

VOLUNTARY PRINCIPLES INITIATIVE FRAMEWORK FOR ADMISSION OF OBSERVERS

The criteria below outline the entry process and expectations for new Observers of the Voluntary Principles Initiative.

The criteria do not apply to the International Committee of the Red Cross, the International Council on Mining & Metals, or the International Petroleum Industry Environmental Conservation Association, each of which have been granted status as a permanent Observer.

1. Entry Criteria

- 1.1 At any time, an organization (hereinafter referred to as “Applicant Observer”) may formally request to attend proceedings of the Voluntary Principles Initiative as an Observer.
- 1.2 An Applicant Observer should have expertise relevant to the Voluntary Principles Initiative, including specific experience with regard to the interrelationships between security, human rights, and the extractive industry. An Applicant Observer should demonstrate that the primary focus of its work can contribute to progress on security and human rights.
- 1.3 An Applicant Observer may not, because of its functions, role, or mandate, be eligible to be a member of one of the three Voluntary Principles Initiative Pillars.
- 1.4 An Applicant Observer should be an industry association, an international institution, or a national institution.
- 1.5 Consultancies are not eligible to be Observers.

2. Admission Process

- 2.1 A request to be admitted an Observer should be made in writing to the Secretariat.
- 2.2 The request should include:
 - i. A description of the organization and its interest in becoming an Observer;
 - ii. A statement describing the activities the Applicant Observer undertakes, or plans to undertake, that are supportive of the objectives of the Voluntary Principles Initiative;

- iii. Information demonstrating that the Applicant Observer is willing, and has the capacity, to contribute to the Voluntary Principles Initiative.
 - iv. A statement identifying any legal, regulatory, or administrative actions that the Applicant Observer has pursued, or intends to pursue, against any Voluntary Principles Initiative Participant.
- 2.2 An Applicant Observer's request is to be delivered to the Steering Committee for its consideration. The Steering Committee will then consult with the Plenary.
- 2.3 An Applicant Observer is approved to attend Voluntary Principles Initiative proceedings if its request is approved by the Plenary, as represented by the Steering Committee. As noted in Paragraph 3.3, an Observer may participate in meetings of specific Working Groups only upon invitation by the Steering Committee.
- 2.4 The approval or disapproval of an Applicant Observer's request is to be communicated to the Applicant Observer by the Secretariat.
- 2.5 Upon approval, an Observer is required to sign a statement acknowledging the confidentiality provisions which all Participants in the Voluntary Principles Initiative are expected to follow, as set forth in the Participation Criteria.
- 2.6 If approved, an Observer is able to attend proceedings of the Voluntary Principles Initiative for a one-year term, with an option to extend at the discretion of the Plenary.
- i. An Observer's term is to officially begin on the date that its request is approved.
 - ii. Each year, in advance of the Annual Plenary Meeting, the Steering Committee should request that the Secretariat determine whether current Observers wish to seek extension of their terms for an additional year.
 - iii. Observers that wish to seek extensions will be asked to provide the Steering Committee with a short statement regarding the activities they undertook in the previous year that are relevant to the work of the Voluntary Principles Initiative.
 - iv. The Secretariat is to provide the Steering Committee with a list of all Observers who wish to extend their terms for an additional year as well as copies of statements submitted by those Observers.
 - v. The Steering Committee makes a recommendation to the Plenary regarding the extension of each Observer's term for an additional year.
 - vi. At the Annual Plenary Meeting, the Plenary reviews and votes on the proposed extensions.

3. Role of Observers

- 3.1 An Observer is eligible to attend all Plenary meetings, other than proceedings from which it has specifically been excluded by decision of the Steering Committee, pursuant to Paragraph 3.4.
- 3.2 If Observers have operations in countries in which the Voluntary Principles Initiative has In-Country Implementation Pilot Groups, they are strongly encouraged to participate in the activities of those groups.
- 3.3 Upon invitation by the Steering Committee, an Observer may participate in meetings of specific Working Groups.
- 3.4 At any time, a Participant in the Voluntary Principles Initiative may ask that the Steering Committee exclude an Observer from specific proceedings. The Steering Committee will decide such requests promptly.
- 3.5 An Observer is not eligible to vote.