

# HUMAN RIGHTS MANAGEMENT SYSTEM MODEL FOR ORGANISATIONS

CMD-HR-19480

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“All human beings are born free and equal in dignity and rights. They are endowed with reason and conscience and should act towards one another in a spirit of brotherhood.”

Article 1 of the Universal Declaration of Human Rights

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## 0. INTRODUCTION

On 10 December 1948, the United Nations General Assembly in Paris proclaimed the Universal Declaration of Human Rights (UDHR), which establishes that freedom, justice, and peace in the world are founded on the recognition of the inherent dignity and equal and inalienable rights of all human beings.

The neglect and disregard of human rights have led to acts of barbarism around the globe that are an affront to the conscience of humanity. Consequently, most countries have developed agreements and legislation to fulfil the principles enshrined in this UN UDHR.

Nevertheless, compliance with legal obligations regarding human rights may not always be sufficient or evident in certain activities. In this regard, CMD Certification has developed this voluntarily applicable model, based on international documents, to support organisations in structuring a Human Rights Management System. This system provides not only the organisation but also its stakeholders with a systematic approach to control and the assurance of acting within the framework of human rights.

## 1. OBJECTIVE AND SCOPE OF APPLICATION

This document specifies the requirements for establishing, implementing, maintaining, reviewing, and improving a Human Rights Management System within a private organisation or a public entity (Government). It can be voluntarily adopted by organisations aiming to enhance their human rights management and demonstrate their commitment to stakeholders in this area.

This document may be used by organisations as a management model for human rights. Additionally, it can be applied for the purpose of obtaining third-party certification from CMD Certification.

## 2. NORMATIVE REFERENCES

- Universal Declaration of Human Rights, United Nations, 1948
- Voluntary Principles on Security and Human Rights, 2020
- International Standard ISO 31000
- International Standard ISO 37301

## 3. TERMS AND DEFINITIONS

For the purposes of this document, the following terms and definitions apply:

### 3.1 Organisation

A person or group of people that has its own functions with responsibilities, authorities, and relationships to achieve its objectives.

Note 1 to entry: The concept of an organisation includes, but is not limited to, a sole trader, company, corporation, firm, enterprise, authority, partnership, charitable organisation, or institution, or a part or combination thereof, whether incorporated or not, public or private.

Note 2 to entry: For organisations with more than one operational unit, one or more operational units can be defined as an organisation.

### 3.2 Stakeholder

A person or organisation that can affect, be affected by, or perceive itself to be affected by a decision or activity.

Note 1 to entry: Stakeholders can be internal or external to the organisation.

### 3.3 Requirement

A need that is stated and obligatory.

### 3.4 Management system

A set of interrelated or interacting elements of an organisation to establish policies, objectives, and processes to achieve those objectives.

Note 1 to entry: A management system can address a single discipline or several disciplines.

Note 2 to entry: Management system elements include organisational structure, roles and responsibilities, planning and operations, performance evaluation, and improvement.

Note 3 to entry: The scope of a management system may include the whole organisation, specific and identified functions of the organisation, specific and identified sections of the organisation, or one or more functions across a group of organisations.

### 3.5 Top management

A person or group of people who directs and controls an organisation at the highest level.

Note 1 to entry: Top management has the power to delegate authority and provide resources within the organisation.

Note 2 to entry: If the management system scope covers only a part of the organisation, then top management refers to those who direct and control that part of the organisation.

Note 3 to entry: Organisations may vary in size, sector, and structure, which can affect the division of responsibilities between governing bodies and top management.

### 3.6 Governing body

A group or body that has ultimate responsibility and authority over an organisation's activities, governance, and policies, to which top management reports and is held accountable.

Note 1 to entry: Not all organisations, particularly small ones, will have a governing body separate from top management.

Note 2 to entry: A governing body may include, but is not limited to, a board of directors, board committees, supervisory boards, trustees, or overseers.

### 3.7 Human Rights Compliance Function (Adapted from ISO 37301)

The person(s) responsible and authorised for the operation of the Human Rights Management System within the organisation.

### 3.8 Effectiveness

The degree to which planned activities are carried out and planned results are achieved.

### 3.9 Policy

The intentions and direction of an organisation, as formally expressed by its top management or governing body.

### 3.10 Objective

A result to be achieved.

Note 1 to entry: Objectives can be strategic, tactical, or operational.

Note 2 to entry: Objectives may relate to various disciplines (e.g., financial, sales and marketing, procurement, health and safety, environmental) and may apply at different levels (e.g., strategic, organisation-wide, project, product, process).

Note 3 to entry: Objectives may also be expressed as intended outcomes, purposes, operational criteria, human rights objectives, or using similar terms (e.g., goal, aim, or target).

### 3.11 Risk

The effect of uncertainty on objectives.

Note 1 to entry: An effect is a deviation from the expected, either positive or negative.

Note 2 to entry: Uncertainty refers to the lack of complete certainty about an event or condition.

### 3.12 Competence

The ability to apply knowledge and skills to achieve intended results.

### 3.13 Documented information

Information that an organisation must control and maintain, and the medium on which it is contained.

Note 1 to entry: Documented information may exist in any format and medium, and may come from any source.

Note 2 to entry: Documented information may refer to:

The management system, including related processes;

Information created for the organisation's operations (documentation);

Evidence of results achieved (records).

### 3.14 Process

A set of interrelated or interacting activities that transforms inputs into outputs.

### 3.15 Performance

Measurable results.

Note 1 to entry: Performance may relate to quantitative or qualitative findings.

Note 2 to entry: Performance may concern activities, processes, products (including services), systems, or organisations.

### 3.16 Personnel

The directors, officers, employees, temporary staff, and volunteers of the organisation.

Note 1 to entry: Different types of personnel pose varying levels of compliance risk and may be managed differently in the organisation's human rights risk assessment and management procedures.

### 3.17 Business associate

An external party with whom the organisation has, or plans to establish, a business relationship.

Note 1 to entry: Business associates include, but are not limited to, clients, customers, joint ventures, joint venture partners, consortium partners, outsourcing providers, contractors, consultants, subcontractors, suppliers, vendors, advisers, agents, distributors, representatives, intermediaries, and investors.

Note 2 to entry: Different business associates pose different levels of human rights risks, and the organisation may have varying degrees of influence over them.

### 3.18 Conflict of interest

A situation where business, financial, family, political, or personal interests could interfere with the judgment of individuals in carrying out their duties for the organisation.

### 3.19 Human Rights Risk Management

The process of assessing in greater detail the nature and extent of human rights risks and helping organisations make decisions concerning specific operations, projects, activities, business associates, and personnel.

### 3.20 Human Rights

A set of principles that recognise and protect the dignity of all human beings.

### 3.21 Human Rights Obligations

A set of policies, mandatory documents, contractual requirements, and voluntary commitments that an organisation decides to comply with regarding human rights.

Note to entry: Organisations are generally obliged to promote respect for human rights. However, "Human Rights Obligations" refer specifically to legally binding, regulatory, or contractual documents that the organisation must comply with, including those concerning labour, occupational health and safety, and other legal matters related to human rights.

## 4. PRINCIPLES OF THE MODEL

The following principles underpin the requirements of the model. Generally, any interpretative doubts regarding the requirements can be resolved by aligning their content with these principles:

### 4.1 EQUALITY

We may not all be the same, but we all have the same rights. This principle means that we are also accountable for not obstructing others from enjoying the same rights and dignity, regardless of gender, nationality, race, social or political beliefs, language, religion, or any other characteristic.

### 4.2 NON-NEGOTIABLE HUMAN RIGHTS

All human beings are entitled to life, liberty, and personal security. No human being shall be subjected to practices of slavery or to sanctions that harm their physical, mental, or social integrity and well-being.

### 4.3 DUE PROCESS

Every person has the right to be heard and to have access to remedies that protect against actions violating their fundamental rights as recognised by the constitution or by law. Everyone has the right to a public and prompt process where all substantial and procedural guarantees are upheld, conducted before a competent authority acting independently, impartially, and solely in accordance with the law. Every person accused of a crime has the right to be presumed innocent until proven guilty.

### 4.4 FREEDOM OF THOUGHT

Everyone has the right to freedom of thought, conscience, and religion; this includes the freedom to change religion or belief and to express one's religion or belief individually or collectively, publicly or privately, through teaching, practice, worship, and observance.

### 4.5 ACTIVE COMPLIANCE

Every organisation must be aware of the necessity and importance of continuously and comprehensively identifying the human rights legislation applicable to its obligations, activities, products, services, operational territories, and contractual commitments. Organisations are also obligated to ensure compliance with all their human rights obligations as required by law.

### 4.6 RISK-BASED THINKING

Merely being aware of and willing to comply with human rights obligations may not suffice in some scenarios and operational conditions. Identifying uncertainties related to the potential for human rights violations enhances an organisation's ability to maintain compliance with its human rights obligations.

### 4.7 PROCESS APPROACH TO MANAGEMENT

Managing compliance with human rights obligations is not the sole responsibility of a specific department or individual. A process-based approach ensures cross-functional actions involving relevant actors within the organisation, fostering continuous compliance with human rights obligations.

#### **4.8 ACCOUNTABILITY FOR HUMAN RIGHTS**

Organisations must be aware of the consequences they, and their members, face when human rights violations occur through their actions or omissions.

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## 5. CONTEXT OF THE ORGANISATION

### 5.1 UNDERSTANDING THE ORGANISATION AND ITS CONTEXT

The organisation shall determine the external and internal issues relevant to its purpose and which affect its ability to achieve its Human Rights Management System policy. These issues include, but are not limited to, the following factors:

- a) the organisation's size, structure, and delegated decision-making authority;
- b) the locations and sectors where the organisation operates or plans to operate;
- c) the nature, scale, and complexity of the organisation's activities and operations;
- d) the organisation's business model;
- e) entities controlled by the organisation and entities that exercise control over the organisation;
- f) the organisation's business associates;
- g) the nature and scope of interactions with communities;
- h) applicable statutory, regulatory, contractual, and professional obligations;
- i) projects and types of contracts entered into with clients; and,
- j) issues arising from climate change, such as environmental regulations affecting the organisation's activities, rising ambient temperatures, reduced potable water supply, limitations on natural resource use, more frequent extreme weather events, and other consequences of mitigation, adaptation, or resilience actions impacting the organisation.

Note: An organisation has control over another organisation if it directly or indirectly controls its management.

### 5.2 UNDERSTANDING THE NEEDS AND EXPECTATIONS OF STAKEHOLDERS

The organisation shall determine:

- a) stakeholders relevant to the Human Rights Management System, including customers and suppliers;
- b) the relevant requirements of these stakeholders concerning compliance with Human Rights Obligations;
- c) the Human Rights Obligations applicable to the organisation, including legal, regulatory, and contractual documents that must be complied with regarding labour provisions, occupational health and safety, and other legal matters related to human rights.

Note 1: When identifying stakeholder requirements, organisations may distinguish between mandatory requirements, non-mandatory expectations, and voluntary commitments.

Note 2: Organisations may extract relevant human rights issues from materiality analyses.

### 5.3 DETERMINATION OF THE SCOPE OF THE HUMAN RIGHTS MANAGEMENT SYSTEM

The organisation shall determine the types of activities, products, or services to which the Human Rights Management System will apply. The scope must be clear and unambiguous, and all activities,



products, or services included must be covered by all the requirements of this CMD-HR-19480 standard.

When defining the scope, the organisation shall consider:

- a) the external and internal issues mentioned in 5.1;
- b) the requirements mentioned in 5.2;
- c) the results of the Human Rights risk assessment referenced in 5.5.

The scope shall be available as documented information.

#### **5.4 HUMAN RIGHTS MANAGEMENT SYSTEM**

The organisation shall establish, document, implement, maintain, and continually review and, where necessary, improve the Human Rights Management System, including the necessary processes and their interactions, in accordance with the requirements of this document.

The Human Rights Management System shall contain measures aimed at identifying and evaluating Human Rights risks, and at preventing, detecting, and responding to matters related to Human Rights Obligations.

Note 1: The Human Rights Management System should be reasonable and proportionate, taking into account the factors mentioned in 5.3.

#### **5.5 HUMAN RIGHTS RISK ASSESSMENT**

5.5.1 The organisation shall conduct Human Rights risk assessment(s) at planned intervals or when changes occur, which shall:

- a) identify uncertainties and Human Rights risks that the organisation can reasonably anticipate, given the factors listed in section 5.1 and within the scope of the Management System;
- b) consider uncertainties related to, but not limited to:
  - Equality and Non-Discrimination: Ensuring that all individuals have equal rights, regardless of race, colour, sex, language, religion, opinions, or any other condition.
  - Safety and Decent Working Conditions: Ensuring fair and satisfactory working conditions and remuneration that guarantee a dignified existence.
  - Protection from Abuse and Mistreatment: Ensuring no individual is subjected to torture or cruel, inhuman, or degrading treatment, including protection against workplace violence or harassment.
  - Right to Rest and Paid Leave: Ensuring workers have rest periods, reasonable limits on working hours, and paid leave.
  - Adequate Standard of Living: Ensuring access to health, well-being, food, housing, and medical care.
  - Right to Association and Unionisation.
  - Right to Privacy: Protecting workers' private lives, respecting personal data, and avoiding arbitrary intrusions.
  - Right to Social Security.

- c) analyse, evaluate, and prioritise identified Human Rights risks;
- d) evaluate the adequacy and effectiveness of the organisation's existing controls to mitigate the assessed Human Rights risks.

Note: In identifying uncertainties, organisations may refer to information in national or international documents, such as the 2000 Voluntary Principles on Security and Human Rights.

5.5.2 The organisation shall establish criteria for evaluating its level of Human Rights risks, considering its policies and objectives.

5.5.3 The Human Rights risk assessment shall be reviewed:

- a) periodically to ensure changes and new information are adequately evaluated based on the organisation's defined timing and frequency;
- b) in the event of significant changes to the organisation's structure or activities.

5.5.4 The organisation shall maintain documented information demonstrating that the Human Rights risk assessment has been conducted and is used to design or improve the Human Rights Management System.

## **6. LEADERSHIP**

### **6.1 LEADERSHIP AND COMMITMENT**

#### **6.1.1 Top Management**

Top management shall demonstrate leadership and commitment with respect to the Human Rights Management System by:

- a) ensuring that the Human Rights Management System, including its policy, is established, implemented, maintained, and reviewed to align with the organisation's strategic direction;
- b) ensuring the integration of the Human Rights Management System requirements into the organisation's processes;
- c) deploying sufficient and appropriate resources for the effective operation of the Human Rights Management System;
- d) communicating internally and externally about the Human Rights policy;
- e) internally promoting the importance of effective Human Rights management and compliance with the Human Rights Management System requirements;
- f) ensuring the Human Rights Management System is appropriately designed to fulfil its policy and objectives;
- g) directing and supporting personnel to contribute to the effectiveness of the Human Rights Management System;
- h) fostering an appropriate Human Rights culture within the organisation;
- i) promoting continual improvement;
- j) supporting other relevant managerial roles to demonstrate leadership in preventing and detecting non-compliance or violations of Human Rights applicable to their areas of responsibility;
- k) encouraging the use of procedures to report suspected or actual Human Rights violations that may occur within the organisation's activities;

l) ensuring that no member of staff suffers retaliation, discrimination, or disciplinary measures for reports made in good faith or based on reasonable belief of suspected or actual violations of the organisation's Human Rights policy.

## 6.2 HUMAN RIGHTS POLICY

Top management shall establish, maintain, and review a Human Rights policy that:

- a) prohibits any practices that lead to non-compliance with Human Rights Obligations;
- b) requires compliance with laws aimed at preventing and addressing Human Rights violations;
- c) is appropriate to the organisation's purpose;
- d) includes a commitment to fulfil the applicable requirements of the Human Rights Management System;
- e) encourages reporting in good faith or based on reasonable belief, with confidence and without fear of reprisal, of suspected or potential Human Rights violations by the organisation or any of its members;
- f) includes a commitment to continual improvement of the Human Rights Management System;
- g) fosters and promotes respect for Human Rights.

The Human Rights policy shall:

- be available as documented information;
- be communicated in appropriate languages within the organisation and to business associates;
- be accessible to relevant stakeholders, as applicable.

## 6.3 ROLES, RESPONSIBILITIES, AND AUTHORITIES WITHIN THE ORGANISATION

### 6.3.1 Roles and Responsibilities

Top management shall have overall responsibility for the implementation and compliance of the Human Rights Management System as described in section 6.1.1.

Top management shall ensure that responsibilities and authorities for relevant roles are assigned and communicated across all levels of the organisation.

Managers at all levels shall be responsible for ensuring that the Human Rights Management System requirements are applied and complied with within their respective departments or functions.

### 6.3.2 Human Rights Compliance Function

Top management shall assign one or more persons to the Human Rights Compliance Function, which shall include responsibility and authority to:

- a) oversee the design and implementation of the Human Rights Management System by the organisation;
- b) provide advice and guidance to personnel on the Human Rights Management System and issues related to compliance with Human Rights Obligations;
- c) ensure that the Human Rights Management System meets the requirements of this document;

d) report on the performance of the Human Rights Management System to top management and other compliance functions, as appropriate.

The Human Rights Compliance Function shall be adequately resourced and assigned to individuals with the appropriate competence, position, authority, and independence.

The Human Rights Compliance Function shall have direct and prompt access to the governing body (if one exists) and top management in case any issues or concerns related to Human Rights non-compliance or the Human Rights Management System need to be escalated.

Top management may assign part or all of the Human Rights Compliance Function to external persons. If so, top management shall ensure that specific personnel have responsibility and authority over those external parts of the function.

Note: In some organisations, the "Human Rights Compliance Function" may be referred to as the "Human Rights Compliance Officer."

## **7. SUPPORT**

### **7.1 RESOURCES**

The organisation shall determine and provide the resources necessary for the establishment, implementation, maintenance, and continual improvement of the Human Rights Management System.

### **7.2 COMPETENCE**

#### **7.2.1 General**

The organisation shall:

- a) determine the necessary competence of person(s) performing work under its control that affects its Human Rights performance;
- b) ensure that these persons are competent, based on appropriate education, training, or experience necessary to carry out their Human Rights-related roles and activities;
- c) where applicable, take actions to acquire and maintain the necessary competence and evaluate the effectiveness of those actions;
- d) retain appropriate documented information as evidence of competence.

Note: Applicable actions may include, for example, providing training, mentoring, reassigning personnel or business associates, or recruiting or contracting the same.

### **7.3 AWARENESS AND TRAINING**

The organisation shall provide appropriate and adequate Human Rights awareness and training to personnel. Such training shall address the following issues, as appropriate, considering the results of the Human Rights risk assessment (see 5.5):

- a) the organisation's Human Rights policy, procedures, and Human Rights Management System and the duty to comply;

- b) the Human Rights risks and harm that may result from non-compliance with Human Rights Obligations for themselves and the organisation;
- c) circumstances where non-compliance with Human Rights Obligations may occur concerning their roles, and how to identify these circumstances;
- d) how to recognise and respond to potential violations of Human Rights Obligations;
- e) how personnel can help prevent and avoid non-compliance with Human Rights Obligations and recognise Human Rights risk indicators;
- f) their contribution to the effectiveness of the Human Rights Management System, including the benefits of improved Human Rights behaviour and reporting suspected non-compliance with Human Rights Obligations;
- g) the implications and potential consequences of failing to comply with the Human Rights Management System requirements;
- h) how and to whom to report any issues related to suspected or presumed non-compliance with Human Rights Obligations;
- i) matters that promote respect for Human Rights in all organisational activities within the Management System's scope.

Personnel shall receive Human Rights awareness and training periodically (at planned intervals determined by the organisation) as appropriate to their roles, Human Rights risks they are exposed to, and any changing circumstances. Awareness and training programmes shall be updated as necessary to reflect new relevant information.

Considering the identified Human Rights risks (see 5.5), the organisation shall implement procedures to ensure Human Rights awareness and training for business associates acting on its behalf or for its benefit, who may pose an unacceptable residual risk of non-compliance with Human Rights Obligations. These procedures shall identify the business associates requiring awareness and training, the content, and the means by which training shall be provided.

The organisation shall retain documented information on training procedures, the training content, and when and to whom the training was provided.

Note 1: Awareness and training requirements for business associates may be communicated through contractual or similar requirements and executed by the organisation, the business associate, or other designated parties.

## **7.4 DOCUMENTED INFORMATION**

### **7.4.1 General**

The organisation's Human Rights Management System shall include:

- a) documented information required by this document;
- b) documented information deemed necessary by the organisation for the effectiveness of the Human Rights Management System.

Note 1: The extent of documented information for a Human Rights Management System may vary depending on:

- The size of the organisation and its type of activities, processes, products, and services;
- The complexity of processes and their interactions;

The competence of personnel.

Note 2: Documented information may be maintained separately as part of the Human Rights Management System or as part of other management systems (e.g., compliance, financial, commercial, audit) and subject to the organisation's document retention policy.

#### 7.4.2 Creation and Updating

When creating and updating documented information, the organisation shall ensure that:

- a) identification and description (e.g., title, date, author, or reference number) are appropriate;
- b) format (e.g., language, software version, graphics) and media (e.g., paper, electronic) are suitable;
- c) review and approval for adequacy and suitability are conducted.

#### 7.4.3 Control of Documented Information

Documented information required by the Human Rights Management System and this document shall be controlled to ensure:

- a) it is available and suitable for use where and when needed;
- b) it is adequately protected (e.g., from loss of confidentiality, misuse, or loss of integrity).

For controlling documented information, the organisation shall address the following activities, as applicable:

- Distribution, access, retrieval, and use;
- Storage and preservation, including maintaining legibility;
- Change control (e.g., version control);
- Retention and disposition.
- Documented information of external origin deemed necessary by the organisation for the planning and operation of the Human Rights Management System shall be identified and controlled as appropriate.

Note: Access may imply a decision regarding permission to view documented information only or permission and authority to view and modify the documented information.

## 8. OPERATION

### 8.1 OPERATIONAL PLANNING AND CONTROL

The organisation shall plan, implement, review, and control the processes necessary to meet the requirements of the Human Rights Management System by:

- a) establishing actions to mitigate, avoid, or address Human Rights risks with residual risk levels deemed unacceptable;
- b) establishing actions to identify, plan, and evaluate compliance with legal Human Rights Obligations;
- c) establishing criteria for the processes identified within the management system (see 5.4);
- d) implementing process controls in accordance with the criteria;
- e) retaining documented information to demonstrate that the processes were carried out as planned;
- f) continuously identifying Human Rights Obligations and their current validity status;

g) recording and analysing suspicious activities that may indicate potential non-compliance with Human Rights Obligations.

The organisation shall control planned changes and review the consequences of unforeseen changes, taking actions to mitigate adverse effects where necessary.

The organisation shall ensure that outsourced processes are controlled.

## **8.2 RISK MANAGEMENT**

The organisation shall implement processes to identify, prevent, mitigate, and be accountable for any negative impact on Human Rights. This includes conducting risk assessments, integrating results into operations, and monitoring responses.

Human Rights risk assessment methods shall quantify residual risk levels and classify them as acceptable or unacceptable.

When the organisation's Human Rights risk assessment (conducted per 5.5) determines an unacceptable residual risk level in relation to:

- a) specific categories of transactions, projects, or activities;
- b) existing or planned relationships with specific categories of business associates; or
- c) specific personnel categories in particular roles,

the organisation shall evaluate the nature and extent of the Human Rights risks associated with specific relationships, operations, projects, activities, business associates, and personnel. This analysis shall include actions necessary to gather sufficient information to assess the Human Rights risks.

When a stakeholder poses an unacceptable residual Human Rights risk level, this information shall be considered in decision-making regarding the establishment or continuation of business relationships.

## **8.3 HUMAN RIGHTS COMMITMENTS**

The organisation shall implement procedures to ensure that:

- a) personnel and business associates commit to preventing non-compliance with Human Rights Obligations in relation to their roles, operations, projects, activities, or relationships;
- b) the organisation has the ability to terminate relationships with business associates in cases of non-compliance with Human Rights Obligations.

## **8.4 RAISING CONCERNS AND REPORTING**

The organisation shall implement procedures to:

- a) encourage and enable individuals to report in good faith, or based on reasonable suspicion, intentions, suspicions, and actual non-compliance or any violations or weaknesses in the Human Rights Management System to the Human Rights Compliance Function or appropriate personnel (directly or through an appropriate third party);
- b) require the organisation to treat reports confidentially to protect the identity of the reporter and others involved, except where disclosure is necessary for the investigation;
- c) allow anonymous reporting;

- d) prohibit retaliation and protect those reporting concerns in good faith or on reasonable grounds from reprisals;
- e) provide personnel with guidance on addressing issues involving potential non-compliance with Human Rights Obligations.

The organisation shall ensure that all personnel are aware of reporting procedures, can use them, and understand their rights and protections under these procedures.

Note 1: These procedures may overlap with or be part of systems used to report other concerns (e.g., safety, negligence, crime, or other serious risks).

Note 2: The organisation may engage a business associate to manage the reporting system on its behalf.

## **8.5 INVESTIGATION AND RESPONSE TO NON-COMPLIANCE**

The organisation shall implement procedures to:

- a) require evaluation and, where appropriate, investigation of non-compliance with Human Rights Obligations or breaches of the Human Rights policy or management system;
- b) require appropriate actions when investigations reveal non-compliance or breaches;
- c) empower and support investigators;
- d) require relevant personnel to cooperate in investigations;
- e) ensure that the investigation's status and results are reported to the Human Rights Compliance Function and other relevant compliance functions;
- f) maintain confidentiality of the investigation and its results.

Investigations shall be conducted and reported by personnel who are independent of the function or role being investigated. The organisation may appoint a business associate to conduct the investigation and report findings to independent personnel.

## **8.6 INTERNAL AUDIT**

The organisation shall conduct internal audits of the Human Rights Management System to:

- a) determine the degree of compliance with Human Rights Obligations;
- b) assess conformity with the requirements of this standard;
- c) provide information on deviations from Human Rights Obligations, the policy, processes, and the requirements of this standard.

Audits shall be planned and conducted using risk-based criteria, objectivity, and impartiality. Auditors shall not audit activities, projects, or processes where conflicts of interest exist.

The organisation shall implement audits using one of the following models:

### **8.6.1 Planned System Audits**

The organisation shall develop an Audit Programme and conduct audit activities and corresponding reporting in accordance with ISO 19011.

### **8.6.2 Real-Time Audits**



As an alternative to 8.6.1, the organisation may choose to conduct real-time audits, integrating appropriate technologies to ensure reliability and accuracy.

Real-Time Audit Requirements:

- a) Planning: Design real-time audits incorporating technologies like remote sensors, interconnected monitoring systems, and real-time access to documented information, including Human Rights management. Leverage analytics, machine learning, and artificial intelligence to continuously analyse large data volumes.
- b) Execution: Map Human Rights Management System processes to identify critical operations and define specific control points for compliance.
- c) Reliability: Ensure information is accurate, impartial, and timely, prioritising vulnerable areas using risk-based analysis. Establish alert systems for deviations.
- d) Continuous Improvement: Periodically review and adapt the real-time audit model to maintain its reliability.

## 9. IMPROVEMENT

### 9.1 NON-COMPLIANCES AND CORRECTIVE ACTIONS

When non-compliance with Human Rights Obligations or a non-conformity within the Management System occurs, the organisation shall:

- a) react immediately to the non-compliance and, where applicable:
  - take actions to control and correct it,
  - address its consequences;
- b) evaluate the need for actions to eliminate the causes of the non-compliance, to prevent recurrence or occurrence elsewhere, by:
  - reviewing and analysing the non-compliance,
  - determining the causes of the non-compliance, and
  - identifying whether similar non-compliances exist or could potentially occur;
- c) implement any necessary actions;
- d) review the effectiveness of any corrective actions taken;
- e) make changes to the Human Rights Management System, if necessary.

Corrective actions shall be appropriate to the effects of the identified non-compliances.

The organisation shall retain adequate documented information as evidence of:

- The nature of the non-compliances and any subsequent actions taken;
- The results of any corrective actions.
- The treatment and reporting of non-compliances shall align with applicable legal obligations.

**END OF DOCUMENT**

Information about the document and certification process:  
[info@cmdcertification.com.co](mailto:info@cmdcertification.com.co)

This Human Rights Management System Model aligns with the United Nations Sustainable Development Goals (SDGs), particularly SDG 8 (Decent Work and Economic Growth), SDG 10 (Reduced Inequalities), and SDG 16 (Peace, Justice, and Strong Institutions). It ensures a risk-based and continuous improvement approach to managing human rights within organisations.

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