

REPORTING GUIDELINES FOR THE GOVERNMENT PILLAR

**INITIATIVE OF THE VOLUNTARY PRINCIPLES
ON SECURITY AND HUMAN RIGHTS**

GOVERNMENT PILLAR REPORTING GUIDELINES

I. INTRODUCTION

The Participation Criteria of the Initiative of the Voluntary Principles on Security and Human Rights (“Voluntary Principles Initiative”) sets forth each Participant’s intent to engage in full dialogue on the implementation of the Voluntary Principles. The Criteria further state that each Participant is to report annually to the Plenary on its efforts to implement, and/or assist in the implementation of, the Voluntary Principles.

The purpose of the Reporting Guidelines is to help: (i) support transparency regarding efforts to support and implement, and/or assist in the implementation of, the Voluntary Principles; (ii) assist Participants in reporting on efforts to implement the Voluntary Principles to the Plenary; and (iii) facilitate the exchange of good practices among Participants.

The reports are *not* intended to grade implementation by one Participant against another. Participants are expected to describe their efforts to implement the Voluntary Principles each year recognizing any and all security and legal considerations, as well as practical issues related to the collection of required information.

II. GOVERNMENT PILLAR REPORTING GUIDELINES

The Government Pillar Reporting Guidelines are divided into four sections:

- (A) Commitment to the Voluntary Principles;
- (B) Policies, Procedures and Related Activities;
- (C) Implementation; and
- (D) Lessons and Issues.

Sections A-C set forth expected reporting commitments and Section D is optional.

Note that, for some of the Reporting Guidelines, there are detailed Guidance Notes, which align with or are otherwise related to the Roles and Responsibilities of Governments documents; while these Guidance Notes are optional, robust and fulsome annual reports will take due consideration of them, and seek to incorporate them where applicable and appropriate

III. REPORTING CONTENT

A. Commitment to the Voluntary Principles

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
<i>Commitment to the Rules of the VPI</i>		
1	Statement of commitment or endorsement of the Voluntary Principles.	
2	Statement of commitment to implement National Plan(s) (where applicable).	
<i>Engagement in the VPI</i>		
3	Describe government engagement in the VPs Initiative	<ul style="list-style-type: none"> • Describe engagement through meetings, working groups and dialogue with participants. • Describe project-level and plenary-level sharing of information • Describe how the government works to maintain the VPI as a leading multi-stakeholder initiative.
<i>Transparency and Dialogue</i>		
4	Describe how government shares information about efforts to assist in implementation of the Voluntary Principles with other participants and the public.	

B. Policies, Procedures, and Related Activities

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
<i>Rule of Law</i>		
5	As related to the Voluntary Principles, describe relevant policies, legislation, procedures, and/or guidelines relevant to promoting and protecting human	<p>This section could include a description of:</p> <ul style="list-style-type: none"> • how the government abides by its obligation under international human rights law and international humanitarian law, as related to the Voluntary Principles

	rights, consistent with international human rights obligations.	
6	As related to the Voluntary Principles, describe (where appropriate and feasible) if the government has conducted or assisted with security sector reform, strengthening of the rule of law, and developing institutional capacities.	
7	Within the context of the Voluntary Principles and in accordance with national and international law, describe how the government takes appropriate steps to prevent, investigate, punish and redress human rights abuses within its territory and/or jurisdiction by third parties, including with companies in the industries of extracting, harvesting, or developing natural resources or energy and public and private security providers.	This section could include a description of: <ul style="list-style-type: none"> • policies, legislation, regulations, and adjudication; • the provision of adequate and effective training for local prosecuting authority and the judiciary; and • actions taken to prevent recurrence of human rights harms.
<i>Verification and Accountability</i>		
8	Describe progress on the execution of National Voluntary Principles Action Plan.	
9	Provide a summary of the findings of the verification process as outlined in the Government Pillar Verification Framework.	This section could include a description of: <ul style="list-style-type: none"> • how the government updates Participants on implementation support via annual reports and periodic presentations, including how the government participates in open discussions and peer review of implementation; and • any progress on points raised during peer review at the Annual Plenary Meeting or during a call/meeting held by the Verification Working Group.

C. Promotion/Implementation

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
10	Public communication of commitment to the Voluntary Principles.	This section could include a description of: <ul style="list-style-type: none"> • public statements, and publicly available reports promoting the Voluntary Principles.
11	Describe how the government engages with external stakeholders on the Voluntary Principles.	This section could include a description of how the government: <ul style="list-style-type: none"> • coordinates promotion and/or implementation efforts; and • shares best practices and promotes discussion and learning through case studies (e.g., speeches, conferences, presentations and statements made in multilateral and bilateral forums).
12	Promotion of the Voluntary Principles within the government.	This section could include a description of: <ul style="list-style-type: none"> • coordination within and among different government agencies and ministries, as well as with Embassies.
13	Coordination in-country around the Voluntary Principles.	This section could include a description of how the government: <ul style="list-style-type: none"> • promotes awareness-raising activities among diplomatic missions, companies, and NGOs on the ground; • conducts outreach to other governments (e.g., build understanding and support for the Voluntary Principles such as through in-country stakeholder meetings); • works with other governments in countries where oil, gas, and mining extraction occur; • works with companies, communities and civil society organizations on Voluntary Principles implementation, including through the promotion of local stakeholder engagement; and • seeks to help develop, identify, deliver and record best practices on

		implementation of the Voluntary Principles.
14	Describe how the government conducts outreach with domestic companies in the industries of extracting, harvesting, or developing natural resources or energy to encourage them to implement the Voluntary Principles and join the Voluntary Principles Initiative.	
15	Describe how government enables and supports companies in implementing the Voluntary Principles.	This section could include a description of how the government: <ul style="list-style-type: none"> • provides guidance to companies in the industries of extracting, harvesting, or developing natural resources or energy on Voluntary Principles implementation (when requested).
16	Describe how government engages in conflict areas to assist Corporate Participants to help them identify, prevent and mitigate the human rights related risks of their security arrangements.	This section could include a description of how the government: <ul style="list-style-type: none"> • provides assistance to assess and address heightened risk of abuse.
<i>Risk Assessment</i>		
17	Describe how the government engages with companies on issues related to company risk assessment.	This section could include a description of: <ul style="list-style-type: none"> • efforts at the central government level and at the Embassy level (e.g. through conversation with host government on risks); • how the government shares information relevant to company risk assessments with Corporate participants and local civil society; and • how the government consults with companies about the impact of their security arrangements on local communities, and risks presented by the potential for violence.

Public Security		
18	Describe government efforts to promote and allow for training of public security providers.	<p>This section could include a description of:</p> <ul style="list-style-type: none"> • how government promotes and allows for adequate and effective training for public security providers, including on international human rights law, international humanitarian law, local, and national laws, and international law enforcement principles.
19	Describe how government works with companies around engagement with public security forces.	<p>This can include description of how the government:</p> <ul style="list-style-type: none"> • cooperates with companies in developing the human rights record of both public security forces and local and national law enforcement personnel; • supports companies' efforts to take appropriate sets in: <ul style="list-style-type: none"> ○ avoiding hiring individuals credibly implicated in human rights abuses, including through appropriate vetting mechanisms; ○ works to ensure that force is only used when strictly necessary and to an extent proportional to the threat; and ○ works to ensure that public security forces do not violate the rights of individuals to freedom of association and peaceful assembly, the right to engage in collective bargaining, or other related rights as recognized by the Universal Declaration of Human Rights and the ILO Declaration on Fundamental Principles and Rights at Work.
20	Describe how the government promotes and enables inclusion of Voluntary Principles language in agreements between companies and public security providers.	<p>This section could include a description of how the government:</p> <ul style="list-style-type: none"> • promotes and enables making security arrangements transparent and accessible

		to the public, subject to any overriding safety and security concerns.
Private Security		
21	Describe government efforts to promote and allow for training of private security providers.	<p>This section could include a description of how the government:</p> <ul style="list-style-type: none"> • promotes and allows adequate and effective training for private security providers, including on international human rights law, international humanitarian law, local and national laws, and international law enforcement principles; and • cooperates as appropriate with companies in developing human rights record of private security providers.
22	Describe how the government develops appropriate policies and oversight for the government’s own use of private security service providers.	

D. Lessons and Issues

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
23	To help determine what best practices and lessons learned can be leveraged going forward, provide a summary of issues from this reporting year, as well as plans or opportunities to advance the Voluntary Principles for the government, (e.g. successful/unsuccessful engagement and implementation; from lessons learnt any changes to future priorities and plans for continued or emerging opportunities).	