

APPENDIX 5.2 – 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.

The Reporting Guidelines set forth below shall be followed by each member of the Government 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 Government 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.

GOVERNMENT PILLAR REPORTING GUIDELINES

The Government Pillar Reporting Guidelines are divided into four sections: (A) Commitment to the Voluntary Principles; (B) Domestic Policies, Laws, and Regulations; (C) Promotion and Implementation and; (D) Lessons Learned. 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.

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 of the table 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	Statement of commitment or endorsement of the Voluntary Principles.	
2	Statement of commitment to implement National Plan(s) (where applicable) and progress on its implementation.	<input type="checkbox"/> Describe progress on the execution of National Voluntary Principles Action Plan

B. Domestic Policies, Laws, and Regulations

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
3	As related to the Voluntary Principles, describe relevant policies, legislation, procedures, and/or guidelines relevant to promoting and protecting human rights, consistent with international human rights obligations.	This section could include a description of: <ul style="list-style-type: none"> <input type="checkbox"/> how the government abides by its obligation under international human rights law and international humanitarian law, as related to the Voluntary Principles
4	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 extractive companies and public and private security providers.	This section could include a description of: <ul style="list-style-type: none"> <input type="checkbox"/> policies, legislation, regulations, and adjudication; <input type="checkbox"/> security sector reform <input type="checkbox"/> The provision of adequate and effective training for local prosecuting authority and the judiciary; and

C. Promotion and Implementation

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
Promotion of the VPI		
5	Describe how the government publicly communicates its commitment to the Voluntary Principles (e.g., speeches, statements, publicly available reports, conferences, presentations and statements made in multilateral and bilateral forums).	
6	Describe how the government conducts outreach to, and awareness-raising activities with, NGOs, extractive companies, and governments (e.g., build understanding and support for the Voluntary Principles such as through in-country stakeholder meetings) to encourage them to implement the Voluntary Principles and/or join the Voluntary Principles Initiative. Suggest including country specific examples.	<ul style="list-style-type: none"> □ This can include country-specific examples involving the work of embassies
7	Describe how the government promotes the Voluntary Principles within its own government (coordination within and among different government agencies and ministries, as well as with Embassies, etc).	
Implementation of the VPs - General		
8	Describe government engagement in the VPI, including when the government last did a verification presentation, points raised during the peer review about the government, and how the government has responded	<p>This section could also include:</p> <ul style="list-style-type: none"> □ A description of engagement through meetings, open discussions, working groups, dialogue with participants, as well as project-level and plenary-level sharing of information.

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
9	Describe how the government works with companies, communities, and civil society organizations on Voluntary Principles implementation.	<p>This section could also include:</p> <ul style="list-style-type: none"> □ A description of VPs-related project work undertaken by or funded by the government, including how that project work has helped to advance the implementation and use of the VPs. □ How the government promotes local stakeholder engagement and helps to identify risks for violence, including sexual violence □ How the government promotes and enables VPI implementation tools (ex. vetting of private and public security; training; risk assessment; and off-shore drilling) and VPI- affiliated implementation tools (ex. Implementation Guidance Training; DCAF/ICRC knowledge hub; auditing tools; IFC Good Practice Handbook; Child Rights and Security Checklist)
Implementation of the VPs – Risk Assessments		
10	Describe how the Government engages with companies on issues related to company risk assessment.	<p>This section could include a description of how the government:</p> <ul style="list-style-type: none"> □ Engages with companies to help them identify, prevent, and mitigate the human rights risks of their security arrangements; □ Shares security risk information with □ companies, other governments, and civil society

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
Implementation of the VPs – Public and Private Security		
11	Describe how the Government engages with companies around engagement with public and private security forces.	<p>This section could include a description of:</p> <ul style="list-style-type: none"> □ How the government promotes and allows for adequate and effective training for public security providers and/or private security providers, including on international human rights law, international humanitarian law, local, and national laws, and international law enforcement principles. □ How the government cooperates, as appropriate, with companies in developing a human rights record of their private and/or public security providers and their employees. □ How the government has included Voluntary Principles language in agreements between companies and public security providers, if applicable.

D. Lessons and Issues

	<u>Reporting Guidelines</u>	<u>Guidance Notes</u>
12	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.	<ul style="list-style-type: none"> □ Successful/unsuccessful efforts towards engagement and implementation □ from lessons learnt any changes to future priorities; plans for continued or emerging opportunities