firm knows about the targets and is held accountable for meeting them.
- Develop a policy on appropriate interview questions: Avoid questions regarding marital status, children, intent to have children, or sexual orientation.

## HIRING WOMEN CANDIDATES: SHOWING YOUR COMPANY IN THE BEST LIGHT

- Enable networking: Foster interaction between female candidates and female employees at all staff levels. Encourage discussion of opportunities for women in non-traditional roles.
- Highlight your company's emphasis on gender diversity: Inform all applicants of gender-related policies and programs in place, including HR policies, equal pay policies, female mentorship and leadership training, family-friendly policies.
- Request feedback from all applicants, particularly female applicants, to further improve the recruitment process.<sup>73</sup>

<sup>72</sup> This section draws on: Australian Human Rights Commission, *Women in Male-Dominated Industries: A Toolkit of Strategies*, and ILO, *Break Gender Stereotypes: Give Talent a Chance*.

<sup>73</sup> Australian Human Rights Commission, *Women in Male-Dominated Industries: A Toolkit of Strategies*, 38.

## TOOL 1.11: Set Gender Recruitment Targets

- ▶ **GOAL:** Developing a gender-equitable hiring process to increase gender diversity and inclusion in the workforce
- ▶ **TARGET UNITS:** Human Resources, Communications

### ABOUT GENDER DIVERSITY TARGETS

Gender diversity targets help companies measure progress towards gender equity goals. They increase coordination and strengthen commitment to meeting these equity goals. Targets can focus teams internally and enable benchmarking with other industry players.

While targets (and quotas) cannot address the underlying reasons for under-representation of women in particular parts of the workforce, they have been shown to be among the most effective means of addressing gaps in gender diversity.<sup>74</sup> “Targets with teeth” can significantly help companies to increase gender-equitable representation, especially at entry level. A three-year McKinsey study of 118 companies found that firms with targets were much more successful in recruiting entry-level female candidates than firms without targets.<sup>75</sup>

Targets should be specific and challenging. In addition to quantitative metrics, they should include qualitative indicators of the ways in which people work together—for instance, targets that signal a more respectful workplace, more inclusive meeting practices, and more flexibility in work arrangements. Metrics also might include indicators like decreased absenteeism and turnover, and higher employee satisfaction.<sup>76</sup>

### GUIDE TO DEVELOPING GENDER RECRUITMENT TARGETS

This step-by-step guide will help you creating gender recruitment targets.<sup>77</sup> For examples of the kinds of targets to set, see Table 1-H.

1. **Secure leadership support:** Is senior management supportive of setting targets and involved in the target-setting process? To build broader support for meeting targets and create momentum for reaching the targets, senior managers must publicly endorse the effort. Are gender diversity gains included in senior management performance evaluations?

<sup>74</sup> Catherine Macdonald, *The Role of Gender in the Extractive Industries*, Helsinki: UNU-Wider, 2017, 19.

<sup>75</sup> Women in Mining Canada, *Welcoming to Women: Action Plan for Canada’s Mining Employers*, 23.

<sup>76</sup> Women in Mining Canada, *Welcoming to Women: Action Plan for Canada’s Mining Employers*, 23.

<sup>77</sup> These steps based on: Australian Government Workplace Gender Equality Agency, “How to Set Gender Diversity Targets,” Canberra: Commonwealth Government of Australia, 2013.

2. **Develop a gender equity strategy (Tool 1.4):** Targets should be part of a broader gender equity strategy that includes the steps that will be taken to develop a gender-diverse work environment, and the specific actions to help achieve the recruitment targets. Targets cannot exist in the absence of a strategy to help achieve them.
3. **Establish targets:** Targets should be clearly defined (i.e. target gender ratios for particular positions). They can include immediate goals and longer-term targets, but they must be achievable, with small, incremental steps to enable effective progress. Targets should be discrete and measurable—for instance, retention rates for women following maternity leave, rather than trying to measure vague indicators such as “inclusive culture” or “diverse workforce.” Be sure that targets are:
  - a. **Accountable:** Ensure that managers and staff have the ability to advance progress towards targets and are held accountable for meeting them.
  - b. **Manageable:** Ensure that the targets relate to outcomes, strategies, and tactics that managers can actually control, so that managers can realistically be held accountable for meeting goals.
  - c. **Realistic:** Goals should be reasonable and achievable.
  - d. **Specific to the organization:** Targets are a great way for companies to benchmark themselves within the industry, and can be a way to demonstrate commitment and distinguish performance. Fundamentally, however, targets should be about the needs and goals of the company itself, so they should be based on the results of the gender audit. They should incorporate the analysis of recruitment and turnover data, and identified bottlenecks for gender-equitable recruitment and retention.
4. **Review and refine targets:** The target-setting process should include representatives from different business units, including staff and managers. After draft targets have been set, review targets with key staff, to ensure understanding and buy-in.
5. **Publicly communicate targets:** In addition to external communication through annual and quarterly reports, targets should be shared internally with staff. Communications should include the business case for a gender-diverse workforce, a description of the target-setting process, and detail on how they will be achieved.
  - a. **Establish accountability:** Identify the ways in which business units and individual managers will be held accountable for meeting recruitment targets. Specify training for selection teams to counter any bias.
  - b. **Create incentives:** In addition to accountability and incentives for managers, setting team incentives can contribute to organization-wide staff buy-in on the gender diversity front.

- c. Set up reporting systems: Ensure that reporting systems will capture progress as well as the impact of changing gender diversity.
- d. Disaggregate reporting to the departmental and/or business unit level, and ensure reporting is publicized, within the organization, and to all stakeholders.
- e. Establish systems for routine review: Review findings on an annual basis and identify areas for change and improvement.
- f. Follow up with additional gender audits: Survey staff on issues of organizational culture, bias, and ways to increase opportunities for recruitment and retention of women.

**TABLE 1-H** Setting Targets<sup>78</sup>

TYPE OF TARGET	TARGET
Gender equity in employment	<ul style="list-style-type: none"> <li>▶ Improve ratio of women to men in a given department from X to Y in the next two years</li> <li>▶ Increase ratio of women to men in senior management in the next two years</li> <li>▶ Bring retention rates of mid-career male and female staff to parity within the next two years</li> </ul>
Review HR policies and physical infrastructure	<ul style="list-style-type: none"> <li>▶ Review all job descriptions and recruitment materials related to positions in all departments for gender-discriminatory or discouraging language with the current fiscal year</li> <li>▶ Review HR policies regarding ergonomics, personal protective equipment (PPE), workplace safety, and equipment to ensure that these consider differences in safety needs between men and women</li> <li>▶ Ensure that all departments on site comply with HR policies on ergonomics, PPE, workplace safety, and equipment</li> <li>▶ Renovate all toilet and shower facilities to be code compliant within the current fiscal year</li> </ul>
Gender-inclusive work environment	<ul style="list-style-type: none"> <li>▶ In employee engagement surveys, improve parents' perceptions of acceptability of taking parental leave by XX percent:               <ul style="list-style-type: none"> <li>• Improve parity in perceptions on career development opportunities between male and female employees</li> <li>• Reduce perception gap by XX percent</li> </ul> </li> </ul>

<sup>78</sup> Women in Mining Canada, *Welcoming Women: An Action Plan for Canada's Mining Employers*, 76.

## TOOL 1.12:

### Checklist for Senior Leadership to Demonstrate Commitment

- ▶ **GOAL:** Demonstrate commitment to creating a gender-equitable work environment across the company and to shareholders
- ▶ **TARGET UNITS:** Human Resources, Senior Management, Training

Effectively supporting and developing gender diversity requires buy-in throughout an organization. Leadership at the executive level is a must for organizational change. A large-scale McKinsey study found that companies with leaders who demonstrated the behavior and commitments they were asking of their staff were five times more successful in making the change.<sup>79</sup> In addition, as

commitment to gender diversity becomes more important to shareholders, senior managers have an important role to play in communicating to them about the ways in which the company is advancing gender equity goals.

“Leadership support and endorsement are critical to fostering gender diversity and equality in an organization, which impacts the bottom line. Leaders have the power to influence key decisions, ensure that gender-smart policies are implemented throughout the organization, hold staff accountable, and pave the way for addressing corporate gender gaps in attracting and retaining the best talent. Leaders can also lead by example internally and externally and build partnerships.”

*Source: AmCham France and BIAC, “Putting All Our Minds to Work: Harnessing the Gender Dividend.”*

Senior managers can demonstrate their commitment and support in a number of ways, from how they communicate their buy-in, to the incentives they develop, to the internal and external programs in which they participate. This demonstrated commitment also includes putting in place accountability systems to ensure that staff throughout the organization are held responsible for organizational change. The check-list that follows provides a range of ways in which senior managers can use their own participation to demonstrate and encourage gender diversification throughout their organizations.

### SENIOR MANAGER CHECKLIST FOR DEMONSTRATING COMMITMENT TO GENDER DIVERSITY

#### Internal Commitment and Communication

- Communication and culture change

<sup>79</sup> Women in Mining Canada, *Welcoming Women: An Action Plan for Canada’s Mining Employers*, 26.

### BOX 1-F The Value of Mentoring

A 2006 study of Sun Microsystems by Gartner and Capital Analytics used statistical analysis to quantify the financial impact of mentoring. The study examined the progress of more than 1000 employees. Among the findings:

- **25 percent** of those who were provided with mentors had a salary grade change over a given period
- **5 percent** of those without mentors had a salary grade change over the same time period
- **28 percent** of mentors had a salary grade change compared to 5 percent in a non-mentor control group
- **72 percent** of mentorship participants were retained compared to 49 percent in a non-mentorship control group
- Mentees were promoted **five times more often** than a non-mentorship control group
- Mentors were promoted **six times more often** than non-mentor control group

Source: Knowledge @Wharton, "Workplace Loyalties Change, but the Value of Mentoring Doesn't" University of Pennsylvania, May 16, 2007.

- » In person and in writing, make a statement to all staff about the importance of gender diversity. Explain the business case and alignment with corporate priorities. The gender equity champion or gender equity task force could take the lead in this effort.
- » Explain all measures to be taken to support gender equity in the workplace. Ensure that staff understand the reasons that gender equity is a corporate priority. Be clear that the efforts are part of a plan for a stronger, more effective business model, rather than a plan to prioritize women over men.
- » Use corporate reporting materials to communicate the corporate position on gender diversity and the measures in place to all stakeholders.
- » Lead the push for organizational cultural change by taking a prominent and visible role in addressing gender diversity complaints or concerns and supporting transparency in handling all complaints.<sup>80</sup>
- » Spearhead the development of gender equity policies and publicly encourage uptake of these policies. CEOs can take the lead in driving the development and adoption of equal-pay-for-equal-work, flexwork policies, and maternity and paternity care, for instance. Most important, managers must foster a work environment that encourages staff to access such policies without jeopardizing their advancement.

<sup>80</sup> European Commission Network to Promote Women in Decision-Making in Politics and the Economy, "Working Paper: How to Engage Senior Men to Promote Women to Senior Decision-Making Positions in their Organizations," 5.

- Incentives
  - » Develop and support incentive programs for gender diversity, including financial incentives for managers and departmental awards for teams that meet gender diversity and work-life balance goals.<sup>81</sup>
  - » Personally present awards and highlight winners at company-wide events to demonstrate commitment and support.
- Accountability
  - » Appoint a senior executive point person for gender diversity, for example, at the senior vice president level who is accountable to the CEO. The senior point person can be male or female, but should have time allocated specifically for this role. Too often, this is confused with simply adding these responsibilities to the duties of to the company's highest ranking female executive.
  - » Appoint a gender diversity task force that includes heads of business units and other representatives of those units. The taskforce should work with the senior executive point person to identify challenges and opportunities, develop a common, organization-wide approach to supporting gender diversity along with goals and targets, and ensure monitoring and accountability for achievement of goals and targets.<sup>82</sup>
  - » Work with HR and senior management teams to set targets for increasing gender diversity in each business unit.
  - » Develop KPIs that include advancing gender diversity and establish accountability mechanisms to hold managers accountable for meeting targets.
- Leadership development
  - » Work with HR to set up women's leadership development programs, including mentorship, networking, and skills-building programs.
  - » Play an active role in these programs to demonstrate commitment.
  - » Create mentorship programs for junior staff, particularly female staff, with senior female staff where possible.

## External Commitment and Communication

- International gender equality agreements and pacts
  - » Demonstrate support and commitment by affiliating with global partnerships: Among the prominent international initiatives are the Women's Empowerment Principles, EDGE

<sup>81</sup> Australian Human Rights Commission, *Women in Male-Dominated Industries: A Toolkit of Strategies*, 52.

<sup>82</sup> Calvert Group Ltd, City of San Francisco Department on the Status of Women and Verité, "Gender Equality Principles," 2008, <http://www.genderprinciples.org/assess.php?elem=115>.

gender certification, Male Champions for Change, and HeforShe. See Box 1-G for more detail on these initiatives.<sup>83</sup>

- » Use tools and resources provided by these groups to meet the company's gender goals.
- International gender equality forums and events
  - » Participate in events to share knowledge and discuss progress on gender advancement. Participation in these events can present an opportunity to convey your company's gender equality commitments and actions, learn from others, and generate new ideas and partnerships for supporting gender equality. Among the more prominent events are those organized by the Clinton Global Initiative, ILO, the World Economic Forum, and the United Nations.
- Gender equity awards programs
  - » Support public relations efforts, recognize employees' efforts to promote gender equity, and enable the sharing of experiences by putting in place awards programs. Such awards also help position the company as an employer of choice for future employees. Here are a few examples of awards programs:
    - › WEP CEO Leadership Awards: The awards program of the Women's Empowerment Principles initiative recognizes concrete and innovative actions by CEOs to advance the Women's Empowerment Principles.<sup>84</sup>
    - › Catalyst Awards: These awards recognize efforts to support the recruitment, development, and advancement of all women, including diverse women. Qualifications for the award include a thorough examination of candidates' initiatives, including an onsite evaluation, to evaluate proven, measurable results that benefit women across a range of dimensions, such as race/ethnicity, sexual orientation, gender identity, religion, generation, nationality, disability, and indigenous or aboriginal peoples.<sup>85</sup>
    - › Business in the Community: This is the UK's most comprehensive workplace award for gender diversity. Participants receive customized feedback and recommendations to support improved performance, peer comparison, and a confidential score.<sup>86</sup>

<sup>83</sup> It is important to note the potential issues that can arise with male advocates/champions programs. In some instances, work with male champions has inadvertently overly highlighted differences in traditional roles between men and women, and the importance of women in the community specifically because of their important domestic roles. This can have the effect of reinforcing women's reproductive and domestic roles, rather than emphasizing the importance of equitable opportunities and equal rights. Male advocate/champion programs need to be designed carefully so they do not overemphasize the difference in roles and responsibilities, but rather to focus on the benefits of equality.

<sup>84</sup> Learn more about the WEP CEO Leadership Awards here: <http://wepprinciples.org/site/wepsleadershipawards/>.

<sup>85</sup> For more see: <http://www.catalyst.org/catalyst-award>.

<sup>86</sup> For more see: <https://www.bitc.org.uk/>.

## **BOX 1-G Global Gender Equality Compacts and Resources**

### **UN Global Compact: Women's Empowerment Principles CEO Statement**

The Women's Empowerment Principles are a partnership initiative of UN Women and UN Global Compact (UNGC), to help the private sector promote gender equality in the workplace, marketplace and community. As of 2017, over 1300 CEOs have signed the CEO Statement of Support, committing to employing the WEPs to advance gender equality. For more see: UN Global Compact, "Women's Empowerment Principles."

### **EDGE Gender Certification**

The EDGE Certification scheme is a leading gender equality certification. It helps companies demonstrate their commitment to gender equality. EDGE currently works with 170 organizations in 40 countries and 22 industries. For more see: EDGE Certification Program.

### **Male Champions for Change**

Gender is often mistaken for a women's issue, but gender equality concerns and benefits both men and women. In male-dominated industries such as oil, gas, and mining, male participation and commitment to gender equality is essential. The Male Champions for Change (MCC) program started in Australia, but has since been replicated in various countries and contexts. The program brings together influential male leaders to redefine the role of male champions for gender equality and to create a peer group of these leaders to support the work towards gender equality. In Australia, the founding MCC group now includes 30 CEOs, board directors, governmental, university and military leaders. The Australian MCC Coalition now includes 9 different groups, and 150 leaders. For more see: Male Champions of Change.

### **HeForShe Champions: Male Advocates for Gender Equality**

This initiative of UN Women provides a platform for men and boys to work as partners in achieving gender equality. The first HeforShe parity report was launched at the 2016 World Economic Forum, featuring key gender-related data from ten global companies whose CEOs have signed on to HeforShe's 10x10x10 program. The program is a pilot effort to engage global leaders from across government, the private sector, and academia in a commitment to advance gender equality. Participating companies included AccorHotels, Barclays, Koç Holding, McKinsey & Company, PricewaterhouseCoopers, Schneider Electric, Tupperware Brands, Twitter, Unilever, and Vodafone. The report included information on percentage of female employees, percentage of women in senior leadership roles and on the board, and the percentage of new hires who are women.

World Bank president Jim Yong Kim is a HeForShe thematic champion for international financial institutions. The World Bank Group has committed to achieving parity in senior leadership across the organization by 2020.

DeBeers Group CEO Bruce Cleaver is also a HeForShe champion. He has committed the company gender parity in senior leadership by 2020 and to investing in women micro-entrepreneurs and STEM students in Botswana, Canada, Namibia and South Africa. As part of its participation in this initiative, the company is promoting gender equality through its marketing campaigns. For more see: HeforShe.

**TOOL 1.13:****Develop Human Resources Policies to Support a Gender-Diverse Workforce**

► **GOAL:** Develop policies that promote retention of employees

► **TARGET UNIT:** Human Resources

To maintain a gender-diverse workforce, you will need to identify and develop policies that can help to make your workplace more attractive to both men and women. Examples include equal pay for equal work; policies aimed at creating a supportive work environment, such as zero tolerance for sexual harassment; parental leave policies; and policies outlining appropriate physical work environment. While these may reflect long-standing corporate values, it is important to have explicit and clear rules and guidelines that are communicated to and available for all staff.

Still, clearly communicated policies are not enough to ensure that all staff at all levels of the organization can rely on certain standards and conditions for employment. Senior-level leadership and accountability is critical so that staff feel comfortable acting on the established policies without reprisal or retribution.

Here is an overview of several key gender policies. Note that this is not a comprehensive list. Rather, the examples highlighted here serve to underscore important attributes of policy options to consider.

**EQUAL PAY FOR EQUAL WORK**

Equal pay for equal work means that men and women will receive the same pay and same conditions for work of the same or similar job descriptions, and/or for jobs requiring similar levels of skill or qualification. Globally, across many industries, there is a pay gap between men and women performing the same jobs.

To support equal pay for equal work, salary and related compensation should be set based on the job, not by the individual performing it, and should be standardized across positions. Bonus pay should also be awarded according to a clear and transparent system, so that all staff understand the basis and metrics for bonus pay.

**Ensure that Equivalent Jobs are Paid Equally**

Use job evaluation metrics to determine which jobs should be paid equally. Be sure to review these metrics for hidden gender bias. For instance, two jobs that are similarly physical, such as cleaning and janitorial, might be rated differently. The stereotypically male job of janitor could be deemed

more physically intensive than stereotypically female jobs of cleaning. Use the following criteria to review job classifications to ensure that equal work is rated for equal pay:<sup>87</sup>

- **Skill:** What training and skills are required to conduct this job?
- **Effort:** What is the physical or mental effort required to do this job?
- **Responsibility:** What responsibility does this job have over physical, financial, human, or technical resources?
- **Working conditions:** What are the physical, psychological, or other pressures associated with this job?

In addition, companies should undertake periodic gender pay gap assessments (Tool 1.9).

## DEVELOPING POLICIES TO SUPPORT WORK-LIFE BALANCE

By the nature of the work, oil, gas, and mining jobs are often in remote environments, frequently requiring fly-in/fly-out or shift work. This can create a challenging environment for employees with childcare responsibilities, which is a contributing factor to the traditional male domination in OGM industries. Research commissioned by a Rio Tinto subsidiary found that “traditional work scheduling practices and a lack of family friendly work policies were the key reasons why women were not attracted to mining.”<sup>88</sup>

Companies that want to attract and retain women—and support men’s engagement in domestic responsibilities—should consider ways to support a better balance between work and family life. Flexible work arrangements can help create more supportive and viable work options for men and women. They can increase satisfaction and productivity while also helping to attract and retain qualified candidates. In fact, at the Pilbara Mine in Australia, where Rio Tinto implemented a flexible work policy, site managers found that the new policies constituted what they called a “significant step” in attracting and retaining female employees.

Family-friendly workplace policies should apply equally to male and female employees. The goal of a gender-diverse workplace is not to prioritize either gender. Instead, the goal is to create equitable opportunities for men and women, including creating opportunities for men to take an active role in family care. Men and women should be equally encouraged and supported to take advantage of these policies. In evaluations of flexible work programs companies should be sure to look at both male and female uptake.

Companies also should take note of any legislative guidelines for flexible work. For instance, in Australia, the Fair Work Act 2009 requires companies to allow requests for flexible work arrange-

<sup>87</sup> ILO, *Break Gender Stereotypes: Give Talent a Chance*, 5.

<sup>88</sup> Rio Tinto, Rio Tinto in the US case study, 65, [http://www.riotinto.com/rio-apps/riotinto\\_operationmap/pdf/Case\\_study\\_11\\_Rio\\_Tinto\\_the\\_US.pdf](http://www.riotinto.com/rio-apps/riotinto_operationmap/pdf/Case_study_11_Rio_Tinto_the_US.pdf).

ments for employees with children under school age, who provide care for a family member (as per the 2010 Carer Recognition Act), who have a disability and/or dependents under the age of 18 with a disability, or who care for a family member experiencing intimate partner violence.<sup>89</sup>

Flexible work practices can take many forms and policies can include a range of flexible work arrangements, such as:

- Flexible hours (may be based around set core business hours)
- Compressed work week
- Telework, where appropriate
- Annualized hours
- Shift-swapping
- School-term work schedules
- Flexible Fly-In/Fly-Out (FIFO) roster length:
  - » Giving employees choice of roster length
  - » Accommodating ad hoc requests for short-term roster changes for personal needs
  - » Reviewing annual FIFO rotations to ensure employees do not miss special events in consecutive years
- Leave without pay for family or parental reasons

Flexible work should be used as a business arrangement to support qualified employees and make it easier for them to juggle multiple roles. Of course, flexible work arrangements will depend on the nature of the job. For instance, telework is clearly not feasible for operational mine work; however, other arrangements could be. Employers can maintain discretion over granting of flextime, but requests should be seriously considered, because it can help improve job satisfaction and retain staff. It is of critical importance that guidelines for requesting and granting flexible work arrangements are clear and transparent, with well-defined criteria for flexible work arrangements.

In addition to using such policies to spell out provisions for granting flexible work, they can also be deployed as a way to help employees transition back to full-time work following maternity/paternity leave or sick leave.

Other programs to enable better work-life balance include parental leave for both parents, relocation support for spouses, employer-supported child care, and on-site services like banking and laundry. Amenities such as lactation rooms and breastmilk coolers can make a real difference for new mothers, and can encourage them to return to work after maternity leave.

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<sup>89</sup> Tara Diamond, “The Rise of Flexible Work in the Resources Industry,” Carlton Victoria: AusIMM, 2016.



### Encourage the Uptake of Flexible Work Policies

This involves effort on multiple fronts:

- Setting the tone at the top: Managers should lead the way and demonstrate behavior that supports the uptake of flexible work policies. They should be trained in flexible work policies, including understanding the benefits of these programs to staff and to business units, and there should be oversight across units to ensure that programs are being implemented equitably.
- Develop informational campaigns about flexible work programs, targeting both men and women.
- Review performance evaluation criteria to ensure that employees who take flexible leave arrangements are not disadvantaged for promotions—for instance, by focusing performance reviews on outcomes rather than on hours worked.

## PARENTAL LEAVE POLICIES

In most countries, companies are required to provide some paid parental leave for new parents. Many of these regulations extend to mothers and fathers. Companies can support employees by reviewing parental leave policies to ensure that both men and women can take parental leave and that taking advantage of leave does not create a disadvantage for career advancement.

Parental leave policies should include:

- Length of paid leave for new mothers and fathers and length of any unpaid leave
- Notice period: Timeframe for notifying employers of intent to take leave, responsibilities in informing employers, and steps for managers to take to accommodate pregnant employees and parental leave
- Measures employers must take to find alternative job placements for pregnant/breastfeeding staff: This will depend on physical risk/health risk profile of pregnant employee's job.
- Starting point of leave: For example, at birth or prior to birth?
- Notice requirements to extend parental leave
- Protocol for communication/engagement during the leave period
- Timeline for discussing return to work
- Job coverage protocols: This includes assurances that staff can return to the same position and contingency planning when staff cannot return to the same position.
- Protocol for adoption of children and staff eligibility for parental leave<sup>90</sup>

Employees also have a responsibility to learn about their options and rights when requesting parental leave. To ensure this, consider periodic activities and events aimed at raising awareness.

### BOX 1-H Hot Seaters at the Boddington Gold Mine

At its Boddington Gold Mine in Australia, Newmont Mining Corporation is enabling increased flexibility for its staff. The Boddington Hot Seaters program trains local parents to drive heavy dump trucks so the company can replace full haulers with empty ones as quickly as possible.

These so-called “hot seaters,” can work during school hours so they can be available for their children and other home responsibilities after school. The program helped the mine increase its equipment operational time by nearly 160 hours. In 2012, the Western Australia Chamber of Mines recognized the company for its innovative program. It has been featured in a YouTube ad campaign to promote Australia's mining industry.<sup>91</sup>

<sup>90</sup> Australian Human Rights Commission, *Tool 4: Parental Leave Checklist for Employers*, Canberra: Australian Human Rights Commission, 2015.

<sup>91</sup> Minerals Council of Australia, “Case Study—Boddington Hot Seaters,” <http://www.minerals.org.au/resources/gold/employment>.

## GENDER-BASED VIOLENCE AND SEXUAL HARASSMENT POLICIES

Sexual harassment and gender-based violence can be issues in many workplaces. Given the remote location of many OGM projects and the often male-dominated workforce, however, sexual harassment and gender-based violence are particular concern for these industries. Strong sexual harassment and gender-based violence policies and training that address the behavior of employees on- and off-site are important prerequisites for establishing a corporate culture that does not tolerate sexual harassment or gender-based violence. They also contribute to a supportive and empowered environment in which men and women can work effectively together.

Given the importance of this topic, Tool Suite 4 is entirely focused on policies, activities and interventions to address sexual harassment and gender-based violence-related issues. It features draft model policies on sexual harassment and gender-based violence, an outline of the types of services that companies should consider establishing, and a draft code of conduct for on- and off-site employee behavior.

## REVIEW OF EMPLOYEE BENEFITS PROGRAMS

In addition to developing policies to specifically support women's engagement and gender equality, consider conducting a review of your employee benefit programs to ensure gender sensitivity. Such a review might include:

- **Health insurance policies:** To what extent are women's health care needs (including but not limited to birth control, prenatal care and post-natal care) addressed? When family members and dependents are eligible for care, are care options equally available for men and women?
- **Pensions:** For instance, are pension plans structured in such a way that women are not at a disadvantage because they take career breaks for family obligations?
- **Employer-supported childcare and elderly care:** Are childcare and elderly care policies gender-sensitized? Do childcare policies provide equitable parental leave for male and female employees?

**TOOL 1.14:****Developing Women's Careers and Leadership<sup>92</sup>**

► **GOAL:** Support gender- equitable career development and mobility

► **TARGET UNIT:** Training

Investments in training and activities to support women's career development will help ensure that your company will be able to take advantage of the gains from a gender-diverse workforce and management team—and that you will be successful in attracting and retaining women with management potential. Such efforts are particularly important in areas where gender gaps have been identified. These actions can include:

- Ensuring that women have equitable access to leadership development programs already being offered
- Offering programs specifically targeted at developing women leaders
- Developing programs that not only help create opportunities for women, but also help women to step into leadership roles and take advantage of professional opportunities
- Creating programs that raise awareness about the challenges women face so that supervisors/managers are equipped to proactively support training programs
- Offering company-wide inclusion training to create a more positive environment for diversity

While many tools in this tool suite focus on creating opportunities and an inclusive work culture, it is equally important to develop a cadre of leadership-ready women candidates who can take advantage of a more inclusive work culture. Activities to support women leaders can be undertaken in-house or by external partners, and can draw on successful examples being piloted by other OGM companies.

**OWNERSHIP OF TRAINING**

For training and development to be successful there should be a clear hierarchy of ownership, in which the gender equity champion reports directly into the company's senior executive, preferably the CEO. This signals a clear commitment to the goals set out by the organization, and removes bureaucracy that may impede programing. This ownership should also extend to the board, thereby ensuring continuous buy-in from shareholders.

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<sup>92</sup> This tool was developed in collaboration with The Humphrey Group, a Canadian-based firm specializing in leadership communication training, which also provided the material in Box 1-I.

## KEY SUPPORT STRUCTURES FOR TRAINING

In order for training and development initiatives to be successful, they require support across the company. These support structures should include:

- Board of directors
- CEO
- Executive leadership
- Gender equity champion
- Human resources department
- Participants' supervisors

## SUPPORT ACTIVITIES

Complementary activities should be in place to support internal initiatives. These include:

- Consistent communication about initiatives within the company, using mechanisms such as companywide quarterly emails, annual progress reports, and town halls, among others.
- Continuous engagement/visibility in training programs, using techniques such as program kickoffs, welcome letters, conferences, and summits.

## HARD AND SOFT SKILLS DEVELOPMENT

A lack of hard and soft skills often poses barriers that prevent more women from ascending to the ranks of leadership.

The mining industry is well-equipped to provide equitable hard—or technical—skills training opportunities for women. Training programs should take into account cultural norms which may mean that women have a relatively low level of baseline knowledge. They also should involve creating opportunities for women to pursue additional technical education, in either internal or external settings—and supporting them as they take advantage of such continuing education programs.

If there is a gender disparity in the ways in which employees make use of such programs, consider undertaking an assessment to understand the reasons for the disparity. Following the assessment, you can design interventions to increase women's participation, such as child care subsidies to support women's participation in continuing education. The training programs should be integrated into career planning and prioritized by supervisors. Integrating this type of training into annual objectives for women, tied to performance, is another way to ensure that hard skills development remains a priority.

Soft skills training represents an important area of development, particularly in the context of leadership competencies. It is critical to ensure that those responsible for women's development know how to support them and to ensure that women who have been identified for advancement can advocate for themselves and their abilities. Such training includes leadership training for supervisors and leaders of women and for women themselves.

### Leadership Training for Supervisors and Leaders of Women

Here, the focus is on cultivating an inclusive workplace culture. To do so, supervisors must understand the challenges many women face. Supervisors also need to understand the ways in which their own leadership and communication styles impact others and whether or not staff under their supervision feel supported. Among the areas to cover in such programs:

- Unconscious bias training
- Information on cultural nuances and gender in the context of leadership
- Leadership communication training

### Leadership Training for Women

To create a corporate culture in which women have a strong leadership identity, women's leadership initiatives should be multifaceted and mutually reinforcing. Program design should be based on barriers and needs identified by women within the organization. The activities proposed here focus on women already in the workforce.

As part of these efforts, consider reaching out to local communities to raise awareness about potential OGM careers and to encourage younger women into STEM sectors. Here are key features of leadership programs for women:

- **Vertical and horizontal integration:** Leadership development programs should span the entirety of an organization, from senior to junior levels and across different business units. This approach contributes to retention as well as recruitment, when new hires can have immediate access to programs. The senior-most female leaders in business units should play an active and visible role in training programs—specifically in the context of delivery. In doing so, junior women will be exposed to senior female role models. This exposure will help them develop strong leadership identities within a given corporate culture.
- **Networking opportunities:** Development programs should include opportunities for women to formally and informally network. Networking opportunities provide women with the opportunity to connect with other women who may face similar challenges and who can help them identify solutions to ongoing challenges. This could take the form of a formal organization-wide women's network, an annual women's leadership conference, or local women's chapters. Such networks should include an executive-level sponsor, country-level chapters, and yearly action plans.

- **Tiered training:** Typically, women are present at mid- and senior levels of leadership, in addition to a range of junior positions. As noted above, senior women should play an active and visible role in training; however, they too must be offered opportunities to develop their leadership competencies. Here, contracting for external training support is recommended, since professionals who specialize in leadership development can provide the greatest impact. This training should focus equally on leadership competencies for subordinates, peers, and more senior executives.
- **Mentorship and sponsorship:** Mentorships and sponsorships have proven an important element in the advancement of women in organizations. Your company's leadership development program should feature such opportunities as a component of the overall training initiative. Because mentorship serves as an important mechanism for retention, these opportunities should be made available to mid- to senior level women in particular, since this is where attrition rates are typically the highest. Senior mentors should have accountability for progress of mentees, according to an agreed set of criteria.<sup>93</sup> While these programs can be developed between senior and more junior women, also think about mentorship and sponsorship programs that work across gender, to ensure that young men and women have equitable support in their career growth. Examples of successful programs include PepsiCo's Power Pairs, which teams up senior leaders with more junior women of color to increase racial and gender diversity in the leadership development pipeline.
- **Leadership opportunities:** Development programs also should include opportunities for high-potential women to showcase their skills and abilities to the executive leadership. Visibility is a critical component of career advancement. Many women, in particular, have little exposure to the upper echelons of leadership, particularly mid-level female employees. Opportunities such as presentations to senior leaders heighten promising women's visibility, while providing valuable experiences that build confidence.

## AREAS OF TRAINING FOCUS

Leadership training programs should cover a range of topics and subject matter. Among the key areas are communications and career management.

### Effective Communication Skills

Strong communication skills are a fundamental leadership competency. To navigate corporate culture, women must have the tools to advocate for themselves and their ideas in a manner that resonates with those in power. Cultural norms—and the resulting socialization—often discourage

<sup>93</sup> This section draws on Women in Mining Canada, *Welcoming to Women: An Action Plan for Canada's Mining Employers*.

women from doing so, either in the home or in the workplace. Leadership communication training gives women the tools to influence at all levels of an organization, from delivering presentations to chairing meetings. By developing effective communication skills, women are perceived as leaders. This training should include:

- An understanding of optimal ways to address diverse and often male-dominated audiences in an influential manner
- Tools to speak and write in an effective and organized fashion: For instance, how to avoid habits that position women as subordinates
- Vocal training that encourages women to speak more effectively when surrounded by men
- Tools to help eliminate minimizing behaviors that reinforce traditional dynamics of power: For instance, confident body language, conversational eye contact, measured pace, and confident expression

By encouraging the application of these skills on a daily basis, the training can help reinforce positive leadership perceptions, which are critical to women's advancement through the career ranks.

Companies such as Goldcorp have seen positive results from such training. The Creating Choices program, developed by Goldcorp women for Goldcorp women, aims to build self-confidence and leadership skills. It has helped women take advantage of professional opportunities available in the company. See Box 1-I for more on this program.

### Career Management

Career management is an important area of leadership development. Women should have access to formal training on this issue. Career management is often supported by the human resources department, however, supervisors also should play an active role in helping women build their short- and long-term career plans, as well as strategies that balance work goals and personal responsibilities. This training also might include ways to communicate career goals to senior leaders. In addition to comprehensive career planning, women should have opportunities for out-of-office experiences, such as job shadowing.

Because women consistently cite tension between work and personal responsibilities as a barrier to advancement, the issue of work-life balance should be included in career management planning. Training in this area should include guidance on ways to navigate responsibilities and communicate effectively about personal and professional needs.



### **BOX 1-I Partnership with Humphrey Group Helps Goldcorp Build its Female Talent Pipeline**

Launched in 2011 for Goldcorp's Latin American operations, Creating Choices is an in-house training, development, and mentoring program for women. A unique collaboration between the company and The Humphrey Group, a Canada-based consultancy specializing in leadership communication training, the program was piloted with a small number of women, who provided comprehensive feedback on program design and delivery before company rollout. Following the pilot, the program was delivered by women at Goldcorp who were trained by The Humphrey Group experts. In doing so, the trainers assumed a leadership role in developing other women and serving as role models. Because these in-house facilitators have inside knowledge of the challenges the participants face and a deep understanding of the company's unique corporate culture, they were well-positioned to customize examples and feedback, enabling more effective training that has helped women at Goldcorp succeed.

#### **Concern about lack of female advancement a catalyst for change**

In such a male-dominated industry, Goldcorp recognized that the progress of women was often inhibited not merely by a lack of roles, but by a lack of confidence in speaking up, sharing opinions, and making decisions—as well as the limited number of women with the requisite leadership skills. Company leaders realized that empowering women and achieving the associated business was merely a matter of creating more opportunities for women. Instead, it would require a sustained effort to train and support female employees so they could prepare to step into those roles.

Goldcorp realized it needed assistance from experts. The company brought in The Humphrey Group, a longstanding champion of diversity and inclusion. Its Taking the Stage program has been delivered to over 500,000 women around the world and formed the basis for Goldcorp's Creating Choices program.

The Creating Choices program includes six modules: Building self-esteem; Daring to Dream; Choosing to take the Stage; Unlocking the Power of your Voice; Creating a Leader's Script; and Achieving the Presence of a Leader.

It addresses the unique challenges for women in the mining industry and helps Goldcorp's female employees develop the skills to advance and contribute to company success.

Course materials for the train-the-trainer program include participant guides, a facilitator guide, and videos to support the learning for the modules. The guides also feature exercises for each module to allow participants to practice and receive individual feedback from the facilitator and their peers.

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### **Second program builds on initial success**

Building on the success of Creating Choices, Goldcorp again partnered with The Humphrey Group to design a second program offered to graduates called Growing Choices, in which participants learn to apply the skills developed in Creating Choices to successfully navigate corporate structures. During the course, they learn to brand themselves as leaders and plan and realize career advancement.

These programs are complemented by a comprehensive mentoring program, which includes male and female mentors, in addition to a women's conference to celebrate the company's gender diversity accomplishments. Creating Choices and Growing Choices are open to women at any level of the organization, including interns. Both are offered on the worksite, in local languages.

### **Company-wide roll-out reaches 1,700 female employees**

Initially aimed at female employees of Goldcorp's Latin American operations, Creating Choices has since been rolled out across the company, reaching more than 1700 women to date.

The positive impact has been significant. In a 2014 impact assessment female participants reported increased confidence, and greater willingness to express opinions. They also said they felt more supported in the pursuit of professional and personal goals. Of note, supervisors reported tangible upticks in participants' leadership skills and confidence, resulting in better work quality and productivity. Among the specific improvements noted by supervisors: enhanced communication among peers, greater confidence and independence in expressing opinions and making decisions, and heightened focus on career advancement at the company. Participants also were more likely to set personal and professional goals, such as pursuing advanced degrees and training. A follow up assessment in 2017 revealed similar findings.

*For more information, see: GoldCorp's 2016 Sustainability Report, <http://csr.goldcorp.com/2016/our-people/diversity-and-inclusion>*

## TOOL 1.15: Monitoring, Evaluation, and Reporting

► **GOAL:** Track and support gender-diversity progress

► **TARGET UNIT:** Training

Developing strategies for monitoring indicators, rewarding growth, and promoting sustained progress will help ensure that you can effectively track your gender diversity gains and continue to improve.

### MONITORING

The first step for any monitoring strategy is to ensure that SMART (specific, measurable, agreed-upon/accountable, realistic, and time-based) targets are in place. Everyone in the company should be aware of the targets, and understand their role in helping to meet them, as well as accountabilities and responsibilities.

Next, companies need to determine the monitoring approach and frequency. How will progress towards targets be reviewed? How often? What measurement instruments will be used? Many of these instruments can be used multiple times, from the initial assessment to subsequent monitoring and evaluation. Here is a suggested monitoring schedule:

#### Quarterly Monitoring

Recurring data collection should include:

- Recruitment: Gender ratios of job applicants, shortlists, new hires
- Promotion: Gender ratios on promotions for positions with qualified male and female applicants
- Gender ratio in requests for telework and status of telework requests
- Percentage of women at each staff level, and in each job description

#### Yearly Monitoring

This annual exercise should include:

- Abridged gender audit: Include a selection of questions from the initial gender audit based on corporate priorities, as well as a review of the physical environment.
- Follow-up pay gap study: Use same metrics as in original and evaluate change
- Review recruitment materials and advertisements and review targets for women's representation on recruitment shortlists

- Review performance reviews: Track changes in KPIs on gender
- Track number, frequency, and attendance for gender-related training activities
- Track reports of sexual harassment, and use of ombuds services
- Review uptake of flexible work arrangements by gender
- Review uptake of mentorship and professional development programs by gender
- Conduct additional monitoring to comply with the Global Reporting Initiative

## Biennial Monitoring

- Repeat full gender audit

After determining your monitoring approach and setting a schedule, the next step is to decide on reporting responsibilities for each of the metrics. Assign appropriate units, designate specific measuring instruments to use, stipulate presentation format for results and set a timeline for completion. Led by the gender champion, the gender equity task force should take charge of gathering all results.

After pulling together all the information, the gender equity task force should review and analyze data to identify ways to improve and sustain positive results. The task force might be able to handle this task on its own, or the group may decide to bring on an expert consultant to assist.

For all of the metrics examined above, review accountability: are responsible team leaders aware of and trained on the progress they are trying to achieve? What kinds of specific accountability mechanisms are in place? For example, are results discussed during performance evaluations? Are results linked to bonuses?

In addition, the monitoring process should include a look at whether incentives are in place for teams and their managers to support continued investment in progress and a sense of shared benefit and accomplishment.

**TOOL 1.16:****Monitor and Sustain Training Programs for Gender-Equitable Career Development<sup>94</sup>**

► **GOAL:** Monitor and support training programs

► **TARGET UNIT:** Training

To ensure the success of training programs, monitoring and sustainment of learning is essential. Regardless of the type of training (hard or soft skills), deliverables should be measured against gender diversity goals set out by the organization.

**MONITOR**

To ensure the effectiveness of training programs, companies should focus their monitoring efforts in three ways, as follows:

- **Corporate-wide monitoring:** Qualitative and quantitative monitoring should take place throughout the duration of training. Training deliverables should be integrated into corporate KPIs. In some cases, this may mean redesigning KPIs or adding new KPIs to existing structures. By integrating these training deliverables into formal performance indicators, the monitoring process is made easier. Such monitoring systems make it easier to measure progress on gender goals, such as the number of females promoted to senior leadership within the year.
- **Informal, case-by-case monitoring of participant development:** Managers/supervisors of training participants should provide qualitative feedback on development, both formally and informally. At a minimum, managers should provide feedback on retention and application of training deliverables as they conduct performance reviews. This feedback will support the monitoring data captured by the human resources department. In addition, it holds managers more accountable for ensuring learning retention and application.
- **Program monitoring:** Continuous monitoring of the training programs themselves is important. This ensures that the training offered continues to meet the needs of participants—needs that can change over time. Comprehensive program feedback forms and monitoring of delivery systems enable better control over content and help identify the kinds of changes necessary to ensure continued relevance of learning modules.

<sup>94</sup> The Humphrey Group developed this tool.

## SUSTAIN

Maintaining, internalizing, and building on skills learned is an essential investment in training. The easiest way to ensure skills sustainability is to create multiple and mutually reinforcing touchpoints.

- **Managers/supervisors:** They must play a central role in reinforcing new learning. This means having an understanding of program content so they can support participants as learned skills are applied. Inclusivity leadership training helps sustain the gains from soft skills training.
- **Reinforcement systems:** Formal mentorship/sponsorship programs help reinforce the learning and contribute to sustaining gains. They give participants the opportunity to test out and review the skills learned. Such programs also provide valuable exposure to senior decision makers who could advocate on behalf of their mentees in the future.
- **Continuing networking opportunities at local, regional, and global levels:** This allows on-going interaction among participants long after the training has ended. Such opportunities are particularly important for both hard and soft skills development, because they enable the sharing of best practices, lessons learned, and feedback. Summits for high-potential leaders provide similar opportunities to continue conversations around learning while acknowledging the accomplishments of successful women.
- **Community engagement:** Tension between personal and professional spheres can sometimes create barriers to women's advancement. Engaging the community through education in the types of programs being offered can reduce this tension. Emphasis here should be on hard skills training that falls outside traditional roles for women, leadership skills, and communication training. Engaging with the community on these themes can help ensure the appropriate framing, given the local context.
- **External feedback:** Engaging with the community helps create a feedback loop into the organization. In this way, community engagement is clearly linked to the bottom line, demonstrating the business case for investment. Companies can offer soft skills workshops on topics such as inclusivity, leadership, and communication training to local schools as a part of their community investment initiatives. In doing so, they empower potential employees with the skills needed to be successful if they are hired in the future.

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## Selected Resources for Further Reading

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## TOOL SUITE 2

## UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS

A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies

# WOMEN-OWNED BUSINESSES AND THE SUPPLY CHAIN



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## **UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS**

A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies

# WOMEN-OWNED BUSINESSES AND THE SUPPLY CHAIN

Tools to help companies identify and develop women-owned suppliers  
and suppliers with significant numbers of female employees





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## ABBREVIATIONS AND ACRONYMS

**ARPEL** Regional Association of Oil, Gas, and Biofuels Sector Companies in Latin America and the Caribbean

**ASM** Artisanal and Small-Scale Mining

**(PNG) BCFW** Papua New Guinea Business Coalition for Women

**BIAC** Business and Industry Advisory Committee to the OECD

**CEO** Chief Executive Officer

**EI** Extractive Industries

**FIFO** Fly-In, Fly-Out

**FSV** Family and Sexual Violence

**GBV** Gender-Based Violence

**GDP** Gross Domestic Product

**GRM** Grievance Redress Mechanism

**HIV** Human Immunodeficiency Virus

**HR** Human Resources

**HREOC** Australian Human Rights and Equal Opportunity Commission

**HQ** Headquarters

**IFC** International Finance Corporation

**IPV** Intimate Partner Violence

**KDP** Kecamatan Development Project

**KPIs** Key Performance Indicators

**MOB** Men-Owned Business

**NGOs** Non-Governmental Organizations

**OECD** Organization for Economic Cooperation and Development

**OGM** Oil, Gas, and Mining

**PNG** Papua New Guinea

**RFX** Summary acronym that includes Request for Information (RFI), Request for Proposal (RFP), Request for Quote (RFQ), and Request for Bid (RFB)

**ROI** Return on Investment

**RTMP** Rio Tinto Management Peru

**SEC** US Securities and Exchange Commission

**SH** Sexual Harassment

**STEM** Science Technology Engineering and Mathematics

**TOR** Terms of Reference

**UNCC** United Nations Global Compact

**WGEA** Australia's Workplace Gender Equality Agency

**WEP** Women's Empowerment Principles

**WOB** Women-Owned Business

## APPLICABLE IFC PERFORMANCE STANDARDS

### **Performance Standard 1.** Environmental and Social Sustainability

Where they can reasonably exercise control, employers are responsible for the risks and impacts associated with their supply chain.

### **Performance Standard 2.** Labor and Working Conditions

This standard addresses (but is not limited to) the obligation of companies to promote fair treatment and non-discrimination of workers, to promote compliance with national employment and labor law, and to promote health and safety of works. These standards include for workers employed by third parties, i.e. in the supply chain.<sup>1</sup>

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<sup>1</sup> IFC Performance Standards on Environmental and Social Sustainability, January 1, 2012; IFC Guidance Note 2: Labor and Working Conditions, January 1, 2012.

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## **OVERVIEW:** OGM Supply Chains, Local Procurement, and Women-Owned Businesses

Oil, gas, and mining companies typically work closely with a range of subcontractors—from small local firms, to larger national or international partners. Many OGM companies already prioritize local contracting in their procurement plans and policies because they recognize the significant benefits that can come from working with local suppliers<sup>2</sup>—not only does it support local economic development; it also fosters local innovation, entrepreneurship, and competition.

By working with local suppliers, companies can demonstrate their commitment to local growth and partnership. While developing a local supply chain can often be limited by existing local capacity and can require a significant capacity-building investment on the part of firms, a diverse supply chain that includes women-owned businesses can help companies strengthen their supply chain, reduce procurement costs, and lower overall costs.

### **Reasons for the Lack of Diversity in OGM Supply Chains**

Representation of women-owned businesses in the OGM supply chain remains limited. Why is this? In local corporate procurement, several contributing factors are at play. Companies have trouble identifying women-owned businesses that are locally owned and that meet their procurement needs. Companies also do not see a business case for making the extra effort to reach out to women-owned businesses. In addition, companies might not know how to go about incorporating women into supply chains in a meaningful and cost-effective way.

On the supply side, one reason for the lack of engagement with women-owned businesses in the OGM supply chain could be that local women-owned businesses are typically small and often concentrated in just a few industry sectors. In many contexts, particularly where women have more limited access to finance, women-owned businesses struggle to meet procurement requirements for major companies. For example, smaller companies might struggle to provide all the services requested when the larger firm that is issuing bids bundles contracts together. Smaller companies also might not want to accept a job when the contract terms involve delays between completion of work and time of payment. On top of this, local women-owned businesses often lack access to the same business and community networks that male-owned businesses do, meaning that they might

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<sup>2</sup> Jackie VanderBrug, “The Global Rise of Female Entrepreneurs,” *Harvard Business Review*, September 4, 2013, <https://hbr.org/2013/09/global-rise-of-female-entrepreneurs>.

not know about upcoming tender opportunities and they might have a harder time competing against more networked competitors.

This tool suite outlines the benefits that can come with a gender-diverse supply chain and the reasons that a proactive gender-diverse supply chain policy can yield positive results. It offers strategies for companies that want to build stronger connections with women-owned businesses and increase the number of women-owned contractors in their supply chain. It also highlights ways that companies can support the development of local women-led businesses so they are procurement-ready for integration into the supply chain. (For additional information on developing local women-owned businesses through community engagement strategies, please see Tool 3.9 in Tool Suite 3: Gender and Community Engagement.)

“Small- and medium-sized enterprises (SMEs) have a huge potential for employment and wealth generation, but their participation in the capital-intensive O&G sectors has remained insignificant. A significant gap exists in opportunities for SMEs in the O&G sector, and it is even more accentuated for women-owned SMEs that generally have fewer resources.”

*Source: AmCham France and BIAC*

## THE BUSINESS CASE FOR SUPPLIER DIVERSIFICATION IN OGM INDUSTRIES

Supplier diversification—promoting the use of women-, local-, and minority-owned suppliers in the supply-chain—is becoming an increasingly important trend in procurement, because of the potential for positive bottom-line impact and for local community development. Studies have shown that companies that prioritize supplier diversity have a 133 percent greater return on procurement investments, spend 20 percent less on buying operations, and have considerably smaller procurement teams than those with lower supplier diversity.<sup>3</sup> According to the United Nations, supply chain diversity can:

- Increase competition and thus drive down costs between vendors
- Facilitate innovation and collaboration with smaller suppliers on more customized products
- Improve corporate reputation and relationships with the community<sup>4</sup>

Further evidence comes from a recent IFC study, which notes that women-led businesses in the supply chain “result in stronger and larger supplier networks that contribute to higher input quality and more competitive prices over time.”<sup>5</sup>

<sup>3</sup> IFC, “Women Entrepreneurs are Essential for Private Sector Development in Emerging Markets,” Washington, DC: IFC, 2015, 1.

<sup>4</sup> UN Women, *The Power of Procurement: How to Source from Women-Owned Businesses*, New York: UN Women, 2017, 29, <http://www.unwomen.org/en/digital-library/publications/2017/3/the-power-of-procurement#view>.

<sup>5</sup> IFC, “Putting Gender Smart Commitments into Practice: SheWorks One Year Progress Report,” Washington, DC: IFC, 2015, 4.

One reason for such convincing data is that globally, women-owned businesses are growing faster than male-led businesses. In fact, the number of women-owned firms in the United States grew twice as fast as all privately owned U.S. firms between 1997 and 2006. A growth in women-owned businesses increases options for companies looking for suppliers, which can help keep bottom-line costs down. Thus, companies that proactively encourage and support women-led businesses to compete for contracts have the opportunity to profit from this entrepreneurship and innovation boom.<sup>6</sup>

## **Good for Broader Economic Development**

In addition to reduced costs in procurement spend, supporting locally-owned (or as close as possible to the host community) women-led businesses produces broader benefits: community stability, growth, and economic development. All of this can yield positive dividends for company-community relationships.

Women are key community actors. Evidence shows that when women control the community's money, the more likely it is that the funds will be reinvested in families and to the benefit of the community. Some research shows that for every additional 1 percent of women's share in household wages, family savings can grow by approximately 25 percent. The conclusion here is that women-led businesses and businesses that benefit women through employment represent an important community development driver.<sup>7</sup> In fact, a report from Deloitte and BIAC cites Goldman Sachs estimates that closing the financing gap between male-led and female-led businesses in emerging economies would lead to 12 percent growth in per capita income in these countries by 2030.<sup>8</sup>

## **Challenges in Identifying and Supporting Women-Owned Businesses<sup>9</sup>**

Many companies have in place robust local procurement plans. They may go to great lengths to work with local women-owned businesses. Still, many companies face challenges finding and engaging with women-owned business. Some of these issues are detailed below.

### *Identifying Women-Owned Businesses*

Many companies report difficulties in identifying compliance-ready local women-owned businesses. Even in situations where larger, less-local women-owned enterprises exist, it can still be challenging to find competent, locally owned women-led firms.

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<sup>6</sup> Deloitte and BIAC, *Putting All Our Ideas to Work: Women and Entrepreneurship*, Paris: BIAC, 2015, 11; EY, "Scaling Up: Why Women-Owned Businesses Can Recharge the Global Economy," New York: EY, 2009, 4; IFC, "Putting Gender Smart Commitments into Practice," 4.

<sup>7</sup> IFC, "Putting Gender Smart Commitments into Practice;" EY, "Scaling Up: Why Women-Owned Businesses Can Recharge the Global Economy"; Carmen Niethammer, "Women, Entrepreneurship, and the Opportunity to Promote Development and Business," Washington, DC: Brookings, 2013, 31.

<sup>8</sup> Deloitte and BIAC, *Putting All Our Ideas to Work: Women and Entrepreneurship*, 11.

<sup>9</sup> IFC defines women-owned enterprises as having either: (a)  $\geq 51.0$  percent ownership/stake held by a woman/ women; OR (b)  $\geq 20.0$  percent ownership/stake held by a woman/women AND  $\geq 1$  woman as CEO/COO (president/vice-president) as well as a  $\geq 30.0$  percent female board of directors where a board exists. However, definitions can vary from country to country.

## **BOX 2-A SheTrades: Bringing Together Supply and Demand**

SheTrades is an initiative of the International Trade Center that brings together female entrepreneurs and suppliers, with the aim of connecting one million women entrepreneurs with markets by 2020.

It was created in response to concerns raised by corporations that they were having a hard time identifying suitable suppliers—and that this was getting in the way of increasing gender diversity in their supply chains.

Through the use of the SheTrades app, female entrepreneurs can connect with others, expand their networks, and internationalize their businesses, giving them increased visibility.

The app itself is the result of a global tech challenge, sponsored by SheTrades in partnership with Google and Brazilian tech firm CI&T. Greenbell Communications, a woman-owned Kenyan technology firm won the competition and created the SheTrades platform.

*For more information: [www.shetrades.com](http://www.shetrades.com)*

Research suggests that women-owned firms tend to be smaller and not as capital intensive. They also typically employ fewer people—all of which can make them harder to identify. The size differential compared to male-led firms is due to a variety of reasons, including different attitudes towards debt and risk, fewer business networks, and limited access to finance. Initiatives like SheTrades (see Box 2-A) aim to increase visibility of women-owned businesses.

Companies can improve outreach to local women-owned businesses by identifying the sectors in which women are more likely to own and operate companies. For example, a Canadian mining sector needs assessment aimed at uncovering opportunities for women-owned business in indigenous communities found several product and service areas where small women-owned businesses already existed. The assessment identified potential opportunities to increase companies' engagement with women-owned businesses in the following sectors:

- Translation and interpretation services, including into local dialects
- Training for mining company staff on intercultural communication and traditions
- Catering
- Sewing, particularly repairing uniforms
- Crafts: For instance, on-site craft shops, which would be frequented by fly-in fly-out (FIFO) workers who would purchase souvenirs or gifts

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<sup>10</sup> “Opportunities in Mining Procurement,” Pauktuutit Inuit Women in Business Network, <http://pauktuutit.ca/opportunities/needs-assessment/>.

- Logistical support
- Support for off-site events, and or/coordination of potential tourism and local excursions for fly-in/fly-out staff<sup>10</sup>

It is important to note here that this list is by no means exhaustive. Do not make the assumption that women-owned firms are limited to such services. Instead, use this as a starting point for your own outreach to potential women-owned business suppliers.

### *Limited Number of Women-Owned Firms*

In some markets, the reason for the difficulty in finding women-own businesses is that there might not be many such businesses, particularly in certain sectors. It is true that women-owned businesses face many of the same challenges as any other business. But there are added difficulties for these firms, particularly in certain countries, where women still face regulatory and legal barriers. In Kuwait, for instance, women are not permitted to work past 8 p.m. Women in Swaziland need the permission of a male relative for a range of tasks, like opening a bank account, getting a passport, or enforcing a contract. And women in Tanzania are sometimes prohibited from using land as collateral.<sup>11</sup>

Even where these restrictions do not apply, women often have a harder time accessing finance, which can limit entrepreneurship and business growth. Globally, 58 percent of women have bank accounts, compared to 65 percent of men.<sup>12</sup> They typically have lower levels of financial literacy. Women can be more debt-averse than men, which inhibits business start-ups.<sup>13</sup>

Women also face more subtle barriers. For instance, situations requiring social contacts and informal channels to access finance put women at a disadvantage, because in many contexts they may lack such networks.

In addition, women who live in certain places may be less mobile than men and may not have as much access to technology. According to IFC research, women are 25 percent less likely than men to have access to the Internet or own a mobile phone, both of which can create barriers to entrepreneurship in a technology-dependent world.<sup>14</sup>

Another limitation for female business owners is that while they may offer quality products, they may not have as much business experience or have the expertise to pursue business opportunities in optimal ways. This inexperience can compound their challenges in securing investors.<sup>15</sup>

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<sup>11</sup> EY, “Scaling Up: Why Women-Owned Businesses Can Recharge the Global Economy,” 10. Also see: World Bank Group, “Women Business and the Law: Getting to Equal,” Washington, DC: World Bank, 2015.

<sup>12</sup> World Bank, “The Global Index Database 2014,” Washington, DC: World Bank, 2015, 15.

<sup>13</sup> Niethammer, *Women, Entrepreneurship, and the Opportunity to Promote Development and Business*, 31.

<sup>14</sup> IFC, “Women Entrepreneurs are Essential for Private Sector Development in Emerging Markets,” Washington, DC: IFC, 2017, 1.

<sup>15</sup> IFC, “Women-Owned SMEs: A Business Opportunity for in Financial Institutions,” Washington, DC: IFC, 2014, 1 and 6. Also, Deloitte and BIAC, *Putting All Our Ideas to Work: Women and Entrepreneurship*, 3.

## BOX 2-B WEConnect: Global Network for Women-Owned Businesses

WEConnect International is a global network that connects women-owned businesses with supplier opportunities. Through the network, businesses that are majority-owned (minimum 51 percent), or managed and controlled by women are identified, trained, registered, and certified. The platform targets women-led businesses outside the U.S. It connects these businesses with corporate buyers, including major multinational corporations. Corporations can register on the WEConnect website to become corporate members and women-owned businesses can sign up to become certified suppliers.

For more information: [weconnectinternational.org](http://weconnectinternational.org)

## Initiatives to Identify and Foster Women-Owned Businesses

IFC supports a number of initiatives specifically to support growth and capacity-building of local women-owned businesses.<sup>16</sup> Among these efforts are the following:

- **Banking on Women program:** Through this program, IFC works to increase access to finance for women entrepreneurs. IFC uses its capital investment to help financial institutions support women entrepreneurs, works with non-traditional financial access mechanisms, supports women's engagement in value chains, and provides training and advisory services to support women-owned businesses. Banking on Women has \$2.5 billion committed to women-owned small and medium enterprises (SMEs), through financial intermediaries.<sup>17</sup>
- **Women Entrepreneurs Opportunity Facility:** IFC partners with Goldman Sachs on this program, which improves female entrepreneurs' access to capital, provides entrepreneurship training, and offers a global forum to promote best practices for women-owned SMEs. The facility also supports investment climate programs that promote partnerships between government and the private sector to make it easier to start and grow small businesses.<sup>18</sup>
- **Women's entrepreneurship training:** IFC research has found that many women's entrepreneurship training programs have limited results because they lack programs that build confidence, leadership, and presentation skills in addition to business skills development. The study also found that too few such programs include mentorship, sponsorship, and coaching or post-training support. Many failed to make a connection between training programs and access to financial products. To address these gaps, IFC has developed a customizable women's entrepreneurship training program, which was successfully piloted in Turkey and Palestine.<sup>19</sup>

<sup>16</sup> For more information, see the IFC Gender Secretariat website: [http://www.ifc.org/wps/wcm/connect/topics\\_ext\\_content/ifc\\_external\\_corporate\\_site/gender+at+ifc/priorities/entrepreneurship](http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/gender+at+ifc/priorities/entrepreneurship).

<sup>17</sup> IFC, "Banking on Women: Changing the Face of the Global Economy," <http://www.ifc.org/wps/wcm/connect/9be5a00041346745b077b8df0d0e71af/BOWfactsheet.pdf?MOD=AJPERES>.

<sup>18</sup> Entrepreneurship website, IFC; [http://www.ifc.org/wps/wcm/connect/Topics\\_Ext\\_Content/IFC\\_External\\_Corporate\\_Site/Gender+at+IFC/Priorities/Entrepreneurship/](http://www.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/Gender+at+IFC/Priorities/Entrepreneurship/) (Last updated April 13, 2017).

<sup>19</sup> IFC, "Women Entrepreneurs are Essential for Private Sector Development in Emerging Markets," 3.

- **SME Finance Forum:** IFC manages the Group of 20's SME Finance Forum, an initiative of its Global Partnership for Financial Inclusion. The forum is a platform for knowledge sharing, to help increase access to finance for SMEs.
- **Insurance:** IFC is spearheading an initiative to partner with private insurers and development donors to increase women's access to insurance, as a way to enhance women's financial stability and entrepreneurship.

In addition to IFC, other organizations such as the International Trade Center, with its SheTrades initiative (see Box 2-A), and WEConnect (see Box 2-B) are working to make it easier for companies to identify businesses that are verified as women-owned, and that meet certain capacity and scalability standards. By creating platforms and developing certifications, they are helping women-owned businesses and companies connect.<sup>20</sup>



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<sup>20</sup> Kara Valikai, "Why Bringing Women Owned Business into the Supply Chain Makes Business Sense," Devex, 2013, <https://www.devex.com/news/why-bringing-women-owned-business-into-the-supply-chain-makes-business-sense-82015>.

## Engaging with Women-Owned Suppliers

Given the benefits of working with women-owned companies, and the challenges outlined above, what additional steps can companies take to identify and/or help develop women-led suppliers?

This tool suite offers a set of effective actions, starting with a self-assessment on supply chain diversity. Additional actions include:

- Developing a gender-inclusive procurement policy to improve identification of and contracting with women-own businesses
- Hosting workshops or collaborating with partners like IFC to train local communities on starting businesses and applying for contracts, which will help cultivate more women-owned businesses
- Creating mentorship and development programs to help women-owned firms scale up to meet corporate needs

## Women-Owned Businesses and Employers-of-Choice for Women

It would be inaccurate to suggest that women cannot benefit from businesses owned by men, or that women-owned businesses necessarily benefit communities more than male-owned companies that employ substantial numbers of women. Still, the focus of this tool suite is on maximizing the business benefits of working with women-owned suppliers. The emphasis is on the business benefits of working with women-owned suppliers and on helping companies identify and develop such suppliers. Of note for corporate users of this tool suite, these efforts should be directed at increasing engagement with local women-owned businesses, not merely women-owned businesses that may have little or no connection to host communities.

This tool suite complements Tool Suite 1, which makes a clear case that companies with significant numbers of female employees may be more profitable and efficient, even if women are not the owners. Tool Suite 1 also includes techniques to ensure that companies' suppliers are sufficiently gender-diverse. Combined, the two tool suites provide the full range of guidance to ensure a gender-diverse supply chain, including use of women-owned contractors and suppliers with significant numbers of female employees.

“Women usually reinvest a much higher part of their earnings in their families and communities than men, spreading wealth and creating a positive impact on future development.”

— Otaviano Canuto, Vice President of the World Bank's Poverty Reduction and Economic Management Network



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## TOOL SUITE 2: Tools to Integrate Women-Owned and Gender-Diverse Businesses into the Supply Chain

Tool Suite 2 features 6 tools to help you identify and develop local women-owned suppliers and local suppliers with significant numbers of female employees. The tools provide detailed guidance for assessing the current state of diversity within your supply chain and ways to address the gaps, with an approach that also supports the development of local women-owned businesses.

It includes tools to:

- **Assess and prepare:** Assess your company's ability to understand and take action on gender gaps in your supply chain, and put in place staff, structures, and plans to address these gender issues. Tool 2.1 includes a sample self-assessment to help determine the current degree of engagement with women-owned businesses.
- **Address:** Take specific practical actions to increase gender diversity, inclusion, and gender-equitable opportunities in your supply chain. Tools 2.2–2.5 help you design your approach.
- **Monitor and sustain:** Monitor progress and institutionalize mechanisms to ensure continued improvement in your engagement with women-owned businesses. Tool 2.6 proposes indicators that will help you track, monitor, and sustain progress on your supply chain diversity goals.

See Table 2-A for an overview.

**TABLE 2-A** Overview of Tool Suite 2

TOOL	TARGET UNIT	GOAL
<b>ASSESS and PREPARE</b>		
<b>TOOL 2.1:</b> Self-Assessment of Supply Chain Diversity and Inclusion	Procurement	Assess current degree of engagement with women-owned businesses
<b>ADDRESS</b>		
<b>TOOL 2.2:</b> Developing the Business Case for Increasing Engagement with Women-Owned Businesses	Human Resources, Senior Management	Identify and present business case arguments for engagement with women-owned businesses
<b>TOOL 2.3:</b> Developing a Code of Conduct for Increasing Engagement with Women-Owned Businesses	Procurement	Establish a protocol and clear set of guidelines for increasing engagement with women-owned businesses
<b>TOOL 2.4:</b> Developing a Comprehensive Gender Diversity Supply Chain Program	Procurement	Create a comprehensive program that supports increased supply chain diversity
<b>TOOL 2.5:</b> Support Development of Local Women-Owned Businesses	Procurement, Community Affairs	Cultivate women-owned businesses that can support supply chain needs
<b>MONITOR and SUSTAIN</b>		
<b>TOOL 2.6:</b> Indicators to Monitor Progress on Supply Chain Gender Diversity Goals	Human Resources, Procurement, Senior Management	Track, monitor, and sustain progress on increased gender diversity in the supply chain

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## TOOL 2.1: Assess and Prepare

Conducting a self-assessment of your company's current level of engagement with women-owned businesses will help you uncover gaps and identify areas of focus for future actions and initiatives.

Tool 2.1 provides a model self-assessment, in the form of a scorecard that can be used for an initial internal stocktaking and to uncover bottlenecks in identifying and attracting women-owned suppliers. Results also can trigger a review of your supplier criteria, to ensure that they are not unfairly or unnecessarily excluding women-owned businesses. Use of the scorecard assumes the following:

- The company currently has some sort of procurement plan.
- The company collects data on supplier diversity.
- The company has a gender equity champion who can support integration of gender into procurement activities.

If you do not have a local procurement plan or procurement office, IFC's *A Guide to Getting Started in Local Procurement* offers important fundamentals.<sup>21</sup> The tools provided here complement this guide, with an approach for integrating the gender dimension into local procurement plans.

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<sup>21</sup> The guidance used to develop this tool includes: WEConnect International, "Global Supplier Diversity & Inclusion: Reaching the Gold Standard," 2015; UN Women, *The Power of Procurement: How to Source from Women-Owned Businesses*; and tools from the Royal Bank of Scotland.

**TOOL 2.1:****Self-Assessment of Supply Chain Diversity and Inclusion**

- ▶ **GOAL:** Assess current degree of engagement with women-owned businesses
- ▶ **TARGET UNIT:** Procurement

This scorecard tool helps companies assess the extent to which they currently engage with women-owned businesses in their supply chain. It also looks at the state of existing support for increased engagement with women-owned businesses, including what senior management is doing and what types of corporate systems are in place. It draws on guidance from IFC and other organizations.<sup>22</sup>

The scorecard lets you rank your current engagement with women-owned companies, your existing procurement policies, and the extent to which you currently support development of local women-owned suppliers.

**USING THE SCORECARD**

The scorecard looks at several aspects of the current procurement environment.

- **Current engagement with women-owned businesses as contractors and suppliers:** How many women-owned businesses are currently engaged as Tier 1 and Tier 2 suppliers? Are suppliers and subcontractors required to engage with women-owned businesses as subcontractors? Are they held accountable for this?
- **Awareness and outreach to women-owned businesses:** To what extent is the company aware of local women-owned businesses? How could they fit into the supply chain? To what extent is the company working to develop these opportunities?
- **Current procurement practices and criteria:** Does the company facilitate and incentivize working with women-owned businesses? To what extent does the procurement plan prioritize working with women-owned businesses? To what extent does the company monitor and incentivize working with women-owned businesses?
- **Corporate climate for prioritizing engagement with women-owned businesses:** How is management demonstrating leadership on the topic? What building blocks have been put in place to proactively support the strategy?
- **Monitoring and evaluation:** Does the company monitor engagement with women-owned businesses? If so, to what extent?

<sup>22</sup> Download the guide here: [http://www.ifc.org/wps/wcm/connect/03e40880488553ccb09cf26a6515bb18/IFC\\_LPPGuide\\_PDF20110708.pdf?MOD=AJPERES](http://www.ifc.org/wps/wcm/connect/03e40880488553ccb09cf26a6515bb18/IFC_LPPGuide_PDF20110708.pdf?MOD=AJPERES).

## Scoring

Score each of the criteria on a scale of 1–8.

- **1–2 points:** From zero activity to little activity
- **3–4 points:** From some work, but primarily in response to crisis, to some work, but not regular
- **5–6 points:** From regularly working on these issues, although not comprehensively, to working on these issues regularly and comprehensively
- **7–8 points:** From excellent implementation to outstanding implementation, including continuous feedback and improvement

Repeat this assessment every year to track progress. Use the results to reflect on progress and identify ways to improve engagement, either by updating procurement criteria, or through outreach to local women-owned businesses.

See tools 2.2–2.5 for specific guidance on how to address bottlenecks identified in the scorecard.

**TABLE 2-B** Gender Equity in Procurement Scorecard: Assessing the Supply Chain, Policies, and Activities

### CURRENT ENGAGEMENT WITH WOMEN-OWNED BUSINESSES AS CONTRACTORS AND SUPPLIERS

#### ▼ SCORE 1–8 SCALE (1 is low; 8 is high)

	Assess the current ratio of Tier 1 women-owned suppliers/contractors compared to all Tier 1 suppliers/contractors
	Assess the ratio of company spend with women-owned businesses compared to total company supply/contracting spend

*TIPS: For additional assessment and deeper understanding:*

- Break down women-owned businesses spend ratio by department
- Identify departments with the highest and lowest ratio of spending with women-owned businesses.
- Identify reasons for departmental disparities

### AWARENESS AND OUTREACH TO WOMEN-OWNED BUSINESSES

#### ▼ SCORE 1–8 SCALE (1 is low; 8 is high)

	Does the company maintain (or have access to, through a chamber of commerce or other entity) a current database of local, regional, and national women-owned businesses that meet supplier criteria?
	Is the database updated regularly? Would it be updated if supplier criteria get updated?
	Does the database identify key services or sectors where women-owned businesses are clustered?
	In a standard RFX, does the company currently include any language encouraging women-owned businesses to apply?
	In vendor outreach activities, does the company take steps to include women-owned businesses or to target sectors where there is a cluster of women-owned businesses?

	Has the company conducted any assessment/inventory/analysis to identify viable local women-owned businesses as suppliers or subcontractors?
	Does the company make specific outreach efforts to women-owned businesses, for instance through community workshops, seminars, or trade fairs?
	Does the website specifically encourage women-owned businesses to respond to RFX?
	Do RFX include gender-inclusive language, and/or specifically encourage women-owned businesses to bid?
	Are local partnerships in place to support procurement from women-owned contractors/suppliers?
	Does the company support events to inform local women-owned businesses about procurement opportunities?
	Does the company hold or support capacity-building activities to develop local women-owned suppliers?
	Does the company have in place mentoring or training activities to help develop local women-owned businesses?
	Does the training include business fundamentals as well as technical skills?
	Does the company support initiatives to build access to finance for local female entrepreneurs, for instance through partnerships with local finance institutions?

#### CURRENT PROCUREMENT PRACTICES AND CRITERIA

##### ▼ SCORE 1-8 SCALE (1 is low; 8 is high)

	Is there a local procurement policy or commitment that specifically mentions increasing the number of women-owned businesses in the supply chain?
	Does the company have a clear policy that defines what is meant by women-owned business: i.e. female ownership or number/ratio of women employees?
	If a policy exists for Tier 1 suppliers on engagement with women-owned subcontractors, does it extend to subcontractors/Tier 2 or 3 suppliers?
	Does the company have in place a procurement audit process that specifically assesses the degree of engagement with women-owned businesses?
	Do procurement criteria needlessly put women-owned businesses at a disadvantage? (For instance, are vendors required to have been in business for a certain number of years, have a certain amount of income, have a formal bank account or require Internet access?) <i>TIP: Consider whether these criteria are absolutely necessary or if they could be modified so they do not preclude newer, smaller vendors.</i>
	Is engagement with women-owned businesses highlighted during orientation and training for procurement staff?
	Do procurement staff receive ongoing training and capacity building on ways to engage with and support WOBs?
	Are there incentives in place to encourage engagement with women-owned businesses as subcontractors and/or suppliers?
	Have local procurement plans, targets, and opportunities been reviewed to identify areas where specific women-owned businesses could be encouraged to engage?
	Have local procurement plans and targets been reviewed to identify areas where capacity-building initiatives would enable local women-owned contractors to meet supplier/procurement demand?

*continued on next page*

## CORPORATE CLIMATE FOR PRIORITIZING ENGAGEMENT WITH WOMEN-OWNED BUSINESSES

### ▼ SCORE 1–8 SCALE (1 is low; 8 is high)

	Has the gender equity champion (or other) developed a business case for incorporating women-owned businesses in procurement?
	Have the CEO and senior management team communicated their commitment to increasing the number of women-owned businesses in the supply chain?
	Does the company have in place a dedicated local procurement team with a mandate that includes a specific objective to increase engagement with women-owned businesses?
	Has the company allocated a specific line item in the budget to support increased engagement with women-owned businesses in the supply chain? TIP: Examples include engaging with WEConnect, or organizing assessment and training for procurement staff on gender issues.
	Do annual reports include information about engagement with women-owned businesses and progress towards increased gender diversity in the supply chain?

## MONITORING AND EVALUATION

### ▼ SCORE 1–8 SCALE (1 is low; 8 is high)

	Are there clearly stated goals on the number (or percentage) of women-owned businesses in the supply chain the company aspires to?
	Does the monitoring and evaluation system include tracking on the number of women-owned businesses in the supply chain and amount of procurement spend with them? <i>TIP: This includes total spend as well as departmental data.</i>
	Are the above numbers tracked and reported quarterly?
	Does the monitoring and evaluation system include an indicator related to contracts with women-owned businesses?
	Do performance evaluations for purchasing department managers include recruitment targets for increasing the number of women-owned businesses contracts?
	Are improvements in engagement with WOBs included in annual reporting?

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## TOOLS 2.2–2.5: Address

Following the self-assessment, companies can take action to address key bottlenecks and obstacles to engagement with WOBs. Here is a step-by-step guide.

- 1. Develop a business case:** If corporate buy-in is low, a well-developed business case provides the basis for strengthening senior-level leadership and cultivating a supportive corporate culture. The business case should include quantitative and qualitative assessments of how more engagement with women-owned businesses will increase profitability and/or improve relations with the community. The gender equity champion can lead this effort, which should target senior management as well as all departments with purchasing and/or subcontracting needs. Use the business case to secure senior management buy-in and identify operational champions within departmental purchasing teams. (For more, see Tool 2.2)
- 2. Update the local procurement policy to support increased engagement with women-owned businesses:** Based on results of the assessment, amend your local procurement policy to lower barriers to entry for women-owned businesses and—ultimately—to increase engagement with them. This includes altering policies and procurement criteria that needlessly disadvantage women-owned contractors and updating advertising and community engagement strategies for better outreach. (For more, see Tools 2.3 and 2.4.)
- 3. Develop programs to support implementation of the updated policy:** This includes revising communications, arranging for procurement staff training, setting up local partnerships, and identifying accountabilities and incentives. (For more, see Tool 2.4.)
- 4. Identify and secure additional resources and tools needed to implement these plans:** Implementation of the updated plan may require additional staff, consultants, and training budget.
- 5. Support development of local suppliers to meet supply chain needs:** Based on the findings of the assessment, companies may need to update training programs, and/or develop new community partnerships to support the development of women-owned businesses that could qualify as local suppliers.

**TOOL 2.2:****Developing the Business Case for Increasing Engagement With Women-Owned Businesses**

- ▶ **GOAL:** Identify and present business case arguments for engagement with women-owned businesses
- ▶ **TARGET UNITS:** Human Resources, Senior Management

**STRONG BUSINESS CASE DEMONSTRATES VALUE**

A strong business case is an important first step towards increasing gender diversity in the supply chain. It validates and rationalizes the effort and investment put forth by showing the benefits that can accrue. It includes non-financial benefits in addition to the financial value. Among the non-financial benefits: Improved community relations, potential leveraging with community engagement programs, and reputational gains.

A sound business case will help secure senior management buy-in for revising the local procurement plan and creating incentives and accountability for increasing engagement with women-owned vendors. Operational champions in each departmental purchasing team can be useful contact points for implementing these updated policies, and monitoring success stories, bottlenecks, and challenges.

The company's gender equity champion and gender equity task force can take the lead on building the business case, which should highlight both the potential benefits of a gender-diverse supply chain and steps the company could take to address any gaps. It complements the assessment of the local women-owned business environment as detailed in Tool 2.1.

In building the business case for investing in women-owned business suppliers, remember to incorporate the non-financial benefits such as those noted above—as well as a longer-term perspective—in making the case. This information is critical, since in some instances, the costs of supplier diversification might not be offset immediately. For example, in situations where a smaller women-owned business does not have the scale to meet the needs of major international companies, an upfront capacity-building or training investment might be required before the business is able to meet these needs. Thorough detail on the short- and long-term financial and non-financial benefits from supporting women-owned businesses will provide a clear indication of the value such efforts bring—both for the company and the broader community.

Use the diagnostic provided in Table 2-C to help you develop and frame a business case for increasing gender diversity in the supply chain.

**TABLE 2-C** Business Case Diagnostic: Engaging With Women-Owned Businesses

**1. COST SAVINGS: Identify potential cost savings from working with women-owned businesses**

- ▶ Identify potential “conventional” and women-owned vendors: To what extent can these suppliers provide equivalent services? For example, are there reasons that women-owned businesses would not be able to meet procurement needs equally? What are the specific barriers to entry for women-owned vendors, based on market status—such as recent entry to the market or scale of current contracts and/or your procurement criteria?
- ▶ Compare pricing between conventional suppliers and women-owned vendors that provide equivalent products and services: Are prices competitive? Are there potential cost savings from women-owned vendors? If the women-owned businesses are not the lower-cost vendors, what other benefits might come from contracting with them, such as better quality or value?
- ▶ Compare product quality between conventional suppliers and women-owned vendors that provide equivalent services: Would working with women-owned vendors lead to improved product quality?
- ▶ Identify opportunities to build the capacity of women-owned vendors that cannot supply comparable products/services: Could they reach the point where they could provide comparable goods through a moderate degree of training?
- ▶ Identify aggregate cost savings from contracting with women-owned vendors.

**2. ADDITIONAL COSTS: Identify potential costs that may result from contracting with women-owned vendors**

- ▶ Are the local women-owned businesses currently operating at required standards or would additional training be needed to scale them up to meet quality and volume needs?
- ▶ Identify the type, scope, and length of training needed so these vendors could become viable suppliers: How many trainings? Over what period of time? How often would the training need to be repeated? Develop cost estimates for these trainings, and compare to the anticipated financial benefits from working with that particular vendor.
- ▶ Conduct overall cost-benefit analysis for training: First, calculate the number of new vendors that could become qualified through training. Next, compare the value of qualifying these newly registered suppliers with the training costs—does the value offset the cost?

**3. BUDGET: Consider ways to fund training and outreach by leveraging community engagement activities**

- ▶ Connect with the corporate social responsibility/community engagement teams: Identify opportunities to cross-subsidize women-owned vendor training and outreach through programs run by these departments.

**4. NON-FINANCIAL BENEFITS: Itemize the broader benefits of working with local women-owned vendors**

- ▶ Examine and evaluate non-financial benefits: These include improving community relations, enhancing local economic development by empowering women, meeting community investment and local sourcing requirements, and complying with government requirements for gender diversity in supply chains.
- ▶ Detail the community engagement dividends from cultivating and contracting with women-owned vendors.
- ▶ Quantify or otherwise demonstrate ways in which these dividends would help to offset—and perhaps more than make up for—financial costs.

**TOOL 2.3:****Developing a Code of Conduct for Increasing Engagement With Women-Owned Businesses**

- ▶ **GOAL:** Develop a protocol and clear set of guidelines for increasing engagement with women-owned businesses
- ▶ **TARGET UNIT:** Procurement

**THE ROLE OF CODES OF CONDUCT**

Even before your company has fully developed its gender equity policy, a formal code of conduct can help outline a commitment to gender diversity in the supply chain. Also known as a code of ethics, the code of conduct is a corporate policy that guides employees on behaviors extending well beyond processes and procedures. It details the company values that underpin all activities, goals, and objectives. Having in place a supplier diversity code of conduct sends a signal to all staff that this is a core company value and prioritized business principle. It also offers guidance on integrating this value into procurement operations.

Be sure to collaborate with the various relevant units in developing such a code, including the gender equity task force, procurement, legal, business services, and compliance. Representation from senior management is equally important.

You may decide to sign on to an existing code of conduct, such as the one developed by WEConnect International and the Royal Bank of Scotland (See Box 2-C). Or, you might want to develop your own code as a start towards a more comprehensive gender diversity program.

**DEVELOPING A SUPPLIER DIVERSITY CODE OF CONDUCT IN 5 STEPS**

Follow these five steps to create a supplier diversity code of conduct.

**Code development step 1: Establish objectives for supply chain gender diversification.**

These might include:

- Creating a more innovative and competitive marketplace for suppliers
- Creating more economic opportunities for diverse suppliers within the surrounding community
- Creating procurement opportunities that reflect the diversity of the local community
- Developing a procurement plan that aligns with the values of the company and with the general procurement policy

### **BOX 2-C WEConnect and the Royal Bank of Scotland: Supplier Diversity Code of Conduct**

WEConnect International and the Royal Bank of Scotland have developed a template for a supplier diversity code of conduct. Companies can sign on to the code, which serves as a strong signal to internal and external stakeholders about intent to update procurement policies, community engagement, and monitoring and evaluation metrics in support of more engagement with local women-owned businesses. The code's objective is to define company commitments and lay the groundwork for a more specific and detailed plan of action to increase gender diversity in the supply chain.

*For more information: [weconnectinternational.org](http://weconnectinternational.org)*

#### **Code development step 2: Define key terms.**

- What does a gender-diverse supply chain mean for your company? For instance, how will your company define women-owned businesses? Of note, companies that are at least 51 percent owned, operated, and controlled by women are typically considered women-owned.
- What percentage of women-owned suppliers is your company's target?

#### **Code development step 3: Identify the code's scope.**

- Will it apply to all employees with procurement responsibilities?
- What about Tier 1 and 2 suppliers? Are they expected to abide by the code in their own dealings with suppliers and contractors?

#### **Code development step 4: Outline key principles.**

This involves defining the guiding principles to which the code's signatories are committing, such as:

- Reviewing supplier criteria to ensure that they are not creating an unnecessary and undue burden on new or smaller companies.
- Communicating more effectively with potential suppliers to ensure that RFX reach a wider range of potential suppliers: There are several ways to do so, such as hosting/participating in supplier conferences and making procurement policies more accessible and easier to understand.
- Exploring options to reduce contract size: For instance, de-coupling multiple activities so they are not bundled as part of a larger contract. This will ensure that smaller, women-owned businesses are not excluded from eligibility.
- Simplifying and streamlining the application and contracting processes, to reduce the time burden on smaller suppliers.

- Reviewing contract award criteria to focus on value for money, rather than simply lowest cost options.
- Reviewing payment procedures, to ensure that payments are made promptly and within short timeframes to reduce pressure on smaller firms.
- Providing feedback to firms on unsuccessful bids as part of supplier development programs.
- Ensuring that small business development initiatives support businesses of all sizes: This includes exploring opportunities to work with microenterprises and ensuring that small business development programs have a connection to funding mechanisms, to create more meaningful opportunities.
- Partner with suppliers to explore options for low-cost innovation.<sup>23</sup>

“Female entrepreneurship is an increasingly salient part of the economic makeup of many countries and is a key contributor to economic growth in low- and middle-income countries.”

—Erkko Autio

Source: *Global Entrepreneurship Monitor Report 2007*.

### Code development step 5: Monitor and evaluate.

Commit to effective and ongoing monitoring and evaluation, with indicators for:

- Number and type of suppliers
- Effectiveness of training activities
- Cost effectiveness of suppliers.<sup>24</sup>

### ADOPTING A SUPPLIER DIVERSITY CODE OF CONDUCT IN 4 STEPS<sup>25</sup>

Developing the code is only the first phase. The next phase involves rolling out the code company-wide and ensuring adoption and uptake. Here are the steps to take in helping your company adopt the newly developed code of conduct.

<sup>23</sup> The information in Step 4 draws on: UN Women, *The Power of Procurement: How to Source from Women-Owned Businesses*; and Connaughton and Gibbons, “Beyond Compliance: Top Supplier Diversity Programs Aim to Broaden Value Proposition,” Atlanta: The Hackett Group, 2016.

<sup>24</sup> WEConnect International and Royal Bank of Scotland, *Supplier Diversity & Inclusion Code of Conduct*, <http://www.weconnecteurope.org/sites/default/files/documents/SDICCAadopters.pdf>.

<sup>25</sup> This is based loosely on Royal Bank of Scotland, *Supplier Diversity & Inclusion Code of Conduct: Adopting the Code*, <https://weconnectinternational.org/images/supplier-inclusion/supplier-inclusion-code-of-conduct-adopting-the-code.pdf>.

### **Code adoption step 1: Share details of the code with key managers and gain buy-in by involving them.**

- Engage with department heads of key departments, including procurement, legal, compliance, sustainability, and business services, as well as senior management, to review, amend, and finalize the code. Remember that endorsement from the highest levels is critical to successful implementation.

### **Code adoption step 2: Set a timeline for development of a more comprehensive gender-inclusive local procurement policy.**

This should include updated procurement criteria and procedures, and updated communication and training plans.

### **Code adoption step 3: Design a communication plan for the roll-out.**

- How, when, and where will the new code be unveiled?
- Identify specific strategies and approaches for communicating with staff, corporate stakeholders, other companies, and the community.

### **Code adoption step 4: Develop a monitoring and evaluation plan.<sup>26</sup>**

How will successful implementation of the plan be monitored? Potential indicators might include:

- Percentage of spend with diverse suppliers
- Number or percentage of suppliers classified as “diverse”
- Percentage of suppliers meeting or exceeding expectations
- Number or percentage of “diverse” suppliers that are strategic partners

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<sup>26</sup> Based on Connaughton and Gibbons, “Beyond Compliance: Top Supplier Diversity Programs Aim to Broaden Value Proposition,” 3.

**TOOL 2.4:****Developing a Comprehensive Gender Diversity Supply Chain Program**

► **GOAL:** Develop a comprehensive program for increased supply chain diversity

► **TARGET UNIT:** Procurement

After signaling intent to improve supply chain gender diversity with a code of conduct, it is time to focus on creating a comprehensive gender diversity supply chain program. This process is based on the supply chain assessment and is detailed here.

**Action item 1. Review and update local procurement policy.**

Review the policy with an eye toward making it easier for women-owned businesses to qualify and register as vendors and addressing bottlenecks as identified in the assessment.

- Define women-owned businesses, and clarify criteria for qualifying as such, in accordance with the code of conduct.<sup>27</sup>
- In addition to ownership and control structure, identify qualifying criteria and the ways in which these criteria will be assessed: For instance, will the active involvement in business operations on the part of the female owner be a consideration?
- Highlight areas of the local procurement policy or current procurement guidelines that contribute to the bottlenecks and challenges that were identified in the assessment:
  - » How are tenders advertised? Is circulation of opportunities typically reliant on word of mouth, business networks, or other types of communication that may disadvantage smaller, newer firms, or those without access to more established business networks?
  - » Review criteria for authorized vendors to determine whether financial or legal requirements are unnecessarily precluding or overly hindering local women-owned firms. Do these requirements—such as duration of company’s existence, minimum amount of income in preceding year—prevent women-owned vendors that otherwise have the qualifications and capacity from bidding on the job?
  - » Are contracts typically bundled together—including multiple types of tasks—in a way that excludes women-owned businesses? These businesses tend to be smaller and may have difficulty responding to larger, more complex, or multi-task bids.

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<sup>27</sup> UN Women’s *Corporate Guide to Gender Responsive Procurement* suggests the following minimum criteria for qualifying as a women-owned business: “(1) at least 51 percent unconditional ownership by one or more women; (2) unconditional control by one or more women over both the long-term decision-making and the day-to-day management and administration of the business operations; and (3) independence from non-women-owned businesses.” UN Women, *Corporate Guide to Gender Responsive Procurement* New York: UN Women, 2017, xiii.

### BOX 2-D Anglo American Walks the Walk on Local Contracting

Anglo American's procurement policy acknowledges that small and medium enterprises face unique challenges in accessing supply chain opportunities, for instance, in situations where procurement requirements or procedures are highly complex, or where requirements and standards may exclude smaller providers. Here is how the policy addresses these issues.

*"We will strive therefore to minimize the barriers to participation by simplifying our processes and clearly and transparently communicating our requirements and standards. We will draw on a range of preferential sourcing methods suited to particular local market and SME characteristics..."*

*"...Our payment terms will accommodate the needs of SMEs..."*

*"...We will support the development of commercially viable local businesses that meet Anglo American requirements."*

Source: Anglo American

- » What is the typical payment structure for contracts? Are companies expected to invest significant time in planning or early-stage work before the first payment? Such expectations could pose an undue hardship on smaller firms.
- Identify ways to modify the current standards without altering essential qualifications: This extends to all bidders, not just women-owned vendors. There are several options here, including the possibility of substituting alternate evaluation criteria or the potential for providing more support to bidders so they can meet the standards.

### Action item 2. Develop accountability and implementation incentives.

Hold departments accountable for achieving targets on engaging with women-owned firms. They should justify reasons they have—or have not—succeeded in reaching these targets. This feedback will help to increase support for supplier diversification.

- Create incentives: This will encourage departments to reach targets for engaging with women-owned businesses. The incentives should extend to managers as well, by way of incorporating progress towards meeting women-owned business engagement targets into managerial performance evaluations. Performance should be measured in part by quantitative indicators, such as the number of women-owned businesses engaged as well as qualitative indicators, such as the level of effort to identify, include, and engage.
- Create voluntary or compensated mentorship programs: In particular, such programs should involve opportunities to connect female staff with local female entrepreneurs. If the programs are voluntary, consider other types of recognition, such as awards programs to honor teams that contribute the most toward community mentorship.

### Action item 3. Provide training and support to help develop local women-owned businesses.

In addition to establishing policies requiring local inputs, many OGM companies are investing in the development of local suppliers in their host communities. (For more on support for local women-owned businesses through community engagement activities, see Tool Suite 3.)

- Ensure that programs address the specific needs of women-owned businesses: Remember that these businesses often lack equal access to networks, capital, and finance.
- Consider support for microenterprises: Typically, women-owned firms are smaller than those headed by men, in part because of unequal access to capital. If provided the appropriate support, some of these microenterprises could become strong and capable suppliers.
- Work with financial institutions to provide financing for training participants: Encourage financial institutions to provide such funding on their own, or partner with them in support of these new businesses. According to Deloitte, some companies work with funders to offer “women-bonds” specifically to support women-owned businesses; other business accelerators and incubators provide equity funding to women-owned SMEs, to promote growth.<sup>28</sup>
- Make use of local content programs to support mentorship and networking for women-owned businesses: These firms do not have the same networks as male-run businesses, so programs that help them build new networks can lead to longer-term benefits.
- Review training curricula to ensure that programs are targeted and inclusive. (See Box 2-E for more.)

### Action item 4. Review and update communication strategies.

Keeping women-owned vendors informed about upcoming contracting opportunities is an important piece of the puzzle. Use what you learned about local women-owned businesses during your assessment to guide this outreach. Here are some guidelines to assist you in revising and updating communications strategies to ensure a more gender-diverse contracting pool:

- Take a look at the way opportunities are communicated: Is language gender-inclusive—for example, using terms like “foreman” and “forewoman” instead of just foreman or “foreperson”? Are women-owned businesses and businesses that include a significant number of female employees specifically encouraged to apply?
- Designate male and female staff to represent the company at local trade fairs: This will send a strong message the company is interested in contracting with both male- and female-owned companies. Conduct local workshops to teach women how to respond to RFX. Topics should include registering as a vendor and understanding qualifications and requirements.

<sup>28</sup> Deloitte and BIAC, “Putting All Our Ideas to Work: Women and Entrepreneurship,” 4.

### BOX 2-E Making Training Targeted and Inclusive

Here are some ways for companies to get the most out of their investment in training for potential women-owned suppliers.

- Ensure that training for local suppliers on how to qualify and register as local suppliers is gender-inclusive.
- Make training equally accessible to male and females by providing child care and offering events at different times of the day.
- Provide female mentors and coaching specifically geared toward women-owned businesses.
- Create specific mentorship, training, and incubator programs for women-owned businesses.
- Provide targeted training.
- Provide non-cognitive skills training to build women's self-confidence, with a focus on personal development and leadership.
- Identify key sectors where women-owned businesses could flourish and build programs geared toward these industries.
- Partner with local players to develop women owned businesses: For example, work with local banks to train women on financial fundamentals and open up business accounts; encourage banks to consider offering credit or advances against corporate contracts.
- Partner with training institutions to provide targeted training with specific outreach to women: Programs should provide childcare and lead to specific supply chain opportunities.
- Develop a knowledge-sharing and feedback mechanism for minority applicants and suppliers: This enables suppliers and potential suppliers to learn from each other.

- Set up a local enterprise center or kiosk and provide training on how to register online: This will assist potential vendors that have limited Internet access. (See Tool 2.5 for more on capacity building)
- Encourage businesses to register online as suppliers and urge them to spread the word to colleagues at other businesses.
- Communicate to Tier 1 and 2 suppliers and contractors that they are responsible for implementing the code of conduct and diversity and inclusion targets in their contracting.
- Review and revise the company's internal communications on the updated local procurement plan:
  - » Consider adding incentives and accountability for implementing the updated plan
  - » Ensure that all staff are familiar with the plan
  - » Identify communication strategies to inform staff of changes and additional updates
  - » Provide training on the updated policy for all staff with procurement responsibilities
- Review and revise the ways in which the company communicates to the public about RFX.

## Action item 5. Identify and secure additional resources needed to implement the plans.

Update the budget to include expenditures associated with to gender diversification. Additional costs may include:

- **Staff:** Will additional staff or consultants be required for the training or mentorship activities?
- **Compensation:** Will staff who offer mentorship services be compensated, and or/or will there be a monetary reward for the staff member that provides the most voluntary mentoring?<sup>29</sup>
- **Services:** How many trainings or mentorship activities will be developed and at what cost per event?
- **Contracts:** If the company plans to provide loans to SMEs to support development and/or as advances on contracts, determine source of funding, loan structure, and interest rate schedule.
- **Communication:** Determine the additional costs associated with targeted communications designed to connect with the community and women-owned businesses. Here it might be possible to share costs with other departments, such as community engagement or with external partners, like the local chamber of commerce. Be sure to identify the potential savings that might come of this cost-sharing approach.



<sup>29</sup> IFC, *Guide to Getting Started in Local Procurement*, Washington, DC: IFC, 2011, 53.

## TOOL 2.5:

### Support Development of Local Women-Owned Businesses

► **GOAL:** Cultivate women-owned businesses so they can support supply chain needs

► **TARGET UNITS:** Procurement, Community Engagement

If you are operating in communities where few women-owned businesses have sufficient skill and capacity to support supply chain needs, you might want to provide support so that they ultimately can become a part of the corporate supply chain. Sharing the workload, so the effort becomes a joint procurement/community engagement activity, can yield broader dividends: expanding the local procurement base, increasing local economic development and building positive community relationships.

This tool provides guidance on how to develop women-owned businesses, following a process that includes:

- Assessing and identifying constraints to women's entrepreneurship
- Identifying existing potential partners such as business incubators and local financial institutions
- Creating activities to build the capacity of local women-owned businesses, in a collaboration between procurement and community engagement teams
- Monitoring impact on local procurement, local economic development, and women's economic empowerment

Detail on each is provided below.

### NEEDS ASSESSMENT

To effectively address barriers and support development of women-owned businesses, companies need to understand what is getting in the way. An assessment of barriers and opportunities for women's entrepreneurship in a given community will help. A gender consultant hired as part of your company's community engagement strategy would be well suited to conducting such a review.

### Common Constraints for Women-Owned Businesses

Women face a range of constraints to entrepreneurship, including:

- **Barriers to accessing finance:** Female entrepreneurs often have a harder time accessing financing than men do. Women can face greater challenges getting loans: interest rates may be set higher, or loan values may be smaller. In addition, women are more likely to use informal funding sources, such as family or church. Although microfinance institutions have proven a popular source of credit for women, these institutions also impose limitations on the size of the organization, creating a challenge for women who want to expand their businesses to meet corporate contracting requirements.

### **BOX 2-F Business Women: A Partnership Between ExxonMobil and the Cherie Blair Foundation**

The Business Women mobile app provides tips on starting and running businesses, specifically targeting women entrepreneurs. It is the result of an innovative partnership to support women entrepreneurs between ExxonMobil and the Cherie Blair Foundation.

Based on research showing the prevalence of mobile phones in emerging markets around the world, the app was designed to enable easy access for female business owners.

Launched in Nigeria, Tanzania and Indonesia, the app reached over 100,000 women in just one year, 2012-2013. In a survey, 90 percent of subscribers affirmed that the app helped them to become better businesswomen.

*Source: ExxonMobil, "Women's Economic Opportunity: An Award-Winning Mobile Service for Women Entrepreneurs."*

- **Limited control of finances:** In some countries, women face legal and cultural restrictions on controlling their own finances. They might not be permitted to have their own bank accounts. They might not have any decision-making authority over how to spend or invest family finances. For aspiring female entrepreneurs, this could create serious challenges to starting a business. If women need to rely on a male relative to access to their accounts, their savings could be at risk.
- **Legal constraints on other aspects of entrepreneurship:** Beyond limited access and control over finances, women may face other obstacles, such as limited ability to own property, or to list property in their name. They could be prevented from having their own passports or other forms of identification, which can be critical to starting a business.
- **Cultural norms limiting women's time, mobility, and independence:** Family and cultural obligations can get in the way of running a business. Other challenges include restrictions on speaking or meeting with strangers, limited mobility, and primary childcare responsibilities—all of which make it more difficult to pursue an entrepreneurial dream.
- **Lack of key skills:** In many communities, women may have less exposure to business education, including financial and management training.
- **Lower risk tolerance:** Studies indicate that women may approach risk and investment differently than men, with lower risk tolerance.
- **Limited infrastructure:** Better roads and transportation infrastructure can facilitate women's access to finance and markets, with a strong positive impact on women's economic engagement and entrepreneurship.

## IDENTIFICATION OF POTENTIAL PARTNERS

The addition of partners that can collaborate with you and support the development, financing, and sustainability of local women-owned businesses will enable a broader reach for your efforts. Here are some partnerships to explore:

- **Existing business development resources:** Such as business incubators, local entrepreneurship competitions or resources, and the local chamber of commerce
- **Financial institutions:** Commercial and microfinance banks, grant-making organizations, or non-governmental organizations and non-profits aimed at promoting financial literacy and inclusion
- **Mentorship organizations:** To support or facilitate mentorship for local women entrepreneurs
- **Business development incubators or capacity building/training centers**

### Partnering on Training

Training developed with local partners should specifically target businesses that can directly contribute to the company's supply chain. Companies also should consider training that supports the development of a wider range of businesses, as part of a community engagement plan.

A business development curriculum should include modules on business skills, registration and licensing, financing, business, and financial management. Consider using incubators or training centers as a venue for trainings developed in collaboration with financial institutions (see below) on banking and credit.

#### **BOX 2-G** Boyner Group Strengthens its Supplier Base Through Capacity Building

The Boyner Group is Turkey's the largest publicly traded non-electronics retailer. Female-owned suppliers make up 17 percent of its vendor base—double the Turkish average. Still, the company has recognized that women-owned businesses face unique obstacles in becoming suppliers to major buyers.

Working in partnership with IFC, the company designed a 12-week program to build the capacity of women-led small companies that have the potential to become part of a corporate supply chain. The "Good for Business" program trains female entrepreneurs and connects them with mentors, financial institutions, and brands that could help advance their businesses.

In addition to building skills and providing mentoring and financial support for these small businesses, the program yielded dividends for the Boyner Group as well, in the form of a stronger and more diversified supplier base.

*Source: Boyner Group and IFC, "Case Study: Boyner Group's Supply Chain Strengthens Women in Business."*

In addition to building skills, training programs should include on-going support during the first few years after business startup. This is particularly important for women-owned businesses, given that a disproportionate number of women's businesses fail.<sup>30</sup>

Evidence has shown that such training partnerships can yield results. For example, a South African business development center associated with Rio Tinto's Richard's Bay Minerals project has helped develop over 60 local businesses. The center has created linkages with banks and partnered with Monash University on a program to certify local entrepreneurs in business management. Most of the program participants have been women and young people.<sup>31</sup>

### Customized Support Programs

To build up the capacity of women-owned businesses and support increased engagement, activities should be customized to address unique local circumstances and community-specific constraints. Here are some suggestions:

- **Think creatively to design novel programs and support innovation:** Launch local innovation challenges for women-owned businesses and provide support (for instance, through a local training center) for scaling and growth. The ExxonMobil Business Women app (Box 2-F) is an example of innovative support to women entrepreneurs. The Good for Business program, developed by the Boyner Group in partnership with IFC (Box 2-G) is another example. This novel training program helps develop women entrepreneurs while diversifying and strengthening the company's own supply chain.
- **Review internal procurement policies:** Ensure that they are supportive of smaller, women-owned businesses. Look at the ways in which contracts are bundled. Also take a look at supplier financing terms to make sure that the current approaches are not creating unfair disadvantages for smaller businesses.
- **Finance businesses:** Work with local finance institutions to lobby for women's access to finance. Efforts here include:
  - » Training local financial institutions on the benefits of women's financial engagement. In many communities, cultural norms may mean that the financial institutions themselves are biased against women-owned businesses. Working with the banks to address these biases as part of a comprehensive program to support increased access to finance for women-owned companies can be an important first step.<sup>32</sup>

<sup>30</sup> IFC and GPFI, *Strengthening Access to Finance for Women-Owned SMEs in Developing Countries*, Washington, DC: IFC, 2011, 17.

<sup>31</sup> "Strong Links in the Chain," Rio Tinto, [http://www.riotinto.com/ourcommitment/spotlight-18130\\_20288.aspx](http://www.riotinto.com/ourcommitment/spotlight-18130_20288.aspx).

<sup>32</sup> IFC and GPFI, *Strengthening Access to Finance for Women-Owned SMEs in Developing Countries*, 6.

- » Supporting efforts by local financial institutions to educate female entrepreneurs on the fundamentals of banking and credit, including how to secure credit and grow their businesses.
- » Collaborating with local financial institutions to provide low-interest loans for women, including participants in the business incubator, and to facilitate loan collateralization for women-owned businesses.
- Set up mentorships: Connect successful women-owned businesses with female-owned start-ups and company executives with local female entrepreneurs.
- Consider complementary approaches to increase sustainability: Evidence indicates that isolated approaches—such as offering financing without business management training—are less likely to result in long-term business sustainability.<sup>33</sup>

### Monitoring Progress

In tracking and evaluating the various business development activities, be sure to look at effectiveness in building a more gender-diverse local procurement base. The tracking also should measure broader contributions to local economic development and women's economic empowerment.



<sup>33</sup> Urban Institute, “Six Lessons on What Works in Supporting Women-Owned Businesses,” Washington, DC: Urban Institute, 2016.

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## TOOL 2.6: Monitor and Sustain

The only way to know for sure that you have made headway on supply chain gender diversity goals is to track progress. Globally, there is a push for companies across the range of sectors to disclose more information about their engagement with women-owned companies—part of a broader drive to encourage more reporting on non-financial aspects of company operations. Box 2-H highlights one such initiative for U.S. companies.

### **BOX 2-H** ExxonMobil and Other U.S. Corporations Agree to Report on Supply Chain Diversity

In March 2017, ExxonMobil joined with eight other American corporations in a coalition committed to tracking and reporting their sourcing from women-owned businesses. Other companies in the coalition include Walmart, Campbell Soup Company, The Coca-Cola Company, General Mills, Johnson & Johnson, Mondelēz International, PepsiCo and Procter & Gamble.

According to Doug McMillon, CEO of Walmart, “Our customers care where products are sourced, and we believe supporting women-owned businesses helps us put innovative products on our shelves while helping these businesses thrive and grow.”

Pamela Prince-Eason, president and CEO of the Women’s Business Enterprise National Council (WBENC), echoed this: “By participating in this initiative, these companies will help fuel innovation and growth for women-owned businesses across the U.S. With women-owned businesses currently supporting the creation or maintenance of 23 million American jobs, investing in their growth means investing in more opportunities for the workforce overall.”

*Source: Walmart, “Top WBENC Consumer Companies Join Together for the First Time in Collective Initiative to Source from Women-Owned Businesses.”*

## TOOL 2.6:

### Indicators to Monitor Progress on Supply Chain Gender Diversity Goals

- ▶ **GOAL:** Track and support progress on building a more gender-diverse supply chain
- ▶ **TARGET UNITS:** Community Engagement, Human Resources, Procurement

Here are some key indicators for monitoring and evaluating progress on increasing engagement with women-owned businesses in your supply chain.

#### PERFORMANCE METRICS

Measure performance as a result of supplier diversification, based on:

- Percentage of spend with women-owned business suppliers
- Percentage of all suppliers who qualify as women-owned businesses
- Percentage of suppliers meeting or exceeding expectations<sup>34</sup>
- Change in procurement spend compared with pre-supplier diversification initiatives
- Change in average contract size
- Average contract size for women-owned businesses

#### IMPACT ON SUPPLIERS

Measure progress for participants in supplier diversification programs, based on:

- Number of participating women-owned businesses that report changes or improvements in business processes as a result of the program, such as new management practices, better working conditions, improved products, increased distribution channels, new markets
- Number/percent of women-owned supplier participants who indicated that they were satisfied or very satisfied with the program
- Number of women-owned businesses trained
- Change in the number of women employed by SMEs/suppliers
- Change in the number of workers employed by women-owned suppliers/vendors/contractors

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<sup>34</sup> Connaughton and Gibbons, “Beyond Compliance: Top Supplier Diversity Programs Aim to Broaden Value Proposition,” 2.

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## Selected Resources for Further Reading

### Identifying and Sourcing from Women-Owned Businesses

- SheTrades, an initiative of the International Trade Center, [www.shetrades.com](http://www.shetrades.com).
- UN Women, *The Power of Procurement: How to Source from Women-Owned Businesses*, New York: UN Women, 2017.

### Improving Supplier Diversity

- Connaughton, Patrick and Gibbons, Laura, “Beyond Compliance: Top Supplier Diversity Programs Aim to Broaden Value Proposition,” Atlanta: The Hackett Group, 2016.
- EY, “Scaling Up: Why Women-Owned Businesses Can Recharge the Global Economy,” EYGM, 2009.
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### Local Procurement Reporting

- Geipel, Jeff and Lempa, Kristian, “Mining Local Procurement Reporting Mechanism,” Mining Shared Value and GIZ, 2017.

### Supplier Diversity Code of Conduct

- Royal Bank of Scotland, *Supplier Diversity & Inclusion Code of Conduct: Adopting the Code*. <https://weconnectinternational.org/images/supplier-inclusion/supplier-inclusion-code-of-conduct-adopting-the-code.pdf>.
- WEConnect International and Royal Bank of Scotland, *Supplier Diversity & Inclusion Code of Conduct*. <http://www.weconnecteurope.org/sites/default/files/documents/SDICCAadopters.pdf>.
- WEConnect International, *Global Supplier Diversity & Inclusion: Reaching the Gold Standard*, Washington, DC: WEConnect International, 2015.

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## TOOL SUITE 3

## UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS

A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies

# WOMEN AND COMMUNITY ENGAGEMENT



UMBRELLA FACILITY  
FOR GENDER EQUALITY



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## **UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS**

A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies

# WOMEN AND COMMUNITY ENGAGEMENT

Tools to help companies improve their community engagement strategies and their social license to operate by attending to the different needs of male and female community members





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## ABBREVIATIONS AND ACRONYMS

**ARPEL** Regional Association of Oil, Gas, and Biofuels Sector Companies in Latin America and the Caribbean

**ASM** Artisanal and Small-Scale Mining

**(PNG) BCFW** Papua New Guinea Business Coalition for Women

**BIAC** Business and Industry Advisory Committee to the OECD

**CEO** Chief Executive Officer

**EI** Extractive Industries

**FIFO** Fly-In, Fly-Out

**FSV** Family and Sexual Violence

**GBV** Gender-Based Violence

**GDP** Gross Domestic Product

**GRM** Grievance Redress Mechanism

**HIV** Human Immunodeficiency Virus

**HR** Human Resources

**HREOC** Australian Human Rights and Equal Opportunity Commission

**HQ** Headquarters

**IFC** International Finance Corporation

**IPV** Intimate Partner Violence

**KDP** Kecamatan Development Project

**KPIs** Key Performance Indicators

**MOB** Men-Owned Business

**NGOs** Non-Governmental Organizations

**OECD** Organization for Economic Cooperation and Development

**OGM** Oil, Gas, and Mining

**PNG** Papua New Guinea

**RFX** Summary acronym that includes Request for Information (RFI), Request for Proposal (RFP), Request for Quote (RFQ), and Request for Bid (RFB)

**ROI** Return on Investment

**RTMP** Rio Tinto Management Peru

**SEC** US Securities and Exchange Commission

**SH** Sexual Harassment

**STEM** Science Technology Engineering and Mathematics

**TOR** Terms of Reference

**UNCC** United Nations Global Compact

**WGEA** Australia's Workplace Gender Equality Agency

**WEP** Women's Empowerment Principles

**WOB** Women-Owned Business

## APPLICABLE IFC PERFORMANCE STANDARDS

### **Performance Standard 1.** Assessment and Management of Environmental and Social Risks and Impact

This standard establishes the importance of (i) integrated assessment to identify the environmental and social impacts, risks, and opportunities of projects; (ii) effective community engagement through disclosure of project-related information and consultation with local communities on matters that directly affect them; and (iii) the client's management of environmental and social performance throughout the life of the project. It outlines the importance of stakeholder engagement, consultations, and grievance mechanisms for affected communities. PS1 also underscores the importance of a gender-responsive approach throughout the project lifecycle when analyzing project risks, impacts and opportunities, including steps such as diagnostic, management of environmental and social risks, participatory processes and stakeholder analysis.

### **Performance Standard 4.** Community Health, Safety, and Security

This standard recognizes that business activities and infrastructure projects may expose local communities to increased risks and adverse impacts related to worksite accidents, hazardous materials, spread of diseases, or interactions with private security personnel. PS4 helps companies adopt responsible practices to reduce such risks including through emergency preparedness and response, security force management, and design safety measures. Women, as a sub-set of the affected community, can face differential risk—arising, for instance, from health issues or gender-based violence. The risks to affected communities as outlined in PS4 (emergency preparedness and response, hazardous materials, security personnel, etc.) should be assessed and mitigated for gender differentiated impacts during project design and implementation.

### **Performance Standard 5.** Land Acquisition and Involuntary Resettlement

This standard recognizes that when companies seek to acquire land for their business activities, it can lead to relocation and loss of shelter or livelihoods for communities or individual households.<sup>1</sup> Involuntary resettlement occurs when affected people do not have the right to refuse land acquisition<sup>2</sup> and are displaced, which may result in long-term hardship and impoverishment as well as social stress. PS5 advises companies to avoid involuntary resettlement wherever possible and to minimize its impact on those displaced through mitigation measures such as fair compensation, and improvements to living conditions. Active community engagement throughout the process is essential. PS5 discusses how targeted measures are generally required to ensure that women's perspectives are obtained, and that their interests are factored into all aspects of resettlement planning and implementation, particularly with respect to compensation and benefits.

### **Performance Standard 7.** Indigenous Peoples

This standard seeks to ensure that business activities minimize negative impacts, foster respect for human rights, dignity, and the culture of indigenous populations, and promote development benefits in culturally appropriate ways. Informed consultation and participation with indigenous peoples throughout the project process is a core requirement and may include Free, Prior and Informed Consent under certain circumstances. It also mandates that the assessment of land and natural resource use should be gender-inclusive and specifically consider women's role in the management and use of these resources.

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<sup>1</sup> The term "livelihood" refers to the full range of means that individuals, families, and communities utilize to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade, and bartering. (IFC Performance Standard 5)

<sup>2</sup> Land acquisition includes both outright purchases of property and acquisition of access rights, such as easements or rights of way. (IFC Performance Standard 5)

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## OVERVIEW: Women and Community Engagement in Local OGM Operations

Because oil, gas, and mining operations can cause major changes—both positive and negative—to affected communities (local communities directly affected by a project), both company and community are best served by a constructive working relationship. This *social license to operate*—“a community’s perceptions of the acceptability of a company and its local operations”<sup>3</sup>—is essential to smooth operations.<sup>4</sup> In 2016, EY named social license to operate as the seventh biggest business risk in mining and metals industries.<sup>5</sup>

When a company fails to obtain a social license, community opposition can ensue. This could lead to protests and other interruptions, such as popular consultation processes, that may increase project timelines and costs and affect company reputation and stock price. Conversely, the consultation and collaboration required to obtain and maintain social license can create opportunities for companies and communities to work together, which can boost the potential for positive benefits for both companies and communities. Effective community engagement and development programs are key building blocks for developing this social license. Increasingly, companies are investing considerable resources in in-depth community assessments as well as in community development strategies and activities.

Social license implies the acceptance of the community as a whole. However, men and women often have different experiences and perceptions with regard to oil, gas, and mining projects. Often, the benefits and risks from these projects are unequally distributed between men and women in affected communities. Women frequently suffer greater negative environmental, economic, and social impacts than men do, with reduced access to benefits, consultations, and compensation.

Women play important roles in every community. Their buy-in and support is critical to sustained social license to operate. Working constructively with women throughout the community engagement process is important to ensure that community benefits are equitably distributed. It also contributes to sustained social license to operate, helps catalyze broader community benefits, and ultimately yields positive impacts on company bottom lines.

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<sup>3</sup> Thomas Boutilier and Ian Thomson, “Modelling and Measuring the Social License to Operate: Fruits of a Dialogue between Theory and Practice,” *Social License*, 2011. 2.

<sup>4</sup> Rory Pike, *Social License to Operate: The Relevance of Social License to Operate for Mining Companies*, New York: Schrodgers, 2012.

<sup>5</sup> EY, “Business Risks Facing Mining and Metals 2017-2018: Top 10 business risks,” accessed December 13, 2017, <http://www.ey.com/gl/en/industries/mining---metals/business-risks-in-mining-and-metals>.

Social license can be fleeting, though. Risks, perceptions, and trust must be managed and maintained over time. Continued communication and engagement with women and men in affected communities is key, and companies should pay attention to potential changes in attitudes and perceptions toward a project over time.

Tool Suite 3 identifies the ways in which men and women can be impacted differently by OGM projects. It shows how efforts to understand and address the needs of both men and women can help stretch community investment dollars farther for greater impact, while enabling longer lasting and more robust social license.

Ensuring that both men and women are equitably involved in community consultations, negotiations, and benefit sharing is of such critical importance that it is a key tenant of IFC's Environmental and Social Performance Standards. These standards define IFC clients' responsibilities for managing their environmental and social risks. They help ensure that all IFC-supported projects assess and minimize risk to communities and develop effective social license. The Equator Principles, designed around the IFC Performance Standards and used by many global financial institutions, apply these principles to project finance. The importance of gender-equitable community engagement strategies and grievance mechanisms is highlighted specifically in Performance Standard 1, as well throughout all of IFC's Performance Standards and the Equator Principles.

## **GENDER DIMENSIONS OF OGM PROJECT IMPACTS**

In many communities, men and women have distinct roles and responsibilities, which can mean that men and women may be affected differently by OGM projects. Here are some examples of the local impacts of these projects:

- **Changes in the local economy:** OGM projects can lead to the creation of new formal and informal jobs in a host community, which may mean an economic shift from a subsistence- to cash-based economy and/or an influx of male job-seekers. Traditionally, the OGM sectors have primarily employed men in formal labor. Along with the land use changes brought about by an OGM project, this economic shift can reduce the prevalence and importance of women's subsistence roles and increase the importance of men's cash incomes, in turn prolonging women's economic dependence on men. This change to a cash economy has been known to change spending patterns among male earners; for example, by increasing the proportion of household income spent on alcohol and sex workers.
- **Changes in the economy of the "sending communities" (external or distant communities that are the source of male workers on the project):** As men leave to pursue employment elsewhere, women may suffer economic hardship because of issues such as legal barriers to land ownership.

- **Unequal employment opportunities:** Due to discrimination, systemic lack of access to education and training, or cultural barriers that inhibit their engagement, women often do not have the same training and employment opportunities through OGM projects that men find. In addition, workplaces may not accommodate the needs of women, who often bear the primary responsibility for raising children. For example, the company might not offer on-site child care, flexible schedules, or family leave policies.<sup>6</sup>
- **Social and health problems, including domestic and gender-based violence:** The influx of a predominantly male workforce and increased access to cash income in OGM communities can lead to higher rates of alcohol abuse, gender-based violence, prostitution, teen pregnancy (and the drop-out of girls from school), and sexually transmitted infections. In cases where women are able to obtain cash employment from OGM projects, they may be subject to increased gender-based violence at home, because of shifts in gender roles and domestic power structures, or in the workplace, if some male employees are not sensitized to working with female colleagues.<sup>7</sup>
- **Environmental degradation:** In many communities, women often have the primary responsibility for collecting water and food for the family. Negative environmental impacts from OGM projects could decrease the availability of clean water, wood, fuel, forest products, and agricultural land, which means women must walk longer distances to access these resources, deepening their time poverty<sup>8</sup> and increasing the risk of gender-based violence.

The list above outlines the increased risks and vulnerabilities from OGM operations faced by women. In addition, women are often left out of key mechanisms for mitigating risks and creating benefits. This exclusion can occur in several ways:

- **Omission or limited access to consultation processes:** In many cultures, women are left out of formal community consultations, which can diminish their ability to actively participate in discussion and debate. This can be due to cultural factors (such as men assuming leadership roles or women not being comfortable or permitted to speak up in front of men), scheduling constraints (community meetings and consultations occurring when women are occupied with subsistence and household responsibilities), or other factors. In addition, consultations are often held with heads of households or property owners and women tend to be underrepresented in these groups. Women may lack access to information shared in such consultations, so they may not have opportunities to voice their opinions and concerns.

<sup>6</sup> Christina Hill and Kelly Newell, *Women, Communities and Mining: The Gender Impacts of Mining and the Role of Gender Impact Assessment*, Carlton: Oxfam Australia, 2009, 7.

<sup>7</sup> For more details on how to identify and mitigate this risk, please see: IFC's handbook on managing influx: *Projects and People: A Handbook for Addressing Project-Induced In-Migration*, Washington, DC: IFC, September, 2009, [www.ifc.org/wps/wcm/connect/topics\\_ext\\_content/ifc\\_external\\_corporate\\_site/sustainability-at-ifc/publications/publications\\_handbook\\_inmigration\\_wci\\_1319576839994](http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/publications/publications_handbook_inmigration_wci_1319576839994), and the World Bank's "Uganda - Transport Sector Development Project: additional financing - lessons learned and agenda for action," November 11, 2016, <http://documents.worldbank.org/curated/en/948341479845064519/Uganda-Transport-Sector-Development-Project-additional-financing-lessons-learned-and-agenda-for-action>.

<sup>8</sup> Defined as working long hours with no other options while remaining cash-poor. For more, please see the glossary of terms.

- **Unfair distribution of royalties and livelihood restoration opportunities:** Men or male heads of households might receive compensation on behalf of their families, but these funds might not reach the female family members, perpetuating their economic dependence on men. Since women often are not the legal owners of land they use and typically have different economic roles than men, livelihood restoration and resettlement programs risk overlooking women's roles and needs. The result is that women could wind up more vulnerable than they were before the project.

### **BOX 3-A Panguna Mine: Failure to Engage Community's Women Leads to Turmoil**

Rio Tinto's Panguna mine in Papua New Guinea was once the world's largest copper mine. The island of Bougainville, where the mine was located, is a matrilineal society; however, the company didn't adapt its community engagement strategies to adequately engage women, particularly over land ownership.<sup>9</sup>

Locals subsequently complained about environmental damage, poor wages, and inadequate distribution of benefits.<sup>10</sup> These grievances significantly contributed to the subsequent decade-long civil war.

Later on, however, women played an important role in the peace process that ended the war,<sup>11</sup> showcasing the significance of women's roles in Bougainville. Engaging women's feedback from the outset would have helped to ensure the community's voices were adequately heard throughout the entire process.

## **THE BUSINESS CASE FOR GENDER-EQUITABLE COMMUNITY CONSULTATIONS**

Including women in community assessments, consultations, benefit sharing, and activities can help build social license and ensure that community investments are constructive and sustainable. For IFC clients, engaging with women and vulnerable groups as part of community consultations is a requirement of obtaining financing from IFC.<sup>12</sup>

<sup>9</sup> S. Douglas, V. Farr, F. Hill and W. Kasuma, "Case study: Bougainville — Papua New Guinea," in S. Douglas and F. Hill (eds), *Getting It Right, Doing It Right: Gender and Disarmament, Demobilization and Reintegration*, New York: United Nations Development Fund for Women, 2004, 23.

<sup>10</sup> Business and Human Rights Law Centre, "Rio Tinto Lawsuit (re Papua New Guinea)," February 3, 2012, <https://business-humanrights.org/en/rio-tinto-lawsuit-re-papua-new-guinea?page=2>.

<sup>11</sup> Lorraine Garasu "The role of women in promoting peace and reconciliation," in A. Carl and L. Garasu (eds), *Weaving Consensus: The Papua New Guinea — Bougainville Peace Process*, London: Conciliation Resources in collaboration with BICWF, 2002, 28.

<sup>12</sup> For more see IFC Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts.

## Strengthening Community Support for Operations

As noted above, the experiences of men and women as they relate to OGM projects are often not the same. As a result, male and female community members may not offer the same level of support for or opposition to a project. Women who are satisfied with a company's development impact have been known to play a constructive role in reducing conflicts.

Conversely, women who are dissatisfied with the development impact of OGM companies have been known to oppose OGM developments or refuse to sign agreements with companies. There have been several instances in which local women's non-governmental organizations (NGOs) have partnered with domestic and multinational coalitions to organize resistance against OGM projects.

It is also important to note that some communities are home to matriarchal or matrilineal societies, meaning that companies with projects in such locations must pay special attention to the unique roles of women. In local communities, women often have a powerful voice in decision making. So, failure to acknowledge this voice or to include women in formal settings can prove costly for companies. For examples of such consequences, see Boxes 3-A and 3-B.

## Women's Participation in Consultations Enhances Efficiency

Ensuring women's full participation can make the consultation process more efficient. In a World Bank study on gender-sensitive approaches in Peru's extractives industry, authors Bernie Ward and John Strongman note the observations of a representative from an international organization: "It is true that in most cases women [are not directly involved in decision-making], but it is also true that men, after 'reaching an agreement' with the mining company, take back what they said because 'they thought better of it.'" He added that "'thinking better of it' actually meant that they had talked to their wives about it. If women's opinions were taken into account from the beginning, perhaps both time and money could be saved in these projects."<sup>13</sup>

Even in communities where men have more OGM jobs and may be more visibly engaged with the OGM operators, women often play an important behind-the-scenes role in making or moderating community decisions about strikes or other collective action. The Peru study also cites a government representative on the important role played by women in deliberative decision making on collective action: "At one mine, the men were considering going on strike, but the women explained to them the impact of losing the income from the mine for the strike period, and as a result the men decided not to go on strike."<sup>14</sup>

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<sup>13</sup> Observatory for the Protection of Human Rights Defenders, "In Harm's Way: Women Human Rights Defenders in Thailand," Geneva: UN Committee on the Elimination of All Forms of Discrimination against Women, 2017.

<sup>14</sup> Protection International, "Thailand Khon Rak Ban Koed Group Demands Participation to Protect Their Communities from the Harmful Effects of Mining in Loei Province," News Release, July 7, 2016, <https://protectioninternational.org/2014/07/07/thailand-khon-rak-ban-koed-group-demands-participation-to-protect-their-communities-from-the-harmful-effects-of-mining-in-loei-province/>.

### **BOX 3-B Women's Groups in Thailand Protest Lack of Consultation on Open-Pit Gold Mine**

In July 2014 Members of Khon Rak Ban Kerd Group (KRBKG)—a group of women from the six villages affected by TungKam Limited Corporation's open-pit gold mine in the Loei province of Thailand—demonstrated at an environmental health impact assessment public hearing on the gold mining operations. During the protest, they demanded meaningful consultation.<sup>15</sup>



Formed in 2007 in response to concerns about environmental contamination from the mining operation, the group pushed for years to make their voices heard, but were denied access. The 2014 march followed an incident in 2013, in which more than 600 police officers prevented the villagers from participating in the public scoping process for the environmental assessment, which would be used to inform the government's decisions about existing and new concessions.<sup>16</sup>

In November 2016, the situation escalated further, as 200 KRBKG members and villagers marched to the Khoa Lunag Administrative Council Office and staged a sit-in in front of the council meeting room to demand community participation in decision-making processes regarding the granting of forest land to the company.<sup>17</sup> Ultimately, the group decided to oppose the mining project altogether, due to the lack of clarity and opportunity for participation in these decision-making processes.<sup>18</sup> Meanwhile, the group's efforts have been celebrated publicly. In 2016, the National Human Rights Commission of Thailand honored the women of KRBKG with a "Women's Human Rights Defenders Honorary Certificate" for their work.<sup>19</sup>

## **Improving Sustainability through Inclusive Community Engagement**

Research shows that consulting with women and men about community needs and investment priorities can lead to better outcomes. For instance, a study by Elizabeth King and Andrew Mason found that men and women often have different priorities for community investment: when women are consulted about their community's needs, they most often request vital programs or infrastructure related to health, education, and safety, whereas men are more inclined to ask for large infrastructure projects that may not meet the immediate and basic needs of the population.

<sup>15</sup> Human Rights in ASEAN, "Thailand: Ongoing Judicial Harassment against Members of the Khon Rak Ban Kerd Group (KRBKG)," July 13, 2017, <https://humanrightsinasean.info/article/thailand-ongoing-judicial-harassment-against-members-khon-rak-ban-kerd-group-krbkg.html>.

<sup>16</sup> Protection International, "Thailand Khon Rak Ban Koed Group Demands Participation to Protect Their Communities from the Harmful Effects of Mining in Loei Province."

<sup>17</sup> Protection International, "Thailand: Women Rights Defenders Honoured by the National Human Rights Commission," News Release, March 10, 2016, <https://protectionline.org/2016/03/10/thailand-women-rights-defenders-honoured-national-human-rights-commission/>.

<sup>18</sup> Bernie Ward and John Strongman, *Gender-Sensitive Approaches for the Extractive Industry in Peru: Improving the Impact on Women in Poverty and Their Families*, Washington, D.C: World Bank, 2011, 70.

<sup>19</sup> Bernie Ward and John Strongman, *Gender-Sensitive Approaches for the Extractive Industry in Peru: Improving the Impact on Women in Poverty and Their Families: Guide for Improving Practice*, 70.

Including both perspectives can help ensure both upfront community satisfaction and investments that support longer term development. Where communities are invested in helping companies meet sustainable development objectives, gender-equitable consultations can help ensure that community investment budgets support these goals.

The global evidence also shows that investing in women contributes to better family and community outcomes, in addition to the fact that the inclusion of diverse perspectives expands the range of viable options for community development. “Societies with large, persistent gender inequalities pay the price of more poverty, more malnutrition, more illness, and more deprivations of other kinds,” King and Mason note.<sup>20</sup>

By contrast, studies also show that in developing countries, women invest a significantly higher percentage of their income into their families, relative to men. When societies have more gender equality, poverty is reduced and economies grow.<sup>21</sup> Companies that want to do measurable good in host communities—which can itself help foster social license—need to ensure that both men and women benefit from community initiatives. Working with both men and women can help support this goal. For companies interested in contributing to sustainable and inclusive development in addition to building social license, an inclusive community engagement strategy is key.

## Responding to Investor Concerns

Shareholders and investors are becoming increasingly aware of the importance of a positive relationship between OGM companies and host communities, including the significance of community women as key actors. Given the range of issues that many companies have faced relative to respecting women’s rights—including serious cases of widespread violence against women—shareholders are beginning to pay more attention to the extent of companies’ gender-related due diligence.

Companies that can demonstrate a constructive and collaborative relationship with men and women in affected communities can help mitigate risks of operational shutdowns linked to community relations and strengthen overall investor confidence.

Increasingly, minimizing gender impacts and improving gender equality are considered smart business. Some investors and financial institutions, such as IFC, have started to incorporate gender considerations in their decisions about projects that they decide to finance. Along with the growing recognition of the importance of gender in combatting poverty and achieving sustainable development, it is possible that this trend could gain momentum, and more investors could implement new gender requirements or strengthen existing gender requirements as conditions for future project finance.

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<sup>20</sup> Elizabeth M. King and Andrew D. Mason, *Engendering Development Through Gender Equality in Rights, Resources, and Voice*, Washington and New York: World Bank and Oxford University Press, 2001, 73.

<sup>21</sup> World Bank, “Good Practice Note: Integrating Gender into Country Assistance Strategies,” June 2012, [http://siteresources.worldbank.org/INTGENDER/Resources/CAS\\_gpn.pdf](http://siteresources.worldbank.org/INTGENDER/Resources/CAS_gpn.pdf).

## **Compliance with International Human Rights Frameworks as Best Practice**

In recent years, the oil, gas, and mining industries have seen highly publicized allegations and cases of human rights abuses related to company operations. Some have been related directly to the interactions between the company or its contractors and women from affected communities. To demonstrate their commitment to upholding and protecting the rights of host communities, many companies have signed on to international human rights frameworks, creating a growing expectation that companies will also carry out related processes such as human rights impact assessments and grievance mechanisms.

## **CONCLUSION**

The evidence is clear that, given gender roles in many communities where OGM companies operate, the economic, environmental, and social changes that accompany OGM projects can impact men and women differently. OGM projects have the potential to exacerbate gender inequalities and negatively impact women. They also can enable equitable opportunities for men and women to plan, participate in, and benefit from potential growth opportunities. To pursue gender equality is not to favor women; rather, it is an attempt to achieve equity and equal opportunity for all members of a community. Ignoring differences in gender roles—and therefore the ways in which they are impacted by and participate in OGM operations and decision-making—might actually worsen gender inequalities and development challenges within a community, as it did at Rio Tinto’s Panguna mine in Papua New Guinea (See Box 3-A).

Community engagement programs that acknowledge and incorporate the critical role played by women have increased potential to strengthen community development and enhance social license, bottom line, and investment attraction. Integrating gender into a company’s community engagement policies and strategies is an important component to a gender-sensitive project.



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## TOOL SUITE 3: Tools to Address Gender Equality in Community Engagement

What steps can your company take to ensure that you engage women and men in all aspects of the project cycle and community development initiatives?

Tool Suite 3 offers support as you consider the differing needs of men and women in OGM project host communities and as you seek to create equitable opportunities to access resources and opportunities related to OGM projects. Most OGM companies have access to guidance on overall community consultation and community development. So, this tool suite provides practical suggestions and examples of strategies to specifically address gender equality in community engagement. It also offers guidance on mechanisms to ensure accountability. The 10 tools are divided into three sections:

- **Assess and Prepare:** Tools 3.1–3.4 offer guidance on conducting an initial gender stocktaking, integrating gender concerns into baseline and social impact assessments, and hiring an independent gender expert. These actions will help you determine the extent of your support to women and the impacts of projects on women. The tools also provide guidance on gathering the gender-disaggregated socioeconomic data that will serve as critical inputs to the other community engagement tools featured in this tool suite, as well as approaches to ensure that social impact assessments measure the disproportionate impacts the project may have on women.
- **Address:** Tools 3.5–3.9 are designed to help increase women’s equality and engagement in consultations, decision-making, and community engagement. They also provide direction on ways to minimize negative impacts by integrating the gender dimension into company community engagement activities and guidance on activities that will empower and benefit women and bring the potential for strong returns on investment.
- **Monitor and Sustain:** Tool 3.10 offers guidance on setting benchmarks, measuring impact, and improving practice. This includes ways to ensure that women participate in transparency and accountability mechanisms, which can address potential concerns and help avoid problems altogether.

**TABLE 3-A** Overview of Tool Suite 3

TOOL	TARGET UNIT	GOAL
<b>ASSESS and PREPARE</b>		
<b>TOOL 3.1:</b> Community Engagement Stocktaking Questionnaire	Community Engagement Team	Understand extent to which the company-community engagement activities currently assess and address gender dynamics
<b>TOOL 3.2:</b> Terms of Reference for Independent Gender Expert	Community Engagement, Human Resources	Ensure that community engagement teams have required gender expertise
<b>TOOL 3.3:</b> Integrate Gender Concerns into Baseline Community Assessments	Community Engagement, and/or Independent Gender Expert	Develop a gender-sensitive understanding of community dynamics
<b>TOOL 3.4:</b> Integrate Gender Concerns into Social Impact Assessments	Community Engagement and/or Independent Gender Expert	Understand gender-dimensions of project impacts on impacted communities
<b>ADDRESS</b>		
<b>TOOL 3.5:</b> Facilitate Gender-Equitable Participation in Consultations on OGM Operations	Community Engagement	Ensure women's equal participation in consultations for design of OGM project and community initiatives
<b>TOOL 3.6:</b> Ensure Gender Sensitivity in Participatory Monitoring and Evaluation and Grievance Mechanisms	Community Engagement and/or Independent Gender Expert	Ensure women's participation in participatory monitoring and evaluation and in grievance mechanisms for project-affected communities
<b>TOOL 3.7:</b> Design a Gender-Sensitive Resettlement Process	Community Engagement, Resettlement Specialist, and/or Independent Gender Expert	Ensure the resettlement process facilitates equal opportunities and minimizes disproportionate harm to women
<b>TOOL 3.8:</b> Create Community Development Initiatives that Benefit Both Men and Women	Community Engagement in partnership with Independent Gender Expert	Ensure community initiatives are designed to reflect priorities of men and women in the community
<b>TOOL 3.9:</b> Create Local Economic Development and Empowerment Opportunities for Women	Community Engagement in partnership with Independent Gender Expert	Develop activities that promote women's economic empowerment
<b>MONITOR and SUSTAIN</b>		
<b>TOOL 3.10:</b> Sample Indicators for Monitoring and Evaluating the Gender Mainstreaming of OGM Companies' Community Engagement and Community Initiatives	Community Engagement in partnership with Independent Gender Expert	Develop indicators to adequately measure and evaluate gender aspects of OGM projects and community initiatives

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## TOOLS 3.1–3.4: Assess and Prepare

Developing an understanding of how certain key issues impact affected communities is the first step in implementing effective and appropriate gender-sensitive community engagement strategies. This includes gaining insights into:

- **Gender dynamics:** For instance, how do the differences in men’s and women’s roles within the community impact their ability to engage in or benefit from OGM project design and community development initiatives?
- **The company’s influence on community gender dynamics:** In what ways might the potential or presence of the OGM project change gender roles and relationships in the community? In what ways might the company work to strengthen the role of women? In addition, what are the potential negative impacts on gender relations caused by interventions, for example on women’s economic or social status? Among the negative consequences could be issues such as increased incidence of gender-based violence. How can such impacts be avoided?<sup>22</sup>

While OGM projects offer opportunities to strengthen the role of women in the community, the project (or potential project) also could have a negative impact on gender relationships or norms. Gaining this understanding early and continuing to monitor gender impacts will help you design and implement activities to promote an enduring social license, yielding positive impacts for women, men and the community as a whole. Given the dynamic nature of communities and community relations, continuous assessment, monitoring, and evaluation of company progress on gender and the project’s impacts on gender norms in the community is absolutely essential. This applies to new projects and projects already underway.

“Although gender is ideally mainstreamed at the earliest phases of [project] conception, it is never too late to improve policy or project outcomes through increased gender responsiveness.”

*Source: Gender Dimensions of Artisanal and Small-Scale Mining: A Rapid Assessment Toolkit*

It is important to note that men and women are not homogenous groups. When collecting data and/or performing consultations, be sure to include women and men from varying socioeconomic

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<sup>22</sup> Adriana Eftimie et al., *Gender Dimensions of Artisanal and Small-Scale Mining: A Rapid Assessment Toolkit*, Washington, DC: World Bank and Gender Action Plan, 2012, 14.

levels, castes, religions, ethnic groups, ages, literacy statuses, marital statuses (single, married, widowed, divorced), and disabilities. Among married women, also be sure to note whether a marriage is polygamous. Lack of awareness of varying types of marriage structures<sup>23</sup> may inadvertently result in the marginalization of some wives over others, such as, for example, if one wife is included in consultations or benefit sharing but additional wives in the marriage are not accounted for.

To ensure the most accurate and up-to-date picture of the community situation, attending to such distinctions—and disaggregating the data based on them—throughout the assessment phase will be critical.

This section offers tools to help community engagement teams and/or independent gender experts affiliated with OGM projects:

- Review the company’s community engagement activities to assess the extent to which gender is an explicit theme and data is gender-disaggregated, in community assessments and projects.
- Evaluate women’s participation in and benefit from the company’s consultations and community engagement activities by reviewing:
  - » To what extent women actively participate in negotiations related to project design, use of local labor force, and community involvement in monitoring and evaluation of the project’s impacts.
  - » The number of women who receive benefits from community development initiatives compared to men, and the extent to which these initiatives are designed to meet the needs of both women and men.
  - » Any gender differences in terms of negative project impacts.

The tools provided here can supplement the community assessment tools typically used by OGM companies, with additional steps that can help integrate gender into assessment strategies. If project assessments have already been completed, the community engagement team must determine whether the assessments have adequately addressed gender, or if they need to undertake separate gender assessments.

## THE ROLE OF ASSESSMENTS

Integrating gender into baseline community assessments—which offer insight into gender roles, relations, and influencing institutions within the community— and into social impact assessments—which help determine potential project impacts on gender roles, relations, and influencing institu-

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<sup>23</sup> Projects, especially those in rural and remote areas, may be hosted by communities with strong existing traditions that present challenges to gender equality; for example, the marriage of girls at a young age, or polygamy. While cultural change is a long-term process beyond the scope of an OGM project, awareness of these contextual issues is important for OGM companies to avoid inadvertently making the situation worse.

tions—is essential. It ensures a more thorough understanding of the community that will be your neighbor and partner for perhaps decades to come, over the life of a project.

The assessments form the foundation for the design of community engagement activities. The assessments ensure that the benefits from community activities are shared equally throughout the community and that they support economic and social development—both as a direct result of the OGM project and indirectly, independent of OGM operations. Carefully constructed assessments can uncover key insights about community priorities and vulnerabilities, thus directing community engagement activities to the most important issues. In turn, this will help community engagement teams execute activities that are embedded in the OGM project cycle, beginning with planning, through implementation and into the closure stages of the project.

In short, the assessments create tremendous value for OGM community engagement teams and the company itself. The information gathered—and the relationships formed during the assessment process—can open the door to wider community engagement in processes such as:

- Project design and strategic planning
- Allocation of royalties, community development funds, and other opportunities for benefit sharing
- Design of community development initiatives such as education opportunities and health facilities

**TOOL 3.1:****Community Engagement Stocktaking Questionnaire**

- ▶ **GOAL:** Understand extent to which the company-community engagement activities currently assess and address gender dynamics.
- ▶ **TARGET UNIT:** Community Engagement

Before making use of the formal assessment tools that follow later in the tool suite, consider using this questionnaire to take stock of the current situation. It can give you a quick understanding of your company's current state when it comes to integrating gender dynamics and women's and men's needs and concerns into your engagement projects.<sup>24</sup> The number of "Yes" answers (out of a possible total of 18) will give you a better feel for the extent to which your community engagement activities are gender-sensitized.

Analyzing your answers to the questions will help identify gaps in gender-sensitizing your project and community programs. It also will help determine which of the tools and actions that follow will be most useful for your company as you work to fully integrating gender into community engagement strategies.

**TABLE 3-B** Stocktaking Questionnaire for Gender in Community Engagement

**BASELINE COMMUNITY ASSESSMENTS**

*Do baseline community assessments:*

▼ **CHECK IF YES**

	Use gender-disaggregated data?
	Extensively consult with women and men in the community to conduct the assessments? (See Tool 3.2 for guidance on how to effectively engage both women and men)
	Assess differences in women's/men's and boys'/girls' roles and responsibilities in aspects of daily life at home, in school, and in the workforce?
	Assess gender differences in land ownership, and access to and control of resources, including access to finance and bank accounts?
	Assess ways in which the project will impact women and men differently at all stages of the project, including construction and closure?
	Assess ways in which the project impacts women's health, safety, and security?
	Assess ways in which men's and women's roles and responsibilities affect their access to employment or other project benefits?
	Assess ways in which men's and women's roles and responsibilities affect their ability to participate in community consultations?
	Represent a cross-section of women from different socioeconomic levels, castes, religions, ethnic groups, ages, literacy statuses, marital statuses (single, widowed, divorced), and disabilities?

*continued on next page*

<sup>24</sup> This list was adapted in part from Deanna Kemp and Julia Keenan, *Why Gender Matters: A Resource Guide for Integrating Gender Considerations into Communities Work at Rio Tinto*, Melbourne: Rio Tinto, 2010, 32.

## COMMUNITY DEVELOPMENT INITIATIVES

Do community programs:

### ▼ CHECK IF YES

	Employ a participatory process that engages both men and women in their design?
	Include a participatory monitoring mechanism that incorporates both men and women?
	Include assessment of whether activities will impact men and women differently?
	Include measures to ensure that women and men benefit equally from activities and/or include specific activities to benefit women?
	Ensure easy access to and participation of the most vulnerable groups/individuals?

## COMMUNITY CONSULTATIONS

### ▼ CHECK IF YES

	Are all social and ethnic groups from all project-affected communities represented in community consultations?
	Are men and women equally represented in community consultations?
	Do women participate equitably (i.e. not merely being present, but able to speak, ask questions, and fully participate)?
	If women do not fully participate in mixed-gender community consultations, do you hold separate consultations with women?
	Does the company take into account women's needs, concerns, and preferences in the planning and operations of the project and of community development initiatives?
	Do women themselves participate in the design and selection processes?

## COMPENSATION AND BENEFIT SHARING

### ▼ CHECK IF YES

	Are compensation and benefits shared with heads of household/property owners, or are mechanisms in place to ensure men and women have equitable access to financial resources (for instance, joint signatories on accounts)?
	Are consultation mechanisms in place to ensure that financial benefits reach the whole family, and/or to determine the most equitable means of allocating benefits?

## GRIEVANCE MECHANISMS

(See Tool 3.6 for detailed guidance on designing gender-sensitive grievance mechanisms)

### ▼ CHECK IF YES

	Were women consulted in the development of grievance mechanisms to ensure access?
	Are grievance mechanisms available in safe and private ways, to ensure safe and secure access and encourage use of the mechanisms by anyone with a grievance?
	Do women make use grievance mechanisms that are already be in place?
	If they do make use of the mechanisms, how satisfied are women with the outcome of grievance submissions?

## TOOL 3.2:

### Terms of Reference for Independent Gender Expert

- ▶ **GOAL:** Ensure that community engagement teams have required gender expertise
- ▶ **TARGET UNITS:** Community Engagement, Human Resources

If you want to incorporate gender into community engagement activities, but lack specific gender expertise, consider recruiting an independent gender expert. Tool 3.2 outlines a sample terms of reference, including key tasks and required competencies, for such an expert. These specifics can be customized depending on the skills already available and the needs of the company, community, project, and project development staff.

This framework ToR assumes that the expert will be needed for a full range of activities—including integrating gender into the community baseline assessment, impact assessment, and related activities—but it can be modified as needed.

Note that Tool Suite 1 provides details on hiring a company-wide gender champion. In addition to this role, it is advisable to engage a separate gender expert for the community engagement team. The reason for this is that integrating gender into community engagement activities is a substantially different task from ensuring equitable hiring and promotion of women in the company's workforce, as covered in Tool Suite 1. It also requires a separate effort from ensuring that women-owned businesses have opportunities within the company supply chain, as outlined in Tool Suite 2.

Depending on the size of the project, the role of gender expert within the community affairs team could be a standalone position. Or, one or more of the company's community engagement experts might have specific gender expertise. For larger projects, companies might want to include both regional and national-level gender expertise.

### KEY COMPONENTS OF A GENDER EXPERT TOR

#### Introduction

*[Describe project, including the current status of the project, and extent of community engagement activities that have been undertaken or are currently being planned.]*

*Discuss project relationship with the community, including extent to which women have been consulted, role of women in the community as currently understood, and extent to which women have/are able to be engaged in project consultation, planning, and activities.*

*Discuss extent to which activities have included women to date and any insights or conclusions about the need for a dedicated gender specialist—for example, what brought the realization that the company needs a gender specialist or gender-focused activities at this point?]*

## Scope of work

Outline specific activities the expert will be expected to undertake. Depending on the structure of the team, and the specific activities, the expert might lead these activities or support a larger team. Activities include:

- Community baseline and social impact assessments: For example, ensuring that data collection is gender-disaggregated, gender-specific data sources are included (such as women's groups and gender-based violence service providers), participatory research methodologies are reviewed and modified to include women's perspectives, and data is analyzed through a gender lens.
- Design and training on participatory monitoring and grievance redress mechanisms: Review proposed methodologies to ensure that consideration has been given to promoting women's participation.
- Design and training on gender-based violence, if needed.
- Design and implementation of gender-sensitive resettlement program, if needed.
- Design and implementation of community engagement activities: Ensure that women can access community-wide activities and/or that specific activities are developed to promote women's economic and social empowerment.

## Outline key skills and experience

- Key skills: This might include ability to critically analyze community and interpersonal gender dynamics, balances of power, and variances in individual and group access in and around the project-affected communities. Knowledge of local language is an asset.
- Experience: This might include experience working within the host community, in other OGM communities on gender and development, and/or addressing gender-based violence in OGM projects with OGM companies and their host communities.

## Outline reporting and team structure

Clarify for potential candidates whether the expert will be leading the activities above or whether they will be providing gender guidance to a wider team.

## TOOL 3.3:

### Integrate Gender Concerns into Baseline Community Assessments

- ▶ **GOAL:** Develop a gender-sensitive understanding of community dynamics
- ▶ **TARGET UNITS:** Community Engagement and/or Independent Gender Expert

Most natural resources projects will include early-stage social and environmental baseline assessments to help the company understand the project-affected community. While guidance for best practices in baseline community assessments and community mapping is well documented in the natural resource industries, Tool 3.3 will help ensure that these processes are gender sensitive. Including an investigation into the differing experiences of men and women in the community in these assessments is critical. It requires the collection of gender-disaggregated data about the varying roles, responsibilities, and resource access in the community, as outlined in here.

If assessments have already been performed, and/or if a site is already in operation, review previous baseline assessments to determine whether they included a gender dimension. If they do not include this, consider conducting a supplementary assessment to gather baseline data on women. This thorough data collection and analysis will allow community teams to understand the social and gender dynamics within a community, the potential risks and opportunities the project will intro-

duce, and possible challenges to the acquisition of social license and pursuit of shared benefits.<sup>25</sup> The findings from this assessment can help you adjust community assessment and engagement programs to ensure that they are contributing to effective development programs and strong social license to operate. The results of these assessments also can serve as a benchmark for environmental, social, or human rights impact assessments.

#### PRE-ASSESSMENT PREPARATION

Before starting an assessment, use the guidelines detailed in Table 3-C to ensure that your approach will lead to the design of a gender-sensitive baseline community assessment.



<sup>25</sup> Deanna Kemp and Julia Keenan, *Why Gender Matters: A Resource Guide for Integrating Gender Considerations into Communities Work at Rio Tinto*, 32.

**TABLE 3-C** Preparing for Community Assessments: A Checklist

<b>▼ DETAIL ASSESSMENT GOALS TO IDENTIFY</b>	
	Gender roles and responsibilities in the community
	Access to and control of resources based on gender
	Practical gender needs: What women and men need to help them with their survival and respective daily activities, based on their roles and responsibilities
	Strategic gender needs: What women need to improve their quality of life as well as their societal status and equality in relation to that of men
	Potential positive or negative project impacts on any of the above factors
<b>▼ DESIGNATE RESPONSIBILITY FOR CONDUCTING THE ASSESSMENT</b> (See Tool 3.2: <i>Terms of Reference for Independent Gender Expert</i> )	
	Hire an independent gender expert or experts to conduct the data collection and analysis
	If a team is hired, make sure it is appropriately gender balanced
	Hire the expert(s) early on in the assessment process, to enable thorough understanding of the local context, culture, and customs and to enhance their ability to provide knowledgeable advice and guidance
	The expert(s) should be familiar with survey, interview, and research techniques for communities, and between and within social groups
<b>▼ FOCUS ON DETAILS IN ASSESSMENT DESIGN</b> (See Tables 3-D and 3-E for more on compiling, comparing, and assessing data on activities, access and control)	
	When gathering data, examine the different roles men and women play within the community, in terms of the activities that they perform as well as men's and women's differing access to and control of key resources. For example, women may take on significant responsibility for farming, buying and/or preparing food but they may not be formal landowners, or have formal access to bank accounts.
	Consider the ways in which the project might impact men's and women's routines and daily lives: <ul style="list-style-type: none"> <li>• For instance, environmental pollution may require women to spend more hours of the day collecting fresh water</li> </ul>
	Explore access and control issues: <ul style="list-style-type: none"> <li>• There could be security concerns in collecting water</li> <li>• An increased time burden because of distance to water could make it more difficult for women to meet other responsibilities</li> <li>• Women may not have control over transport to the water</li> </ul>
<b>▼ UPDATE THE PROCESS FOR A GENDER-INFORMED BASELINE ASSESSMENT</b>	
	Ensure the data is gender-disaggregated
	Ensure the process is transparent
	Ensure women's participation and consultation
<b>▼ MAXIMIZE USE OF RESULTS</b>	
	Share and validate the assessment results with members of the community
	Ensure community understanding of indicators—specifically as they relate to women

## GATHER DATA FOR BASELINE ASSESSMENT

A baseline community assessment should draw from secondary sources (preexisting data) as well as primary sources (through community consultations). In all cases, it is imperative that the data is disaggregated by sex and other socioeconomic factors such as socioeconomic level, caste, religion, ethnic group, age, literacy status, marital status (single, widowed, divorced), and disability, as noted earlier. If it is not possible to disaggregate all data by sex, prioritize by highest relevance for the decisions that will be made about the project and community initiatives.

### Step 1. Identify data sources

Table 3-D features examples of secondary and primary data sources that can be used to inform baseline community assessments, followed by ways to ensure the gender sensitivity of this information.

**TABLE 3-D** Stocktaking Questionnaire for Gender in Community Engagement

<b>SECONDARY SOURCES (PREEXISTING DATA)<sup>26</sup></b> <i>Preexisting data sources usually provide quantitative data</i>	<b>HOW TO ENSURE GENDER SENSITIVITY OF DATA</b>
Local, regional or national government data	<ul style="list-style-type: none"> <li>Is the data gender-disaggregated, and is there an equal balance of information on women and men?</li> <li>Is information on women's independence or women's services included, such as percentage of women with land titles, or percentage of healthcare workers who are female?</li> </ul>
Census statistics	
Health surveys from NGOs or government entities	
Tax ledgers	
Ethnographic or university studies	
Local histories or historical societies	Are women's stories included?
Community, business, or trade associations	Does this include data from women's groups?
Previous environmental, social, and/or human rights impact assessments conducted by the company	Is the data gender-disaggregated?
<b>PRIMARY SOURCES (THROUGH COMMUNITY CONSULTATIONS)</b>	<b>HOW TO ENSURE GENDER-SENSITIVE DATA AND DATA COLLECTION</b>
Local census	<ul style="list-style-type: none"> <li>Is the data gender-disaggregated?</li> <li>To what extent does the census count women who are not heads of household?</li> </ul>
Focus groups	Is there equal balance in the interviews and consultations with men and women?
Household surveys	Is there equal balance in the interviews and consultations with men and women?
Livelihood surveys	Is there equal balance in the interviews and consultations with men and women?
Open dialogue	Are women equal participants?
Interviews with individuals	Are women equal participants?

*continued on next page*

<sup>26</sup> This list was adapted in part from: Minerals Council of Australia, *Voluntary Community Investment: A Strategic Approach That Incorporates Gender. A Toolkit for the Extractives Industry*, Canberra: Minerals Council of Australia, 2014.

continued from previous page

PRIMARY SOURCES (THROUGH COMMUNITY CONSULTATIONS)	HOW TO ENSURE GENDER-SENSITIVE DATA AND DATA COLLECTION
Consultations with groups such as: <ul style="list-style-type: none"> <li>• Community organizations</li> <li>• Women's organizations</li> <li>• Various ethnic groups and classes</li> </ul>	<ul style="list-style-type: none"> <li>• Are women equal participants?</li> <li>• Do you hold separate interviews with women if their views are not heard in group interviews?</li> </ul>
Transect walk	Walk through various parts of the community (with community permission), to see different spheres of community life, including those dominated by males and females.

## Step 2. Ensure gender-equitable data collection: include women's voices in the data collection process

If community engagement professionals focus only on traditional structures for community consultation (for instance, local government, local leaders, church representatives), in many communities this means prioritizing the voices of traditional leaders, who are often men. Similarly, if the community engagement team asks to meet with community representatives, such as elected officials, and community elders, women may not hold any of these positions. As a result, women's needs and concerns may not be raised during these meetings and women's perspectives could wind up being left out.

Cultural, logistical, or other reasons related to gender roles and responsibilities within the community can also mean that, without a good understanding of gender roles and community structure, men and women may not be equitably included. For instance, while women may be present in negotiations or community meetings, they may not feel comfortable speaking in front of men. Or, they may not be allowed to speak while men are present. Their gender roles and responsibilities also could preclude their attendance meetings or consultations, if scheduling doesn't take into account women's availability and schedules.

### *Alternative approaches to ensure inclusivity*

In light of these barriers to participation, community engagement professionals will need to modify their techniques in order to encourage increased women's participation in the assessment process. Such modifications might include:

- Ensuring that both women and men are involved in the analysis
- Using additional social assessment techniques to guarantee women's voices are accounted for, such as:
  - » Conducting meetings and interviews with:
    - › Key informants
    - › Women-only focus groups
    - › Mothers focus groups

- › Women of varying ethnic and social classes, to avoid *elite capture* (a situation in which resources or benefits meant for the community are usurped by individuals or groups who are more well off)
  - › Health care centers and support providers for survivors of gender-based violence
- » Accommodating women to ensure their participation:
  - › Determine the most convenient meeting times and locations to encourage women's attendance
  - › Investigate potential obstacles to women's attendance and provide solutions (such as transportation, childcare, support for domestic work)
- Using tools to assess the differing practical and strategic needs of women and men:
  - » **Practical gender needs:** What women and men need to help them with their survival and respective daily activities, based on their socially accepted roles and responsibilities
  - » **Strategic gender needs:** What women need in order to advance their societal standing and equality in relation to that of men<sup>27</sup>

“This ‘elite capture’ of the discussions, by a select group of women, may not be evident to [OGM] company consultation organizers, and may therefore jeopardize the representativeness of the discussion and outcomes. Therefore, including women is a necessary but not sufficient condition for ensuring that the concerns of the communities’ women are included—rather, a cross section of women, representing a variety of opinions, is crucial.”

Source: *Gender Dimensions of the Extractive Industries: Mining for Equity*

### Step 3. Account for sensitive issues in data collection

Some of the issues to be researched during the baseline community assessment may be highly sensitive, such as violence, alcoholism, and prostitution. Some issues that may not seem sensitive—such as changing distribution of labor within the home or community, or where OGM-related inflation increases stresses within a household—could touch on sensitivities, for instance, around changing gender roles.

The research team needs to be aware of these sensitivities, as well as the local context and cultural norms, so they can conduct the assessment respectfully, while not compromising thoroughness. For instance, in situations in which men and women may have different perspectives or experiences, or where cultural conditions mean that men and women cannot speak freely in front of one another,

<sup>27</sup> Adriana Eftimie, Katherine Heller, and John Strongman, *Gender Dimensions of the Extractive Industries: Mining for Equity*, Washington, DC: World Bank, 2009, 22.

er, it may be important to hold gender-segregated or individual consultations, and to build trust over time with community members—especially with female community members. You also should take into consideration the individuals who will conduct the research. In fact, some companies hire contractors or local NGOs with preexisting relationships with the local communities to perform the baseline community assessment or the other recommended activities noted in the toolkit.

Capitalizing on local knowledge and relationships can provide a great deal of added value. Still, it is important to ensure the independence of local contractors or NGOs so that they can provide objective data about the community.



In addition, the research team must tread carefully when asking for sensitive information, such as trends in violence, alcoholism, HIV/AIDs and other diseases, since local residents may find it difficult to discuss these issues. Equipping researchers with information on local support and counseling services and proper referral pathways before they start probing with sensitive questions will help bridge the discomfort and enable the necessary data collection, while providing genuinely needed assistance.

Experience has shown that it can take some finesse—and trust-building—to get an accurate picture of such delicate and sensitive issues in many communities. In a report on gender-sensitive approaches for Peru’s extractives industries, the authors cite the experience of a Peruvian NGO:

*“In a meeting in Moquegua in one plenary session, we asked if there was any family violence and all agreed that there wasn’t any in the area. We then had separate talks with women in smaller, less formal groups, where it came out that there was unreported family violence linked to the consumption of alcohol (it was a wine-producing region). This smaller group proposed the idea of installing DEMUNA [a municipal ombudsman for the protection of women, children, and adolescents] in the area. They then took this idea back to the full assembly meeting, which agreed.”<sup>28</sup>*

<sup>28</sup> Bernie Ward and John Strongman, *Gender-Sensitive Approaches for the Extractive Industry in Peru: Improving the Impact on Women in Poverty and Their Families: Guide for Improving Practice*. For detailed guidance on appropriate and effective ways to go about collecting information on these sensitive issues, refer to the following section: “Guidance Note 2: Collecting Data and Information on Sensitive Issues,” 21–23.

## Step 4. Develop questions to integrate gender into existing baseline community assessments<sup>29</sup>

Table 3-E below includes sample questions that can be used to probe gender differences in common community baseline topics. While not an exhaustive list, it offers examples of ways to integrate gender into baseline assessments.

**TABLE 3-E** Sample Baseline Assessment Questions that Probe Gender Differences

<b>EDUCATION</b>	
Level of education achieved	<ul style="list-style-type: none"> <li>▶ What is the level of education achieved by men and boys, and women and girls?</li> </ul>
Access to school and frequency of attendance	<ul style="list-style-type: none"> <li>▶ What is the average school dropout rate for boys and girls? If there is a significant difference between the dropout rates of boys and girls, to what do you attribute that difference?</li> <li>▶ What is the rate of absenteeism for boys and girls during the school year? If there is a significant difference in the rate of absenteeism, to what do you attribute that difference?</li> <li>▶ Have there been any reports of sexual harassment or gender-based violence in school settings (student-on-student or teacher-on-student)?</li> </ul>
<b>EMPLOYMENT</b>	
Income and access to money	<ul style="list-style-type: none"> <li>▶ What is the average income for men and women?</li> </ul>
Employment	<ul style="list-style-type: none"> <li>▶ Do men and women have equal access to training opportunities for formal employment?</li> <li>▶ Do men and women have equal access to formal employment opportunities?</li> </ul>
Access to childcare services	<ul style="list-style-type: none"> <li>▶ Can women in the community access childcare services? To what extent is income or social class the determining factor for access?</li> </ul>
<b>POPULATION AND HEALTH</b>	
Life expectancy	<ul style="list-style-type: none"> <li>▶ Average life expectancy for men and women?</li> </ul>
Access to healthcare	<ul style="list-style-type: none"> <li>▶ Percentage of doctors who are female?</li> <li>▶ Percentage of nurses who are female?</li> <li>▶ Distance/time required to travel to receive healthcare, including during labor?</li> <li>▶ Are healthcare providers trained in how to respond to gender-based violence?</li> </ul>
Mortality rate	<ul style="list-style-type: none"> <li>▶ Is there a high prevalence of childbirth-related mortality compared to the rest of the country or the world? If so, what is the reason?</li> <li>▶ What is the time or distance women are required to wait or travel to see a healthcare provider during pregnancy or childbirth?</li> </ul>
Nutrition status	<ul style="list-style-type: none"> <li>▶ What is the nutritional status of men and boys, and women and girls?</li> </ul>
Birth rate	<ul style="list-style-type: none"> <li>▶ What is the percentage of teen/adolescent pregnancy and birth?</li> </ul>

*continued on next page*

<sup>29</sup> Much of this list was derived from Minerals Council of Australia, *Voluntary Community Investment: A Strategic Approach That Incorporates Gender*; World Bank, “Gender-Responsive Social Analysis: A Guidance Note Incorporating Social Dimensions into Bank-Supported Projects,” June 2005, 17-19, and *Why Gender Matters: A Resource Guide for Integrating Gender Considerations into Communities Work at Rio Tinto*.

**POPULATION AND HEALTH (continued)**

Health indicators	<ul style="list-style-type: none"> <li>▶ If there are differences in these indicators between men and women, what do such differences suggest?</li> </ul> <p><i>TIP: Place particular emphasis on indicators with strong gender implications, such as incidence of sexually transmitted infections</i></p>
Literacy rate	<ul style="list-style-type: none"> <li>▶ Is there a correlation between gender differences in literacy rates and gender differences in rates of school absenteeism or dropouts?</li> </ul>

**HOUSEHOLD DYNAMICS AND VULNERABILITY**

## ▶ Number and percentage of female-headed households

Control over financial resources	<ul style="list-style-type: none"> <li>▶ In households in which men are the income earners, do women have access to this money?</li> <li>▶ When women earn income, do they have control over this money?</li> <li>▶ Can women hold their own bank accounts?</li> <li>▶ Do women have their own bank accounts?</li> </ul> <p><i>TIP: See Table 3-G for guidance on understanding access to and control of resources</i></p>
Differences in socioeconomic status	<ul style="list-style-type: none"> <li>▶ Are female-headed households different than male-headed households, socioeconomically?</li> <li>▶ What are the reasons for these differences?</li> <li>▶ Do men and women attribute these differences to the same reasons?</li> </ul>
Participation in household and community development	<ul style="list-style-type: none"> <li>▶ Do both men and women participate in activities that contribute to household or community development?</li> <li>▶ Are these contributions based on gender, age, ethnicity, or other diversity factors?</li> <li>▶ What is the division of labor among household and domestic/family responsibilities?</li> </ul>
Prevalence of gender-based violence	<ul style="list-style-type: none"> <li>▶ Is gender-based violence more prevalent in certain subpopulations of the community, such as particular social classes, economic classes, or ethnic groups?</li> </ul>

**COMMUNITY**

Number and percentage of women in leadership roles	<ul style="list-style-type: none"> <li>▶ What types of leadership roles do women occupy?</li> <li>▶ Are women leaders in municipal government in addition to community organizations?</li> </ul>
Community decision making	<ul style="list-style-type: none"> <li>▶ To what extent are women involved in consultations and community decision making?</li> <li>▶ How is community information conveyed?</li> <li>▶ Does participation in consultations and community decisions require literacy—for example, are materials written on paper or on a bulletin board or are alternative media like radio and loudspeakers used?</li> </ul>

## ▶ Number/percent of people belonging to indigenous/ethnic minority groups

Existence of and access to transport and mobility	<ul style="list-style-type: none"> <li>▶ What are the common types of transport used by community members?</li> <li>▶ Do men and women have equal access and ability to use them?</li> <li>▶ If there are any barriers to the use of these transport methods, what are these barriers?</li> <li>▶ What are the implications of these barriers—for instance, do men or women have difficulty getting goods to market?</li> </ul>
Crime rates	<ul style="list-style-type: none"> <li>▶ What is the rate of gender-based violence?</li> <li>▶ What is the rate of crimes reported that are related to gender-based violence?</li> </ul> <p><i>TIP: Note that the rate of reporting on crimes related to gender-based violence is likely much lower than incidences of those crimes.<sup>30</sup></i></p>

<sup>30</sup> Note that in many countries, gender-based violence is not considered a crime.

## RESOURCES

Levels of access to and control over resources	<ul style="list-style-type: none"> <li>▶ Do men and women have different levels of access to and control over: <ul style="list-style-type: none"> <li>• Land for subsistence agriculture?</li> <li>• Land for cash crops?</li> <li>• Labor?</li> <li>• Equipment?</li> <li>• Cash?</li> <li>• Education/training?</li> </ul> </li> <li>▶ If so, what are the reasons for these differences?</li> <li>▶ Do men and women attribute these differences to the same factors?</li> </ul> <p><i>TIP: See Table 3-G for guidance on understanding access to and control of resources</i></p>
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## ROLES AND RESPONSIBILITIES

*TIP: Use the activity profile in Table 3-F to document and analyze gender differences in roles, responsibilities, and time usage*

Time usage	<ul style="list-style-type: none"> <li>▶ Do men and women work for equal amounts of time per day ( paid or unpaid work)?</li> <li>▶ Have women expressed interest in pursuing other activities, such as entrepreneurship, if they had more time?</li> </ul> <p><i>TIP: Women typically have a much higher burden of unpaid work (such as household chores and family care responsibilities) than men do. This limits their availability and ability to choose whether to spend their time pursuing more productive, marketable, or participatory activities, or even personal interests. This constraint, and the fact that this often reinforces their monetary poverty, exacerbates their “time poverty.”</i></p>
Community roles	<ul style="list-style-type: none"> <li>▶ Are there differences in the ways in which men and women participate in community consultations or decision-making?</li> <li>▶ Are there differences in gender roles, responsibilities, and relations among subgroups (religious, ethnic/indigenous, socioeconomic classes, age)</li> </ul> <p><i>TIP: This type of information might be obtained through secondary data</i></p> <ul style="list-style-type: none"> <li>▶ Do women equitably participate in formal and informal institutions (including local government), and the decision-making processes within them?</li> <li>▶ If not, are the barriers to this participation gender-specific—for example, are women intimidated or threatened if they attempt to participate and/or hold office?</li> </ul> <p><i>TIP: Collecting insights about these dynamics can help companies flag risks associated with increasing women's participation in decision making and leadership roles within a particular cultural context, and inform plans for risk mitigation.</i></p>

## VIEWS

- ▶ What are men's and women's goals and aspirations for themselves and their community?
- ▶ Where do men and women stand on their views of the OGM project—do they approve or disapprove?

## INFLUENCING INSTITUTIONS

- ▶ What are the formal and informal institutions—companies, civil society organizations, labor unions, national, regional, and local governments—and organizational structures that could either help or hinder gender equality efforts?
- ▶ Are there institutions that offer opportunities for women and men to voice their needs and concerns?

## LEGAL CLIMATE<sup>31</sup>

Do the local, regional, and national laws and constitution protect/guarantee:	<ul style="list-style-type: none"> <li>▶ Physical well-being and safety, including from gender-based violence?</li> <li>▶ Non-discrimination in the workplace and prevention of sexual harassment?</li> <li>▶ Individual and group formal and informal rights to land and property?</li> <li>▶ Equal access for women and men to employment, education, and healthcare?</li> <li>▶ Equal access for women and men to public authorities and the justice system?</li> </ul>
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<sup>31</sup> For more detailed suggestions on legal and institutional indicators for women's equality, visit the World Bank's Women, Business and the Law project: <http://wbl.worldbank.org/data/exploretopics/all-indicators>

### **BOX 3-C In Peru, Lack of Knowledge About Status of Women Renters Leads to Public Protest Over Mining Project**

During a geographical expansion of its mining operations in Peru, one company faced some significant issues.

A group of people—mostly single women—marched on the mine. They were later identified as residents who were about to lose the land on which the houses they rented were built. Even though the company had arranged for compensation for the house owners, the renters, who would soon become homeless, were not considered.

If the company had undertaken a gender-inclusive baseline study at the outset, it would have had a better understanding of the risks for this group of women and would have been in a better position to avoid the issue along with potential reputational risks. Instead, they were in reactive mode, with an immediate need to address and resolve the issue quickly.

This experience highlights the importance of understanding men's and women's different access to and control of resources.<sup>32</sup>

### **SAMPLE METHOD OF DATA COLLECTION AND FORMULATION: ACTIVITY AND ACCESS AND CONTROL PROFILES<sup>33</sup>**

To collect the information suggested above, researchers may choose to create an activity profile of the community. This will be particularly useful in collecting and analyzing data on the roles and division of labor between men and women.

Table 3-F features an example of an activity profile, with an additional row added to capture community activities and commitments. The understanding of the gender dynamics that underlie community roles and responsibilities will prove especially valuable when integrating gender into your social impact assessment (Tool 3.4).

Compare the information gathered in the activity profile with the data from the access and control profile, shown in Table 3-G. Use of the access and control profile can guide the collection and analysis of data to help differentiate between men's and women's access to and control over resources. Examining men's and women's responsibilities compared to their level of access and control can help you understand the extent to which men and women may be differently impacted by a project, as well as their ability to respond to changes and stresses that a project may introduce. These sample profiles are based on the Harvard Analytical Framework for Gender Analysis, developed by the Harvard Institute for International Development in collaboration with USAID.

<sup>32</sup> Bernie Ward and John Strongman, *Gender-Sensitive Approaches for the Extractive Industry in Peru: Improving the Impact on Women in Poverty and Their Families: Guide for Improving Practice*, 15.

<sup>33</sup> ILO, "Unit 1: A Conceptual Framework for Gender Analysis and Planning," International Labour Organization and the Southeast Asia Multidisciplinary Advisory Team Online Gender Learning and Information Module, <http://www.ilo.org/public/english/region/asro/mdtmanila/training/unit1/harvrdfw.htm>.

**TABLE 3-F** Activity Profile

ACTIVITIES	WOMEN	MEN	GIRLS	BOYS	WHERE /WHEN / AMOUNT OF TIME REQUIRED
<b>PRODUCTIVE</b> <ul style="list-style-type: none"> <li>▸ Agricultural</li> <li>▸ Selling products</li> <li>▸ Formal Employment</li> <li>▸ Other</li> </ul>					
<b>REPRODUCTIVE</b> <ul style="list-style-type: none"> <li>▸ Childcare</li> <li>▸ Food preparation</li> <li>▸ Collecting water</li> <li>▸ Collecting fuel</li> <li>▸ Food production</li> <li>▸ Healthcare</li> <li>▸ Other</li> </ul>					
<b>COMMUNITY INVOLVEMENT</b> <ul style="list-style-type: none"> <li>▸ Community meetings</li> <li>▸ Religious activities</li> <li>▸ Recreation</li> <li>▸ Other</li> </ul>					

**TABLE 3-G** Access and Control Profile

	ACCESS		CONTROL	
	WOMEN	MEN	WOMEN	MEN
<b>RESOURCES</b> <ul style="list-style-type: none"> <li>▸ Land for subsistence agriculture</li> <li>▸ Land for cash crops</li> <li>▸ Labor</li> <li>▸ Equipment</li> <li>▸ Cash</li> <li>▸ Education/training</li> <li>▸ Other</li> </ul>				
<b>BENEFITS FROM USE OF RESOURCES</b> <ul style="list-style-type: none"> <li>▸ Cash income</li> <li>▸ Assets ownership</li> <li>▸ Basic needs (food, clothing, shelter)</li> <li>▸ Education</li> <li>▸ Political power/influence</li> <li>▸ Other</li> </ul>				

## ANALYZE THE DATA

Once the data collection for the baseline community assessment is complete, the information needs to be compiled, organized, and analyzed. Ideally, the independent gender expert who gathered the data should handle the analysis stage as well.

Full community participation—including men and women—in the analysis is key. To ensure equal women's participation, conduct the analysis at times and places that will make it easier for them to attend. Publicize the meetings broadly and extensively so that all community members are aware of their schedule. You can make use of multiple approaches to communicate this information, including word of mouth, radio, and posters. Your goals for the analysis are to identify in general terms:

- Gender differences along social, cultural, economic, or political lines
- Differing views and wishes of men and women

Be sure to share the results widely throughout the entire community. Request feedback so that you can validate the results with male and female community members alike.

Use the findings from the baseline community assessment and the entire assessment phase to guide your company's planning and implementation for both the project and company-led community initiatives. Tools 3.5 and 3.6 focus on planning and implementation—the “Address” phase—of gender-sensitive community engagement initiatives.

## TOOL 3-4: Integrate Gender Concerns into Social Impact Assessments

- **GOAL:** Understand gender dimensions of project impacts on impacted communities
- **TARGET UNITS:** Community Engagement team and/or Independent Gender Expert

### ABOUT THE SOCIAL IMPACT ASSESSMENT

While a gender-sensitive baseline community assessment helps companies understand the local community and how gender roles and relations function within it, a gender-sensitive social impact assessment is essential to identify impacts that the oil, gas, or mining project might have on the community and its gender roles, relations, and influencing institutions. Social impact assessments are becoming increasingly common as standalone efforts. In addition, they often are part of the environmental impact assessment process required by governments and investors for project approval. IFC Performance Standard 1 establishes the importance of integrated assessment to identify the environmental and social impacts, risks, and opportunities of projects.

“The introduction of any type of large-scale industry creates positive and negative changes within a community. Rapid industrial expansion changes the gendered norms of a society either resulting in new opportunities, or emerging tensions from changing routines and expectations. Whether it is a large manufacturing factory, an army base, or a mining development, the community goes through a process of social and cultural change created by a sudden inflow of economic revenue and opportunity, coupled with population influx and ‘development.’”

*Source: Mapping Gender-Based Violence and Mining Infrastructure in Mongolian Mining Communities*

A key aspect of the social impact assessment is its usefulness in understanding what community members themselves believe to be potential positive and negative project impacts. To gain such insight and to avoid a company-led, top-down approach, consider conducting a community-based impact assessment. Alternatively, a third party, such as an NGO, could carry out the assessment.<sup>34</sup> Keep in mind that including potential positive impacts in the assessment will allow you to identify the resources and processes that will be required to realize them. This also will help ensure that women will be able to maximize their benefit from the opportunities created.

In this tool suite the baseline and social impact assessments are treated separately, to facilitate integrating gender into existing

<sup>34</sup> For more, see Oxfam America’s “Community Voice in Human Rights Impact Assessments” guidance: <https://www.oxfamamerica.org/explore/research-publications/community-voice-in-human-rights-impact-assessments/>, and the Additional Resources section.

processes. But combining the two by adding the social impact into the baseline is also an option, particularly for companies that are in the midst of designing their community engagement programs or that want to redesign their methodologies, thus avoiding the need for multiple assessments. Yet another option is a gender impact assessment that incorporates both. See the Additional Resources section of this tool suite for more information on gender impact assessments.

### **BOX 3-D Commonly Experienced Negative Gender Impacts from OGM Projects**

- Increase in social and health problems in host community introduced by the influx of a transient male workforce
- Increase in social issues related to land access and land titling in sending-communities
- Environmental degradation
- Unfair distribution of royalties
- Unequal employment opportunities
- Rebalancing of domestic and subsistence responsibilities, with women taking on more work because men are working more hours in the OGM sector
- Loss of livelihoods
- Changing community dynamics, with influx of labor and related industries
- Inflation, related to OGM activities
- Increased social pressures associated with increased availability of cash, influx of people, and changing social dynamics including alcoholism, prostitution, and increased risk of sexually transmitted infections
- Increased safety risks due to changing community dynamics

## **DIFFERENTIATING PROJECT IMPACTS**

Gender-sensitive social impact assessments examine the ways in which men's and women's roles—as identified through the baseline assessment—influence how they experience project impacts, as well as their resilience to these impacts. This examination can include:

- Direct and indirect socioeconomic impacts introduced by the construction, operation, and closure of the project
- Ways in which men and women differ in how they are affected by the above impacts based on their gender roles, including diversity considerations to account for additional vulnerabilities
- Ways in which men's and women's different access to and control of resources—including natural resources, cash, and project benefits—affects resilience and ability to cope with the changes listed above

- Distribution of power relationships, influence, and decision-making power inside households and in the community: How do these power relationships affect the impacts on men and women, including those from vulnerable groups?
- Influence of gender roles on subsistence and livelihoods, in light of project impacts
- Ways in which differing access to education and employment influence men's and women's ability to cope with the above changes
- Ways in which men and women are affected differently by health and safety changes resulting from the project

### IDENTIFYING WAYS TO MITIGATE RISKS AND INCREASE BENEFITS

A gender-sensitive social impact assessment is a useful tool in uncovering ways to mitigate risks or increase community benefits from projects. To do so, however, your assessment should take into consideration gender-related differences. Here are some ways to account for these differences:

- Identify and address disproportionately negative impacts on women
- Enhance positive impacts for women
- Avoid perpetuating or exacerbating existing gender inequalities
- Find opportunities to improve gender relations and gender equality
- Involve women in participation in and design of consultation processes and negotiations
- Enhance benefit sharing among the women and men in the community
- Evenly distribute benefits among female and male members of the community and include vulnerable groups

Use the results of the gender-sensitive social impact assessment to inform the subsequent design of project phases, community consultations, and community programs. This will help to ensure that gender-sensitive community approaches are embedded at all stages of the project.

“It is the effective response to strategic gender needs that can change the status quo in terms of a women's often subordinate position in society relative to that of men. Gender relations are determined by social rules and norms that determine how assets, labor, and authority and status are assigned, so any policy or program seeking to change these norms must address strategic gender needs.”<sup>35</sup>

Source: *Gender Dimensions of Artisanal and Small-Scale Mining: A Rapid Assessment Toolkit*

<sup>35</sup> Adriana Eftimie et al., *Gender Dimensions of Artisanal and Small-Scale Mining: A Rapid Assessment Toolkit*, 17.

## GENDER-EQUITABLE DATA COLLECTION

Gender-equitable data collection is absolutely key to an assessment that appropriately reflects the gender-related differences in the social impacts from an OGM project. Standard data collection methods may inadvertently leave out women's voices. For example, cultural factors may prevent women from speaking up in front of men, or women's household or childcare responsibilities may leave them unavailable to attend community consultations. See Tool 3.3 for more guidance on including women's voices in the data collection process.

**TABLE 3-H** Questions to Include in a Gender-Sensitive Social Impact Assessment

### GENERAL QUESTIONS

- ▶ What are the current or predicted positive impacts (economic, social, and environmental) of the different project stages on men and women, including on their activities and access to and control of resources?
- ▶ What are the current or predicted negative impacts (economic, social, and environmental) of the different project stages on men and women, including on their activities, and access to and control of resources?
- ▶ Does the project provide opportunities to promote gender equality through specific institutions in the area?
- ▶ Which institutions?
- ▶ Will social cohesion be diminished or damaged, such as women's time conversing while collecting water?
- ▶ Will any cultural heritage practices or culturally significant or sacred sites, be diminished or damaged?

### INTERESTS AND PERCEPTIONS

- ▶ What are the differences in women's and men's perceptions of the project and how it will impact them?
- ▶ Do women and men have different hopes and concerns about the project?

### CHANGING HOUSEHOLD DYNAMICS

- ▶ Are there opportunities for the project to improve gender equality within the home?
- ▶ What are the potential implications of the changed access to resources inside and outside of the home for men and women?
- ▶ For instance, how are changes outside the home—such as in employment, livelihoods, increased availability of cash—leading to changes inside households?
- ▶ Will the project pose any threats to existing livelihoods, subsistence, or property ownership rules or customs, and how would men and women be differently impacted by this?
- ▶ Could any of the above changes lead to increased domestic or gender-based violence?
- ▶ What steps can be taken to prevent or minimize potential subsequent risks of domestic or gender-based violence?

### INFLUENCING INSTITUTIONS

- ▶ What influencing institutions or other stakeholders, such as civil society or community groups—especially those that work with women—and labor unions—particularly all-male unions—could either help or hinder your gender equality efforts?
- ▶ How can you work with them to partner on gender equality efforts or ensure that company gender equality efforts won't be obstructed?
- ▶ How can the project work within or strengthen existing social structures and processes to further gender equality efforts?

### SOCIAL SUBGROUPS AND VULNERABLE POPULATIONS

- ▶ Do any social subgroups or vulnerable populations (such as those of lower social classes, higher poverty levels, ethnic minority groups, disabilities, or anyone else with less voice and agency) have additional gender issues or particular sensitivity to community gender issues?

### SAFETY AND HEALTH

- ▶ Will the project increase the risk of violence for women or men (domestic, gender-based, or other), sexually transmitted infections, or other threats to their personal safety or health?
- ▶ What steps can be taken to prevent or minimize these risks?
- ▶ Are there any injured, ill, or disabled members of the community who are usually taken care of by their female relatives?
- ▶ Will the health and wellbeing of these individuals be affected by the changes in power dynamics or increased gender equality?

### PARTICIPATION AND BENEFIT SHARING

- ▶ Will both men and women have opportunities to participate in the project through employment, local supplier development, community initiatives, and benefit sharing?
- ▶ How can the company ensure that both women and men voice their opinions in community consultations?
- ▶ How can the company ensure communication and connection with the community's female and male leaders?
- ▶ What is the likelihood of elite capture (benefits going to members of the community who are more well off, such as men or women who have higher socioeconomic status)?
- ▶ How can the concerns and participation of all members of society be taken into consideration?
- ▶ How can the project be designed to provide leadership and professional development opportunities to both men and women, for example, through leadership or project management roles in the company, community, or government?
- ▶ Will women or men face different hurdles or bear disproportionate costs to participate in the project?  
*TIP: This can include sacrificing paid work or juggling increased pressures of time and labor due to preexisting commitments to subsistence activities or domestic and childcare duties.*

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## TOOLS 3.5-3.9: Address

### INCORPORATE INFORMATION FROM ASSESSMENTS INTO COMMUNITY ENGAGEMENT ACTIVITIES

The information culled from your gender-sensitive assessments can inform the design, development, and refining of your community engagement activities. The assessments will highlight areas of focus as these activities are put together. Key information will be uncovered, such as:

- Ways in which the OGM project is directly and indirectly affecting men's and women's traditional roles in the community
- Ways in which the project is changing men's and women's access to and control of resources
- Gender-based differences in perceptions of the project and potential benefits
- Gender-based differences in concerns and aspirations related to local economic and social development
- Training and capacity-building opportunities and needs for male and female community members<sup>36</sup>

Input from the gender-sensitive assessment phase can help inform decisions about the project, shape community outreach activities, and contribute to the design of benefit sharing and grievance mechanisms.

#### Why Include Women's Voices in Activity Design?

For companies concerned with their bottom line, listening to men and women in the community has multiple benefits. Not only can it promote social license to operate, as noted ear-

“The men came presenting projects about road construction but the women wanted to tackle their health and nutritional priorities. Five years later, after pouring money into the area of infrastructure we are seeing the same levels of unhappiness in the home. Perhaps the women were right.”

— Mining company official in Peru

Source: *Gender-Sensitive Approaches for the Extractive Industry in Peru*

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<sup>36</sup> Bernie Ward and John Strongman, *Gender-Sensitive Approaches for the Extractive Industry in Peru: Improving the Impact on Women in Poverty and Their Families*, 1.

lier, but activities designed with input from both men and women are also likely to be more effective in their use of funds.

Experience shows that men and women often have different investment priorities. Anecdotal evidence from a World Bank project in Peru indicated that women were more likely to choose investments that benefited long-term community sustainability. Men, on the other hand, were more likely to suggest spending revenue on infrastructure projects that might have lower tangible development impacts. Other studies note similar outcomes.

*When women are included, programs tend to be more focused on the community's immediate development needs, including health, education, capacity building and nutrition, and focused more on medium-long term infrastructure projects. Where only men's voices are heeded, evidence shows that community funds tend to be used for projects with lower development impacts, or less wide-spread interest, such that these investments do less to improve key development indicators on health, education, and sanitation.<sup>37</sup>*



Clearly, companies must make the effort to engage communities in an inclusive manner at all stages—from consultation on the operation itself, to selecting, designing, and managing community outreach projects.

This section features five tools to help integrate gender sensitivity into project design, grievance redress mechanisms, and community initiatives. Note that the tools work equally well for companies that already have in place well-developed community engagement protocols. If this is the case, use the tools as supplemental guidance to incorporate additional measures into your existing processes. This will help maximize the integration of the gender dimension into project design and implementation.

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<sup>37</sup> Adriana Eftimie, Katherine Heller, and John Strongman, *Gender Dimensions of the Extractive Industries: Mining for Equity*, 20.

**TOOL 3.5:****Facilitate Gender-Equitable Participation in Consultations on OGM Operations**

- ▶ **GOAL:** Ensure women's equal participation in consultations for design of OGM operations and community initiatives
- ▶ **TARGET UNIT:** Community Engagement Team

Over the life of a project, community consultations can take place in a variety of circumstances. Consultations can be held ahead of project initiation, as part of exploration and community consultation; they may be held during the operational phase at various stages as part of different community engagement activities; they may be held to discuss issues related to operations or benefit distribution; or they may be held to discuss project closure. An ongoing, trusted, transparent, and accessible consultation process is essential to:

- Keeping open communication between company and community
- Maintaining up-to-date understanding of social license
- Continuing ability to address concerns
- Preserving smooth and uninterrupted operations

To facilitate these goals and guarantee ongoing dialogue, conduct regular consultations that are accessible to all members of the community. Be aware that gender roles and responsibilities often mean that men, women, or other vulnerable groups in the community may not have equitable access to consultations. Adapt accordingly, so that consultative forums reflect all community viewpoints. Remember that investment in a robust consultative process can help you avoid more costly issues down the road.

**FOUR STEPS TO FACILITATING WOMEN'S PARTICIPATION IN CONSULTATIONS**

What follows is a four-step process that will help increase women's participation in consultations.<sup>38</sup>

**Step 1: Understand the community by conducting community and social mapping.**

This information might have been uncovered in the baseline or social impact assessment. But if your consultations occur later, changes could have happened in the meantime. So, use this step to ensure that your community mapping is up to date. Be sure to map variations in gender as well as social and ethnic classes, such as:

- Female-headed households

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<sup>38</sup> The majority of this list was modified from Adriana Eftimie, Katherine Heller, and John Strongman, *Gender Dimensions of the Extractive Industries: Mining for Equity*, 22.

- Groups of differing religious, cultural, or ethnic affiliations
- Variations in social/economic classes

Ensure that mapping includes gender-disaggregated information such as:

- Gender roles
- Gender responsibilities
- Gender differences in time allocation, amount of free time, or lack thereof (time poverty)
- Gender differences in access to and control of land and resources
  - » Gender differences in land usage
  - » Gender differences in land titling and ownership
  - » Gender differences land renting

Note that the information gathered in the activity and access and control profiles as detailed in Tool 3.3 can be helpful here.

### **Step 2: Make sure that consultation logistics facilitate women's participation.**

Logistics to be considered include timing and location. If it will be difficult for women to attend, make alternative arrangements so that the consultation is as inclusive as possible. To support gender diversity in the consultation process, consider:

- Setting targets for a gender equitable consultation, including equal numbers of men and women. Where co-ed consultations are not feasible (for instance, where cultural norms make this difficult), consider single-sex consultations.
- Scheduling meetings at times and locations convenient to women, determined through discussion with key community women.
- Address obstacles to women's attendance by recognizing them and providing solutions, such as providing transportation, childcare, and other support for domestic work.
- Use participatory mechanisms such as opportunity rankings and community score cards to invite diverse and anonymous suggestions, opinions, and votes from men and women during consultations.

### **Step 3: Facilitate women's leadership.**

Make sure that there is gender diversity in leadership and the various representative positions in community management structures that related to the project. This includes chairs of any committees established to ensure communication between community and company. To help with this, several measures may be needed:

- **Leadership training:** If there are not enough qualified women for these positions, offer leadership training programs for women so they have the qualifications needed.
- **Gender awareness training:** If men in the community express resistance to women holding these leadership positions, conduct awareness training on women's equality and the benefits of gender equality in community and project leadership

In addition, consultations with community leaders should occur at all stages of the project and community program and revenue management decisions. This group should always include formal and informal male and female community leaders.

Whenever possible, try to validate the credentials of the individuals—for example, by asking around from multiple sources—to ensure that they are, in fact, recognized community leaders and that they will reflect community views. It may be necessary to hold multiple consultations to capture varying viewpoints.

#### **Step 4: Create an environment open to women's participation and leadership by sharing knowledge and building capacity.**

Gender training for community members and company staff—including supervisory and security staff—can help open minds and broaden perspectives. Use such programs to:

- Increase gender awareness and sensitivity
- Educate community members and staff about the benefits of gender equality in the project and in the community
- Inform community members and staff about the interventions that will take place and allow open discussion about the changes to local customs and traditions that might result
- Reduce harassment and resistance to gender equality initiatives (For detailed guidance on how to reduce harassment in the workplace, see Tool Suite 2)
- Encourage staff to collect information about gender aspects of project operations

“Empowering women is likely to ensure economic development of the community thanks to the multiplier effect. This will give the mining company a stronger social license to operate.”

— Meg Kauthen

*Source: “Outside the Mine Gate: Empowering Women Through Inclusive Business.”*

**TOOL 3.6:****Ensure Gender Sensitivity in Participatory Monitoring and Evaluation and Grievance Mechanisms**

- ▶ **GOAL:** Ensure women participate in participatory monitoring and evaluation as well as in grievance mechanisms for project-affected communities
- ▶ **TARGET UNITS:** Community Engagement Team and/or Independent Gender Expert

**ABOUT SOCIAL ACCOUNTABILITY STRATEGIES: PARTICIPATORY MONITORING AND EVALUATION AND GRIEVANCE MECHANISMS**

Community members—male and female alike—must have a way to express satisfaction, concerns, questions, or complaints about an OGM project and about specific community outreach activities. That is why participatory monitoring and evaluation processes and grievance redress mechanisms are key.

Such instruments are especially valuable if all voices were not heard and incorporated at the various stages of project development. They are efficient and effective methods to identify existing and potential problems as early as possible. Involving both men and women in the initial design of the processes and mechanisms—as well in their execution—will ensure optimal effectiveness and functionality for all members of the community. This will increase their potential for success, and, in turn, contribute to the smooth operation of the project and community initiatives.

Participatory monitoring and grievance mechanisms take a number of forms, each with its own values and specific implementation techniques. Rather than detailing every technique, Tool 3.6 provides guidance that can be incorporated into any of the approaches you might consider using.<sup>39</sup> Note that many financial institutions require such mechanisms. For example, IFC Performance Standard 1 requires the establishment of grievance mechanisms to hear grievances and facilitate resolution of affected communities’ concerns related to IFC clients’ environmental and social performance.

**Designing Gender-Sensitive Participatory Monitoring and Evaluation Processes**

Participatory monitoring and evaluation techniques (such as participatory rural appraisals, key informant interviews, outcome mapping, and community score cards) differ from traditional monitoring and evaluation methodologies because they allow the project-affected community to play a role in determining indicators, priorities, and how success of projects and community initiatives is measured, as well as to give communities ownership over outcomes. Development institutions are

<sup>39</sup> For more information on designing grievance mechanisms, see IFC’s “Good Practice Note: Addressing Grievances from Project-Affected Communities,” [https://www.ifc.org/wps/wcm/connect/topics\\_ext\\_content/ifc\\_external\\_corporate\\_site/sustainability-at-ifc/publications/publications\\_gpn\\_grievances](https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/publications/publications_gpn_grievances), and CAO’s “Grievance Mechanism Toolkit: A practical guide for implementing grievance mechanisms in different sectors,” <https://www.cao-grm.org/>.

increasingly utilizing participatory monitoring and evaluation because they ensure more accurate analysis of project success.

Men and women in the community should have the ability to play an equal part in all steps of the participatory monitoring and evaluation process, and they should be encouraged to do so. Here are some ways to facilitate inclusive participation:

- Set indicators:** Any participatory monitoring technique starts with the definition of indicators of success—that is, a successfully implemented project, or delivered service. Allowing those impacted by a service to be involved in determining the metrics by which it is evaluated helps ensure that you are focusing on the key project attributes and services and demonstrating commitment to accountability for these services. It is essential that women in the community are involved in determining these indicators, so that they reflect the priorities of both men and women. Indicators can be determined at the project and program level as well as on a higher level, such as those that can measure increases in women’s equality in the community and/or the meeting of their strategic gender needs—such as the percentage of women who participate in community meetings or the percentage of women with access to cash income or land titles.
- Disaggregate the data for gender:** As previously noted, disaggregating data by gender is one of the first steps in integrating gender sensitivity into project and community initiatives. The only way to assess whether a project or program is disproportionately harming women is to view its impacts on women separately from its impacts on men. Programs and policies that appear to be “gender neutral” stand the risk of benefiting men over women. For more, see Tool 3.4.
- Share and analyze data with both men and women:** Results can be developed publicly, such as through community meetings, or confidentially and later disseminated. Take care to ensure equal participation by men and women and that they have equal access to results.



- **Adapt the project or program to reduce negative impacts on women and increase equal benefits:** Gender-disaggregated data should be analyzed against baseline data to determine ways in which the project or program may be inadvertently harming or benefiting men and women disproportionately. Changes and adaptations should be made in collaboration with men and women from the community, so they will have a role in ensuring equal benefit from the project.

## Designing Grievance Redress Mechanisms for Women and Men

Grievance mechanisms provide a formal and transparent process for community members to voice their concerns or questions about OGM projects. These mechanisms range from a simple approach, such as a box to deposit handwritten complaints, to more complex and formal processes.

Many institutional investors require that project-affected communities have access to a grievance mechanism process. It creates a credible way to learn of community concerns so you can take the necessary steps to address the issues, thus minimizing risk and safeguarding the company-community relationship.

### *Obstacles to participation*

Men and women, including vulnerable groups within both communities, may face obstacles when it comes to voicing their grievances about an OGM project. These obstacles can range from logistical to cultural challenges, such as:

- **Cultural expectations for women or certain vulnerable groups:** This may lead them to remain silent about grievances.
- **Lower levels of literacy among some community groups:** This can make it difficult to express concerns.
- **Limited familiarity with formal processes:** This can occur if the company does not ensure equitable participation in consultations and community meetings.
- **Lack of gender-diverse grievance mechanism staff.**
- **Lack of understanding and knowledge about the community on the part of grievance mechanism staff:** They may not be familiar with the issues faced by men, women, and vulnerable community members. They also might lack training on the appropriate handling of gender-sensitive issues.
- **Culturally based gender dynamics:** In some communities, women are expected to rely on male family members instead of directly accessing grievance processes, law enforcement, or lawyers.
- **Reliance on informal grievance structures:** Some community groups may be more familiar with informal grievance structures, such as women's associations. Some might believe that it is not their place to participate in formal grievance mechanism procedures.

### *Concrete steps to enable equal access to and use of grievance mechanisms*

Here are specific measures your company can take to ensure that men and women alike can make use of the grievance mechanisms you have in place.<sup>40</sup>

- Involve women in the design of the mechanism from the very start.
- Publicize all relevant steps of the grievance process and make sure there is broad reach throughout the community: This includes information on points of contact for access to the mechanism, how to register a complaint, stages and timelines of the mechanism, when complainants can expect to receive communication on the progress of their complaint, and availability of advisory or expert support resources and how they are funded.<sup>41</sup>
- Keep up a steady stream of publicity about the mechanism: This will guarantee that members of the community—including new community members—will remain informed. Engage local community organizations, women’s groups, or NGOs to help ensure that the information continues to reach diverse members of the community.<sup>42</sup>
- Examine any potential barriers that might prevent women’s equitable access and participation (see list above).
- Ensure that the mechanism is rights-compatible in both process and outcomes: See next section for more on this.
- Base the design of the mechanism on the inclusion, participation, and empowerment of all individuals, paying particular attention to vulnerable people.
- Appoint a gender champion to ensure that men’s and women’s grievances are addressed equally:
  - » At a minimum, appoint one gender champion within the community engagement team.
  - » For best practice and to avoid elite capture, also bring on a democratically elected gender representative from within the community.

### **Ways to Facilitate Equal Access to and Use of Grievance Mechanisms**

Here are some examples of ways to encourage the use of established grievance mechanisms by all community members, male and female alike.

- Do not charge a fee for use.
- Provide simple, user-friendly forms, with clear directions.

<sup>40</sup> Christina Hill and Kelly Newell, *Women, Communities and Mining: The Gender Impacts of Mining and the Role of Gender Impact Assessment*, Carlton: Oxfam Australia, 2009, 6.

<sup>41</sup> Corporate Social Responsibility Initiative, *Rights-Compatible Grievance Mechanisms: A Guidance Tool for Companies and Their Stakeholders*, Cambridge: John F. Kennedy School of Government, Harvard University, 2008.

<sup>42</sup> CSRI, *Rights-Compatible Grievance Mechanisms: A Guidance Tool for Companies and Their Stakeholders*.

- Enable access to the process for people who only speak the local language or who are illiterate: Provide assistance and safeguards to ensure the successful filing of their grievance.
- Create an authorization process for third-party complaints: For complaints filed on behalf of someone else, provide a way to confirm that the person filing the complaint is authorized to do so.
- Clearly publicize more than one point of access to the grievance mechanism: Designate at least one independent access point, separate from the company, such as a community organization or representative, trade or worker's union or representative, ombudsman, or hotline. Make sure that it is available to everyone, not just to the members of the organization or union they might represent.<sup>43</sup>
- Provide separate locations and consider any additional accommodations necessary to facilitate participation of women and men as needed.
- Ensure the safety and security of locations for both men and women: Access points should be well-lit, easily accessible, not secluded, and not too public.
- Ensure the anonymity of complainants.
- Take every complaint seriously and treat every complainant with respect.
- Consider training for local community groups: In some communities, there may be a preference for informal grievance structures. In such situations, local community groups, women's associations, or women's dialogue platforms can be provided with training, so they know how to handle grievances relayed to them. This also will help ensure that your formal grievance process incorporates any grievances gathered in this way.

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<sup>43</sup> CSRI, *Rights-Compatible Grievance Mechanisms: A Guidance Tool for Companies and Their Stakeholders*.

**TOOL 3.7:****Design a Gender-Sensitive Resettlement Process<sup>44</sup>**

- ▶ **GOAL:** Ensure the resettlement process facilitates equal opportunities and minimizes disproportionate harm to women
- ▶ **TARGET UNITS:** Community Engagement Team, Resettlement Specialist, and/or Independent Gender Expert

Sometimes, natural resource projects require resettlement of local residents. In such situations, the most disadvantaged or vulnerable<sup>45</sup> members of the community are the most at risk of further marginalization. They might have the most difficulty reconstructing their lives following resettlement. And yet, they could receive the least amount of compensation and assistance from traditional resettlement programs.

To provide the greatest latitude for project-affected people so they can make their own decisions for their post-resettlement life, an inclusive resettlement process—one that is tailored to the specific needs and concerns of each subgroup and that involves full engagement with all community members—is critical.

“[T]he test of any successful resettlement is not whether the majority of resettlers have adapted or consider themselves better off, but how the most marginalized and vulnerable have fared, since this is where the risk of human rights violations is greatest.”

Source: “Oxfam America: Mining, Resettlement, and Lost Livelihoods.”

**COMPENSATION FOR BOTH LANDOWNERS AND LAND USERS**

When a company negotiates land purchase or resettlement with a project-affected community, resettlement is often designed to compensate landowners, so they can maintain or improve their quality of life and income-generating activity. The problem here is that many of the land users are not the landowners themselves. So, an arrangement that only calls for compensation of landowners means excluding an entire group of community members—land users. Often among the poorest and most vulnerable, land users may rely on the land as their main source of shelter, subsistence, and livelihood. They are at significant risk of losing it all if the resettlement process does not address the situation.

One way to ensure that all those affected by resettlement are considered is the approach taken by IFC. IFC Performance Standard 5 requires that “economically displaced persons who are without legally recognizable claims to land...will be compensated for lost assets other than land (such as crops, irrigation infrastructure and other improvements made to the land) at full replacement cost.”

<sup>44</sup> Much of this tool draws from Asian Development Bank, *Gender Checklist: Resettlement*, Manila: Asian Development Bank, 2003.

<sup>45</sup> “This disadvantaged or vulnerable status may stem from an individual’s or group’s race, color, sex, language, religion, political or other opinion, national or social origin, property, birth, or other status. The client should also consider factors such as gender, age, ethnicity, culture, literacy, sickness, physical or mental disability, poverty or economic disadvantage, and dependence on unique natural resources,” IFC Performance Standard 1, page 4.

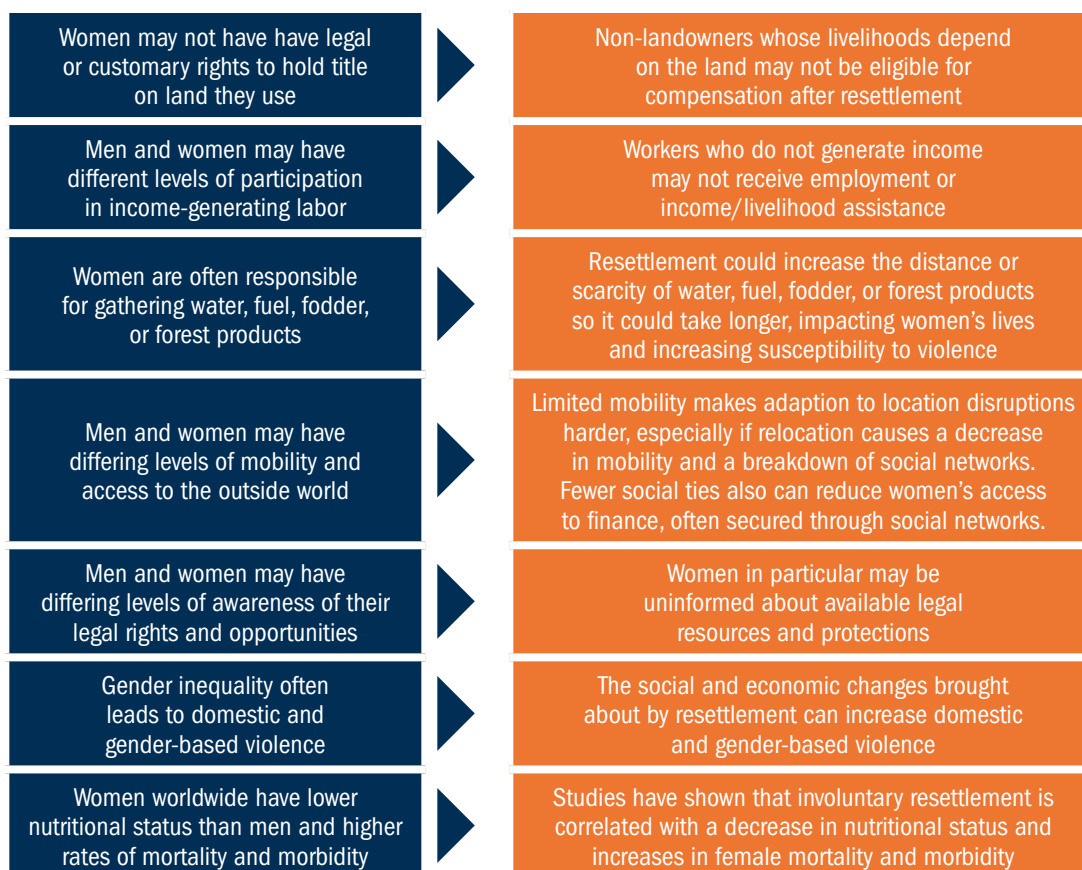
## WOMEN AT INCREASED RISK IN RESETTLEMENT PROCESS

Failure to customize the resettlement process to the needs of the people being resettled could increase the risk that the community—or those most vulnerable, who are often women—winds up worse off than before the project.

In many countries, women are prevented from owning land in their names, due to legal restrictions or local customs. A resettlement process that does not account for this could mean that women are more vulnerable to the loss of land or livelihoods—or to inadequate compensation for the loss of land that they, in fact, do own or use. For women whose domestic responsibilities depend on land access, such as subsistence farming, the lack of compensation for resettlement can increase pressure and exacerbate other inequalities within the home.

Resettlement processes that worsen gender disparities can have negative impacts not only for the community, but ultimately for the company as well. On the other hand, experience shows that gender-equitable and inclusive community engagement strategies, with a focus on poverty reduction, will help to secure stronger social license to operate—the cornerstone of a quality relationship with the community.

**FIGURE 3-A** How Gender Affects Resettlement Impacts



When both men and women feel that agreements are beneficial, it can reduce friction within the household and within the community. It also can help mitigate the risk of protest and other project opposition that could disrupt operations and alarm investors.

While this tool focuses on ensuring that men and women are included in developing resettlement plans, it is important to remind users of the tool suite that men and women are not homogenous groups, and that there are varying levels of vulnerability. When it comes to consultations, negotiations, compensation, and options for relocation and livelihoods, the resettlement process must reflect the needs of all members of the community, with an inclusive approach that extends to all women and men and every member of the household. Be sure to account for religious, cultural, and economic differences, such as socio-economic status, religion, ethnicity, disability, and civil status. Use of the assessment tools featured in this tool suite can help you develop a better understanding of the community's cultural norms, gender dynamics, roles and responsibilities, and diverse subgroups, which will enable a more effective and equitable resettlement process.

Note that this tool is not intended as a comprehensive resettlement guide; rather, it is designed to supplement your preexisting resettlement strategy. The goal is to ensure that your strategy anticipates the needs of impacted male and female community members alike with responses that appropriately address these needs before, during, and after the transition.

“The key to participation is full information. If the affected persons are to exercise their rights to rehabilitation, they must be fully informed.”

*Source: Gender Checklist: Resettlement, Asian Development Bank*

## GUIDE TO A GENDER-SENSITIVE RESETTLEMENT PROCESS

Before starting the resettlement process, be sure to have in place a gender-balanced resettlement team. This balance can improve responsiveness to community issues and can lead to more nuanced, gender-sensitive resettlement planning. A gender-diverse team also helps facilitate communication with the various segments of the community, since all-male or all-female teams might have a hard time interfacing with certain groups.

### Phase 1: Understand and Prepare the Community

This first phase is critical to ensuring an equitable and gender-sensitive resettlement process. The steps are detailed below.

*Step 1. Collect relevant, gender-disaggregated data during the assessment stage.*

- a. Division of labor within the household

- b. Role of men and women in decision-making mechanisms within the community and the household
- c. Contribution to household income (formal and informal work, financial and in-kind contributions) and livelihood activities
- d. Access, control, and ownership of land, property, finances and other resources at the household level (see next section on land ownership and usage for specific land and property data to collect)
- e. Levels of awareness on legal rights and processes, extent to which rights are exercised, and degree of interaction with officials and institutions such as banks
- f. Existence of women's solidarity networks, such as cooperatives focused on production activities
- g. Health and nutrition indicators, especially services available to women and vulnerable people
- h. Education and literacy levels
- i. Languages spoken:
  - » Female community members in particular, as well as ethnic minorities, and/or the less educated may not speak the national language.
- j. Gender dimensions of legal and/or customary use and ownership of land:
  - » Are there gender dimensions to formal and customary laws regarding ownership, transfer, and inheritance of land, property, and natural resources?
  - » Is the national government a signatory to any international agreements governing resettlement?
- k. Formal owners/tenants of any land considered for resettlement
- l. Actual users of any land considered for resettlement, regardless of whether they are the formal tenants
- m. Returnship:
  - » What land is being returned after project decommissioning?
  - » To whom is land being returned?
- n. Potential impacts and risks from giving money or other benefits directly to men or women:
  - » Do funds given to men reach the family?
  - » When women receive money, do men assume control of it?
  - » Does giving money to women increase the risk of domestic or gender-based violence?

*Step 2. Ensure women's participation in consultation, negotiation, and planning.*

- a. Confirm that compensation and resettlement programs and safeguards are considered and designed for both owners and users of land.
- b. Ensure that men and women from all socioeconomic groups are fully informed about the project and resettlement process and allow them to review plans, through open and accountable processes:
  - » Schedule community forums and consultations, as opposed to solely one-way information flows, to facilitate dialogue and answer questions from community members.
  - » Ensure that meetings are conducted in local languages and that prepared information is translated into languages spoken by community members.
  - » Provide alternative methods of communication for illiterate residents.
  - » Take special care to include vulnerable women: those in poverty, single, widowed, disabled, or belonging to ethnic minority groups.
- c. Involve both men and women in decision making and in the design of the resettlement process at all stages.
- d. Include men and women in consultations and negotiations and factor them into all phases of the land and resettlement process, from planning to implementation: as opposed to limiting consultation to community leaders, who are often men.
- e. Use techniques and accommodations as suggested in this tool suite to secure the presence of both men and women from all socioeconomic groups:
  - » Schedule consultations at times and locations convenient for both men and women.
  - » Arrange childcare if necessary.
  - » Convene separate meetings with men and women and/or have corresponding gender facilitators for gender-specific groups: This can be especially useful in gathering differing views on sensitive issues such as water, sanitation, hygiene (including toilets), house plans, and domestic and gender-based violence.



- » Use participatory rural appraisal techniques<sup>46</sup> such as time use analysis, agricultural calendars, focus group discussions, and transect walks, to uncover data and encourage participation of men and women.

***Step 3. Determine budgeting and finance options conducive to the sustainability of resettlement services.***

- a. Adequately analyze the full cost of resettlement and have a contingency budget: This will reduce the risk of adding to the community's financial burden and contributing to poverty.
- b. Identify services in need of community funding: Communities may need financial contributions in support of long-term operations and maintenance of services.
- c. Consider partnering with government or NGOs for long-term financing of services.
- d. Include specific line items in the budget for gender activities and communicate this information to women so they are aware that the funds exist.
- e. Establish a monitoring process: This will ensure that the funds are used for their intended purposes.

**Phase 2: Work Collaboratively and Equitably with Community for Resettlement and Compensation Programs that Meet All Needs**

Involving male and female community members on resettlement location and structure, assistance programs, and support services is the only way to ensure that the process meets needs and enables equal access and benefit. In addition, participation of men and women in decisions related to resettlement design and process increases the likelihood that it will benefit the community as a whole.

Here are the steps to follow in designing a tailored, inclusive and gender-equitable resettlement and compensation program.

***Step 1. Use innovative approaches to enable women's access to benefits.***

- a. Ensure that both spouses are aware of, have a say over, and agree on the compensation packages.
- b. Consider alternative strategies to determine compensation, based on real impacts of resettlement, in situations where men and women have unequal ability to own land:
  - » This effort might include exploring local custom for hidden bias: For example, in situations where a divorced, widowed, or single woman lives with her adult sons, be sure to account for her land use patterns when determining compensation.

<sup>46</sup> For more information on participatory rural appraisal (PRA) techniques, please see: Robert Chambers, "The Origins and Practice of Participatory Rural Appraisal," *World Development*, Vol. 22, no. 7, 1994: 953-969.

- c. Create a transparent compensation process:
  - » Make sure that the information is available to all men and women, and not just to the male and female heads of the household.
  - » Provide information in the languages spoken by community members as well as alternative methods of communication for the illiterate.
- d. Consider varied/alternative means of compensation—cash, check, or bank account—to give affected individuals options based on the best fit with their needs:
  - » Direct deposit into bank accounts could be the best option, since compensation received in cash is sometimes spent quickly and might not be available for family needs.
  - » Listen to potential differences in preferences between women and men: Men may prefer cash compensation while women may favor another option.
- e. Consider giving men and women their compensation directly or depositing it into joint bank accounts: This will ensure that both men and women have financial access and that funds withdrawal will require joint signatures:
  - » If national, regional, or local laws prohibit such direct monetary compensation for women, consider alternative forms of resettlement assistance packages or other options to ensure equitable compensation.
  - » Assess potential risks that could arise as a result of giving money or other benefits directly to men, rather than to women, such as increased risk of domestic or gender-based violence:
    - › Consult with both men and women as part of this process.
    - › If potential risks are determined, look at ways to mitigate them.
- f. Make sure that female-headed households receive the same benefits as male-headed households:
  - » Get to know the intricacies of the nontraditional households within the community.
  - » There could be households within households that are entitled to receive their own resettlement compensation and assistance in the name of the female head of household. For example:
    - › Female-led households headed by a divorced or widowed woman may reside within their parents' or larger families' households and may include multiple generations.
    - › In some countries and within some communities, polygamy is common and often results in the first wife receiving resettlement measures while the remaining wives may not be considered equal beneficiaries. In such situations, implement measures to ensure equal access for all spouses to resettlement consultations and benefits.

*Step 2. Support equitable access to formal land tenure and compensation.*

Women may have difficulty exercising their rights as title holders, or they may have less access to formal landownership. Efforts to document ownership status and ensure compensation that reflects actual ownership status are critical. Provide assistance to support equal access to:

- National identity documents, often needed to establish title.
- Bank and postal accounts in each individual's name: Alternatively, establish husbands and wives as joint signatories on bank accounts, as often only husbands' names are listed.
- Land titles: Divorcees and widows are in particular need of assistance here. They may face cultural, political, or legal difficulties in accessing their right to their land. Also note that in some contexts, women who hold the formal title to land may still face cultural, procedural, or customary law barriers to exercising this right.

*Step 3. Make sure that support for alternative livelihoods meets men's and women's needs. Provide opportunities or plans for women and men who were employed by the project or who had income-or subsistence-generating activities linked to the project, such as:*

- a. Skills training or employment opportunities:
  - » Men and women may have had different access to education and training opportunities. When an OGM company offers alternative options for employment after resettlement, keep in mind that there may be gender disparities in who is eligible for these new employment opportunities. Providing training opportunities for these new positions will allow for more equal access to alternative livelihood and employment opportunities.
  - » In situations where women's work is concentrated in smaller, less formal sectors, such as gathering forest products, working in fields, or selling produce, women may be particularly vulnerable to losing their source of income during resettlement, especially if they do not have the same land or access to markets. It is essential to include these informal economic activities in resettlement plans and offer comparable or better alternative livelihood options.
- b. Access to credit and microfinance schemes
- c. Compensation for loss of income (even for informal income) and loss of assets (including natural resources such as rivers or agricultural land): Note that such compensation should not be viewed as a substitute for sustainable, long-term livelihood opportunities.

*Step 4. Involve both men and women in resettlement site selection and housing design.*

Site selection and housing design may affect men and women differently. In some circumstances, women might not adapt as easily, given their gender roles, responsibilities, and levels of mobility. Involving men and women in the selection and design process ensures that all new infrastructure and resources meet the needs of the entire family.

- a. Site selection: Failing to involve both men and women in these important decisions could pose risks for decreased access to resources, employment, education, healthcare, or markets, as well as reduced safety and security.
  - » Make sure that the new location does not restrict access to markets, food, water, or other resources for whatever reason, including increased security risks and vulnerability.
  - » Check that the new location is not in an ecologically or geologically unsafe, polluted, or otherwise vulnerable area.
  - » Make certain that the soil quality at the new location is the same or better than the original location to facilitate equal or improved food security.
- b. Home construction and design:
  - » Discuss preferences on settlement, housing structure, and design with affected male and female community members alike.
  - » Consult with men and women equally on whether they prefer to receive funding and materials to build their houses themselves.
  - » Consult with both men and women on other forms of support they might need.
  - » Have a plan in place to ensure that basic needs are met during the transition phase between the original community/housing and the new housing. This is particularly important for women, children, the elderly, and vulnerable people.

***Step 5. Guarantee equal or improved access to civic infrastructure, including water, sanitation, and fuel resources.***

This effort includes making plans to maintain the infrastructure. It is possible that the government could assist with provision of water (wells), waste disposal, sewage, or other services, so be sure to check on the availability of public resources.

- a. Incorporate access to key infrastructure in the resettlement process, including:
  - » Roads and other transit/mobility options: This will ensure access to basic infrastructure, schools, healthcare and other essential places, as determined by the community. Note that consulting women to ensure that their transit needs have been met is essential in contexts where women have lower mobility than men. This also involves fur-

“Looking at our community programs from a gender perspective, we know that women’s participation in community programs facilitates more broad-based and lasting outcomes, compared to those designed solely by male community leaders.”

*Source: Rio Tinto, Why Gender Matters: A Resource Guide for Integrating Gender Considerations into Communities Work at Rio Tinto.*

ther questioning to determine the arrangements needed to accommodate women's transit needs, during the transition period and in the new location. Make sure to include single, pregnant, elderly, female-headed households, and any other vulnerable groups in these consultations.

- » Sanitation facilities such as toilets and bathing facilities: If the plan is to build communal facilities, consider adding lighting to increase women's safety.
  - » Water sources: In situations where women are responsible for water collection, be sure to involve them in decisions about the siting and design of water-related infrastructure, such as taps and wells. This will help guarantee equal access and increase the chances that they will maintain the facilities.
- b. Ensure that access to basic resources such as fuel and water is maintained or improved in the new location: Often, women and girls are responsible for gathering these basics. So, a resettlement that makes these resources harder to find or puts them at a further distance away can increase women's time poverty, creating negative consequences such as girls dropping out of school to help their mothers at home.
  - c. Consider using resettlement as an opportunity to introduce new stove technologies: This effort should involve input from men and women alike, particularly in situations where men and women may have different responsibilities for purchasing stoves—as opposed to using them. New stoves can reduce fuel collection time. They also lower the risk of the indoor air pollution that can lead to respiratory problems in women and children, who are often in closest proximity to operating stoves.
  - d. Divide the responsibilities for waste disposal and sewage management between the government and the community: Women and men should be included in any applicable trainings.

***Step 6. Guarantee equal or improved access to social infrastructure and social services.***

Consider using relocation as an opportunity to introduce services that the community needs but does not have. Assess whether government or NGO involvement can be secured for some of these services, such as connecting schools or healthcare centers to the national or regional systems. Make sure the effort includes plans for longer-term maintenance of these services. Consult with local women about the community's needs for:

- a. Schools and educational infrastructure
- b. Hospitals and healthcare centers
- c. Childcare centers/services
- d. Places of worship
- e. Other social services and infrastructure that could meet their needs or aspirations

*Step 7. Put in place a gender-sensitive grievance mechanism process.*

For more on setting up a gender-sensitive grievance mechanism, see Tool 3.6.

*Step 8. Set up a gender-sensitive monitoring and evaluation process to evaluate the resettlement process.*

The monitoring and evaluation should enable the identification of shortcomings and gaps to be addressed in order to secure the wellbeing of the community, including women and other vulnerable groups. For more on this, see Tools 3.6 and 3.10.



## TOOL 3.8:

### Create Community Development Initiatives that Benefit Both Men and Women

- ▶ **GOAL:** Ensure that community initiatives are designed to reflect priorities of men and women in the community
- ▶ **TARGET UNITS:** Community Engagement Team, in partnership with Independent Gender Expert

In addition to assessing community status, impacts, and development objectives, many companies plan activities to promote community development. Such efforts include support for local economies, supply chains, and infrastructure. For rural communities that are under-served by government services, company activities and public-private partnerships can be important means of service delivery. These programs benefit both the community and the company. They facilitate positive relations, helping to achieve and maintain social license and smooth, uninterrupted project operations.

Including men and women in decisions about the type and structure of the company's community initiatives is critical to achieving real and sustained development and progress.

Tool 3.8 provides suggestions on incorporating men's and women's perspectives and needs in equal measure as the type and design of community development initiatives are determined. This includes ensuring gender-equitable access to and benefit from activities as well as initiatives specifically geared to promote the economic and social empowerment of women.

### DESIGNING GENDER-EQUITABLE COMMUNITY INITIATIVES

The following recommendations for designing gender-equitable community initiatives will help you optimize impact and sustainability:

- Make sure that gender is integrated as a strategic priority in the design of multi-year community development plans.
- Use the information gleaned from your gender-sensitive baseline community and social impact assessments as key inputs in the design of your strategic community plan and specific community initiatives.
- Include men and women at all stages of consultation for planning and implementation of community development activities:
  - » Make sure to involve diverse participants from all social and economic strata, to avoid elite capture.
  - » If necessary, conduct separate meetings with men and men, at times, in places, and in languages that will support their active participation.

- Keep community regularly informed of progress towards delivery of initiatives and other commitments. This management of expectations could prevent unrest in the case of implementation delays.
- Engage women and men in monitoring and implementation of the initiatives.
- Provide constructive guidance, based on the baseline and social impact assessments, to encourage input from women who have not previously been engaged in consultations or community program design. Initially, it might seem as if the women lack ideas. But this could be due to limited exposure, since past programs may have only served to reinforce traditional roles and opportunities.
- Look for opportunities to link economic and social empowerment activities with the company's local supply chain needs:
  - » Collaborate with local procurement/sourcing colleagues to identify needs that could be filled through local sourcing.
  - » Use this information as a basis for community consultation on designing community training or support that could enable the expansion of local sourcing.
  - » Collaborate across departments to share activity costs.
- Gain consensus on community priorities and make sure that initiatives align with these priorities: Sometimes, communities agree to activities proposed by development professionals, even if they do not fit priorities, climate, or needs. Ensuring that activities genuinely align with community priorities will lead to higher success rates and, ideally, more positive impact for women.

### **BOX 3-E With Support, PNG Women Broaden Their Economic Horizons**

As part of a World Bank-supported Women in Mining project in Papua New Guinea, the local women requested sewing and baking training.

For the second round of this project, women again requested the same trainings, despite the fact that there were now limited market opportunities for sewing and baked goods.

Meanwhile, the project team conducted a market analysis of the community and the OGM company's supply chain needs.

The analysis uncovered additional economic opportunities focused on other sectors that offered more potential for sustainability and growth.

After learning about such opportunities, the women indicated strong interest in building new skills in these areas, so they could take advantage of the market demand.

## IMPLEMENTING GENDER-EQUITABLE COMMUNITY INITIATIVES

Here are some recommendations to guide you on gender-equitable community initiatives:

- Ensure that both men and women have equal opportunity to play a variety of roles in community programming: For instance, take steps so that women can assume leadership or management positions in community management of outreach activities.
- Stay informed about the community and gender initiatives of other companies, donor agencies, and NGOs in the area: This will avoid overlap and uncover opportunities for collaboration. Partnering with others also could help ensure sustainability after the project cycle ends and the company leaves the area.



### BOX 3-F Examples of Community Initiatives with Specific Benefit for Women

This list highlights activities that have been implemented in communities to offset potential negative project impacts that disproportionately affect women and to promote women's economic and social empowerment.

- Infrastructure projects to reduce women's time poverty
- HIV/AIDS awareness programs: This includes counseling, screening, public service announcements, and free condom distribution, which benefit both men and women. Note that in many contexts, women may have less autonomy over sexual behavior, so community-wide public health programs can have particularly strong impacts on women's ability to exercise healthy behaviors.
- Counseling, support, and shelter for victims of domestic and gender-based violence and alcohol and drug abuse: Such programs should be provided by trained experts and could be conducted in partnership with governments or civil society.
- Gender-based violence education and awareness: Programs should target both men and women to increase understanding of the consequences, legal implications, and broader impacts on the family.
- Gender-based violence education, awareness, and capacity building for local municipalities and authorities: In order to ensure that they are better prepared to respond.
- Programs to encourage girls' primary and secondary education: Such efforts might involve partnering with governments and include initiatives such as subsidy programs to encourage families to keep children in school, rather than sending them to work in artisanal or small-scale mining or helping with household chores.
- Programs to support women and children working in artisanal and small-scale mining:
  - » Increased enforcement of health, safety, and child labor regulations
  - » Public service announcements and/or training to educate miners about health risks and precautions to reduce exposure to toxins
  - » Subsidies or incentives for use of proper protective equipment
  - » Subsidies for families to send their children to school instead of to the mines
  - » Strategies to improve relationships or create partnerships with artisanal and small-scale miners, such as legal land concessions to artisanal miners as a community initiative
- Health programs or improved infrastructure to facilitate increased access to healthcare
- Education programs or improved infrastructure to facilitate increased access to education
- Capacity-building for female subsistence farmers: Examples include training on how to boost agricultural productivity and output.
- Capacity building and financial support for local and regional women's organizations: Such efforts also contribute to community self-sufficiency and reduce the risk of over-dependence on the company.

**TOOL 3.9:****Create Local Economic Development and Empowerment Opportunities for Women**

- ▶ **GOAL:** Develop activities that promote women's economic empowerment
- ▶ **TARGET UNITS:** Community Engagement Team, in partnership with Independent Gender Expert

Creating economic opportunity—in the form of employment and use of local suppliers—is one of the most clear-cut ways in which natural resource industries can contribute to the communities surrounding their operations (For detailed guidance on creating gender-equitable employment, and local supplier opportunities, see Tool Suites 1 and 2).

For women not engaged in formal employment or the supply chain, however, economic activities developed through community engagement activities can often support broader social and economic development by helping them build capital and control of resources. With this comes access to information, influence, and status. Building local businesses that are independent of the natural resource company makes these enterprises more sustainable throughout the various phases of the project, as well as after the project ends.

Tool 3.8 addresses the establishment of vital community and social support services. By contrast, this tool provides guidance on creating programs that directly target women's economic development and women's empowerment, giving women a path to increased economic and social independence. In turn, they will be able to make positive, long-term contributions to their families, communities, and themselves.

Use this tool in tandem with Tool 2.5, found in the Supply Chain tool suite, which offers strategies for supporting the development of local women-owned businesses. Note that economic development and empowerment activities can overlap in scope. As with Tool 3.8, women and men alike can benefit from many of the initiatives suggested here. Still the focus is squarely on ensuring women's access to such programs, which will eliminate barriers and facilitate the broader goal of progress toward gender equality.

**DESIGNING PROGRAMS FOR WOMEN'S ECONOMIC DEVELOPMENT AND EMPOWERMENT**

Here is some guidance on designing programs aimed at boosting women's economic opportunities and empowerment.

- Involve both women and men in programs whenever possible: This approach ensures benefit for all members of the community. It also contributes to men's acceptance of the programs, reducing any potential resistance if men believe that women have been unfairly favored.
- Mitigate potential gender role-related consequences: Women's participation in economic em-

powerment programs could detract from their traditional gender roles. For example, they may not have as much time for their domestic work. Mitigation strategies could include:

- » Childcare for working families
- » Support groups for working women and families
- » Improving technology and infrastructure to reduce domestic burdens and strengthen market access
  - › Wells to speed up water collection
  - › Mills to speed up processing of grain
  - › Lighting to allow women and children to work and/or study after dark
  - › Electricity to enable operation of such infrastructure, as needed

## WOMEN'S EMPOWERMENT FRAMEWORK

For more guidance when considering which community initiatives might have the highest success rate in terms of empowering women in the specific community in which you are operating, the Women's Empowerment Framework developed by Sara Hlupekile Longwe, a Zambian gender expert, can help.<sup>47</sup> This framework enables assessment of a project's contributions to gender equality and women's empowerment. It helps you determine whether the project will address women's needs and interests and whether it will encourage women's participation and control during the decision-making process. The framework defines five progressive levels of equality, in order from highest to lowest level of empowerment:

- **Control:** The ability to exercise agency and maintain balance of control between women and men over the factors of production.
- **Participation:** The ability to participate in consultation and decision-making processes. In a project context, this means active involvement in needs assessment, planning and design, implementation, and monitoring and evaluation.
- **Conscientization:** The awareness of gender roles and relations, and the understanding that gender division of labor and of benefit streams should be fair and equitable to both women and men.
- **Access:** The ability to access key factors of production (land, labor, credit, training), and project benefits.
- **Welfare:** The ability to access nutrition, health, medical care and other key determinants of material wellbeing.

The framework also distinguishes between women's issues and women's concerns and helps identify how well the project design reflects women's issues.

<sup>47</sup> For more, see: "A Conceptual Framework for Gender Analysis and Planning," an online learning module of the International Labour Organization and the Southeast Asia Multidisciplinary Advisory Team: <http://www.ilo.org/public/english/region/asro/mdtmanila/training/unit1/empowfw.htm>

By customizing charts such as the one shown in Table 3-I based on a specific project or initiative, the information can assess the degree to which a project or initiative addresses women's empowerment. Work in tandem with the women who will participate in the programs to complete the chart, which also can be used for input as part of the larger participatory monitoring and evaluation process.

**TABLE 3-I** Women's Empowerment Framework Form

LEVEL OF EQUALITY	LEVEL OF RECOGNITION OF WOMEN'S ISSUES		
	NEGATIVE	NEUTRAL	POSITIVE
▶ Control			
▶ Participation			
▶ Conscientization			
▶ Access			

### **BOX 3-G** Programs to Encourage Women's Economic Independence and Empowerment

- Adult literacy programs
- Employment counseling, vocational training, and business skills development: Programs can either prepare women for employment or business opportunities that currently exist in the local area:
  - » Direct employment with the OGM company, local supplier development, jobs at other firms, or for aspirational roles to fill a new local business or market need.
- Promotion of women's entrepreneurship through:
  - » Start-up grants or access to microfinance and microcredit schemes: Before deploying such tools, be sure to find out about any financing gaps that would make entrepreneurship training futile. (See Chapter 1, section III of UN Women's *The power of procurement: How to source from women-owned businesses to learn about the unique challenges women face in accessing financial, social, and human capital.*) Work in tandem with financial institutions to offer start-up grants or access to microfinance and microcredit schemes.
  - » Opportunities for women's entrepreneurship that tie into local markets and/or local supplier development in the natural resource supply chain.
  - » Tourism or handicraft opportunities, depending on local context: Do not rely solely on such options, since there is often little market access for them.
  - » Support for women's land ownership and land titling.
- Affordable social housing programs for female-headed households or other vulnerable members of the community
- Training and other programs to build women's confidence: This includes instilling the belief that they have the power to bring about change.
- Scholarships and apprenticeship programs for women and girls to increase their access to education and skills training: Such programs can be general in nature or specific to the OGM sector.

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## TOOL 3.10: Monitor and Sustain

Monitoring and evaluation are both essential in measuring baseline information and the positive and negative impacts of your project and community initiatives. Gender-specific indicators about economic, environmental, and social aspects of the project and community initiatives will allow you to assess what is working, what is not working, and where changes need to be made. These indicators give you a way to measure the extent to which attitudes toward your company's OGM project are changing and the reasons for the change. A careful and thorough monitoring and evaluation process is the only way to determine the effectiveness of your community engagement projects and programs in narrowing gender gaps in project-affected communities.

“The more accurate and reliable the data upon which an indicator is based, the better it will be as a measure of change—positive or negative. The accuracy of data is dependent on good engagement and consultation, a core principle of a gendered approach.”<sup>48</sup>

*Source: Why Gender Matters: A Resource Guide for Integrating Gender Considerations into Communities Work at Rio Tinto*

### DESIGN OF MONITORING AND EVALUATION PROCESSES FOR COMMUNITY ENGAGEMENT INITIATIVES

If possible, the monitoring and evaluation should include participatory processes that involve women and men from the community, such as participatory rural appraisals, key informant interviews, outcome mapping, and community score cards (See Tool 3.6 for more on this.) Other useful instruments include supplement quantitative surveys and evaluations with both mixed and same-sex focus groups. Key elements of a careful and comprehensive monitoring and evaluation process include the following:

- Evaluation of activities' positive and negative gender impacts
- Monitoring that is well organized, carefully planned, and frequently recurring: Build this into your multi-year project and community engagement plans and budgets.
- Activity-specific customization

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<sup>48</sup> Deanna Kemp and Julia Keenan, *Why Gender Matters: A Resource Guide for Integrating Gender Considerations into Communities Work at Rio Tinto*, 70.

- Partnership with the community to ensure diversity of gender, race, and socioeconomic status: Community members should be involved at all stages, from the designing of indicators, to ongoing data collection and monitoring, to the evaluation phase.
- Adaptation and improvement of project and community initiatives as determined by results of monitoring and evaluation
- Repeat assessments at regular intervals during the project cycle, such as during significant changes like expansions: This allows for measurement of social, environmental, or economic changes and the extent to which they can be attributed to the project.<sup>49</sup>

### Well-designed indicators are key

When creating your monitoring and evaluation Framework, be sure to include indicators that are:

- Gender sensitive
- Linked to both local level and strategic gender targets
- Reflective of changes in the social status and roles of women and men
- Determined by the company and the community
- Inclusive of both qualitative and quantitative factors
- Reinforced by reliable data from the assessment phase, along with regular updates



<sup>49</sup> Deanna Kemp and Julia Keenan, *Why Gender Matters: A Resource Guide for Integrating Gender Considerations into Communities Work at Rio Tinto*, 70.

**TOOL 3.10:****Sample Indicators for Monitoring and Evaluating the Gender Mainstreaming of OGM Companies' Community Engagement and Community Initiatives**

- ▶ **GOAL:** Develop indicators to adequately measure and evaluate gender aspects of OGM projects and community initiatives
- ▶ **TARGET UNITS:** Community Engagement Team, in partnership with Independent Gender Expert

Table 3-J provides examples of indicators to measure the gender sensitization of your community engagement activities and community initiatives.<sup>50</sup> The indicators vary in scope, from micro-level changes easily attributed to your company's interventions to measures that assess larger, community-wide poverty metrics.

In designing your measuring instrument, try to keep your focus on indicators that measure changes directly attributable to your interventions. Otherwise, there is a risk of going too broad, which might yield a generalized assessment of the local poverty situation, but it will not yield insights on the effectiveness of your specific engagement initiatives.

Note that the table references “participants” rather than “community members,” as a way to define individuals in the community who participate in your company's initiatives.

**TABLE 3-J** Sample Indicators to Measure Gender Impacts of OGM Community Engagement Initiatives

THEME	INDICATORS <i>(Track data for men and women separately)</i>
Women's Economic Development	<ul style="list-style-type: none"> <li>▶ Percent of participants with bank accounts in their names</li> <li>▶ Percent of participants with access to loans, credit, and microcredit</li> <li>▶ Percent of participants who received loans in their name in the past six months by accredited banks or microcredit institutions</li> <li>▶ Ratio of female- to male-owned businesses</li> <li>▶ Percent of female participants who own businesses</li> <li>▶ Number of new community initiatives focused on women's economic development as a result of company activities</li> <li>▶ Number of sex workers (where applicable) who are newly registered as a result of company activities</li> </ul>

<sup>50</sup> This list was adapted from: “Annex 1: Potential Indicators for Monitoring and Measuring the Impact of a Gender Sensitive Approach to EI projects,” in Adriana Eftimie, Katherine Heller, and John Strongman, *Gender Dimensions of the Extractive Industries: Mining for Equity*, 36–49 and “Examples of gender sensitive indicators for measuring risks and benefits in mining communities,” in Deanna Kemp and Julia Keenan, *Why Gender Matters: A Resource Guide for Integrating Gender Considerations into Communities Work at Rio Tinto*, 69.

THEME	INDICATORS <i>(Track data for men and women separately)</i>
Women's Social Empowerment and Community/Political Participation	<ul style="list-style-type: none"> <li>▶ Level of satisfaction among women or women's groups with company approach to gender impacts</li> <li>▶ Number of participants involved in participatory monitoring</li> <li>▶ Percent of female participants in community leadership positions</li> <li>▶ Percent of female participants who participate in committees or working groups: <ul style="list-style-type: none"> <li>• Percent who report being actively involved in decision making and management after two years, as changed from baseline percentile</li> <li>• Level of satisfaction after one year</li> </ul> </li> <li>▶ Percent of female participants who participate in community- and household-level decision making</li> <li>▶ Number of female participants who speak during community meetings and consultations compared to male participants who speak— especially at meetings and consultations focused on decision making</li> <li>▶ Number of new community initiatives focused on women's social empowerment as a result of company activities</li> <li>▶ Change in percentage of community funds spent on services (as opposed to buildings or infrastructure) as a result of company activities</li> <li>▶ Change in percentage of community funds spent on projects proposed by women, compared to those proposed by men, or change in amount spent on women's services and needs as a result of company activities</li> <li>▶ Number of funding proposals for community projects suggested by female participants compared to those suggested by male participants</li> </ul>
Land, Labor, and Assets	<ul style="list-style-type: none"> <li>▶ Rates of unemployment and economic activity among participants</li> <li>▶ Prevalence of child labor in participants' families</li> <li>▶ Percent of participants with land titles in their name</li> <li>▶ Percent of local land owned by female participants compared to percentage owned by male participants</li> <li>▶ Percent of participants who use/rent land</li> <li>▶ Percent of male and female participants who report reduced access to land used for agriculture or subsistence activities due to OGM project</li> <li>▶ Percent of male and female participants who report decreased revenue from agriculture or subsistence activities due to OGM project</li> </ul>
Education	<ul style="list-style-type: none"> <li>▶ Percent of participants with access to formal education</li> <li>▶ Rates of enrollment, attendance, and completion of schooling at primary, secondary, and tertiary levels among participants</li> <li>▶ Adult participant literacy rates <ul style="list-style-type: none"> <li>• If literacy training is offered, percent of participants who attend and percent who complete</li> </ul> </li> <li>▶ Percent of participants with employment skills</li> <li>▶ Number of teachers funded as a result of company activities</li> <li>▶ Number of schools funded or built as a result of company activities</li> <li>▶ Percent of participants who work in artisanal and small scale mining who do not attend school</li> </ul>

*continued on next page*

THEME	INDICATORS <i>(Track data for men and women separately)</i>
Health	<ul style="list-style-type: none"> <li>▶ Life expectancy at birth for participants</li> <li>▶ Infant mortality rate among participants</li> <li>▶ Maternal mortality rate among participants</li> <li>▶ Percent of participants with access to healthcare and medical facilities</li> <li>▶ Time needed to travel for participants' maternal healthcare and labor</li> <li>▶ Incidence of infectious diseases and other health conditions among participants</li> <li>▶ Incidence of sexually transmitted infections among participants               <ul style="list-style-type: none"> <li>• Percent of participants receiving treatment</li> <li>• Percent of infected participants who are sex workers</li> <li>• Percent of mother-to-child HIV transmission among participants</li> <li>• Mortality rates of participants with HIV</li> </ul> </li> <li>▶ Number of reported cases of participant' sickness or respiratory illness caused by exposure to hazardous materials or pollution from large-scale OGM activities</li> <li>▶ Number of reported cases of participant injury and death due to traffic accidents; percent related to OGM company vehicles</li> <li>▶ Number of reported cases of participant illness due to hazardous materials exposure from small-scale mining activities</li> <li>▶ Number of reported cases of participant injury from small-scale mining activities; ratio of male-to-female injuries</li> </ul>
Environment and Sanitation	<ul style="list-style-type: none"> <li>▶ Average distance to sanitation facilities</li> <li>▶ Number of reported participant sanitation-related illnesses</li> <li>▶ Number of reported participant water-related illnesses</li> <li>▶ Ratio of girls to girls' toilets at each school</li> <li>▶ Ratio of boys to boys' toilets at each school</li> <li>▶ Average distance and time required for participants to access clean water</li> <li>▶ Percent of participant homes with a water tap</li> <li>▶ Percent of female participants who report a reduction in access to clean water</li> <li>▶ Percent of participants with access to safe drinking water</li> <li>▶ Percent of participants with access to safe fuel</li> <li>▶ Time required for participants to gather fuel</li> </ul>
Infrastructure and Electricity	<ul style="list-style-type: none"> <li>▶ Percent of participants with access to safe transport and paved roads</li> <li>▶ Number of participant homes with electricity</li> <li>▶ Percent of female participants who report an increase in access to electricity</li> <li>▶ Amount of participant time spent each week transporting goods to market</li> </ul>
Safety and Violence	<ul style="list-style-type: none"> <li>▶ Percent of female participants who report being victims of domestic or gender-based violence               <ul style="list-style-type: none"> <li>• Percent of cases in police records</li> <li>• Percent of cases in hospital/medical facility records</li> </ul> </li> <li>▶ Number of female participants seeking safe haven</li> <li>▶ Number of female and child participants in safe haven</li> <li>▶ Percent of participants who are drug and/or alcohol users</li> <li>▶ Number of clinics, counseling centers, or other services to help victims of violence as a result of company activities</li> <li>▶ Number of clinics, counseling centers, or other services to help alcohol or drug users as a result of company activities</li> <li>▶ Percent of police or local law enforcement trained in proper ways to respond to cases of domestic or gender-based violence as a result of company activities</li> <li>▶ Percent of OGM security personnel trained, to deal with safety/violence incidents in a gender sensitive manner as a result of company activities</li> </ul>

THEME	INDICATORS <i>(Track data for men and women separately)</i>
Poverty and Vulnerability	<ul style="list-style-type: none"> <li>▶ Participant poverty rate</li> <li>▶ Percent of participating households that are headed by a single woman</li> <li>▶ Poverty rate among female participant-headed households</li> <li>▶ Unemployment rate among female participant-headed households</li> <li>▶ Rate of child marriage among participants</li> <li>▶ Percent of child participants under 5 years of age in childcare programs</li> <li>▶ Number of participants (individuals and/or families) voluntarily leaving the community because of loss of land or dwellings, or rising costs of food or transport</li> </ul>

### ON GENDER RISKS IN COMMUNITY ENGAGEMENT FOR OGM COMPANIES

As has been well established in the OGM industries, a company's relationship with project-affected communities can directly impact its bottom line. Achieving and maintaining a social license to operate is essential to smooth project operations, and engaging women as part of maintaining this social license is crucial to ensure that it truly reflects the endorsement of the entire community. The potential negative impacts of oil, gas, and mining projects that are listed throughout this tool suite chapter should be viewed as social risks. If they materialize, these social issues will pose a threat to project success and could become credit risks. Box 3-H features an example of the business implications when gender-related social risks are left unmitigated.

#### **BOX 3-H** The Business Costs of Project-Related Gender-Based Violence in the Community: Lessons from The World Bank's Experience in Uganda

In 2015, a \$265 million World Bank-funded project to improve the national road network in Uganda was cancelled following allegations of sexual abuse of minors by government contractors, among other problems. Two other projects were also suspended as a result, pending further investigation.

As this example shows, allegations of sexual misconduct and gender-based violence can have serious implications for projects funded by World Bank Group organizations. These behaviors violate World Bank Group Environmental and Social Safeguards and Performance Standards, and can be grounds for project suspension or cancellation, even when subcontractors are responsible for the misconduct.<sup>51</sup>

<sup>51</sup> World Bank, "World Bank Statement on Cancellation of the Uganda Transport Sector Development Project (TSDP)," News Release, December 21, 2015, <http://www.worldbank.org/en/news/press-release/2015/12/21/wb-statement-cancellation-uganda-transport-sector-development-project>.

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# Selected Resources for Further Reading

## Terms of Reference for Independent Gender Expert

- Regional Association of Oil and Natural Gas Companies in Latin America and the Caribbean (ARPEL), “Terms of References for a Gender Sensitive Rapid Rural Appraisal in The Oil and Gas Industry” in *Guidelines for the Implementation of Gender Policies and Strategies*, Montevideo: ARPEL, 2004.
- World Bank, “Sample Terms of Reference (ToR) For Conducting Gender-Responsive Social Assessment” in *Gender-Responsive Social Analysis: A Guidance Note: Incorporating Social Dimensions into Bank-Supported Projects*, Washington: DC, World Bank, 2005.
- World Bank, “Element 3: Translate Commitment into Action” in *Gender-Sensitive Approaches for the EI in Peru: Improving the Impact of Women in Poverty and their Families: Guide for Improving Practice*, Washington, DC: World Bank, 2011. (This guidance provides recommendations for hiring a gender champion and gender team, including ideal roles, tasks, and skills required.)

## Baseline Community Assessments

- World Bank, *Gender Dimensions of Artisanal and Small-Scale Mining: A Rapid Assessment Toolkit*, Washington, DC: World Bank, 2012. (NOTE: Although this resource is specific to gender in artisanal and small scale mining, it provides detailed guidance on methods of data collection that would be highly useful in the context of this toolkit as well.)
- World Bank, Guidance Notes 1-6 in *Gender-Sensitive Approaches for the EI in Peru: Improving the Impact of Women in Poverty and their Families: Guide for Improving Practice*, Washington, DC: World Bank, 2011.

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- International Council on Mining and Metals, “Tool 12: Social Impact and Opportunities Assessment” in *Community Development Toolkit*, London: ICMM, 2012.
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- Corporate Social Responsibility Initiative, “Rights-Compatible Grievance Mechanisms: A Guidance Tool for Companies and Their Stakeholders,” Cambridge: Harvard University: 2008.
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- UN Global Compact, *Human Rights and Business Learning Tool*, Geneva: Office of the United Nations High Commissioner for Human Rights, 2018.

## Gender-Sensitive Indicators

- Canadian International Development Agency, *A Project Level Handbook: The Why and How of Gender-Sensitive Indicators*, Gatineau: CIDA, 1997.
- Golla, Anne Marie; Malhotra, Anju; Nanda, Priya; Mehra, Rekha, *Understanding and Measuring Women’s Economic Empowerment Definition, Framework and Indicators*, Washington, DC: ICRW, 2011.
- Kemp, Deanna and Keenan, Julie, *Why Gender Matters: A Resource Guide for Integrating Gender Considerations into Communities Work at Rio Tinto*, Melbourne: Rio Tinto, 2010.
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- World Bank, *Integrating a Gender Dimension into Monitoring & Evaluation of Rural Development Projects*, Washington, DC: World Bank.
- Minerals Council of Australia, *Voluntary community investment: A strategic approach that incorporates gender: A toolkit for the extractives industry*, Sydney: MCA.

## More Resources

- IFC, *A Strategic Approach to Early Stakeholder Engagement*, Washington DC: IFC, 2015.
- Eftimie, Adriana; Heller Katherine; and Strongman, John, *Gender Dimensions of the Extractive Industries: Mining for Equity*, Washington, DC: World Bank, 2009.
- IFC, *Projects and People: A Handbook for Addressing Project-Induced In-Migration*, Washington, DC: IFC, 2009.
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## TOOL SUITE 4

### UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS

A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies

# ADDRESSING GENDER-BASED VIOLENCE IN THE WORKFORCE



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FOR GENDER EQUALITY



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**UNLOCKING OPPORTUNITIES FOR WOMEN AND BUSINESS**  
A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies

# ADDRESSING GENDER-BASED VIOLENCE IN THE WORKFORCE

Tools to help companies address and reduce sexual harassment, sexual abuse and exploitation, and intimate partner violence in the workforce and community





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## ABBREVIATIONS AND ACRONYMS

**ARPEL** Regional Association of Oil, Gas, and Biofuels Sector Companies in Latin America and the Caribbean

**ASM** Artisanal and Small-Scale Mining

**(PNG) BCFW** Papua New Guinea Business Coalition for Women

**BIAC** Business and Industry Advisory Committee to the OECD

**CEO** Chief Executive Officer

**EI** Extractive Industries

**FIFO** Fly-In, Fly-Out

**FSV** Family and Sexual Violence

**GBV** Gender-Based Violence

**GDP** Gross Domestic Product

**GRM** Grievance Redress Mechanism

**HIV** Human Immunodeficiency Virus

**HR** Human Resources

**HREOC** Australian Human Rights and Equal Opportunity Commission

**HQ** Headquarters

**IFC** International Finance Corporation

**IPV** Intimate Partner Violence

**KDP** Kecamatan Development Project

**KPIs** Key Performance Indicators

**MOB** Men-Owned Business

**NGOs** Non-Governmental Organizations

**OECD** Organization for Economic Cooperation and Development

**OGM** Oil, Gas, and Mining

**PNG** Papua New Guinea

**RFX** Summary acronym that includes Request for Information (RFI), Request for Proposal (RFP), Request for Quote (RFQ), and Request for Bid (RFB)

**ROI** Return on Investment

**RTMP** Rio Tinto Management Peru

**SEC** US Securities and Exchange Commission

**SH** Sexual Harassment

**STEM** Science Technology Engineering and Mathematics

**TOR** Terms of Reference

**UNCC** United Nations Global Compact

**WGEA** Australia's Workplace Gender Equality Agency

**WEP** Women's Empowerment Principles

**WOB** Women-Owned Business

## APPLICABLE IFC PERFORMANCE STANDARD

### **Performance Standard 2. Labor and Working Conditions**

Covers working conditions, protection of the workforce, operational health and safety, third party workers and workers involved in the supply chain. With regards to sexual harassment and gender-based violence, it requires compliance with national employment and labor laws (which may outlaw sexual harassment and gender-based violence); and it addresses the health and safety of the workforce, and protection of potentially vulnerable workers. A Guidance Note on Performance Standard 2 specifies that IFC clients should “take measures to prevent... sexual harassment... within the workplace.” It applies to workers directly engaged by the client (direct workers), workers engaged through third parties to perform work related to core business processes of the project for a substantial duration (contracted workers), as well as workers engaged by the client’s primary suppliers (supply chain workers).<sup>1</sup>

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<sup>1</sup> IFC Performance Standards on Environmental and Social Sustainability, January 1, 2012; IFC Guidance Note 2: Labor and Working Conditions, January 1, 2012.

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## OVERVIEW: Gender-Based Violence in the OGM Industries Workforce

Sexual harassment is an issue that cuts across all of the tool suites in this toolkit because of the impacts on women in the workforce, supply chain, and in the community. Research has shown a correlation between oil, gas, and mining projects and rising rates of gender-based violence, including on-site sexual harassment, as well as intimate partner violence (IPV) and sexual exploitation and abuse (SEA), within project-affected communities.<sup>2</sup> In situations where these issues are not addressed, the OGM sector can create, and/or exacerbate dynamics leading to sexual harassment, IPV, and SEA. Many OGM companies are recognizing opportunities to change on-site behavior, and address issues in the broader community. This chapter provides guidance and tools to help companies understand these issues, take measures to address “inside-the-fence” behavior and set expectations of behavior and support services for “outside-the-fence” issues.

On the worksite, the central elements of OGM industries, such as a male-dominated work force, and often remote working conditions, can contribute to creating an environment that is threatening or uncomfortable for women or men. A 2015 study by the Australian National University found that 93 percent of women working in rural industries in Australia had experienced sexual harassment, ranging from direct actions such as unwanted comments about women’s bodies or their sexual behavior to more indirect harassment such as male colleagues watching pornography around female employees.<sup>3</sup>

Outside the fence—in the broader community—there is strong anecdotal evidence of a correlation between the rise of OGM activities and gender-based violence in host communities. The reasons for this are complicated and interrelated; but one key connection seem to be that in many OGM communities where men are the primary beneficiaries of employment, rising cash flows primarily benefit men. As many OGM projects arrive in areas that are remote and/or have previously seen little in the way of economic development, a rapid injection of cash and outside labor can trigger social dislocation, leading to increased access to alcohol, prostitution and drugs. In some cultures, increased cash flows mean that men can afford and may choose to take multiple wives (which can lead to violence between women); some men may leave their families for jobs in the industry, taking on new wives; and some women leave families for new partners with greater wealth from OGM, leading to increased conflict both between husbands and wives, as well as among co-wives.<sup>4</sup>

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<sup>2</sup> Isabel Cane et al, “Mapping Gender Based Violence and Mining Infrastructure in Mongolian Mining Communities,” Brisbane: International Mining for Development Centre, May 2017, 2.

<sup>3</sup> Tim Brunero, “ANU Study Finds Most Women Working in Remote Areas Subject to Sexual Harassment,” ABC News, May 8, 2015, <http://www.abc.net.au/news/2015-05-08/remote-sexual-harrassment/6454760>.

<sup>4</sup> Catherine Wilson, “Gas Extraction Fuels Abuse in Papua New Guinea,” IPS News Agency, April 16, 2012, <http://www.ipsnews.net/2012/04/gas-extraction-fuels-abuse-in-papua-new-guinea/>.

While the specific factors vary significantly depending on context, the social and economic changes that are connected to OGM activity such as family abandonment, land loss, the changing status of women based on changes to traditional land-based roles, and frustration related to lack of economic opportunity can all increase the risk of GBV.

Sexual harassment, SEA, and IPV are violations of women's fundamental human rights,<sup>5</sup> and many companies are recognizing that what happens in the workplace is connected to what happens off-site. Companies recognize that they have an opportunity not only to create standards for behavior at work, but also provide support for employees who may experience violence at home, while also making a statement against both sexual harassment and GBV inside and outside the fence. Furthermore, companies are recognizing that doing so can also help to address major business costs ranging from productivity loss to increased turnover, major reputational issues with shareholders and governments, threats to social license nationally and within the community, and challenges in attracting and retaining female employees.

Tool Suite 4 highlights the potential business costs of GBV, including sexual harassment, SEA, and IPV. It provides practical guidance for companies so they can better understand and address the drivers of each of these different forms of aggression. It also details reporting obligations and options—as well as the consequences for not addressing the problems.

## Definition of Terms

There are several key terms used to describe aggression based on sex and gender, within and outside of the context of employment. These terms may come with different legal and regulatory requirements for action, so it is important to understand the differences, which will also help to differentiate the issues within the workforce and community.

### *Gender-Based Violence (GBV)*

The World Bank defines gender-based violence as: “Violence that is directed against a person on the basis of gender. It constitutes a breach of the fundamental right to life, liberty, security, dignity, equality between women and men, non-discrimination and physical and mental integrity.”<sup>6</sup>

GBV does not only refer to violence against women and girls. It also can impact men and boys, particularly men who challenge or do not adhere to traditional male stereotypes.<sup>7</sup> GBV can include a range of different forms of violence, including intimate partner violence, female genital mutilation, child marriage, and child exploitation.

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<sup>5</sup> As defined in the UN Convention on the Elimination of all forms of Discrimination against Women.

<sup>6</sup> “Violence Against Women Resource Guide,” World Bank, <http://www.vawgresourceguide.org/terminology>.

<sup>7</sup> WAVE and UNFPA, “Strengthening Health System Responses to Gender-Based Violence in Eastern Europe and Central Asia, a resource package,” <http://www.health-genderviolence.org/training-programme-for-health-care-providers/facts-on-gbv/defining-gender-based-violence/21>.

GBV is a global crisis: the UN estimates that on average, 35 percent of women around the world have experienced physical or sexual violence, but some countries estimate this rate to be as high as 70 percent.<sup>8</sup> As noted above, GBV is an internationally recognized violation of women's human rights. 189 countries are currently party to the UN Convention on the Elimination of all forms of Discrimination Against Women (CEDAW), which recognizes violence against women as a form of discrimination.<sup>9</sup> According to the World Bank publication, *Women, Business and the Law*, 140 out of 189 surveyed countries currently have laws against domestic violence.<sup>10</sup>

**In terms of non-workplace GBV that can have a significant impact on women in the community, this tool suite specifically focuses on intimate partner violence (IPV).**

### *Intimate Partner Violence (IPV)*

Intimate partner violence is behavior that takes place between current or former intimate partners and can include physical, sexual, or psychological harm, such as physical aggression, sexual coercion, psychological abuse, and controlling behaviors.<sup>11</sup> IPV is also known as domestic violence. While this is certainly not the only type of GBV that can arise in OGM contexts, it is among the most prevalent, with significant impacts on the health, safety, and effectiveness of OGM workers. Although IPV typically happens within the home, OGM companies may be able to exert some degree of influence on prevention, via initiatives to change the culture around acceptable behavior towards women and through resetting norms for gender equality.

### *Sexual Exploitation and Abuse (SEA)*

The United Nations defines SEA as: “Any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.”<sup>12</sup> While sexual harassment can take on specific dimensions in workplace situations, for example between employees/personnel or between workers and supervisors, SEA also occurs outside of the employment context—for instance, abuses perpetrated against community members by the OGM workforce.

### *Sexual Harassment*

As noted above, sexual harassment often manifests itself in an employment situation. It can include unwelcome verbal advances, requests for sexual favors, inappropriate sexual comments and

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<sup>8</sup> UN Women, “Ending Violence against Women Facts and Figures,” <http://www.unwomen.org/en/what-we-do/ending-violence-against-women/facts-and-figures>.

<sup>9</sup> United Nations, “Convention on the Elimination of all Forms of Discrimination against Women,” United Nations Treaty Collection, [https://treaties.un.org/Pages/ViewDetails.aspx?src=TREATY&cmdsg\\_no=IV-8&chapter=4&lang=en](https://treaties.un.org/Pages/ViewDetails.aspx?src=TREATY&cmdsg_no=IV-8&chapter=4&lang=en).

<sup>10</sup> World Bank, “Protecting Women from Violence,” <http://wbl.worldbank.org/data/exploretopics/protecting-women-from-violence>.

<sup>11</sup> World Bank et al. “Violence Against Women Resource Guide,” <http://www.vawgresourceguide.org/terminolgy>.

<sup>12</sup> United Nations Secretariat, “Secretary-General’s Bulletin: Special measures for protection from sexual exploitation and sexual abuse,” New York: United Nations, October 9, 2003, 1.

objectification, or unwanted verbal or physical conduct of a sexual nature. Unwelcome invitations or requests for dates—particularly when employees feel that their employment depends on either complying with requests or tolerating the behavior—and creating a hostile office environment, such as displaying sexually explicit or suggestive posters, websites, videos, or screen savers—also are forms of sexual harassment. There could also be a quid pro quo aspect to the behavior, in which employees or persons in a position of power request sexual favors in exchange for professional opportunities.<sup>13</sup>

Sexual harassment is a global issue, affecting particularly women, and at all levels of employment. According to SheWorks, an IFC report, 30–50 percent of women in Latin America, Japan, Malaysia, Philippines, and South Korea reported experiencing some form of workplace sexual harassment. A South African study of working women placed the figure at 77 percent. The report cites a survey of women in the European Union, which found that 75 percent of female respondents in top management and 74 percent of female respondents in professional occupations had experienced sexual harassment, compared to 44 percent of female respondents who self-reported as skilled manual workers.<sup>14</sup>

“The annual productivity loss of sexual harassment in a typical Fortune 500 company is estimated at US\$6.7 million.”

Source: IFC, *SheWorks: Putting Gender Smart Commitments into Practice at the Workplace*.

Sexual harassment is an issue that affects both men and women. In the United States, sexual harassment claims by men doubled between 1990 and 2009, although in other contexts, men may feel embarrassed or less willing to report harassment.<sup>15</sup> Reflecting a growing consensus, an increasing number of countries are making workplace sexual harassment illegal.<sup>16</sup>

Whether intentional—such as comments directed at employees—or unintentional—such as an atmosphere that employees find aggressive, or threatening—sexual harassment creates an unsafe and degrading work environment. Either implicitly or explicitly, employees—particularly subordinate employees—may feel that non-compliance or complaints could threaten their employment, performance rating, or have a subtler but similarly negative impact on their professional relationships.

Although it varies from context to context, particularly depending on the legal prohibitions and degree to which these prohibitions are enforced, men and women may have different attitudes

<sup>13</sup> See: World Bank, “Violence Against Women Resource Guide,” <http://www.vawresourceguide.org/terminology>; UN Women, “What is Sexual Harassment?,” <http://www.un.org/womenwatch/osagi/pdf/whatish.pdf>; Amy Luinstra, *Sexual Harassment in the Workplace*, Washington, DC: IFC, 2015, 3; Civility Partners, *White Paper: The Cost of Bad Behavior in the Work Place*, San Diego: StopIt Solutions, January 2012, 3.

<sup>14</sup> IFC, *SheWorks: Putting Gender Smart Commitments into Practice*, Washington, DC: IFC, 2016, 50.

<sup>15</sup> IFC, *SheWorks: Putting Gender Smart Commitments into Practice*, 51.

<sup>16</sup> Ellen Pinkos Cobb, “Sexual Harassment Law Evolving Globally,” Society for Human Resource Management, December 3, 2014, <https://www.shrm.org/resourcesandtools/hr-topics/global-hr/pages/sexual-harassment-law-global.aspx>.

towards reporting sexual harassment behavior. The evidence shows that in nearly 50 percent of cases, harassment stops after it is reported, and yet victims may still hesitate to report. Among the common reasons for failure to report sexual harassment are:

- Limited legal protections or corporate policies
- Lack of knowledge that the behavior is illegal or against the rules
- Belief that the behavior does not merit reporting
- Concern about repercussions if it is reported
- Lack of proof that the harassment occurred

Companies are under different legal obligations with regard to sexual harassment and GBV. Sexual harassment in the workplace is an employment issue and directly implicates the employer and requires their intervention. In many countries, GBV in the community is a criminal issue and may not directly implicate the employer. Still, companies can take significant steps to support employees and help them cope with such events. OGM companies also can take a strong, zero-tolerance stand on GBV perpetrated by employees.

## **ADDRESSING SEXUAL HARASSMENT AND GBV: THE BUSINESS CASE FOR OGM OPERATORS TO TAKE A STAND**

Sexual harassment at the worksite, as well as what employees do or experience at home can have serious consequences for OGM companies. Addressing the issues head on can have significant benefits. Reducing onsite sexual harassment, providing services to support GBV survivors in the community, and developing activities to address and reduce GBV in host communities can help strengthen community relationships, improve productivity, reduce turnover, and help companies lead a change in attitudes towards sexual harassment and GBV. While addressing what happens outside the worksite can be a more complex issue for OGM companies, in many countries addressing and preventing sexual harassment is solidly within companies' legal obligations. Furthermore, the cost of training and prevention can be minimal compared to the potential costs to companies, should sexual harassment allegations be brought. The SheWorks study estimates that employee training programs can cost as little as \$50 per employee. By comparison, in 2011 alone, the cost of settling 1,400 sexual harassment claims brought against U.S. companies (out of approximately 11,300 complaints) totaled \$52million.<sup>17</sup>

In addition to the risk of litigation, failure to address sexual harassment and GBV can come with other significant business costs, which are briefly described below.

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<sup>17</sup> IFC, *SheWorks: Putting Gender Smart Commitments into Practice*, 54.

## Reduced Productivity and Increased Turnover

Harassment happening on the job site can create a work environment that feels unsafe, un-supportive, dismissive, or even threatening. This can cause employees stress, anxiety, fear, and disrupt concentration, which can lower productivity, and/or increase turnover.<sup>18</sup> While methodologies used to quantify the costs of sexual harassment can vary, the figures are sobering. A study of Fortune 500 companies estimated the costs of sexual harassment at around \$6.7 million a year in absenteeism, low productivity, and employee turnover. In addition to the business costs, sexual harassment can have serious costs for the community as well. In the U.S., federal employees who faced sexual harassment lost \$4.4 million in wages and 973,000 hours in unpaid leave per year, not only impacting job productivity, but the family and communities of those impacted as well.<sup>19</sup>

What employees experience at home also can directly affect productivity at work. According to an Overseas Development Institute study in Papua New Guinea, violence experienced at home led to “absenteeism, lower efficiency at work, resignation, and difficulties in recruiting and promoting women.”<sup>20</sup> According to the PNG Business Coalition for Women, intimate partner violence causes employees to miss 11 days of work per year on average, either to take care of themselves or others. This can mean lost work time totaling up to 10 percent of a company’s annual wages.<sup>21</sup> In the U.S, gender-based violence is responsible for approximately \$8 million in lost paid workdays per year. In Australia, for each woman who experiences violence, there is an estimated \$1,500 in lost production-related activity.<sup>22</sup>

Even when employees do not technically miss work, “presenteeism” (in which employees are present but distracted or unfocused, due to trauma or family concerns) can threaten not only productivity, but pose a safety risk as well. “[Gender-based violence] prevents victims from performing to the best of their abilities at work, hinders career progression, and costs employers dearly in terms of lost staff time and lost productivity.”<sup>23</sup>

In countries with strong social services, the company may not bear as much of the cost associated with intimate partner violence, but in developing countries where social services are not as strong, and families are often a key part of the system of care, companies may bear a much heavier cost from intimate partner violence.<sup>24</sup>

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<sup>18</sup> Business Coalition for Women, *Black Eyes Cost Business*, Port Moresby: BCFW, 2014, 2.

<sup>19</sup> IFC, *SheWorks: Putting Gender Smart Commitments into Practice*, 53, 54.

<sup>20</sup> Carolin Williams, *How to Calculate the Cost to Business of Gender-Based Violence in Papua New Guinea: Review of Existing Approaches and Methodologies*, London: ODI, 2014, 3.

<sup>21</sup> Amy Luinstra, “In Papua New Guinea, Empowering Women is Smart Business,” World Bank Blog, August 2016, <https://blogs.worldbank.org/voices/papua-new-guinea-empowering-women-smart-business>.

<sup>22</sup> Business Coalition for Women, *Black Eyes Cost Business*, 2.

<sup>23</sup> Business Coalition for Women, *Addressing Violence is Smart Business*, Port Moresby: 2014, 4.

<sup>24</sup> Carolin Williams, *How to Calculate the Cost to Business of Gender-Based Violence in Papua New Guinea*, 4-5.

## Liability

In many countries, workplace sexual harassment is against the law. Companies must be aware of their legal responsibilities, and the extent to which the company is responsible for the behavior of employees and contractors, and/or responsible for providing employees with training on topics like workplace sexual harassment. Sexual harassment policies and programs should take local context into consideration; however, policies also should be consistent across headquarters and all country offices, even if this consistency means going beyond local legal requirements.

Companies that fail to take adequate measures to address and protect employees can be liable for damages to employees. For example, in 2012, a former hospital employee in California was awarded \$168 million in a case that involved repeated complaints about verbal harassment and unwanted touching.<sup>25</sup> In addition to implicating the perpetrator, managers are at risk of liability as well, under certain circumstances. Under some legal systems, if it is determined that managers were aware of the issue or should have been aware, or if there was an expectation of high risk of sexual harassment that was not addressed, they can be held liable as accessories to sexual harassment.<sup>26</sup>



<sup>25</sup> eLeap, “Understanding the Employers’ Role and the Cost of Sexual Harassment,” 2016, <http://www.eleapsoftware.com/understanding-the-employers-role-and-the-cost-of-sexual-harassment/>.

<sup>26</sup> IFC, *SheWorks: Putting Gender Smart Commitments into Practice*, 54.

## Addressing Sexual Harassment and IPV with Sensitivity

Changing corporate culture, and/or supporting employees who may be experiencing violence at home can be highly sensitive, and even where it is illegal and/or violates company policy, cultural sensitivities and acceptance of the issue may vary. Employers should have policies in place for determining when to involve law enforcement and when issues need to be addressed internally. At a minimum, such policies should be guided by local legal codes.

Companies also should put in place protocols for reporting, accountability, and fair conflict resolution, which creates a trusting workplace. It is important to note that employees themselves might be concerned about discussing experiences with sexual harassment on the job for fear of retaliation, not being believed, or losing their jobs. In situations where there is a significant degree of violence within the local culture or community, employees may feel uncomfortable reporting it, or seeking help from an employer.

“Women appointed in core positions work side by side with men, often in isolation, and are frequently at risk of sexual abuse and/or harassment.”

— Doret Botha, ‘Women in Mining Still Exploited and Sexually Harassed’

*Source: South African Journal of Human Resource Management, Vol. 14, No 1, 2016.*

This tool suite is designed to raise awareness and help companies understand more about how to prevent workplace sexual harassment, provide support to employees experiencing IPV, and address ways in which their presence in a community may contribute to GBV. It includes tools for assessment, action, and monitoring. The tools rely on existing data. It is also recommended that companies consider partnering with experts in the ethical aspects and methodology of working with survivors of GBV, given the sensitivity of the topic.

Sexual harassment at the worksite may be closely related to gender norms in the host community. As a result, companies should consider comprehensive strategies to bring about broader culture change to combat GBV—affecting not just what happens at the worksite, but in the broader community as well.

Tool Suite 4 provides guidance on addressing workplace and community issues separately, even in situations they are interconnected. This will help you capture a range of information, in a variety of contexts, to work with different audiences and sensitivities.



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## TOOL SUITE 4: Tools to Address Gender-Based Violence, Including Sexual Harassment, SEA, and IPV

What steps can your company take to address sexual harassment in the workplace, as well as gender-based violence—particularly sexual exploitation and abuse and intimate partner violence—in the community?

Tool Suite 4 features 7 tools designed to help you assess the climate around sexual harassment and gender-based violence in the workplace and host community; implement appropriate policies, codes of conduct and trainings to address and prevent these issues from occurring; and monitor progress. It is by no means an exhaustive approach, especially with regard to dealing with SEA and IPV. Also of note: the actions and efforts suggested here should be undertaken by and in consultation with experts who have specific experience in gender-based violence. This will ensure a sensitive and context-appropriate approach, as well as coordination with the relevant local resources to support and protect survivors of gender-based violence.

The tools will help you to:

- **Assess and prepare:** Assess your company's ability to understand and take action on gender gaps in your workforce, and put in place staff, structures, and plans to address these issues.
- **Address:** Take specific practical actions to increase gender diversity, inclusion, and gender-equitable opportunities through recruitment, retention, and promotion.
- **Monitor and sustain:** Monitor progress and institutionalize mechanisms to ensure continued improvement and sustained progress.

Table 4-A below provides a breakdown of the tool suite, based on topic area and key players within the company who will care about and be responsible for actions and interventions.

**TABLE 4-A** Overview of Tool Suite 4

TOOL	TARGET UNIT	GOAL
<b>ASSESS and PREPARE</b>		
<b>TOOL 4.1:</b> Terms of Reference for Sexual Harassment Assessment and Gender-Based Violence Baseline Study	Human Resources	Understand and identify incidents and climate for sexual harassment and gender-based violence
<b>TOOL 4.2:</b> Assessing Gender-Based Violence in the Community	Community Engagement	Understand how OGM operations may be impacting GBV in the community
<b>ADDRESS</b>		
<b>TOOL 4.3:</b> Model Policy: Sexual Harassment	Human Resources	Develop a model policy on sexual harassment
<b>TOOL 4.4:</b> Model Policy on Intimate Partner Violence and Gender-Based Violence	Human Resources	Develop comprehensive employee policies addressing intimate partner violence and gender-based violence
<b>TOOL 4.5:</b> Terms of Reference for Sexual Harassment Training and Design of Gender-Based Violence Grievance Process	Human Resources, Training	Recruit an expert consultant to conduct sexual harassment training
<b>TOOL 4.6:</b> Model Codes of Conduct for Companies, Contractors, and Employees on Gender-Based Violence	Human Resources	Develop a company-level and individual commitment to prevent, report, and address gender-based violence
<b>MONITOR and SUSTAIN</b>		
<b>TOOL 4.7:</b> Develop Approaches Monitor and Sustain Progress on Reducing Sexual Harassment and Gender-Based Violence	Human Resources, Training	Develop an approach to monitor and sustain progress in reducing sexual harassment and gender-based violence

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## TOOLS 4.1-4.2: Assess and Prepare

This section includes two tools aimed at helping you assess the current situation as it relates to sexual harassment both within your company and in the broader community.

To address sexual harassment and abuse that may be happening in the workplace, you first need to understand the extent of the problem, the institutional or structural issues that may be contributing to it, and the ways in which sexual harassment may reflect broader issues within your company's culture. An understanding of gender norms within the community can add to this knowledge base, especially when such gender norms could be playing a key role in the extent of sexual harassment in the workplace. Tool 4.1 lays out a framework for developing a Terms of Reference to hire an expert who can help you conduct a workplace assessment on these issues.

GBV is not only a workplace issue; it also occurs in communities around the world. The prevalence, acceptability, and response to domestic and GBV can have cultural dimensions, which can be exacerbated by the social and economic changes happening in conjunction with OGM projects. In many countries, even where GBV has been criminalized, it can still be a pervasive problem. This is due to tradition, attitudes, and a lack of awareness and coordination among police, judiciary, and health care systems, leading to inadequate documentation and prosecution of perpetrators. Thus, GBV education, awareness, and capacity building for local municipalities, government officials, and community members alike are all critical aspects of the effort to chip away at the kinds of embedded cultural beliefs and expectations that allow GBV to occur and persist. Tool 4.2 provides guidance for carrying out an assessment of GBV in host communities.

**TOOL 4.1:****Terms of Reference for Sexual Harassment Assessment and Gender-Based Violence Baseline Study**

► **GOAL:** Understand the sexual harassment climate

► **TARGET UNIT:** Human Resources

Here are some key questions to explore:

- Do staff know what constitutes sexual harassment?
- Have incidents of sexual harassment been reported within the company?
- Is there a formal or informal grievance/complaints mechanism, and are staff aware of it?
- How have complaints been handled in the past?
- What has happened to perpetrators?
- Are there specific situations or areas of the worksite, or certain jobs, where women feel less safe—such as onsite accommodations, transportation, or underground?
- Do employees feel that management is aware of and responsive to these situations?
- If employees are experiencing sexual harassment, do they feel that the company is aware and providing sufficient support services?
- To what extent does sexual harassment seem to stem from corporate culture and to what extent is it connected to attitudes towards GBV in the broader community?
- To what extent do employees make use of company-provided IPV support services?

**Conducting Research on Sexual Harassment and GBV**

Note that the model terms of reference that follows does NOT advocate for asking employees about their own experiences with sexual harassment or IPV. Instead, it seeks to assess the extent to which sexual harassment is reported, how it is handled, the extent to which employer-supported support services for IPV are used, and the status of the corporate complaints and redress system. Data collection is focused primarily around workplace sexual harassment; global and national prevalence surveys should be used to understand prevalence of IPV.

To develop an understanding of sexual harassment and violence within the company, as well as among employees, consolidate any existing data on incidents, reporting, and treatment of sexual harassment—such as by reviewing records of reports and how they were handled, meeting with ombudsperson or exploring grievance mechanisms to better understand how they are used—as well as statistics on the uptake of employer-supported IPV support services.

If your company is planning a comprehensive gender audit, such an assessment can be incorporated into it. (See Tool 1.1 for a gender audit terms of reference).

If you are not conducting a gender audit, review the consolidated information in conjunction with available corporate/human resources data. For instance: are there higher incidents of sexual harassment in teams with fewer women? Are there correlations between teams with women in management positions and the rate of sexual harassment, and/or the degree to which staff feel they can report issues or have confidence in the reporting system? Do incidents of sexual harassment reflect perceptions by staff with regards to the value of women in the company?

As with the gender audit, attention to sexual harassment should be consistent across all company sites, including headquarters, country offices and local worksites, as well as across all levels of the workforce.

What follows is a model terms of reference for a sexual harassment assessment, which can be used in tandem with the ToR for sexual harassment training (Tool 4.6). It will help you assess employee perceptions of employees on- and off-site. It is not intended to identify sexual harassment or GBV experienced by non-employee members of surrounding communities, such as incidents perpetrated by contractors.

#### **BOX 4-A Handle with Care: Sensitive and Comprehensive GBV and Sexual Harassment Research**

Given the highly sensitive nature of the issues, your research must be conducted carefully and responsibly. Here are some guidelines:

- Be aware that during the research process information may come out about employees' personal experiences with sexual harassment.
- Make it clear that information shared in the context of the assessment will be kept confidential.
- Hire trained and qualified professionals to conduct assessments: These professionals should know how to spot trauma and have information available to refer individuals for treatment services as needed
- Include referral services as part of their support to employees.

Note that these recommendations are not intended to dissuade companies from conducting assessments around sexual harassment and gender-based violence, but rather to help ensure that the results of such surveys contribute constructively both to understanding the issues and to make a start at addressing them.<sup>27</sup>

<sup>27</sup> For further reading on the safety and ethical guidelines for conducting research on gender-based violence, the following are useful resources: World Health Organization, "Putting women first: Ethical and safety recommendations for research on domestic violence against women," Geneva: World Health Organization, 2001; M. Ellsberg, and L. Heise, *Researching Violence Against Women: A Practical Guide for Researchers and Activists*, Washington DC: World Health Organization and PATH, 2005; R. Jewkes, E. Dartnall, and Y. Sikweyiya, "Ethical and Safety Recommendations for Research on Perpetration of Sexual Violence," Paper for the Sexual Violence Research Initiative, Pretoria, South Africa: Medical Research Council, 2012.

## TERMS OF REFERENCE FOR SEXUAL HARASSMENT KNOWLEDGE AND ATTITUDES ASSESSMENT

### Introduction

[*Company name*] is committed to a workplace free from sexual harassment, and is supportive of our employees and community members who may have experienced intimate partner violence or other forms of gender-based violence. Towards this end, [*Company*] is conducting an assessment to understand several key issues regarding knowledge and attitudes towards sexual harassment in the workplace, and which employees may experience outside of the workplace, so that we can develop necessary training, support or referral services for staff.

This ToR is for conducting the baseline assessment [*and to conduct related follow-up training and advisory activities*].

### Objective

The objective of this assessment will be to develop an understanding of key topics related to sexual harassment and gender-based violence and intimate partner violence affecting [*Company*]'s employees on and off of the worksite. Key topics to be covered will include, but are not limited to:

- Sexual harassment:
  - » Sexual harassment in the workplace: What type of information does [*Company*] have available about incidents of sexual harassment in the company?
  - » How is information currently collected to monitor incidents and follow-up, on a general basis?
  - » What is the record of corporate response to allegations of sexual harassment between employees, and between supervisors and supervisees, including how complainants and perpetrators are treated?
  - » Does [*Company*] you have a sexual harassment policy?
  - » If so, how do you implement it, for example during new employees' induction or other training opportunities?
  - » What is the level of awareness about the fundamentals of sexual harassment?
  - » Have staff received sexual harassment training? If so, to what extent?
- IPV and SEA:
  - » Is there nationally available data on IPV and SEA that can be used to understand prevalence of IPV and SEA in the community?

- » What support services does [*Company*] currently make available to victims of IPV and family members/caregivers?
- » To what extent are the services being used?

This assessment will lead to recommendations on sexual harassment and GBV/IPV training; development of complaint, ombudsperson, and support services for victims; development of a code of conduct for staff; and a policy pertaining to sexual harassment and/or gender-based violence.

## Scope of Work

The consultant will be responsible for conducting a comprehensive assessment exploring (but not limited to) the topics below.<sup>28</sup> All findings should be kept strictly anonymous, unless staff wish to publicly report their experience:

- Would staff report sexual harassment experienced in the workplace, why or why not?
  - » Examining existing data, determine which teams have the highest reported incidence of sexual harassment: consider factors that may lead to higher incidence and also what might account for higher rates of reporting than other teams
- Have staff received sexual harassment training?
- Have staff received training on the company's code of conduct and sexual harassment policies, if they exist?
- Is there a set protocol in place for reporting workplace incidents?
  - » Do staff know about reporting protocols if they exist?
  - » Do staff feel comfortable using the system?
- What is the level of staff confidence in confidential reporting?
  - » Do staff have confidence that:
    - › Grievances will be taken seriously
    - › Action will be taken to support them/punish perpetrators
    - › The company will work to ensure reporting does not negatively impact the complainant's career?
- What has been corporate response to allegations of sexual harassment between employees, including how complainants and perpetrators are treated?
  - » Have actions been taken to change work arrangements or address problematic situations in ways that do not negatively impact complainants?

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<sup>28</sup> Depending on the size of the company and resources available, specify the assessment range. Decide whether to survey all employees or just a sample, and define a sampling methodology.

- Does the company have a policy or services in place to support employees who are dealing with IPV or SEA—either themselves, or through a family members? Such support might include counseling, leave, low-interest loans, or other services.
- Do policies apply equally across all country and local site offices or are they HQ-only?
- Are there policies in place on workplace sexual harassment?
- Does the company have a code of conduct outlining employee behavior expectations?
  - » Do policies apply equally across all country and local site offices or are they HQ-only?
- What is the extent of lost profit and productivity attributable to sexual harassment, SEA, and IPV experienced by staff?<sup>29</sup> Key considerations should include:
  - » Rates of absenteeism due to sexual harassment or IPV (through available existing data), and associated costs
  - » Rates of presenteeism: where staff have compromised productivity, due to sexual harassment or IPV (through available existing data)
  - » Costs of turnover associated with sexual harassment and IPV, where possible<sup>30</sup>

Consultants will be expected to undertake this assessment through surveys, focus groups, and key informant interviews, as appropriate, and at all times sensitive to confidentiality and sensitivity. While staff confidentiality is critical, and consultants should not be inquiring about the personal experiences of staff, consultants should also endeavor to provide specific and detailed information on the extent to which staff recognize sexual harassment as a workplace issue; their confidence (or lack thereof) in current means of handling grievances; whether they feel the company provides adequate services for survivors of SEA and IPV; ways that current protocols and services may be improved; and training and services required.

Consultants will use the results of this assessment to prepare a detailed report answering the following key questions:

- Does [*Company*] have appropriate and comprehensive policies and programs in place for workplace sexual harassment, and for supporting survivors of SEA and IPV?
- Are there recommendations for modifying or updating these policies in any way?
- Does [*Company*] have an appropriate grievances and response process?
- Do employees feel comfortable using the processes currently in place and if not, why not?

<sup>29</sup> For more information on determining the financial costs of sexual harassment and gender-based violence, see: Ashe et al. “Methodological Approaches for Estimating the Economic Costs of Violence against Women and Girls,” What Works and UK Aid, <https://www.whatworks.co.za/documents/publications/90-methodological-approaches-for-estimating-the-economic-costs-of-vawg/file>.

<sup>30</sup> IFC, “Case Study: Assessing Gender-Based Violence with Companies in PNG,” Washington, DC: IFC, 2.

- Do employees feel confident that this system will lead to a fair and confidential investigation, appropriate sanction, and mitigation of any potential consequences for complainants?
- Have staff received adequate training on sexual harassment, how to identify it, company expectations about on- and offsite behavior?
- If data is available, what is the amount of work time/profit lost due to IPV?
- In what ways can [Company] improve their support for employees who are dealing with IPV?
- Do employees feel that their employer provides adequate support for IPV survivors and caregivers?

*[Where a gender audit has been conducted: compare the results of this assessment with the results of the gender audit, to identify trends or correlations between the position of women in the company and prevalence of women in teams, and/or in leadership positions. Are there correlations between how women are represented throughout the company and incidence and reporting of sexual harassment?]*

#### Deliverables

- Study methodology, including safety and ethical considerations that will be applied
- Draft report
- Final report



## TOOL 4.2:

### Assessing Gender-Based Violence in the Community

- ▶ **GOAL:** Ensure that the community engagement team understands and is equipped to address GBV as exacerbated by project operations
- ▶ **TARGET UNITS:** Community Engagement Team or Independent Gender Expert

While Tool 4.1 examines instances of sexual harassment in the workplace and workplace responses to IPV and SEA that may be impacting employees, this tool examines drivers of GBV in the community related to oil, gas, and mining projects, and suggests ways to address these issues.

### THE BUSINESS CASE FOR ADDRESSING THE RISE OF GBV OUTSIDE THE FENCE IN PROJECT-AFFECTED COMMUNITIES

As noted in the introduction to this tool suite, GBV is a human rights issue. As also noted in the introduction, GBV that impacts community members who are also company employees can represent a significant cause of lost productivity and employee absence.

GBV between contractors and community members can lead to lawsuits, loss of social license, lack of investor confidence, and damage to a company's reputation. If violence occurs in the community, attribution to OGM companies is less direct. However, companies interested in being good corporate citizens and good-faith actors—as well as in maintaining social license to operate must assess, recognize, and address the issue when it arises either as a direct or indirect result of industry operations. Allowing the problem to continue or to escalate further can negatively affect community welfare as well as the sustainability of the project.

### HOW TO ASSESS, ADDRESS AND MONITOR GBV THROUGH COMMUNITY ENGAGEMENT ACTIVITIES

Many people may find GBV too sensitive a topic for discussion. Still, understanding whether and how operations are contributing to violence, as well as GBV prevalence and trends in the local community is key to identifying ways to respond. Because of the sensitivities associated with collection of GBV data, focusing on finding and aggregating existing data—rather than trying to gather original new information by asking individuals about their personal experiences with GBV—will make for a less complex and more straightforward approach.

#### Assessing GBV through Baseline and Impact Assessments

All steps of a company's assessment phase should include appropriate techniques and questions intended to acquire information about GBV prevalence and risk. These techniques should include gathering data about trends and reporting of GBV, as well as social structure and power dynamics

within the community and its households. Understanding such attitudes and dynamics—including degree of confidence in reporting, enforcement, and support services—can help you learn more about how GBV is currently experienced and addressed. Such efforts also should include tracking ways in which a project may exacerbate GBV, due to changing social norms and patterns. For example, if the project or community initiatives give women more financial independence or social standing, do the power dynamics or culture in this particular community signal a risk that men or husbands will feel threatened and/or retaliate with violence?

Here are some research methodologies for assessing and understanding connections between OGM operations and GBV:

- Review records of reported cases of gender based violence, or domestic violence, as reported to health clinics: Talk to health care representatives about any connections they may have noted between GBV and the OGM operations.
- Review records of cases of GBV or domestic violence as reported to police: Speak with police on any connections noted between GBV and the OGM operations.
- Talk to service providers, such as local women’s shelters, community counselors, and clergy, to understand any identified trends in gender-based violence.
- Review local, regional, and national laws and constitution to determine legal status of GBV and domestic violence and whether protections are available for survivors.
- Determine what services are available to survivors of GBV in the community: Assess the practical accessibility and quality of the services in addition to their nominal availability. Identify the organizations and/or government bodies represented locally that specialize in or have responsibility for GBV.
- Identify potential partner organizations for GBV training and awareness raising activities, including non-traditional partners focusing on men: Partners could include churches, NGOs, youth scouts/guides, sports teams, women’s groups, and local businesses.
- Identify gaps in services, and/or capacity gaps that may exist: For example, take a look at the amount of training (if any) received by police and health care workers at hospitals on legal implications and laws relating to GBV, relevant legal instruments such as restraining orders, treatment options, and referral pathways.

### **Addressing GBV through Design of the Project and Community Initiatives**

GBV might not surface during community consultations, given the sensitivities. Community engagement teams will need to sift through the results of assessments, available local data, and information provided by the police, health care providers, school system, relevant NGOs, and other local players to determine the extent of the GBV issue—as well as potential ways to address it within the community.

Consider partnering with local government, NGOs, and community organizations to ensure program sustainability after project closure. Partnering also will help build local capacity to prevent GBV and to provide competent, compassionate care to survivors of GBV.

### **Monitoring and Evaluation of GBV-Reduction Initiatives**

While acknowledging the existence of GBV and taking steps to reduce its prevalence in a community may—in and of itself—represent a change for the better, monitoring and evaluation of these efforts is key to determining effectiveness and identifying potential improvements.

There is another reason that ongoing monitoring and evaluation is important: evidence has shown that with more cash income, men may gain access to alcohol, and access to alcohol is linked to increased rates of GBV. This means that with growth in men's income, the incidence of GBV could rise as well. Thus, the baseline circumstances could shift, meaning that initiatives to reduce GBV may have to be altered as well.

Remember to involve both men and women in the monitoring and evaluation activities, beginning with the design of the GBV indicators.

#### **BOX 4-B Community Engagement Activities to Reduce GBV**

Here is a list of GBV-related project activities and community initiatives that community engagement teams could consider undertaking:

- Education and awareness initiatives about GBV, women's rights, prevalence of GBV in the community, and unintended consequences of GBV in the home, community, and workplace.
- Awareness-raising about local resources (medical or otherwise) or NGO support for those affected by gender-based violence, as such resources may not be commonly known in the community.
- GBV awareness campaigns that get men involved as anti-GBV champions.
- Education for healthcare workers on how to recognize and respond to cases of GBV: Make sure to train female healthcare workers, since some women may feel more comfortable approaching another woman.
- Education for police and judiciary on status of anti-GBV laws, consequences, and means that survivors of GBV, or threats of GBV, can use to protect themselves from future violence, such as with restraining orders.

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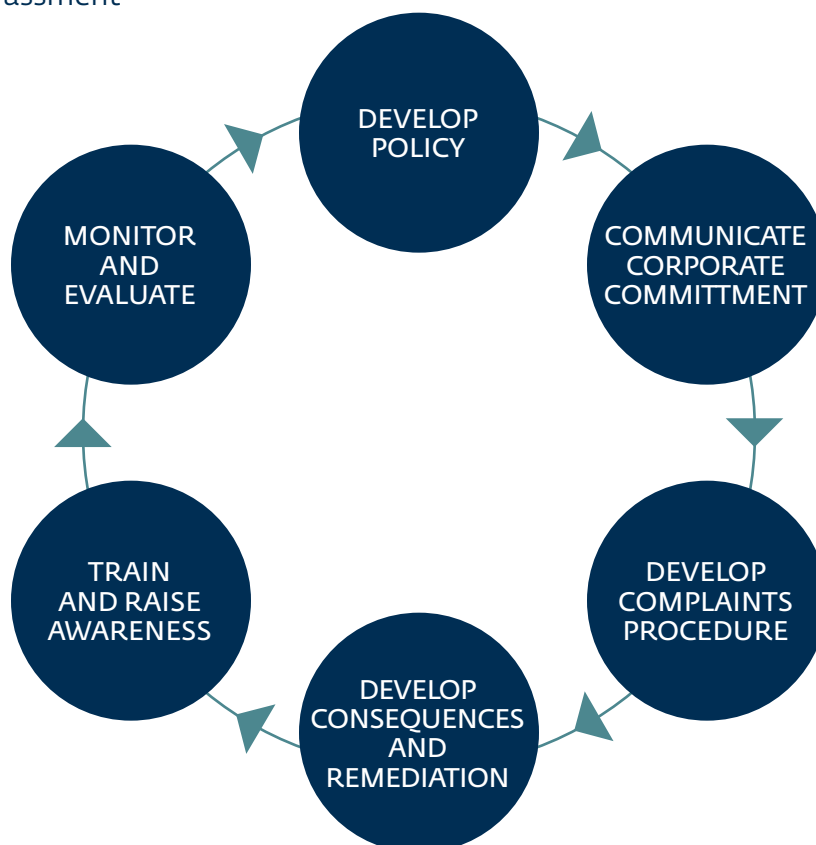
## TOOLS 4.3-4.6: Address

Effectively addressing sexual harassment in the workforce and in the communities requires implementing actions for each of the processes detailed in Figure 4-A and briefly highlighted below. Much of this material is based on the IFC publication *Sexual Harassment in the Workplace*.<sup>31</sup>

Note that some companies may have in-house resources they can put towards developing these approaches. However, many others will need to bring in outside expertise to tackle these sensitive issues.

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**FIGURE 4-A** Steps in Developing an Effective Approach to Addressing Sexual Harassment



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<sup>31</sup> Amy Luinstra, *Sexual Harassment in the Workplace*.

Following the description of the steps involved in addressing sexual harassment in the workplace, five tools are provided to help you implement sexual harassment and GBV policies.

Companies should develop policies addressing sexual harassment in the workplace, as well as positions on IPV and on support for employees who are dealing with IPV.

### **Sexual Harassment Policy**

The sexual harassment policy should clearly outline your commitment to a harassment-free workplace (including employees' behavior outside of the workplace). It should define sexual harassment and provide examples. It should clearly state that such behavior will not be tolerated. It should detail sanctions for violators of the policy, potentially including termination and/or referral to law enforcement if appropriate.

The policy should provide direction on how to lodge sexual harassment complaints and identify the services available for victims. It should state that preventing and addressing sexual harassment is the responsibility of all employees. It also should clarify protections and support for bystander employees who report incidents, as well as a process for action and follow up, including reporting on progress.

In addition, the policy should stipulate that complaints will be treated with utmost confidentiality and discretion. It also should reference applicable laws on sexual harassment, indicating the potential for criminal prosecution for anyone found to have committed sexual harassment or assault.

### **Intimate Partner Violence Policy**

An intimate partner violence policy should clearly outline your commitment to supporting and improving staff health and safety. It should outline available services and support to help employees return to work effectively. Among the services you could provide:

- Paid leave options for employees who need to seek medical care or care for family members
- Safety planning options, such as changing shifts, accommodations, or contact details
- Financial support, including no/low interest loans, salary advances, or support paying medical bills

In addition, the company should be prepared to provide assistance for women as they heal from the violence. Such services might include medical attention, police/security, safe house/shelter, financial support, psycho-social support, and legal services.

For more detail on designing sexual harassment and IPV policies, see Tools 4.3 and 4.4.<sup>32</sup>

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<sup>32</sup> Tools 4.3 and 4.4 were developed by the Papua New Guinea Business Coalition for Women.

## DEMONSTRATE CORPORATE COMMITMENT TO A VIOLENCE-FREE WORKPLACE

In addition to making staff aware of your sexual harassment and IPV policies through company-wide communication and publicity, they also need to know that there is a strong corporate commitment behind these policies. This means executive and senior-level staff taking active roles in communicating their support for the policies and their commitment to a violence-free workplace. Here are some ways to show this commitment to a respectful and violence-free workplace:

- Convene events hosted by senior and executive staff and share social media posts and e-blasts signed by leadership to communicate the company position on sexual harassment and GBV.
- Post and publicize your sexual harassment and GBV policies as well as relevant laws.
- Let staff know that complaints will be taken seriously, investigated promptly, and kept confidential, and that staff will not face retaliation for complaints.
- Ensure that the workplace is free from sexually explicit or pornographic materials, or other materials of a sexual nature that could make staff feel humiliated, degraded, or offended.

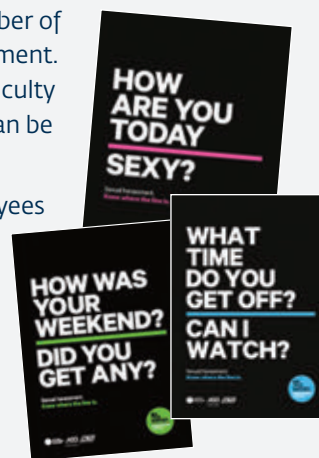
### BOX 4-C Resources for Corporate Communications on Respectful and Violence-Free Workplaces

The Communication x-Change, hosted by George Washington University, is a global internet platform for sharing communications materials that aim to end violence against women and girls. Materials are uploaded from partners around the world, so the x-Change includes communications materials that can be helpful towards a range of issues in a myriad of contexts.



The Australian government's Know the Line campaign includes a number of free resources to help companies communicate about sexual harassment. A common concern about sexual harassment in the workplace is difficulty determining the line between friendly conversation and banter that can be construed as sexual harassment.

If a workplace has been primarily single sex for a long time, employees might not be used to considering ways in which their jokes or banter adversely impact or offend co-workers of the opposite sex. The Know the Line campaign helps to identify that line when it comes to differentiating a friendly workplace from a harassing one. Posters available for download from the campaign's website feature examples of "safe" questions that can easily be made uncomfortable. Materials also emphasize that being friendly is perfectly acceptable.



- Make staff aware that the prohibition against sexually explicit, pornographic, or offensive materials extends to websites, and other forms of technology, such as text messages.<sup>33</sup>

## DEVELOP GRIEVANCE PROCEDURES

Your company's grievance procedures should include several components. Mechanisms should be put in place for various aspects of the grievance process, as described below.

### Receiving Complaints

Grievance mechanisms should allow complainants to lodge complaints on their own behalf or to report incidents that they witness. The reporting mechanism should enable confidentiality, so that complainants are not identified publicly. Instruments that enable privacy include a hotline or dedicated email address. These can be more effective than a dedicated office, since people may hesitate to be seen walking in and out of a dedicated office. If designated company staff—such as appointed members of a grievance committee—are those receiving complaints, they should be provided with specific and expert training on how to work with complainants, how to be supportive, neutral, and empathetic, and how to maintain confidentiality.

### Investigating Complaints

You will need the capacity to investigate any allegations of sexual harassment with impartiality—as well as knowledge to understand when to bring in the local authorities. The grievance committee could handle these tasks, provided that a neutral party, such as a representative of the human resources department, is involved. Alternately, an external investigator could manage this process—such as specialist NGOs, or HR consultants.<sup>34</sup> Investigations should be handled as quickly, discretely, and thoroughly as possible. If it is not possible to keep identities of complainants or alleged perpetrators anonymous, be sure to take steps to protect complainants from discrimination or other adverse impacts. Take similar steps to protect alleged perpetrators, until details of the allegation have been verified and appropriate disciplinary actions have been implemented as warranted.

### Evaluating Complaints and Providing Recommendations on Further Action

Following the investigation, a determination is needed—as well as a recommendation on disciplinary actions to take. This can come from the investigator, management, or HR. The consequences should be in keeping with the sexual harassment/GBV policy and applicable national policies. To encourage others to report issues and to demonstrate a functioning grievance mechanism, you should regularly inform staff about resolved cases—being sure to leave out identifying details to preserve confidentiality.

<sup>33</sup> Australian Human Rights Campaign, *Ending Workplace Sexual Harassment: A Resource for Small, Medium, And Large Employers*, Canberra: AHRC, 2014, 32.

<sup>34</sup> Stephanie Doria Wiley, *What to Expect from your Employer After You've Made a Sexual Harassment Claim*, San Francisco: Rukin Hyland, 2014.

## Supporting Employees Experiencing GBV or IPV Outside the Workplace

This support includes designating staff who will serve as confidential listeners and a resource for employees experiencing GBV or IPV. These staff members can connect victims with a range of corporate benefits and programs—paid leave, low interest loans, assistance in improving security—and with the necessary contacts within the community, such as police, medical help, and psychological counseling.

As you put together the grievance procedures, there are several fundamentals to keep in mind.<sup>35</sup> Mechanisms must be:

- **Fair:** Both complainant and respondent must be made aware of the complaint, and be able to present their account of what happened, before any assumptions are made or decisions are reached. Any reported behavior that violates the Sexual harassment/GBV policy should be treated seriously. The complainant and alleged aggressor should never be placed in a room together to share recollection of a particular incident. Be sure to prioritize the survivor's mental health, needs, and desires.
- **Confidential:** Information about the complaint, related to complainant and respondent alike, must be kept strictly confidential. Whether or not incidents ultimately are found to be sexual harassment, allegations can be damaging to either party, so this confidentiality is a must.
- **Clear:** Both complainant and respondent have a right to know the full grievance process, and to track the complaint through the process.
- **Easy to access:** All staff should know how to file a complaint. This includes where to lodge the complaint, next steps, and what to expect from the process. The process should be available in the working language as well as local languages.
- **Adequate:** Sexual harassment incidents can be traumatic and psychologically difficult for staff. The grievance mechanism needs to include a qualified professional—either a staff member or a trained external expert—who will be the point person for complainants. The mechanism also should include follow-up medical, psychological, and other support for complainants as needed.
- **Efficient:** While investigations can require research and investigation, complaints should be handled as quickly as possible to prevent work disruptions and show respect for all parties involved.
- **Safe:** Staff should be reassured that they will not face retaliation for claims reported in good faith. Retaliation should be clearly outlined in the policy.

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<sup>35</sup> The grievance mechanism steps, as well as the sections that follow on consequences and remediation, training and awareness, and monitoring and evaluation are all based on: Amy Luinstra, *Sexual Harassment in the Workplace*, 12–17.

## DEVELOP CONSEQUENCES AND REMEDIATION

The grievance policy should state in simple, up-front language that perpetrators will be sanctioned. Sanctions must be put in place that will unambiguously reflect your company's commitment to a violence-free workplace.

Communicating the sanctions policies is an important aspect as well. This information should be publicized widely throughout the organization. To ensure credibility among staff, use of sanctions should be consistent.

Termination should be one of the sanctions included in the policy, but it should not be the only one. Alternative sanctions should also be part of the policy whenever possible—as a first step that could serve to change behaviors. Such alternatives, even where they do not include immediate termination, should ensure that they prioritize the needs of the accuser—for instance, transferring the aggressor, rather than the accuser—and should be strong enough to be viewed as sanctions, rather than creating the impression of a mere “slap on the wrist.” Examples of alternative sanctions include:

- Counseling or training on sexual harassment
- Demotion, transfer, probation, or suspension of aggressor
- Official warning
- Formal apology to the complainant

Support for complainants should include:

- Restoring leave taken as a result of the incident
- Counseling or other support services as needed
- Change of work environment if needed: Take care to ensure that this change does not constitute a demotion or negatively impact the potential for promotion or a positive performance evaluation.

## TRAIN AND RAISE AWARENESS

Standardized sexual harassment and GBV training should be part of on-boarding procedures for all employees. Staff should also be required to take periodic refresher courses, for example, on a yearly basis, to remind them of company policies. Here is some guidance on implementing effective training and awareness-raising efforts:

- Publicize company policies with ongoing education and communication campaigns, using posters and other media, as well as incorporating sexual harassment and GBV awareness into worksite safety moments.

- Create engaging, thorough and detailed training materials: There is legal precedent for judgement against companies that did not do enough to prevent sexual harassment and that did not provide sufficient staff training.
- Reference applicable laws and regulations in training materials.
- Provide clear and specific guidance for staff on how to report incidents and to whom they should lodge complaints: This also includes educating staff on the various steps in the complaint, investigation, and resolution processes.
- Train resource personnel who will serve as contact points for complainants: They should have additional training on how to handle the process.
- Translate all policy documents and related information into all local languages to ensure universal understanding.
- Ask staff to sign off on the policy following their training: This signifies that they have received training, fully understand the policy, and agree to be held accountable for upholding it.

“Stigma within [mining] communities is high and options are few for accessing well-resourced, dedicated sexual violence health services.”

*Source: MSF, "Untreated Violence: The Need for Patient-Centered Care for Survivors of Sexual Violence in the Platinum Mining Belt."*

## MONITOR AND EVALUATE

As with other initiatives and actions recommended throughout this toolkit, on-going monitoring and evaluation of your company's processes and policies on sexual harassment and GBV are critical to ensuring effectiveness. Steps here include:

- Maintain records of all complaints and whether or not they are fully investigated.
- Monitor trends in complaints: Break down the statistics by department, position in the company, and job family to get a better understanding of where the majority of complaints are coming from.
- Review, discuss, and update the policy on a regular basis.

## TOOLS 4.3-4.4:

### Sexual Harassment and Intimate Partner Violence Policies

- ▶ **GOAL:** Develop comprehensive employee policies addressing sexual harassment and intimate partner violence
- ▶ **TARGET UNIT:** Human Resources

Policies on sexual harassment have several functions. They outline the employer's commitment to an atmosphere of zero tolerance and what the employer will do to ensure that all employees understand this policy; they outline the support services that the company will develop to support employees who have been victims of sexual harassment or sexual/IPV; and they explain how and when employees can or must report instances of sexual harassment.

Tools 4.3 and 4.4 provide examples of sexual harassment and IPV policies that were developed by the IFC-supported PNG Business Coalition for Women (BCFW), as part of a broad range of activities to support and advance the role of women in PNG businesses. The policies were developed with additional support from the Australian Department of Foreign Affairs and Trade, and the New Zealand Ministry of Foreign Affairs and Trade.

Although these policies were developed for the PNG business context, where rates of sexual harassment, IPV, and other forms of GBV are some of the highest in the world, they contain material that can be adapted for other country contexts.

#### **BOX 4-D** White Ribbon Campaign: International Initiative Against Gender-Based Violence



The White Ribbon Campaign is an international prevention, advocacy, and accreditation program, originally initiated by a group of men who wanted to demonstrate commitment to fighting violence against women.

Established in Canada in 1991, it has since become an international movement with a presence in 60 countries, providing training and resources to help companies end violence against women.

OGM companies and contractors around the world can join the White Ribbon Campaign to demonstrate their commitment to ending violence, receive training and advocacy materials, and explore accreditation under the White Ribbon banner. Find out more at [whiteribbon.ca](http://whiteribbon.ca).

It is also important to note that the PNG policies were rolled out along with a range of training and support activities. So, they were not an isolated effort to address sexual harassment and GBV. In customizing these policies to suit your own company needs, be sure to complement the effort with an exploration of the root causes of sexual harassment within the company and in host communities. As noted in the preceding section of the tool suite, the policies should be supported by commitments to training staff, identifying support systems for staff that needed them, and developing complaints mechanisms and investigation protocols. Also key are trained and empowered managers who will take action to sanction perpetrators.

#### **BOX 4-E Driving Change Through the Mining Supply Chain in PNG: Contractor Anitua Leads the Way for Violence-Free Workplaces**

The Anitua Group is wholly owned by the PNG landowners around the Lihir gold mine. As a major supplier of catering, construction, camp management, and a variety of mine-related services, Anitua is an important employer on and off the Lihir site. The company also has emerged as a key player in the fight against gender-based violence on the island and nationwide, demonstrating the significant role contractors play in taking effective action against GBV in mining communities—in addition to the role of mining companies themselves.

Anitua's gender-based violence program includes a mix of home-grown activities, and collaborations with several national and international movements. For instance, Anitua has developed internal GBV programs for all of its businesses, which span multiple industries throughout the country. The company also is lobbying local operator Newcrest and other PNG OGM companies to commit to ending violence against women and girls.

In addition, as part of Haus Krai, a national day of mourning to remember PNG women and girls who have lost their lives to GBV, Anitua Lihir helps to organize and sponsor local commemorative events.

Anitua also is a key contributor to the IFC-sponsored Business Coalition for Women—an organization that provides a range of resources to help the PNG business community address GBV. NCS, Anitua's largest and oldest business, with about 1500 employees nationwide, is an early adopter of the coalition's Workplace Policy on Family and Sexual Violence, which the company has put in place across all operations.

Anitua is demonstrating its leadership on the international front as well, as a signatory to the White Ribbon Campaign.

## TOOL 4.3:

### Model Policy: Sexual Harassment

- ▶ **GOAL:** Development of a model policy on sexual harassment
- ▶ **TARGET UNIT:** Human Resources

This draft model policy was developed by the PNG BCFW, to help companies address sexual harassment. It defines sexual harassment, outlines company commitments to creating a respectful workplace, and details expectations for employee behavior. It also provides guidance to employees on how to lodge a complaint and information on complaint investigation and follow-up actions. Use the example here as a base case that you can customize depending on your company's unique circumstances and the country context.

#### PNG BUSINESS COALITION FOR WOMEN MODEL POLICY ON SEXUAL HARASSMENT<sup>36</sup>

##### 1. Purpose

[Company] is committed to maintaining a work environment that demands respect for the dignity of each individual. Sexual harassment is considered unacceptable and will not be tolerated under any circumstances.

##### 2. Principles

This sexual harassment policy covers all employees including:

- a. Full time, part time, casual, permanent or temporary
- b. Executives and management
- c. Contract or consultant workers
- d. Volunteers, vocational and work experience placements and apprentices

[Company] will not tolerate, condone or allow sexual harassment, whether engaged in by fellow employees, supervisors, managers, clients or other non-employees who conduct business with this company.

[Company] encourages reporting of all incidents of sexual harassment, regardless of who the offender may be or the position held in in the company.

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<sup>36</sup> This model policy was developed in 2016.

### 3. Definition

#### 3.1 *What is sexual harassment?*

Sexual harassment is unwelcome conduct of a sexual nature, which makes a person feel offended, humiliated and/or intimidated. Sexual harassment can take various forms. It can involve conduct such as:

- a. Suggestive comments or jokes
- b. Insults or taunts of a sexual nature
- c. Inappropriate advances on social networking sites
- d. Sexually explicit pictures, posters, screen savers, emails, tweets, social networking posts, SMS/texts
- e. Instant messages

It also can involve intrusive contact or conduct of a suggestive nature via phone, text, email, social media, or in person outside of working hours, including:

- a. Unwelcome touching, hugging or kissing
- b. Staring or leering
- c. Unwanted invitations for sex or persistent requests to go out on dates
- d. Intrusive questions about another person's private life or body
- e. Unnecessary familiarity, such as deliberately brushing up against someone
- f. Accessing sexually explicit internet sites
- g. Behavior that would also be an offense under criminal law, such as physical assault, indecent exposure, sexual assault, stalking or obscene communication

Both men and women can experience sexual harassment at work; however, it is most commonly experienced by women.

#### 3.2 *Sexual harassment in the workplace*

There are two types of sexual harassment in the workplace:

- a. **Quid pro quo sexual harassment:** Quid pro quo sexual harassment reflects inappropriate use of power and occurs when some type of employment benefit is made or perceived to be contingent on sexual favors in some capacity. It includes requests for sexual favors, unwelcome advances, or other verbal or physical conduct of a sexual nature when either of the following conditions is met:

- i. Agreeing to such request or conduct is made or perceived to be a term or condition of an individual's employment; OR
- ii. The request or conduct is explicitly or implicitly used as the basis for employment decisions affecting that individual.

Usually this type of sexual harassment occurs between someone in a position of power and a subordinate.

- b. "Intimidating, hostile or offensive environment" sexual harassment: Intimidating, hostile or offensive environment sexual harassment occurs when there are frequent or pervasive unwanted sexual comments, advances, requests for sexual favors or other verbal or physical conduct of a sexual nature that have the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment. It is not usually deemed an intimidating, hostile, or offensive environment if the activity in question was an isolated occurrence or a single attempt at initiating a sexual or romantic relationship that was neither reciprocated nor repeated.

### 3.2.1. *Determining whether an environment is "intimidating, hostile or offensive"*

The following factors can help determine whether the conduct unreasonably interfered with an individual's work performance or created an intimidating, hostile or offensive working environment:

- a. Whether the conduct included any of the actions listed in Section 3.1
- b. Whether the conduct would have breached the dignity or respect of a reasonable person in the circumstances
- c. Whether the conduct was verbal or physical or both
- d. Frequency of the conduct
- e. Whether the conduct was patently offensive
- f. Whether the alleged harasser was a co-worker, client, third party, or supervisor
- g. Whether others joined in perpetrating the harassment
- h. Whether the harassment was directed at more than one individual

The issue of whether a given behavior qualifies as unwelcome, frequent, or pervasive and has resulted in an intimidating, hostile, or offensive environment will be a case-by-case determination. In addition to the impact on the harassed individual, consideration also should be given to the impact on co-workers of the victim—for example, if the conduct has resulted in creating an intimidating, hostile or offensive environment for them as well.

For legal purposes the intent of the harasser is not relevant. Statements like "I didn't mean to harass" are not considered by a court of law. It is the impact of the harasser's behavior that is to be considered.

### 3.2.2. *Determining whether conduct is unwelcome*

When confronting conflicting evidence as to whether conduct was welcome or unwelcome, employers should look at the record as a whole and at the totality of the circumstances, evaluating each situation on a case-by-case basis.

## 4. **Grievance Procedure**

Employees who believe that they or someone else may be experiencing sexual harassment should contact the appropriate supervisor or a designated company contact [for instance, a grievance committee].

If an employee does not feel comfortable approaching his/her supervisor with a complaint of sexual harassment, for example, because the supervisor is the alleged harasser or is related to or has a familial/community connection to the alleged harasser, the employee should report the harassment to a company-designated contact [such as grievance committee personnel] who have the training and resources to respond appropriately.

The supervisor or designated contact is obligated to act upon the information in accordance with the procedures laid out in this policy.

### 4.1 *Informal resolution*

After reporting the behavior to a supervisor or designated contact the complainant should be given the opportunity to tell the person responsible that they find his/her behavior offensive and ask him/her to stop. The complainant may wish to ask a colleague or designated contact person to be present.

If the complainant does not feel comfortable confronting the harasser, or if the matter cannot be resolved informally, a formal investigation should be undertaken in accordance with Sections 4.2 and 4.3.

### 4.2 *Formal investigation*

Any complaint brought to the attention of the company's designees (contact person, supervisor, manager, owner) will be promptly investigated in a confidential manner so as to protect the privacy of persons involved. This should include the following:

- a. Interview with the complainant about the alleged event(s)
- b. Information from the complainant about preferences on desired outcomes from the grievance process, with the understanding that an alternative outcome may be deemed more suitable by the investigative team
- c. Interview with the alleged harasser about the alleged event(s)
- d. Interviews with witnesses or anyone else who may have any information regarding the complaint

Confidentiality must be maintained throughout the investigatory process to the fullest extent practical and no information regarding the complaint or the parties involved shall be provided to anyone outside of the investigatory process without the approval of all parties involved in so far as possible.

### *4.3 Determine outcome*

Upon completing the investigation of a sexual harassment complaint, the company will communicate its findings and intended actions to the complainant and alleged harasser.

#### *4.3.1. Harassment is found to have occurred*

In situations where the determination is that harassment has occurred, the appropriate outcome should be focused on getting the harasser to cease the harassing behavior and providing support to the complainant. Outcomes include:

- a. Reprimand of the complainant
- b. Written record of the incident stored in accordance with the procedures outlined in 4.3.3
- c. Disciplinary procedures as deemed appropriate given the severity of the harassing behavior, which may include: referral to counselling or training, withholding of a promotion, reassignment, temporary suspension without pay, financial penalties, probation, termination, or others
- d. Automatic sanctions against the harasser in the event of a finding of quid pro quo sexual harassment: termination, suspension without pay, probation, or financial penalties

In all cases where the determination is that harassment occurred, support services or counselling should be made available to the complainant.

#### *4.3.2 No harassment found*

If the investigation determines that no sexual harassment has occurred, this finding will be communicated to the complainant in an appropriately sensitive manner.

#### *4.3.3 Record keeping*

In all cases and whatever the determined outcome following a formal investigation, a record of the complaint and the outcome should be recorded and stored in a centralized locked filing system. These files should be kept separate from personnel files; however, a notation should be made in the personnel file of any employee found to have committed sexual harassment and breached this policy.

## **5. Protection against Reprisals**

Employees must be made aware that the reporting of any alleged sexual harassment will not have any impact on their current job or on any future job or promotion prospects with the company and that they will be protected against any retaliation by the alleged harasser or any other representative of the company.

The company will take all appropriate measures to minimize the risk of any victimization or reprisals against the complainant or the alleged harasser. It shall ensure that all staff, including management and supervisory staff, are informed that the company will not tolerate victimization or reprisals. If management becomes aware of victimization or reprisal or threats of such in the workplace as a result of a complaint lodged, appropriate support services shall be made available to the complainant. Disciplinary action shall be taken in accordance with the company's usual procedures for breach of a company policy.

If management becomes aware of victimization or reprisal or threats of such outside the workplace, appropriate support services shall be made available to the complainant and, where appropriate, the act or threat may be reported to the police.

## 6. False Accusations

[Company] recognizes that false accusations of sexual harassment can have serious effects on innocent persons. If, after the investigation, it is found that the complainant has maliciously or recklessly made a false accusation, the complainant will be subject to appropriate sanctions. In such a case, the company will also take appropriate action to restore the reputation of the accused.

[Company name, address]

### *Sexual Harassment Policy Acknowledgment Form*

This Sexual Harassment Policy has been prepared for your information and understanding of the policies and procedures related to sexual harassment. Please read it carefully. Upon completion of your review sign the statement below, and return it to your supervisor by the due date.

I have familiarized myself with the contents of this Sexual Harassment Policy. By my signature below, I acknowledge, understand, accept and agree to comply with the information contained in the Sexual Harassment Policy provided to me. I understand this Sexual Harassment Policy is not intended to cover every situation which may arise, but is simply a general guide to the goals, policies, practices, benefits and expectations of a Sexual Harassment Policy.

I understand that the Sexual Harassment Policy is not a contract of employment and should not be deemed as such.

I hereby confirm I have read and understand the Sexual Harassment Policy.

Name (Employee) \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

**TOOL 4.4:****Model Policy on Intimate Partner Violence and Gender-Based Violence<sup>37</sup>**

- ▶ **GOAL:** Develop comprehensive employee policies addressing intimate partner violence and gender-based violence
- ▶ **TARGET UNIT:** Human Resources

This draft model policy was developed by the Papua New Guinea Business Coalition for Women, to help companies develop models for supporting employees who are survivors of GBV or IPV. The policy outlines a range of mechanisms companies can use to support employees, help mitigate domestic situations, and ensure that workplaces are safe environments. Such efforts can help you become an employer of choice and attract and retain qualified candidates, as well as also mitigate the negative business effects of domestic and GBV.

In Papua New Guinea, intimate partner violence is referred to as “Family and Sexual Violence” (FSV). As with the model policy provided in Tool 4.4, this policy is specific to Papua New Guinea’s laws and customs. However, it is a useful template for companies that want to develop similar policies.

In developing your own model policies on IPV, consider the types of support services to offer staff. In-house support services can vary widely, but the goal is to help staff to cope with disruption and trauma in the home, minimize absenteeism and presenteeism, and manage the unexpected costs, concerns, and burdens related to IPV. Among the support programs companies can offer:

- **Special leave:** For instance, paid family leave for IPV survivors, or for family members who are caring for IPV survivors. This gives them time to seek treatment, appear in court, or care for family members or their children, so that survivors can seek treatment or attend court, among other tasks.
- **Safety planning:** Particularly in situations where there are concerns about ongoing threats, companies can help employees mitigate the risks by:
  - » Changing the employee’s schedule, so hours, shifts, and roles are less predictable
  - » Helping the employee set up a new email address and cell phone number, to be less accessible
  - » Moving the employee’s work station, and providing safe transport to/from work to reduce the risk of recurrent or threatened violence
  - » Helping the employee apply for a restraining order (or other locally appropriate legal instrument) or referring them to appropriate support

<sup>37</sup> This is a reprint of: Business Coalition for Women, *Model Policy on Family and Sexual Violence*, Port Moresby: BCFW, 2014, This project was supported by IFC.

- **Financial support:** Companies may choose to offer additional financial support to employees, to help offset costs such as medical care, legal representation, and moving. This financial support can take several forms, including:
  - » No/low interest loans or salary advances
  - » Direct payment of medical bills
  - » Upfront payments of medical bills, to be reimbursed by insurance
  - » Provision of childcare or facilitating access to childcare
  - » Security upgrades to the employee's home
  - » Provision of safe transportation to access support services, or to and from accommodations

These options should be developed before or during the elaboration of the policy.

## **PNG BUSINESS COALITION FOR WOMEN MODEL POLICY ON FAMILY AND SEXUAL VIOLENCE<sup>38</sup>**

This model policy on family and sexual violence (FSV) provides a comprehensive set of workplace strategies that can be used by businesses to address the impact of FSV on the workplace.

### **1. Overview**

This policy will help businesses to:

- a. Reduce the cost of FSV to business
- b. Fulfill the employer's duty of care
- c. Improve staff health and safety
- d. Demonstrate corporate social responsibility commitments
- e. Position the business as an employer of choice

Note: This policy should be customized to ensure that the workplace strategies suit the size and needs of each business.

### ***Implementation Guidelines***

This policy should complement and be implemented in conjunction with existing workplace policies such as those addressing occupational health, safety and environment, anti-sexual harassment and anti-bullying, and anti-discrimination policies.

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<sup>38</sup> Note that Family and Sexual Violence (FSV) is the preferred terminology to refer to domestic violence and sexual violence at the hands of a stranger in PNG; this model policy was developed in 2014.

## 2. Purpose

The purpose of this policy is to:

- a. Develop a supportive and non-judgmental workplace in which victims of FSV feel safe to come forward and seek support
- b. Guide employer responses to employees whose work life is affected by FSV
- c. Facilitate a safe workplace for all employees

## 3. Definitions

Here are definitions of terms used in this policy document.

### 3.1. *Family members*

Family members are defined as including:<sup>39</sup>

- a. Spouse of the person
- b. Child of the person or child of the person's spouse
- c. Parent of the person or parent of the person's spouse
- d. Grandparent
- e. Brother or sister of the person or brother or sister of the person's spouse
- f. Any other person who is treated by the spouses as a family member

To avoid doubt, the definition of family members includes extended family members, and extends to polygamous relationships.

### 3.2 *Family violence*

Family violence is defined as any violence between family members including current or former partners in an intimate relationship. Family violence may include physical, sexual, emotional, and financial abuse, stalking, damage to property, and control through socially isolating the victim, or threats to do any of the aforementioned acts.

### 3.3 *Sexual violence*

Sexual violence is an act against a person's sexuality using coercion, including any attempt to obtain a sexual act and any unwanted sexual comments or advances. This includes acts by any person regardless of their relationship to the victim and in any setting, including but not limited to home and work.

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<sup>39</sup> In this policy example from PNG, family members are defined to be consistent with the definition in the PNG Family Protection Act 2013 (FPA 2013). When customizing this policy for your company, it will be important to reference the relevant legal framework and definitions here.

### 3.4 *Family and sexual violence (FSV)*

FSV is defined as family violence and sexual violence as described in sections 3.2 and 3.3. It should be noted that while family violence may be perpetrated by family members, sexual violence may be perpetrated by any person regardless of their relationship to the victim.

### 3.5 *The victim*

The victim is defined as the person or persons adversely affected by family and sexual violence. Women, men and children can be victims of FSV.

### 3.6. *The perpetrator*

The perpetrator is defined as the person or persons who commit or threaten to commit an act or acts of FSV.

## 4. **Essentials**

### 4.1. *Information provision and education of employees*

The employer will provide information to employees in languages that they understand. This includes explanations of:

- a. FSV and its impacts on the workplace, including acknowledging that FSV can adversely affect women, men and children
- b. Support and protective services available in the community for victims and perpetrators of FSV including:
  - i. Medical and psychosocial support
  - ii. Counselling
  - iii. Emergency accommodation
  - iv. Police and legal protection
  - v. Welfare services
- c. Company FSV policy and practices, including the names and contact details for the FSV workplace contact teams
- d. Mandatory reporting requirements: Employees will receive this information at the start of their employment or during induction. They will have—at a minimum—an annual refresher on these requirements, to occur during professional development, staff training, or on any other suitable occasion.

The employer should provide both written materials and verbal explanations. The employer will also provide and/or facilitate education on FSV to both female and male employees, and will provide gender-specific education as appropriate.

#### 4.2. FSV workplace contact teams

The employer will establish FSV workplace contact teams to coordinate the employer's response to the impacts of FSV on the workplace, including:

- a. Appropriately responding to the victim's disclosure by respecting the victim's choices
- b. Supporting and coordinating the victim's access to available workplace and community support
- c. Managing perpetrators

The FSV workplace contact teams will include representatives from relevant departments, including human resources, health, safety, and environment, security, employee assistance, medical, legal, internal communications, community outreach, and unions—as appropriate to the specific company.

The employer will provide and/or facilitate training for members of the FSV workplace contact teams so that they feel confident in performing their duties.

The FSV workplace contact team will be responsible for developing a written response protocol which specifies:

- a. Roles of team members
- b. Responsibilities of the team
- c. Process to ensure a competent and confidential response to disclosure
- d. Mechanisms to notify and respond to perpetrators in the workplace
- e. Appropriate protocol for written recording of issues raised in case the notes are subpoenaed
- f. Processes for record keeping including activities undertaken by the FSV workplace contact team, uptake of FSV workplace strategies, and notification/investigation of perpetrators in the workplace.

The FSV workplace contact teams will be the first point of contact for employees experiencing FSV. An employee who discloses FSV to another member of the workplace shall be referred to the FSV workplace contact team. The FSV workplace contact team will assist victims in accessing available workplace and community support from the point of first contact to the point when the victim no longer requires assistance.

The FSV workplace contact team will encourage and accept notification from employees about perpetrators in the workplace and will oversee the investigation of these complaints.

Through monitoring and evaluation, the FSV workplace contact team will be responsible for identifying any barriers to access that employees may face in accessing this policy and for addressing the barriers identified.

In small businesses, the functions of the FSV workplace contact team may be performed by a single FSV workplace contact representative.

### **4.3. Reporting measures**

The employer will inform employees of the names and contact details of the FSV workplace contact team and ways of reporting FSV, including:

- a. Contact details for victims seeking information and assistance
- b. Contact details for line managers who want education about FSV and the workplace
- c. Contact details for line managers who need support for dealing with the impacts of FSV on the workplace, for themselves and their team
- d. Process for reporting acts of violence or threats of violence

The employer also will advise employees how to escalate a request for support or notification of violence if the process for reporting is ineffective due to unavailability or non-responsiveness, or if the employee's concern is not resolved.

### **4.4. Accountability measures**

To ensure that employees feel comfortable in disclosing their FSV experience and accessing workplace support, the employer will:

- a. Maintain confidentiality by:
  - i. Informing all employees that confidentiality of victims' personal information in regard to FSV is of the utmost importance
  - ii. Training the FSV workplace contact team on maintaining confidentiality
  - iii. Taking disciplinary action, including and up to dismissal, against those who breach victim's confidentiality—that is, is unless a breach of confidentiality is necessary to protect the victim or another person from serious harm, or where required by law
- b. Establish transparent and effective complaint/grievance/dispute processes so that employees' concerns can be escalated to the level required for resolution
- c. Prohibit discrimination or adverse action against an employee on the basis of the victim's FSV disclosure, experience or perceived experience

## **5. Key Support Measures**

### **5.1. Leave**

An employee experiencing FSV can request paid special leave to attend medical or counselling appointments, legal proceedings, relocation to safe accommodation and other activities related to FSV.

An employee who supports a person experiencing FSV may take caregiver's leave, including but not limited to accompanying them to court or the hospital, or to care for children.

Employees who are employed in a casual capacity may request unpaid special leave or unpaid caregiver's leave to undertake the activities described above.

The amount of leave provided will be determined by the individual's situation through consultation with the employee and the FSV workplace contact team and with management where appropriate.

### *5.2. Safety planning*

To ensure the safety of the victim and the workplace in general, the employer, in consultation with the victim, will assess the level of FSV risk for the victim and the workplace. The employer will make reasonable adjustments to the work schedule and work environment as deemed necessary. In consultation with the victim, the employer may undertake safety measures, including but not limited to:

- a. Changing the employee's span of hours or pattern of hours and/or shift patterns
- b. Redesigning or changing the employee's duties
- c. Changing the employee's telephone number or email address to avoid harassing contact
- d. Relocating the employee to another worksite/alternative premises
- e. Providing safe transportation to and from work for a specified period
- f. Supporting the employee in applying for a restraining order<sup>40</sup> or referring him/her for appropriate additional support
- g. Taking any other appropriate measure including those available under existing provisions for family-friendly and flexible work arrangements

### *5.3. Referral to support services*

The employer will assist the employee in accessing available and appropriate support and protective services in the community, including medical and psychosocial support, counselling, emergency accommodation, police protection and welfare services, by facilitating contact and coordination with these services.

When feasible, the employer may provide directly medical and psychosocial support—including psychological first aid, counselling, emergency accommodation, security, and welfare—and help the victim obtain longer-term accommodation.

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<sup>40</sup> In PNG, this is known as an Interim Protection Order.

#### 5.4. *Financial and other support*

When feasible, the employer may provide financial and other support to victims of FSV so they can access medical and psychosocial assistance, counselling, emergency accommodation, security, and welfare. Such support includes but is not limited to:

- a. No/low interest loans
- b. Salary advances
- c. Direct payment of medical costs
- d. Upfront payments for medical costs to be recouped from the employee's health insurance
- e. Provision of or facilitating access to childcare
- f. Security upgrades to the employee's home
- g. Provision of safe transportation to access support services or to and from accommodation

#### 5.5. *Perpetrator policy*

The employer will prohibit the use of violence or threats of violence in the workplace including acts of FSV, sexual harassment, discrimination or bullying.

The employer will encourage employees to notify an FSV workplace contact team member of any acts or threats of violence they have witnessed or received, or have heard from others that another person has witnessed or received.

The employer will ensure the confidentiality of employees who report acts or threats of violence, and of employees accused of engaging in any acts or threats of violence (unless a breach of confidentiality is required to protect persons or property from serious harm or where required by law).

The employer will investigate any reports of violence, while affording the accused procedural fairness. If an employee is found to have perpetrated violence, the employer will take action, which could include any or all of the following:

- a. Providing the perpetrator with counselling and support
- b. Undertaking disciplinary action up to and including dismissal
- c. Reporting the perpetrator to the police

“If you draw lines around behavior that’s just illegal, you’re missing the broader point. Lots of things are not illegal, but they’re not respectful or appropriate.”

— Sindy Warren, Leading US Attorney on Sexual Harrassment at Work

Source: Claire Suddath, “Why Can’t We Stop Sexual Harassment at Work,” *Bloomberg Businessweek*.

The employer should assess the risk of the proposed intervention to the victim, regardless of whether the victim is an employee, to minimize the potential for further violence.

If an employee is a perpetrator of FSV who voluntarily comes forward and seeks the employer's assistance, the employer will, if feasible, provide or facilitate counselling for the perpetrator.

The employer may develop a weapons policy to prohibit the presence of non-work-related weapons on work premises or during working hours.

## **6. General Measures**

### *6.1. Evidentiary requirements*

If the employer requires proof of FSV, this may be provided in the form of a document, as agreed by the employer and employee, and issued by the police, court, doctor, district nurse, maternal and child health care nurse, family support center, counselor, clergy member, lawyer—or in the form of a statutory declaration.

### *6.2. Monitoring and evaluation*

The FSV workplace contact team will undertake a baseline survey to establish baseline data on the impacts of FSV on the workplace.

The FSV workplace contact team also will undertake regular monitoring and evaluation—at a minimum on an annual basis—to review outcomes of the policy and identify policy uptake, barriers to access, and positive and negative impacts on individuals and the business.

The FSV workplace contact team will provide results of the baseline survey and monitoring and evaluation activities to senior management. The monitoring and evaluation data should be used as a learning tool that consolidates the strengths of the implementation of this policy and identifies challenges.

## **7. Optional Measures**

The employer may consider undertaking additional measures, including:

- a. Providing by-stander training to encourage colleagues to support victims of FSV
- b. Networking with other employers, FSV service providers, and advocates to share good practices
- c. Donating to FSV service providers and advocates
- d. Using social marketing to change unhelpful FSV norms

**TOOL 4.5:****Terms of Reference for Sexual Harassment Training and Design of Gender-Based Violence Grievance Process**

- ▶ **GOAL:** Recruitment of an expert consultant to conduct sexual harassment training and develop an implementation mechanism for GBV policies
- ▶ **TARGET UNITS:** Human Resources, Training

In many countries, companies have a legal requirement to provide employees with sexual harassment training. The sample terms of reference provided here can be used for recruiting external trainers to train staff on the definition and implications of sexual harassment, the company's policy towards sexual harassment, and how to respond to incidents or allegations of sexual harassment.

Ideally, this training will be delivered following the development of sexual harassment and gender-based violence policies, so that it gives employees an overview of sexual harassment and provides detail on your specific policies. Scheduling the training in this way also helps ensure that all staff understand and accept the policies of the workplace.

The sample ToR provided here includes additional optional language covering situations in which consultants are expected to develop mechanisms to operationalize the GBV policy—such as developing an effective grievance reporting and investigation mechanism.

**TERMS OF REFERENCE TO DEVELOP AND IMPLEMENT SEXUAL HARASSMENT TRAINING<sup>41</sup>****Background**

[Company] is committed to a respectful and diverse work environment, and has a strict policy prohibiting sexual harassment and all forms of gender-based violence. Towards this end, [Company] wants to ensure that all employees understand what is meant by sexual harassment and gender-based violence, and understand and accept [Company]'s policies against sexual harassment and gender-based violence. Thus, [Company] is seeking a consulting firm that can design and deliver a range of trainings to help [Company] implement its sexual harassment and GBV policies. This will include training all staff on [Company]'s policies, behavioral expectations, and consequences of action contrary to these expectations; [helping [Company] develop an effective reporting and investigation mechanism], and helping train managers on how to enforce the sexual harassment and GBV policies.

“72 percent of workers who experience sexual harassment at work do not report it.”

Source: US CareerBuilder Survey 2018

<sup>41</sup> Based on IFC and Lonmin, *Women in Mining: A Guide to Integrating Women in the Workforce*, Washington DC: IFC, March 2010, 67.

*[Background on what company has done so far, with regard to sexual harassment and GBV. When were policies developed? Have trainings been conducted? Is there a provisional complaints mechanism?]*

## Scope of Work

This consultancy will involve developing and delivering several different trainings related to sexual harassment and gender-based violence, including:

- Training all staff on the nature of sexual harassment and gender based violence, [Company]’s policies on respectful and safe workplaces, and the consequences of violating these policies
- Training for the grievance committee [or equivalent team within company, if applicable] that will receive complaints/allegations of sexual harassment and GBV
- Training for sexual harassment/GBV investigators [if applicable, if this function is performed in-house], on how to discretely, thoroughly, and neutrally investigate sexual harassment and GBV
- Training for managers/HR staff [as applicable] who will be responsible for evaluating investigation results and determining consequences of sexual harassment/GBV claims.
- *[Developing a complaints and investigation mechanism, to create a formal system by which staff will be able to register complaints, and by which the company will investigate allegations. This system should be covered in all trainings, so that all staff understand how to report incidents, and how the investigations process will happen.]*

## Specific Tasks

- *[Organization-wide: Based on the baseline assessment, and gender audit, develop a grievance reporting and investigation mechanism, by which staff can confidentially report incidents and the company can confidentially and impartially review and investigate complaints. Develop a proposed schedule of consequences, including non-termination options. Include this mechanism in all training activities.]*
- Staff-wide:
  - » Design staff-wide sexual harassment and gender-based violence training. This should be a 2hr training for all staff, at all levels.
    - › Training should cover definitions of sexual harassment and GBV, company policies on sexual harassment and GBV, how to respond, how to file a complaint, and the expected process after a complaint is lodged.
    - › Participation in the training should be mandatory for all male and female employees.
    - › Training should make clear that sexual harassment and GBV can happen to men or women, by men or women.

- » Lead staff-wide sexual harassment and gender-based violence training. [*Training should be in groups of no more than 20, so number of trainings required will depend on the size of the company.*]
- Grievance committee [*or equivalent*]
  - » Design half-day training for staff who will interact directly with staff raising complaints of sexual harassment of GBV.
    - » Training should include a thorough brief on the company's SH and GBV policies, but should also include a strong focus on how to collect complaints, thoroughly, discretely, and impartially.
    - » It should also review the full grievance reporting process, and the roles of managers, investigators, and the final decision-making committee who will review complaints and decide on follow-up actions.
- Investigators [*Where this function will be performed in-house*]
  - » Design a one-day training for sexual harassment and GBV case investigators.
    - » Training should provide instruction on conducting investigations that are comprehensive, discrete, and neutral, as well as on presenting findings to HR/managers.
    - » Training should cover best practices on investigating sexual harassment and gender-based violence allegations, including identifying witnesses and others to interview, and understanding the investigators' role as impartial fact-finders, rather than adjudicators.
    - » Lead [*as many as required*] training[s] for sexual harassment investigators. [*The number of investigators required will depend on the size of the company; sessions should include no more than 20 investigator/participants.*]

## Deliverables

Consultants are expected to deliver the following:

- Proposed complaints and investigation mechanism summary and implementation guidelines
- Draft versions of training curriculum for:
  - » All staff
  - » Investigators
  - » Grievance committee
- Finalized training materials, incorporating comments from [*Company*], within a week of receiving feedback
- Lead the following trainings [*where X is to be filled in depending on the size of the organization, and the size recommendations provided above*]:

- » [X number of] all-staff trainings
- » [X number of] investigator trainings
- » [X number of] complaints committee trainings
- Overall training report, including all training materials, lists of all employees trained, summaries of key discussion topics, and any action plans or recommendations developed

### Timeline

*[Provide proposed timeline for training activities.]*

### Minimum Qualifications

Interested candidates should have a demonstrated background in developing and leading trainings on sexual harassment and GBV, ideally with background in the oil, gas, and mining industries, or similarly male-dominated field. Candidates with a recognized training certificate preferred but not required.



**TOOL 4.6:****Model Codes of Conduct for Companies, Contractors, and Employees on Gender-Based Violence**

- ▶ Goal: Development of a multi-level statement and commitment on gender-based violence
- ▶ **TARGET UNITS:** Human Resources, Senior Management

For companies interested in making a clear statement that they do not condone gender-based violence such as IPV, SEA, or child abuse/exploitation(CAE)—and that want to ensure that employees feel accountable for upholding these values—a code of conduct can be an effective tool. You can adopt such a code internally, at the corporate, managerial, and employee levels, as well as require compliance from contractors and all contractor employees.

**Model Code of Conduct Based on Vanuatu Project Code**

As part the World Bank-supported Vanuatu Aviation Investment Project (VAIP), which is focused on upgrading Vanuatu’s airport and related infrastructure, codes of conduct were developed. The codes are aimed at preventing and/or mitigating the risks of GBV as the government-funded project progresses.

The codes address IPV, SEA, and CAE. One code applies to the project company as a whole, while the second code covers individual behavior, to ensure a GBV-free (and CAE-free) worksite and staff.

The VAIP codes are designed to:

- Create a common awareness of GBV and CAE
- Ensure a shared understanding that GBV and CAE have no place in the projects
- Create a clear system for reporting, company response, and company/legal sanction.

**Strong Rationale for Extending Code to Contractors**

As noted above, you may want to require that your contractors—including all managers and employees—agree to adopt the code developed for internal company use. There is a strong business case for doing so. In addition to creating a consistent culture that values violence-free workplaces, the extension of the code to cover contractor behavior also helps to reduce liability and facilitate disciplinary procedures if contractors or their employees violate the code.

## MODEL COMPANY AND INDIVIDUAL GBV-PREVENTION CODES OF CONDUCT<sup>42</sup>

### Definitions

- **Gender-Based Violence (GBV):** An umbrella term for any harmful act that is perpetrated against a person's will and that is based on socially ascribed (i.e. gender) differences between males and females. It includes acts that inflict physical, sexual<sup>43</sup> or mental harm or suffering, threats of such acts, coercion, and other deprivations of liberty. These acts can occur in public or in private.
- **Survivor/Survivors:** Person(s) adversely affected by GBV. Women, men and children can be survivors of GBV.
- **Perpetrator:** Person(s) who commit(s) or threaten(s) to commit an act or acts of GBV.
- **Worksite:** Area in which the OGM project is taking place.
- **Worksite surroundings:** The project area of influence, which includes any area, urban or rural, directly affected by the project, including all human settlements found on it.
- **Consent:** The informed choice underlying an individual's free and voluntary intention, acceptance or agreement to do something. No consent can be found when such acceptance or agreement is obtained through the use of threats, force or other forms of coercion, abduction, fraud, deception, or misrepresentation. In accordance with the United Nations Convention on the Rights of the Child, the World Bank considers that consent cannot be given by children under the age of 18, even in the event that national legislation of the country into which the code of conduct is introduced has a lower age.<sup>44</sup> Mistaken belief regarding the age of the child and consent from the child is not a defense.
- **Contractor:** Any firm, company, organization or other institution that has been awarded a contract by the OGM project and has hired managers and/or employees to conduct this work.
- **Consultant:** Any firm, company, organization or other institution that has been awarded a contract to provide consulting services to the OGM project and has hired managers and/or employees to conduct this work.

<sup>42</sup> The model codes are based on the Vanuatu Aviation Investment Project's "Code of Conduct and Action Plan to Prevent Gender-based Violence (GBV) and Child Abuse/Exploitation (CAE)." The codes are reprinted with the permission of the VAIP. They were edited for ease of use in the OGM industries and to focus solely on GBV.

<sup>43</sup> Sexual favors or other forms of humiliating, degrading or exploitative behavior are prohibited.

<sup>44</sup> Consent is defined as the informed choice underlying an individual's free and voluntary intention, acceptance or agreement to do something. No consent can be found when such acceptance or agreement is obtained through the use of threats, force or other forms of coercion, abduction, fraud, deception, or misrepresentation. In accordance with the United Nations Convention on the Rights of the Child, the World Bank considers that consent cannot be given by children under the age of 18, even in the event that national legislation of the country into which the code of conduct is introduced has a lower age. Mistaken belief regarding the age of the child and consent from the child is not a defense.

- **Manager:** Any individual offering labor to the OGM company, its contractor or consultant, on or off the worksite, under a formal employment contract and in exchange for a salary, with responsibility to control or direct the activities of a team, unit, division or similar, and to supervise and manage a pre-defined number of employees.
- **Employee:** Any individual offering labor to the OGM company, its contractor or consultant within country on or off the worksite, under a formal or informal employment contract or arrangement, typically but not necessarily in exchange for a salary (e.g. including unpaid interns and volunteers), with no responsibility to manage or supervise other employees.
- **Grievance Response Mechanism (GRM):** Process to receive and address complaints.
- **GBV Allegation Procedure:** Procedure to be followed when reporting incidents of GBV.
- **Accountability Measures:** Defined as the measures put in place to ensure the confidentiality of survivors and to hold contractors, consultants and the client responsible for instituting a fair system of addressing cases of GBV.
- **Response protocol:** The mechanisms set in place to respond to cases of GBV.
- **GBV Compliance Team:** A team established by the contractor and/or consultant to address GBV issues with the workforce.

### Model Company Code of Conduct

*This company-level code of conduct should be signed by the CEO, and shared throughout the company. All staff should be aware of the company's commitment and position on GBV. Posting the code in public places and including it—as well as the individual code of conduct—in on-boarding materials, will remind staff of their obligations and keep them informed.*

[Company] is committed to creating and maintaining an environment in which gender-based violence (GBV) has no place, and in which it will not be tolerated by any employee, associate, or representative of the company. Therefore, in order to ensure that all employees, associates, and representatives of [Company] are aware of this commitment, and in order to prevent, identify, and respond to any allegations of GBV, the following core principles and minimum standards of behavior will apply to all company employees, associates, and representatives without exception:

1. [Company]—and therefore all employees, associates, and representatives—commit to treating women, children (persons under the age of 18), and men with respect, regardless of race; color; language; religion; political or other opinion; national, ethnic or social origin; sexual orientation or gender identity; disability; birth or other status. GBV is in violation of this commitment.
2. In the eyes of [Company], GBV constitutes acts of gross misconduct and is therefore grounds for sanction, which may include penalties and/or termination of employment. All forms of GBV are unacceptable, regardless of whether they take place on the worksite, the worksite surroundings, at workers' camps, or off-site (i.e. involving individuals not employed by the

company). In addition to the potential sanctions listed above, legal prosecution will be pursued, if appropriate, for any employees, associates, and representatives alleged to have committed GBV.

3. Demeaning, threatening, harassing, abusive, or sexually provocative language and behavior are prohibited among all company employees, associates, and representatives.
4. Sexual favors—for instance, making promises or favorable treatment dependent on sexual acts—are prohibited.
5. Unless there is the full consent<sup>45</sup> by all parties involved, sexual interactions between the company's employees (at any level) and members of the surrounding communities are prohibited. This includes relationships involving the withholding or promise of monetary or non-monetary reward.
6. All employees, including volunteers and sub-contractors are expected to report suspected or actual GBV by a fellow worker, whether in the same company or not. Reports must be made in accordance with GBV allegation procedures.
7. All employees are required to attend an induction training course prior to commencing work on site to ensure they are familiar with the GBV Code of Conduct.
8. All employees must attend a mandatory training course once a month for the duration of the contract starting from the first induction training prior to commencement of work to reinforce the understanding of the institutional GBV Code of Conduct.
9. All employees will be required to sign an individual code of conduct confirming their agreement to support GBV activities.

I do hereby acknowledge that I have read the foregoing GBV Code of Conduct, and on behalf of the company agree to comply with the standards contained therein. I understand my role and responsibilities to prevent and respond to GBV. I understand that any action inconsistent with this Code of Conduct or failure to take action mandated by this Code of Conduct may result in disciplinary action.

Company Name \_\_\_\_\_

Signed by \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

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<sup>45</sup> Consent is defined as the informed choice underlying an individual's free and voluntary intention, acceptance or agreement to do something. No consent can be found when such acceptance or agreement is obtained through the use of threats, force or other forms of coercion, abduction, fraud, deception, or misrepresentation. In accordance with the United Nations Convention on the Rights of the Child, the World Bank considers that consent cannot be given by children under the age of 18, even in the event that national legislation of the country into which the code of conduct is introduced has a lower age. Mistaken belief regarding the age of the child and consent from the child is not a defense.

## Model Individual Code of Conduct

*This individual Code of Conduct should be signed by all employees, from senior managers through the operational staff, and should also be required from any contractors working with the company.*

I, \_\_\_\_\_, acknowledge that preventing gender-based violence (GBV) is important, and that preventing it is my responsibility. At [Company], GBV activities constitute acts of gross misconduct and are therefore grounds for sanctions, penalties or potential termination of employment. All forms of GBV are unacceptable, be it on the worksite, the worksite surroundings, at workers' camps, or in the community. Prosecution of those who commit GBV may be pursued if appropriate.

I agree that while working on the [Project], I will:

- Consent to a police background check.
- Treat women, children (persons under the age of 18), and men with respect regardless of race; color; language; religion; political or other opinion; national, ethnic or social origin; sexual orientation or gender identity; disability; birth or other status.
- Not use language or behavior towards women, children or men that is inappropriate, harassing, abusive, sexually provocative, demeaning or culturally inappropriate.
- Not request or engage in sexual favors—for instance, making promises or favorable treatment dependent on sexual acts.
- Understand that unless there is the full consent<sup>46</sup> by all parties involved, sexual interactions between the company's employees (at any level) and members of the surrounding communities are prohibited. This includes relationships involving the withholding or promise of monetary or non-monetary reward.
- Attend and actively partake in training courses related to HIV/AIDS and GBV as requested by my employer.
- Report through the grievance redress mechanism or to my manager any suspected or actual GBV by a fellow worker, whether in my company or not, or any breaches of this Code of Conduct.

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<sup>46</sup> Consent is defined as the informed choice underlying an individual's free and voluntary intention, acceptance or agreement to do something. No consent can be found when such acceptance or agreement is obtained through the use of threats, force or other forms of coercion, abduction, fraud, deception, or misrepresentation. In accordance with the United Nations Convention on the Rights of the Child, the World Bank considers that consent cannot be given by children under the age of 18, even in the event that national legislation of the country into which the code of conduct is introduced has a lower age. Mistaken belief regarding the age of the child and consent from the child is not a defense.

### *Sanctions*

[*Company*] has established a grievance redress mechanism for receiving, reviewing, and addressing allegations of GBV. If an employee has breached the Code of Conduct, the employer will take disciplinary action which could include:

- Informal warning
- Formal warning
- Additional training
- Loss of up to one week's salary
- Suspension of employment (without payment of salary), for a minimum period of one month up to a maximum of six months
- Termination of employment

In addition to the above, if warranted, [*Company*] will report the employee to the police as per local legal regulations.

I understand that it is my responsibility to use common sense and avoid actions or behaviors that could be construed as GBV or breach this Code of Conduct. I do hereby acknowledge that I have read the foregoing Code of Conduct, do agree to comply with the standards contained therein and understand my roles and responsibilities to prevent and respond to GBV. I understand that any action inconsistent with this Code of Conduct or failure to take action mandated by this Code of Conduct may result in disciplinary action and may affect my ongoing employment.

Company Name \_\_\_\_\_

Signed by \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

## TOOL 4.7: Monitor and Sustain

### TOOL 4.7:

### Develop Approaches to Monitor and Sustain Progress on Reducing Sexual Harassment and Gender-Based Violence

► **GOAL:** Monitor and sustain progress against sexual harassment and GBV

► **TARGET UNITS:** Human Resources, Training

Monitoring and maintaining a respectful workplace requires an ongoing commitment to training, communication, and an effective complaints and redress mechanism. In order to monitor and maintain progress against sexual harassment and gender-based violence, companies can employ several key strategies. These can include:

- **Maintaining records of all complaints, whether or not they are fully investigated:** Keeping records of all complaints can help you track trends and highlight recurring problems. Complaints that were not investigated or found to be without merit should be stored separately from an individual's personnel files to maintain confidentiality and neutrality on unsubstantiated complaints.
- **Monitor trends in complaints:** Your human resources department should conduct a yearly review to examine trends. Are certain departments more prone to complaints than others? Are certain types of jobs (for instance, women working underground, or women who are assigned to certain shifts) more likely to experience sexual harassment or GBV?
- **Review, discuss, and update:** The human resources department should convene discussions on ways to address observed sexual harassment and GBV trends. This can include identifying problematic work schedules or teams, and conducting focus group discussions, trainings, or key informant interviews to determine how to address the issues.
- **Update the policy as needed:** These updates should be based on the discussions and reviews conducted.



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## Selected Resources for Further Reading

### Addressing Sexual Harassment

- Australian Human Rights Commission, “Effectively preventing and responding to sexual harassment: A Code of Practice for Employers,” 2008, <http://www.humanrights.gov.au/publications/effectively-preventing-and-responding-sexual-harassment-code-practice-employers-2008>.
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- World Health Organization , “Putting women first: Ethical and safety recommendations for research on domestic violence against women,” Geneva: World Health Organization, 2001.

### Costing Sexual Harassment

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- IFC, “Case Study: Assessing Gender-Based Violence with Companies in PNG,” Washington, DC: IFC.
- International Labour Organization, “Sexual Harassment at Work Factsheet,” Geneva: ILO, 2016.

## Defining Sexual Harassment

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- Barreiro, Sachi, “Preventing Sexual Harassment in the Workplace: Learn what sexual harassment is—and how to prevent it,” NOLO: Law for All, 2015, <http://www.nolo.com/legal-encyclopedia/preventing-sexual-harassment-workplace-29851.html>.

## Communications Materials on Sexual Harassment and Gender-Based Violence:

- Communications x-Change, hosted by the Global Women’s Institute at the George Washington University. <http://xchange.gwu.edu/home>.

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- Brunero, Tim, “ANU Study Finds Most Women Working in Remote Areas Subject to Sexual Harassment,” ABC News, May 8, 2015, <http://www.abc.net.au/news/2015-05-08/remote-sexual-harassment/6454760>.
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