

APPENDIX 5.3 – REPORTING GUIDELINES FOR THE NGO PILLAR

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

NGO 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.

The Reporting Guidelines set forth below shall be followed by each member of the NGO Pillar for the first report it submits and each report submitted every three years thereafter (each, a “Full Report”). During the interim years, each member of the NGO Pillar shall be required to submit a report (each, an “Update Report”) which shall incorporate by reference its previous Full Report and provide updates, if any, with respect to any of the sections set out below.

II. NGO PILLAR REPORTING GUIDELINES

The NGO Pillar Reporting Guidelines are divided into five sections:

- (A) Commitment to the Voluntary Principles;
- (B) Procedures;
- (C) Promotion of the Voluntary Principles;
- (D) Country Implementation; and

(E) Lessons and Issues.

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

Note that, for some of the Reporting Guidelines, there are detailed Guidance Notes. 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

Please note that pursuant to Section I above, a Full Report is required to be submitted only once every three years. In all other years, an Update Report is required.

IMPORTANT EXPLANATORY NOTE:

- For a Full Report, your submission should address in detail the matters set forth in the table below.
- For an Update Report, your submission should only address each section *to the extent there has been a material change since your last submission. If there has been no material change, no response is required. Engaging in routine activities or making non-significant changes to documents or processes need not be reported in an Update Report.*

A. Commitment to the Voluntary Principles

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
1	Describe how you have engaged in the Voluntary Principles Initiative over the past year.	<u>Examples:</u> Participate in Pillar calls, working groups, Steering Committee, etc.
2	Describe efforts to increase transparency, both internally and externally, regarding your efforts to implement or support implementation of the Voluntary Principles.	<u>Examples:</u> Internal and external public reports, promoting greater transparency of the Voluntary Principles Initiative as a whole, information on your website, etc.

3	Describe any efforts to engage in dialogue with other participants of the Voluntary Principles Initiative.	<u>Examples:</u> Bilateral dialogue between members, hosting ad hoc calls to discuss specific issues, bringing together stakeholders
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B. Procedures

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
4	Provide a summary of the findings of the verification process as outlined in the NGO Pillar Verification Framework.	This section could include a description of: <ul style="list-style-type: none"> □ how the NGO updates Participants on implementation support via annual reports and periodic presentations, including how the NGO participates in open

		<p>discussions and peer review of implementation; and</p> <ul style="list-style-type: none"> □ any progress on points raised during peer review at the Annual Plenary Meeting or during a call/meeting held by the Verification Working Group.
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C. Promotion of the Voluntary Principles

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
5	Describe your efforts to raise awareness of and promote understanding of the Voluntary Principles with both internal and external stakeholders.	<ul style="list-style-type: none"> □ Describe examples of successful engagement.
6	Describe efforts to engage and facilitate participation of non-member CSOs, affected communities, and other relevant stakeholders in the Annual Plenary Meeting or workshops.	
7	Describe your efforts to promote the adoption of the Voluntary Principles into relevant government or corporate policies, as well as international standards and/or guidelines.	

D. Country Implementation

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
8	Describe efforts to strengthen the rule of law in the countries where you work.	
9	Describe efforts to conduct and monitor risk assessments for potential human rights violations in the areas where you work.	
10	Describe your efforts to strengthen policies, procedures and guidelines related to the implementation of the Voluntary Principles.	

11	Describe your efforts to engage with or support engagement with the public security sectors and/or private security sectors in the countries where you work.	
12	Describe efforts to hold Voluntary Principles participants accountable for upholding their roles and responsibilities as members of the Voluntary Principles Initiative.	

E. Lessons and Issues

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
13	Lessons or issues from this reporting year, as well as plans or opportunities to advance the Voluntary Principles for the organization	