

**Business and Human Rights Clinic
Fall 2018**

**The Impact of the Bonsucro Standard & Certification
on Human Rights in the Sugarcane Sector**

Class meeting time: Fridays 11 am – 1:50 pm, Room 402

School of International and Public Affairs
Institute for the Study of Human Rights
Columbia University

Faculty: Joanne Bauer, Adjunct Professor, SIPA, jib71@columbia.edu

This document provides a description of the Clinic, the 2018-2019 project, and the class rules and procedures, followed by a Course outline with meeting dates and seminar topics for the Fall semester.

About the Business and Human Rights Clinic

Since the 1990s, the subject of business and human rights has evolved from a critique of “corporate social responsibility,” to a movement and a field of study. As the field has grown, so too has the demand for professionals with a sophisticated understanding of why corporations violate human rights and the steps that corporations, governments, and civil society need to take to prevent violations - or remedy abuses when they occur.

The Business and Human Rights Clinic is a year-long class offered in the fall and spring that provides a space for students to deepen their knowledge and experience of business and human rights. Combining seminars, guest lectures, group work, and site visits, it is an interdisciplinary space for testing innovative models of business and human rights work, carried out in partnership with NGOs and other business and human rights practitioners.

The project for the 2018-2019 academic year is an evaluation of the impact of the multi-stakeholder initiative for the sugarcane sector: [Bonsucro](#). Bonsucro is dedicated to building “a sugarcane sector with thriving, sustainable producer communities and resilient, assured supply chains.” Only ten years old and tasked with addressing a high-risk sector that has been associated with environment, land, and labor rights abuses, much is at stake for Bonsucro’s efficacy as a legitimate governing force. As a member of ISEAL, Bonsucro is required to carry out regular independent impact evaluations, which are “systematic, objective and in-depth, ex post assessments of the medium or long-term effects – positive or negative, intended or unintended -- of the implementation of a standards system.” Bonsucro seeks to do so through university partnerships. This project with the SIPA Business and Human Rights Clinic represents the first such partnership.

Clinic students will attend weekly class sessions, in which new material will be introduced that will support the project work. Some of these sessions will feature guest speakers. Students will also be asked to present on topics that align with their experience and interests. Because of the centrality of the project to the class, and the need for group decision making, the Clinic meets each week for an hour longer than most SIPA classes (11:00 am -1:50 pm).

Through active participation and leadership on Clinic projects, students collaboratively implement, test, and reflect upon the trainings of the seminar sessions. As the Clinic year proceeds and students delve more deeply into the project work, students will take on increasing responsibility for designing the seminar agenda and identifying guest speakers. Students are expected to contribute to institutionalizing lessons learned for future Clinic students and will write individual reflections memos (four per year) that meet this objective.

The Clinic is taught by Joanne Bauer, Adjunct Professor, SIPA. Since 2009, Professor Bauer has taught U6041, Corporations and Human Rights, in 2013 and 2015 served as Faculty Advisor to business and human rights Capstones, and since its inception in 2015, has taught the SIPA BHR Clinic. She also taught Human Rights and Business at ISHR's Human Rights Certificate Program from 2008-2015, and in 2016-2017 was a Senior Fellow and lecturer at University of Melbourne School of Law. She directs the Business and Human Rights Program at the Institute for the Study of Human Rights (ISHR), is the co-founder of the Teaching Business and Human Rights Forum, consisting of other 300 professors on five continents, and the co-founder of a newly launched NGO, Rights CoLab.

The Clinic satisfies the SIPA Capstone graduation requirement.

2018-2019 Clinic Project

The central question of the business and human rights field is how to ensure that companies respect human rights where they operate. At the start of his mandate as UN Special Representative on business and human rights, John Ruggie described the problem of corporate impunity for human rights harms as stemming from “governance gaps between market forces and the capacity of societies to manage their adverse consequences.” Government regulation does not provide an adequate solution because governments are often unwilling or unable to impose regulations or enforce the regulations that do exist. Moreover, even in countries with stronger rule of law where regulations are viable, regulations often can't keep up with technology and financial innovation. At the same time, corporate self-regulation is ineffective, as it depends largely on the oversight of civil society. Civil society members are also consumers with a broad array of interests that don't necessarily align with human rights, such as a desire for cheap goods and convenience. Multi-stakeholder initiatives (MSIs), involving willing businesses, NGOs, and sometimes governments, are a hybrid form of governance that hold promise in filling the gap. Although there is no single definition of what constitutes an MSI, MSIs typically involve a negotiated set of standards for a specific industry, sector,

or human rights problem, and an accountability mechanism that holds participating companies to those standards.

Bonsucro is an MSI for the sugarcane sector dedicated to building “a sugarcane sector with thriving, sustainable producer communities and resilient, assured supply chains.” Only ten years old and tasked with addressing a high-risk sector that has been associated with environment, land, and labor rights concerns, much is at stake for Bonsucro’s efficacy as a legitimate governing force. As a member of ISEAL, Bonsucro is required to carry out regular independent impact evaluations, which are “systematic, objective and in-depth, ex post assessments of the medium or long-term effects – positive or negative, intended or unintended -- of the implementation of a standards system.” Bonsucro seeks to do so through university partnerships. This project with the SIPA Business and Human Rights Clinic represents the first such partnership.

The Clinic will carry out an impact evaluation of the implementation of Bonsucro’s Production Standard. Focusing on select measures and Bonsucro member operations, the project will examine whether the Bonsucro standard produces intended human rights outcomes – for workers and communities -- and whether it has unintended impacts. In so doing, the evaluation will also determine whether it is possible to attribute the observed impacts to the standards system. The methodology will be developed by the Clinic during the first two months. The methodology is expected to blend ethnographic and other qualitative methods with quantitative methods, such as econometric modeling. In designing the methodology, the Clinic will consider its advantages in terms of student expertise (language, skills, country knowledge, personal and Columbia networks) and draw upon well-established best practices such as the [ISEAL Codes of Good Practice](#) and [MSI Integrity’s Evaluation Methodology](#). The project will be guided by ethical principles of engagement and research, including: accuracy and quality assurance, data protection and confidentiality, independence, and transparency.

Work Plan:

The Clinic team will design the impact evaluation, including the subject matter and scope, determine the research methods, carry out the research, draft an interim report, and deliver a final report. The following tasks are involved:

1. Conduct a sampling of informational interviews about Bonsucro and its membership, including: 1) Bonsucro current and former staff; 2) early and late joining corporate members; 3) potential corporate members and those who have choose not to join; and 4) stakeholder NGOs, both members and non-members. Identify a specific area in which the Bonsucro standards system intends to make an observable change and where a larger unintended consequence is hypothetically possible. Areas of interest could include labor rights, a community’s social and economic rights, or one or more of the Sustainable Development Goals (SDGs).
2. Use Bonsucro’s database of social, economic, and environmental performance of certified sugarcane mills and farms to identify a set of cases within a country,

- set of countries or regions. Case selection, which will also include non-participating mills, will be based on methodological considerations, data availability and project feasibility within the time frame of the academic year.
3. Identifying the regional scope of the study will be a critical step in determining the project's methodological approach. The scope of the study will be defined to ensure a sufficient sample of treatment and control cases.
 4. Conduct case studies with attention to the following:
 - a. Describe and analyze the impact on intended and measured indicators. The Bonsucro Production Standards, for example, require producers to follow the ILO Core Labor Conventions. In the event the Clinic chooses to focus on labor rights, it would analyze whether Bonsucro certification resulted in a higher compliance with specified labor rights.
 - b. Describe and analyze the impact on larger, unintended community outcomes. In the case of labor rights, such outcomes could include the rights of workers within the certified mill's supply chain and the rights of communities.
 - c. While assessing the return on investment (ROI) in company complying with Bonsucro process would require a different specialized methodology, the project will endeavor to include one or more questions in the interview protocol to ascertain any methods used by the company to consider non-financial benefits, as well as the internal justification. This could lay the groundwork for a future rigorous assessment of the ROI of Bonsucro participation.
 5. Conduct fieldwork in one or two countries to further explore some of the selected cases. The fieldwork will take place during 10 days in March 2019 overlapping with the school break. A trip may also be planned for January break.
 6. Write a report based on the findings. The process of writing the final report will include developing a draft for comment by stakeholders, including a selection of those who participated in the scoping interviews, and incorporating those comments into a final version for publication. To assist in stakeholder validation of the findings, Bonsucro will help to organize a feedback webinar in mid-April, where the Clinic will present the report and solicit comments.

Deliverables and Timeline

September 2018- Review of business and human rights standards (UN Guiding Principles on business and human rights; OECD Guidelines on Multinational Enterprises), best practice guidance for MSIs (ISEAL, MSI Integrity, others), and the Bonsucro Production Standard. To identify the issue focus of the study, study the Bonsucro database and conduct scoping interviews to gain a grasp of Bonsucro, its members, the issues facing them, and their stakeholders.

October – Produce and submit to Bonsucro a research design report of 10-12 pages describing the methods chosen and the rationale for their selection.

November – Finalize scope of work and methods to be used. In consultation with Columbia’s Institutional Review Board, determine whether IRB approval is required. (See below.) Start interview training and conduct first round of interviews.

December – Complete interim report, an evaluation of key takeaways from the research, methodological considerations, and rationale for final research plan. If traveling in January, finalize January travel plans and ensure IRB approval, if required.

January 2019 – Possible first site visit.

February - March - Continue data collection and analysis. Plan and undertake March site visit in March. Complete interviews and data analysis. Begin drafting report.

March – April - Draft final impact evaluation report

Late April - Make a presentation to stakeholders at a “validation webinar” organized by Bonsucro.

May: Revise report, incorporating feedback from the webinar and other forms of validation, and finalize and submit final impact evaluation report.

Meta-Analysis

The Clinic emphasizes self-reflection, continuous learning, and institutionalization of lessons learned, whereby students are encouraged, collectively and individually, to routinely step back, view the big picture, and consider the efficacy of the work we are undertaking and how it can be adjusted and improved upon. Towards this end, once a week, each student will write a reflections note of a minimum of 250 words. As part of the mid-term self-evaluation (see below) students will write a 1000-word reflections note, which will be submitted to the professor in advance of the meeting, along with their field out self-evaluation form. (See Files for the template.)

Mid-way through the fall semester, two students will be assigned to co-edit an interim report. The reflections memos will inform the interim report, which will also include a summary of decisions made and interim findings since the submission of the October report based on these memos. The interim report should be approximately 4,000-7,000 words. The editors will lead an editorial meeting of the full Clinic to announce their plans for the interim report informed by the reflections memos and other suggested topics, and solicit feedback from the rest of the group. The editors may then assign individual or teams of students to write sections and submit them on a designated timeline.

The practice of writing monthly reflections memos will continue in the spring, as will the midterm and final 1:1 conferences with the professor.

Relationship with the Bonsucro

Our main contacts at Bonsucro are Rafael Seixas, Business Effectiveness Manager and Nicolas Viart, Director of Standards and Innovation. As the evaluation requires that the Clinic perform its function independently, in its relationship with Bonsucro the Clinic will need to navigate the need for independence and its need to acquire information, to be trained on Bonsucro's data sets, and to have access to all staff for the evaluation. It is anticipated that the Clinic will be in contact with Bonsucro approximately 1-2 times per month, either during class time or arranged on as a needs basis between Bonsucro and small groups.

Clinic Student Team

The Clinic is by application. (See below for how to apply.) Eight to twelve students will form the Clinic team. The Clinic is designed for second year and second semester SIPA students and Human Rights Studies Masters students.

For SIPA students:

- The Clinic is geared to second year students; only in exceptional cases where students have substantial experience in some aspect of project or two or more of the competencies from the list above will first year students be invited to apply.
- Students completing their final semester in the fall may also be considered for the fall semester only. Such students should contact Professor Bauer before applying.
- The Clinic satisfies the SIPA graduation requirement of a Capstone. Because of the high intensity and level of commitment expected of Clinic and Capstone students, students enrolled in the Clinic are not permitted to also enroll in a Capstone.

Students should have strong research and writing skills and demonstrate professionalism. In addition, Clinic students will have competencies in one or more of the following areas:

Students should have strong research and writing skills and demonstrate a high level of professionalism. In addition, Clinic students will have competencies in one or more of the following areas:

- Professional experience and/or coursework in business and human rights
- Experience or familiarity with land rights and agricultural investments
- Experience developing research questionnaires and methodology design, conducting interviews and analyzing interview data (mainly qualitative)
- Expertise in econometric modeling
- First-hand experience with sugarcane and/or geographical region(s), as determined by the phase one project research.
- Fluency in Spanish, Portuguese, Thai, Hindi, Tamil

While there are no pre-requisites for the Clinic, students who have taken Corporations and Human Rights (U6041) or are taking this course concurrently with the Clinic will be at an advantage. (Note: Applicants are encouraged to flag in their applications other courses they have taken that they think are relevant.)

The Clinic may accept new students during the second term if space is available. An announcement of availability will be made in late October or November, and students will be asked to submit applications by the last day of fall term classes. Students who are invited to join mid-year must be prepared to catch up on the course over winter break by doing reading and participating in the winter break work projects.

Grading and Expectations

The Clinic is a full year course, and students are expected to enroll in both semesters. SIPA and MA students will receive 3 credits per semester. Students are also expected to work on the project during the winter break and should plan to travel for field work during the spring break, and possibly also in January, pending the decisions the Clinic makes in the fall about the fieldwork needs. Since this is a full year course, students will receive a “YC” at the end of the first semester, indicating that the Clinic is a Year Course. They will receive a letter grade at the completion of the year.

Unless explicitly agreed upon with the professor at the start of the year, it is expected that students will make a full-year commitment to the project and enroll both semesters. Students who for unforeseen reasons leave the Clinic after the first semester must inform the professor by no later than Oct 15 to receive a letter grade for the semester. This deadline is necessary to determine an appropriate method of evaluation for the students and to have the time to recruit a replacement for the Spring semester. Students who fail to notify the professor of their intention to leave the Clinic by this date or do not complete the agreed-upon assignments on time, will receive a pass/fail grade for the semester.

Students will receive a letter grade at the end of the year. The grading rubric is as follows:

- Quality of participation in class, including evidence of preparation (20%)
- Overall professionalism, including timeliness, ability to work with clinic peers, ethics, engagement with the client, etc. (20%)
- Quality of written work and briefings to client (60%)

Students will be given a self-assessment form at the start of the year that lays out detailed expectations of all Clinic members that align with the grading rubric. A mid-term assessment will be conducted involving students completing their self-assessment and individual conferences with me. The purpose of the mid-term meetings is to discuss the student’s experience in the clinic and how both their experience and performance can be improved. . Sign-up sheets with time slots for conferences will be available the week prior.

Students whose performance on the team and in relation to the client is not satisfactory will be asked to meet with the professor to discuss the problems. If the students' performance does not improve, they may be denied the opportunity to travel or be asked to leave the Clinic at the end of the first term, at the professor's discretion.

Time commitment

The time commitment varies over the course of the academic year. On average, students will be expected to devote 8-10 hours per week to the Clinic for the fall semester, including class time. During the spring semester, students will be expected to devote a minimum of 10 hours to the Clinic *in addition to* class time. This time commitment aligns with SIPA Capstone expectations.

Starting in the spring semester, or earlier if deemed necessary, Clinic members will find a date to meet on their own, without the Clinic professor. These meetings, typically 1-2 hours in length, help to ensure that the project is progressing on schedule and according to plan, and that issues are addressed early on before they become problems.

Clinic sessions will last 2 hours and 50 mins and combine seminar-style discussion of the day's topic with project management and communication, problem-solving and discussion of team projects.

Students are expected to have read the assigned readings before each class and come prepared to participate actively. Seminar readings are drawn from a variety of sources and disciplines, and readings are accompanied by Guiding Questions and written assignments, to facilitate focused preparation for class.

Applying to the Clinic

Admission to the Clinic is by application. Because the course involves substantial training in the fall for projects that are carried out mostly during the spring semester, students are required to commit to the Clinic for both the Fall and Spring semesters.

Interested students must submit to Prof. Bauer a resume/cv and a personal statement of approximately 1000 words on the following:

- (1) A brief description of your past exposure to, or work in, human rights;
- (2) Your hopes and expectations for the Clinic, and how this relates to your future career goals;
- (3) The specific skills and experiences you aim to develop or obtain during the Clinic;
- (4) What you bring to the Clinic, and how you plan to contribute to a collaborative and productive working environment;

(5) Any difficulties you foresee in having your expectations met and skills obtained, and any difficulties you foresee in making a commitment to the full Clinic year. How might you address those difficulties?

(6) Your assessment of your writing skills. Include answers to the following questions: Have you received recognition for your writing? Do you enjoy writing?

Students will be admitted to the Clinic on a rolling basis. On September 4 at 1 pm, the Clinic will host an information session (Room TBA). Applications are due by no later than 8 pm, September 5. Final notifications will be made on September 6.

Is the Clinic Right for You? Benefits of the Clinic

The 2015-2016 Clinic identified the value of the Clinic for students:¹

The Clinic is a laboratory for testing innovative methodologies to strengthen accountability of corporations. The diversity of the members of the Clinic, which is open to all SIPA concentrations, to the Human Rights Studies Masters Program and LLM students of Columbia School, enhances the experience of individual members. Student teaching sessions on topics pertinent to the Clinic, discussion and exchanges amongst members on assigned cases, and peer reviewing each other's reports, proffer abundant opportunities for members of the Clinic to take advantage of the expertise within the Clinic.

For students in the more academically oriented MA in Human Rights Studies program, this course provides a much-needed connection with the practical application of human rights concepts. Additionally, the opportunity to work directly with a client, as well as contribute to work that is directly relevant to the field, is unique for the program, and helps provide a more holistic understanding of human rights practice.

For SIPA students, the one-year duration of the Clinic allows its members to probe deeper into the work and to develop both soft and hard skills that are not typically offered by Capstone projects. The combination of seminar learning and experience, as well as having different student groups working on a series of small projects that form parts of a bigger theme and sharing their respective work, makes the Clinic distinctive.

A former Clinic member summed up her experience as follows:

“The Clinic has completely shaped my experience for my degree. Since my program is so academically oriented, producing real work and real results for people in need brought what I was studying into the realm of

¹ SIPA BHR Clinic, 2015-2016, “Final Report”.

the real world. In addition to skills such as coordination, teamwork, and professionalism, I have also learned a lot from interacting with peers from many different areas of expertise, and in conducting the ICM itself. This was my first introduction to the world of business, and I believe that I have got a much better understanding and grasp of not only violations, but also about how different initiatives are working to hold the corporate world more accountable.”

During the fall semester, class sessions will combine lecture and discussion on the context for the Clinic work with practice and supervision on the fundamentals of business and human rights standards, the role of multi-stakeholder initiatives in the governance and regulation of corporations, the range of rights that can be affected by the sugar sector and the rights holders most vulnerable to harm. We will also investigate different methods of evaluation to support our first task and deliverable of developing a focus (regional, issue, rights holder) and a methodology for impact evaluation. During this time, we will be reaching out to a range of stakeholders. Where appropriate, guest practitioners will join us to provide a real-world perspective on the issues we are facing.

During the spring semester, the Clinic will be devoted mainly to the project work, including the fieldwork, and the seminar sessions are designed to support it. Clinic students will have an opportunity to contribute to the agenda for Clinic sessions and may participate in identifying guest speakers, inviting speakers, preparing the Clinic for a speaker, and moderating discussions with a speaker.

Course Outline

Fall 2018

Note: The readings for which there are no hyperlinks can be found on the Courseworks site under “Files”.

Sept 7: Introduction to the Clinic

This class will introduce the Clinic topic and project, and review Clinic procedures, goals, student roles, the work, and expectations. Rafael Seixas and Nicolas Viart of Bonsucro will join us via video conference to introduce Bonsucro from their perspective and explain the significance of the impact evaluation, describe the data base and other resources that they offer, and explain the expectations for the Clinic. During this session, we will also take the time to get to know each Clinic member and what they bring to the Clinic through a team building exercise.

Watch ISEAL video on: “What is a sustainability standard?”

<https://www.isealalliance.org/credible-sustainability-standards/what-are-credible-sustainability-standards>

Watch the video on the ISEAL Credibility Principles here:

<https://www.isealalliance.org/credible-sustainability-standards/iseal-credibility-principles>

Become familiar with Bonsucro and the resources on its website by exploring the Bonsucro website at www.bonsucro.com Each Clinic member should come prepared with one or two questions for Rafael and Nicolas.

Find and read the following documents on the site:

- Bonsucro Production Standard v4.2
- Guidance for Production Standard v4.2
- Bonsucro Standard Development and Revision Procedure v1.2
- Our Impacts: <http://www.bonsucro.com/our-impacts/>
- Theory of Change: http://www.bonsucro.com/wp-content/uploads/2017/10/Microsoft-Word-Public-Theory-of-Change-Draft_HQ.docx.pdf

Paul J. Gertler et al, *Impact Evaluation in Practice*, Washington, DC: World Bank, 2011: Chapter 1, “Why Evaluate?”

https://siteresources.worldbank.org/EXTHDOFFICE/Resources/5485726-1295455628620/Impact_Evaluation_in_Practice.pdf

Sept 14 **Business and Human Rights Standards**

Two bedrock documents for standard setting for responsible business conduct are the UN Guiding Principles on Business and Human Rights (2011) and the OECD Guidelines on Multinational Enterprises (latest revision 2012). Both standards were developed from existing international human rights standards and are key sources for ongoing standards development for corporate human rights compliance. During this session we will review these standards and highlight elements that are relevant to the private standard setting like Bonsucro’s. We will also have our first discussions with Bonsucro’s stakeholders, in particular NGOs who have encountered Bonsucro in assisting communities whose rights have been impacted by the sugar sector, and we will begin to discuss the parameters of our impact evaluation.

The What

Guiding Principles on Business and Human Rights: Implementing the United Nations ‘Protect, Respect and Remedy’ Framework, Report of the Special Representative of the Secretary-General on the issue of human rights and transnational corporations and other business enterprises,” UN doc. A/HRC/17/31 (21 March 2011), available at

http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf

OECD Guidelines for Multinational Enterprises, May 2011 (Paris: Organisation of Economic Cooperation and Development, 25 May 2011), available at <http://www.oecd.org/corporate/mne/1922428.pdf>

Why Human Rights?

Joanne Bauer, "The Problem with Corporate Social Responsibility," *Open Democracy*, December 17, 2014: <https://www.opendemocracy.net/joanne-bauer/problem-with-corporate-social-responsibility>

Florian Wettstein, "From Side Show to Main Act: Can Business and Human Rights Save Corporate Responsibility?" in Baumann Pauly and Nolan, pp 78-87. (On reserves and in Files on Canvas)

Review Bonsucro materials from the previous week. In addition, see "Concept Note, Partnering for Impact Evaluations" in Files on Canvas.

Sept 21 **Multi-Stakeholder Initiatives**

Multi-stakeholder initiatives are a form of private regulation that have proliferated to cover a wide range of sectors and issues. While there is no single definition of a multi-stakeholder initiative, it is generally understood to be a voluntary initiative involving companies, NGOs, and sometimes governments that negotiate a standard of conduct and set of rules around compliance with that standard. ISEAL was created to raise the bar for the standards by providing technical assistance to support its members to achieve and maintain credible standards. During this session we will video conference again with Rafael Seixas of Bonsucro for a training in the Bonsucro Production Standard.

ISEAL: ISEAL's Codes of Good Practice page: <https://www.isealalliance.org/credible-sustainability-standards/iseal-codes-good-practice> and ISEAL's Impact Code: https://www.isealalliance.org/sites/default/files/resource/2017-11/ISEAL_Impacts_Code_v2_Dec_2014.pdf

Dorothee Baumann-Pauly and Justine Nolan, eds, *Business and Human Rights: From Principles to Practice*, Chapter 4 "Defining and Implementing Rights Standards Industry by Industry," pp 107-127. (See "Files" in Canvas)

MSI Integrity, The MSI Evaluation Tool: <http://www.msi-integrity.org/test-home/publications/>

MSI Integrity and the Duke Human Rights Center at the Kenan Institute for Ethics, *The New Regulators? Assessing the Landscape of Multi-Stakeholder*

Initiatives, June 2017 <https://msi-database.org/data/The%20New%20Regulators%20-%20MSI%20Database%20Report.pdf>

Sept 28 **Approaches to Monitoring and Evaluation**

During this class we will begin to narrow down our approach to the impact evaluation. Julie Poncelet, an expert in impact evaluation, will join us to walk through best practices for impact evaluations, as well as what is feasible within this time frame. The class will cover outcome mapping, outcome harvesting, and most significant change.

Become familiar with www.betterevaluation.org Read, “Step Two: Scope the Evaluation,” including each of the sub-steps:
https://www.betterevaluation.org/en/commissioners_guide/step2

Read about the following methods:

- Outcome harvesting:
https://www.betterevaluation.org/en/plan/approach/outcome_harvesting
- Outcome mapping:
https://www.betterevaluation.org/en/plan/approach/outcome_mapping
- Most significant change:
https://www.betterevaluation.org/en/plan/approach/most_significant_change

Bernward Causemann, Eberhard Gohl, Verena Brenner, “Tiny Tools,” Measuring Change in Communities and Groups, An Overview, v 1.2.1, January 2012 (In “Readings” in Files folder on Canvass.)

Michael Veale and Rafael Seixas, “Moving to metrics: Opportunities and challenges of performance-based sustainability standard,” SAPIENS, Vol 8, Issue 1, 2015.

https://www.academia.edu/20267478/Moving_to_metrics_Opportunities_and_challenges_of_performance-based_sustainability_standards

Goldie Chow with Karim Harji, “How and Why We Measure Impact at Samasource: Theory, Methodology, Limitations and Challenges” 2014
https://docs.wixstatic.com/ugd/e4cc5f_ba0ecac32b014e5586c037f2e48f154a.pdf

Oct 5 **Theory of Change**

During this class we will review the leading ideas surrounding theory of change methods and implementation.

Center for Theory of Change Map: <https://www.theoryofchange.org/what-is-theory-of-change/how-does-theory-of-change-work/>

“Theory of Change, How-to Guide” (See Files in Courseworks)

Matthew Forti, “Six Theory of Change Pitfalls to Avoid,” Stanford Social Innovation Review, May 23, 2012 (See Files in Courseworks)

Andrea Anderson, “Community Builders Approach to Theory of Change, A Practical Guide to Theory Development” (See Files in Courseworks)

Oct 12 **Clinic teamwork – Defining the scope of work**

Dr. Julie Poncelet will join our class to provide feedback and insight on the issues we are facing surrounding scope of work, theory of change, and project design for the Bonsucro project.

Guest: Julie Poncelet, Co-Founder, Action Evaluation Collaborative

--- *Mid-semester Assessments* ---

Clinic students meet individually with me to discuss class performance on October 12. A sign-up sheet for meeting times and the self-assessment forms will be provided the last week of September. Two days before you meet with me, please send me your completed self-assessment form, including the required reflections statement, as explained on the last page of the form. Students are encouraged to post their reflections on the shared files.

Oct 19 **Land rights standards: The Voluntary Guidelines on the Responsible Governance of Tenure (VGGTs)**

The first 45 minutes of class we will consider land rights as a human rights issue – and specifically a business and human rights issue, with special emphasis on the Voluntary Guidelines on the Responsible Governance of Land Tenure (VGGTs) and the role they have played thus far in land governance. The rest of class will be devoted to project teamwork.

Lorenzo Cotula, “International Soft-Law Instruments and Global Resource Governance: Reflections on the Voluntary Guidelines on the Responsible Governance of Tenure,” *Law, Environment, and Development Journal*, 2017 <http://pubs.iied.org/X00186/>

Nestle, "Land Rights in Agricultural Supply Chains Road Map" <https://www.nestle.com/sites/default/files/asset-library/documents/creating-shared-value/labour-rights-roadmap.pdf>

Land rights PowerPoint deck (in Files on Courseworks)

Oct 26: **Vulnerable Peoples and Free Prior and Informed Consent (FPIC)**

Continuing with our discussion of land rights and land tenure, during the first hour of class we will focus on the recognition of vulnerable peoples in land acquisition and the human rights concept of Free Prior and Informed Consent (FPIC). We will rely on Landesa's primers on the subjects, created for its Responsible Investment in Property and Land (RIPL) project. Directed at investors seeking to acquire land for agriculture, these primers are instructive for our project for outlining the standards of conduct expected of corporate investors. They should attune us to possible legacy concerns for existing sugarcane plantations, including those owned by Bonsucro members, and make us aware of stakeholders to whom our research needs to be attentive.

Landesa Primers:

Vulnerable groups:

http://ripl.stage.s3.amazonaws.com/uploads/primer_link/file/25/RIPL_Vulnerable_Groups_Primer_-_Final.pdf (Links to an external site.)

FPIC: http://ripl.stage.s3.amazonaws.com/uploads/primer_link/file/21/RIPL_FPIC_Primer_-_Final.pdf

Nov 2 **Human Rights Impact Assessments**

Götzmann N (2014) Human Rights Impact Assessment. Conceptual and Practical Considerations in the Private Sector Context. Danish Institute for Human Rights

https://www.humanrights.dk/sites/humanrights.dk/files/media/dokumenter/udgivelser/research/matters_of_concern_series/matters_of_concern_huri_and_impact_assessment_gotzmann_2014.pdf (Links to an external site.) Read pages 7-30.

Nov 9 **Decent Work in Agriculture**

FAO, "Incorporating decent rural employment in the strategic planning for agricultural development," March 2016 <http://www.fao.org/3/a-i5471e.pdf> (Links to an external site.) Read pages 1-19, 27-30, 36-51

Labor rights PowerPoint slide deck (in Files on Courseworks)

Nov 16 **Research Ethics and Challenges**

Guest. Kevin Hong, International Relations Officer (focusing on M&E and impact evaluations) at Office of Child Labor, Forced Labor, and Human Trafficking at Department of Labor.

Mike McCreless, "Evaluation that Creates Value for Participants: A Client-Centric Approach" <https://nextbillion.net/evaluation-that-creates-value-for-participants-a-client-centric-approach/>

Justin Sandefur and Amanda Glassman, "The Political Economy of Bad Data: Evidence from African Survey and Administrative Statistics." CGD Working Paper 373 (July 2014). <https://www.cgdev.org/sites/default/files/political-economy-bad-data.pdf>

Nov 23

-- *FALL BREAK – NO CLASS* --

Nov 30, Dec 6 **Interviewing and Other Fieldwork Methods**

During the Nov 30 class students will report on desk work findings and research plans. The IRB research protocol will be discussed and finalized. We will then turn to a discussion of fieldwork methods.

Guests: On Dec 6 Anjli Parrin of the Columbia Law School Human Rights Clinic and members of that Clinic will join us to provide training on how to interview vulnerable people, through discussion and role play.

Michael Quinn Patton called Qualitative Research and Evaluation Methods, pp 301-314, pp 318 – 319, p 321, pp 346 – 348, pp 353 – 415, pp 436-511.