

**UPDATE REPORT TO THE VOLUNTARY PRINCIPLES INITIATIVE
JANUARY TO DECEMBER 2020**

Introduction

The Voluntary Principles on Security and Human Rights (VPSHR) and the Voluntary Principles Initiative (VPI) remain important mechanisms for International Alert (hereinafter Alert) in advancing its work on business for peace and promotion of Conflict Sensitive Business Practice (CSBP). This report provides an update of the work that Alert implemented in promoting VPSHR in 2020.

A. Commitment to the Voluntary Principles

| | Reporting Guidelines | Update |
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| 1. | Describe how you have engaged in the Voluntary Principles Initiative over the past year. | -Engaged in various online Steering Committee, NGO Pillar and Impact Assessment Working Group meetings, as well as participated in Steering Group retreats and actively inputted to discussions and processes. - Contributed to the to the development of the <i>Voluntary Principles 101: 10 Step Guide</i> for new members (government and corporate pillar members). Alert developed Step 5 of the document named <i>Engage Your Stakeholders</i> |
| 2. | Describe efforts to increase transparency, both internally and externally, regarding your efforts to implement or support implementation of the Voluntary Principles. | -Reported our work with the VPI and our achievements in promotion of VPs in 2020 in Alert's internal reports. |
| 3. | Describe any efforts to engage in dialogue with other participants of the Voluntary Principles Initiative. | - Participated as part of faculty in the 2020 Anglo American Gamechangers Programme. |

B. Procedures

| | Reporting Guidelines | Update |
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| 4. | Provide a summary of the findings of the verification process as outlined in the NGO Pillar Verification Framework. | N/A |

C. Promotion of the Voluntary Principles

| | Reporting Guidelines | Update |
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| 5. | Describe your efforts to raise awareness of and promote understanding of the Voluntary Principles with both internal and external stakeholders. | -Accompanied some companies in the implementation of VPs through provision of technical advice and review of policies. |

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| | | -Held workshops and training sessions on security and human rights, risk and impact assessments and conflict for large companies to create and enhance awareness on VPs and equip responsible members of staff on ways of handling security related conflicts; and conducted training of trainers to equip participants (from company, private and public security) with skills to effectively train on VPs. |
| 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. | - Alert conducted two training sessions as well as workshops on VPs and Conflict Sensitive Business Practice for small and business enterprises in Kenya that are suppliers and/or interested in supplying goods and services to Tullow. |
| 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. | -Engaged one of our clients (a company operating in the oil and gas sector) with which we had a multi-year partnership on VPs, on incorporating our recommendations on integrating VPs in their internal policies and monitoring their implementation. |

D. Country Implementation

| | Reporting Guidelines | Update |
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| 8. | Describe efforts to strengthen the rule of law in the countries where you work. | Alert conducted research on grievance mechanisms for the oil sector in Kenya and used the report generated to develop a policy brief and engage the national government and the Turkana County Government on grievance handling and effective remediation. |
| 9. | Describe efforts to conduct and monitor risk assessments for potential human rights violations in the areas where you work. | Arising from a risk assessment conducted for Dutch businesses in the Agribusiness Sector in Ethiopia in late 2019, Alert developed a briefing note and a guide on potential risks and risk assessment for these businesses. |
| 10. | Describe your efforts to strengthen policies, procedures and guidelines related to the implementation of the Voluntary Principles. | -As reflected in our response under question 7, we worked with one of our clients to embed VPs in their internal policies and operations and shared with the company all the recommendation we had made to them in this regard from 2016 as well as corresponding action points for monitoring purposes. |
| 11. | Describe your efforts to engage with or support engagement with the public security | Provided input into the proposal by the Myanmar Working Group on developing a legal framework for private security. Our |

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| | sectors and/or private security sectors in the countries where you work. | Myanmar programme also supported the implementation of this work. |
| 12. | Describe efforts to hold Voluntary Principles participants accountable for upholding their roles and responsibilities as members of the Voluntary Principles Initiative. | We have been using the VPs to hold our business partners in the extractives sector that are members of the VPI accountable. This involves engaging them on different provisions of the VPs that in our observation and analysis may not be fully adhered to. |

E. Lessons and Issues

| | Reporting Guidelines | Update |
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| 13. | Lessons or issues from this reporting year, as well as plans or opportunities to advance the Voluntary Principles for the organization | <p>-The VPs have been a useful framework for engaging companies on security and human rights issues as well enhancing accountability and transparency in their operations.</p> <p>- Alert wishes to continue engaging with the VPs and has identified the VPI as one of the key policy spaces that it intends to influence going forward. Additionally, Alert has undertaken to conduct more country level work through engaging additional country programmes on VPs.</p> <p>-Alert also intends to intensify its work with international financial institutions as a strategic entry point for enhancing implementation of VPs by businesses.</p> |