

APPENDIX I:

PROCESS REVIEW QUESTIONS

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1. CONTEXT OF ASSESSMENT

1.1. THE ASSESSOR

1.1.1. Please identify the members of your team who carried out the independent assessment. **NO LIMIT**

1.1.2. Do you affirm that your organization and all members of your team complied with the GNI's Independence and Competency Criteria throughout the assessment process?

YES NO

1.2. THE COMPANY

1.2.1. Please describe the company you assessed, the structure of its organization, its lines of business, and its relevant geographic markets. **150 WORDS**

1.3 ASSESSMENT SCOPE

1.3.1. Please describe which of the company’s business functions, lines of business, and geographic areas are material to its impacts on the rights to freedom of expression and privacy, and therefore included in this assessment. **250 WORDS**

1.3.2. Please describe:

- a)** the nature of the information to which you had access, including confidential or non-public documents **NO LIMIT**

- b)** the number of interviews you conducted during the assessment process, including the roles and responsibilities of the interview subjects. **NO LIMIT**

1.3.3. Please explain whether you had access to sufficient information to conduct the assessment effectively and describe any challenges you faced in accessing relevant information and how you surmounted them. **NO LIMIT**

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2. GOVERNANCE

2.1. What are the respective roles of the board and Senior Management in the company's implementation of the GNI Principles? **100 WORDS IG 2.3(A), 2.3(B), 2.13(H)**

2.2. How does the board provide strategic oversight of the company's implementation of the GNI Principles? Does it receive and evaluate human rights reporting from management? **50 WORDS IGS 2.1, 2.2**

2.3. Is there a senior-directed human rights function within the company? **IG 2.13(A)**

YES NO

2.4. Please describe the company's internal organizational structures for implementing the GNI Principles into its routine business operations. **100 WORDS IG 2.12, 2.13(B), 2.13(C), 2.13(D) 2.13(I)**

2.5. How does the company train its personnel on freedom of expression and privacy-related risks? Please discuss in relation to the GNI Board, senior management, and frontline personnel who are most likely to face freedom of expression and privacy challenges. **50 WORDS IG 2.3 (C), 2.13(I)**

2.6. When and how must freedom of expression and privacy related issues be escalated to higher levels of the company? **100 WORDS IG 2.3 (D), 2.13(J)**



3. DUE DILIGENCE & RISK MANAGEMENT

3.1. DUE DILIGENCE

3.1.1. What processes or mechanisms does the company have to identify potential risks to freedom of expression and privacy that may be connected to each of the following:

500 WORDS IC 2.4, 2.5, 2.8, 2.9

- a)** Products, including the development of new products or substantial changes in existing products?
- b)** Markets, including an evaluation of relevant local laws and practices at the time of market entry or product sale, and as those laws and practices change over time?
- c)** Acquisitions and partnerships where the company has operational control?
- d)** Other business relationships?

3.1.2. How does the company ensure that relevant personnel throughout the company can bring potential issues to the attention of the individual(s) responsible for due diligence? **150 WORDS IG 2.3(D), 2.5, 2.13(G), 2.13(J)**

3.1.3. When the company’s routine due diligence surfaces human rights issues for analysis, mitigation, and prevention, how does the company prioritize among those human rights issues? **200 WORDS IG 2.4, 2.7(A), 2.8 2.10**

3.1.4. How does the company decide whether a detailed human rights impact assessment (HRIA), rather than routine human rights due diligence, is required to develop effective prevention and mitigation strategies? Please discuss in relation to both product- and market-based risks. **200 WORDS IC 2.4, 2.5, 2.6, 2.7(A)**



3.1.5. How does the company conduct an HRIA? Please provide specific examples if helpful. **300 WORDS**

- a)** What sources does it incorporate? **IG 2.7(B), 2.7(E)**
- b)** How does it measure the freedom of expression and privacy risks in a given market, or in relation to a particular product? **IG 2.7(A)**
- c)** How does it account for the freedom of expression and privacy risks associated with a contemplated partnership? **IG 2.7(C)**
- d)** How does it evaluate whether relevant domestic laws, legal systems and practices in each market threaten human rights? **IG 2.7(D)**
- e)** How does the company incorporate the results of HRIAs into its policies, procedures, and internal processes? **IG 2.7(G), 2.7(H)**

3.1.6. Are external stakeholders consulted during an HRIA routinely informed about how the company has acted upon the findings of the HRIA?

YES NO

3.1.7. How does the company revisit issues over time to capture changes in products, markets, or relationships? **100 WORDS IG 2.5, 2.6, 2.7(F), 2.10, 2.11**

3.2. RISK MANAGEMENT

3.2.1. Please describe how the company prevents or mitigates freedom of expression and privacy risks identified by its due diligence processes. Incorporating specific examples as helpful, please discuss with regard to: **500 WORDS IG 2.4, 2.5, 2.6, 2.7(G), 2.7(F) 2.9, 2.10, 2.11, 3.4**

- a.** The human rights risks associated with the company's products and services
- b.** The particular human rights risks associated with operating in [certain markets / difficult jurisdictions]
- c.** The company's business relationships and circumstances where the company does not have operational control; and
- d.** The company's use of leverage to seek to prevent or mitigate adverse human rights impacts caused by governments or business partners.

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4. FREEDOM OF EXPRESSION & PRIVACY IN PRACTICE

4.1. Describe the policies and procedures that set out how the company will assess and respond to government restrictions, demands, and requirements. Specifically, do they:

- a)** Require governments to follow established domestic laws and legal processes?
- b)** Request clear written communications from governments substantiating the legal basis for a restriction, demand, or requirement?
- c)** Address how the company will respond when a government fails to provide a written directive or adhere to legal procedure?
- d)** Require the narrow interpretation of government requests, including the requesting government's jurisdiction, to minimize impacts on its users?
- e)** Require detailed records of all incoming government requests be maintained? **IG 2.13(E)**

In answering, please describe who in the company is responsible for designing, implementing, overseeing, and revising these policies. Please incorporate specific examples where helpful to illustrate the efforts, which the company has made to implement the GNI Principles in dealing with these situations. **500 WORDS IG 2.13B, 2.13E, 3.1C, 3.1D, 3.2A, 3.2B, 3.2C, 3.2D, 3.2E, 3.2F, 3. 2G**

4.2. How does the company encourage governments to be specific, transparent, and consistent in their laws, regulations, requirements, restrictions, and demands that impact freedom of expression and privacy? Please incorporate specific examples where helpful. **100 WORDS IC 3.1(A)**

4.3. How does the company proactively engage with governments to encourage laws, regulations, requirements, restrictions, and demands that are consistent with international laws and standards? **100 WORDS IC 3.1(B)**

4.4. Does the company have appropriate policies and procedures in place to ensure that, in appropriate circumstances: **IGS 3.3A, 3.3B, 3.3C**

a) it seeks clarification or modification of government requirements, restrictions or demands that appear inconsistent with domestic or international law?

YES NO

b) it seeks assistance from relevant government authorities, international human rights bodies, or non-governmental organizations when faced with the foregoing?

YES NO

c) it challenges such demands in domestic court?

YES NO

4.5. What measures does the company take to minimize and mitigate the risks associated with the collection, storage, and retention of personal information in the jurisdictions where it operates? **100 WORDS IG 3.4**



5. TRANSPARENCY & ENGAGEMENT

5.1. How does the company communicate to its shareholders and stakeholders its general approach to addressing its human rights impacts in relation to freedom of expression and privacy? **100 WORDS IG 5.4**

5.2. How does the company communicate to its employees its commitment to the GNI Principles, and its policies to implement the GNI Principles? **50 WORDS IG 2.13(H)**

5.3. How does the company disclose to its users: **200 WORDS**

- a)** What personal information the company collects? **IG 3.5(D)**
- b)** The generally applicable laws and policies which require the company to restrict content or communications or provide personal information to government authorities? **IG 3.5(A)**
- c)** The company's policies and procedures for responding to government requirements, restrictions, and demands? **IG 3.5(B)**

5.4. How and when does the company notify its users that content has been removed or blocked pursuant to a government request, or disclosed to a government agency?
150 WORDS IG 3.4(C)

5.5. Is there a company grievance mechanism available for users? If yes, please describe. **100 WORDS IG 2.13(F)**

5.6. Please describe how the company encourages governments and international institutions to adopt policies, practices, and actions that are consistent with and promote the GNI Principles. **200 WORDS**

- a)** Engaged with government officials on reform of laws policies and practices that infringe on freedom of expression and privacy **IG 4.2(A)**
- b)** Engaged in discussions with home governments to promote the GNI Principles **IG 4.2(B)**
- c)** Encouraged direct government-to-government contacts **IG 4.2(C)**
- d)** Encouraged governments and international organizations to call attention to infringements on the rights to freedom of expression and privacy **IG 4.2(D)**



6. FOLLOW UP & IMPROVEMENT

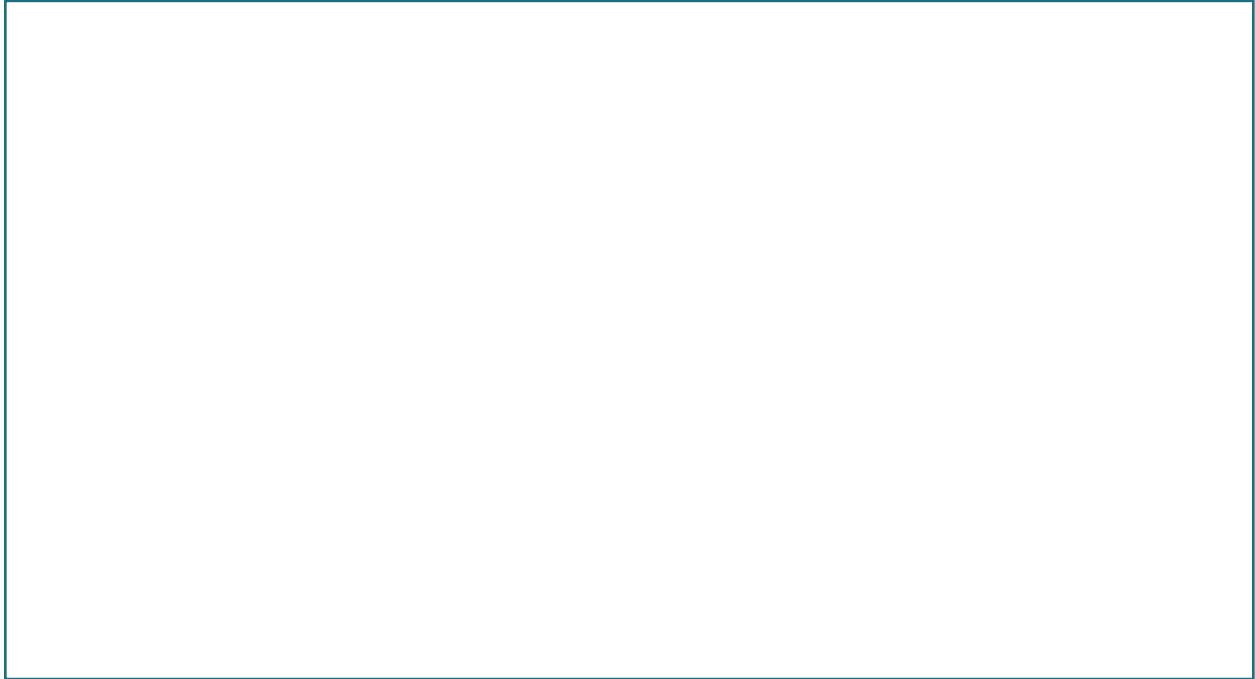
6.1. Please state your views on the company’s main strengths and successes in implementing the GNI Principles, including any particularly creative or noteworthy approaches to addressing human rights challenges that might serve as examples for other ICT companies to follow. **NO LIMIT**

6.2. Please discuss any concerns you have identified with the company’s implementation—especially gaps in creating or implementing relevant policies, procedures, and processes. **NO LIMIT**

6.3. Please provide any specific recommendations you may have for the company to improve as identified during the assessment process. **NO LIMIT**

6.4. Please evaluate whether and how the company has implemented the assessor and board recommendations that were made in the previous assessment process. Please explain whether company has implemented a recommendation, is in the process of implementing it, or has decided not to implement the recommendation as suggested but has chosen to address the specific issue in another way. **NO LIMIT—FOR SUBSEQUENT INDEPENDENT ASSESSMENTS ONLY**

6.5. Please provide any specific recommendations you may have to the GNI on how it may improve its independent assessment process. **NO LIMIT**

A large, empty rectangular box with a thin blue border, intended for the user to provide specific recommendations to the GNI on how to improve its independent assessment process. The box is currently blank.