

The Voluntary Principles on Security and Human Rights (VPs)

Developed in 2000

through a multi-stakeholder process.

- ⊕ Initial participants in the process included the U.S. and U.K. governments, extractive and energy companies, and human rights NGOs.
- ⊕ The VPs are the only human rights guidelines customized for the extractive and energy sectors that specifically address security issues and provide practical guidance on implementation.

Provide a framework for maintaining security of operations
while respecting human rights.

- ⊕ The VPs consist of three components that provide guidelines for:
- (1) conducting a comprehensive risk assessment with regard to security and human rights issues;
 - (2) engaging with public security forces, both military and police; and
 - (3) engaging with private security forces.

Risk assessment criteria address a
set of factors that help build accountability.

- ⊕ Reviewing available **human rights records** of both public and private security forces;
- ⊕ Evaluating **rule of law** by assessing the local prosecuting authority and judiciary's capacity to hold human rights abusers accountable;
- ⊕ Conducting a **conflict analysis** by identifying and analyzing the root causes of local conflict and the potential for future conflict; and
- ⊕ Examining **equipment transfers** to security forces to determine the risk of inappropriate equipment use.

Includes comprehensive guidance for
engaging public and private security.

- ⊕ Screen the human rights records of security personnel;
- ⊕ Conduct human rights training programs for security;
- ⊕ Consult stakeholders on their experiences with public and private security;
- ⊕ Include the VPs in security contracts and agreement;
- ⊕ Record and report allegations of human rights abuses; and
- ⊕ Convey guidelines for use of force/force proportional to the threat.

The VPs are widely supported by 36
public, private, and civil sector members.

Participating Governments:

- + Canada
- + Netherlands
- + Norway
- + United Kingdom
- + United States of America

Engaged Governments:

- + Colombia
- + Switzerland

NGOs:

- + Amnesty International
- + The Fund for Peace
- + Human Rights First
- + Human Rights Watch
- + IKV Pax Christi
- + International Alert
- + Oxfam
- + Pact Inc.
- + Search for Common Ground

Observers:

- + International Committee of the Red Cross (ICRC)
- + International Council on Mining & Metals (ICMM)
- + International Petroleum Industry Environmental Conservation Association (IPIECA)

Companies:

- + Anglo American plc
- + AngloGold Ashanti
- + BG Group
- + BHP Billiton
- + BP
- + Chevron Corporation
- + ConocoPhillips
- + ExxonMobil
- + Freeport-McMoRan Copper & Gold Inc.
- + Hess Corporation
- + Marathon Oil Company
- + Newmont Mining Corporation
- + Occidental Petroleum Corporation
- + Rio Tinto plc
- + Shell
- + Statoil
- + Talisman Energy Inc.

The VPs also enjoy support from a
variety of non-members.

- ⊕ A number of companies, mainly Canadian and French, have adopted and implemented the VPs without formally joining the process.
- ⊕ Multilateral institutions such as the IFC and the OECD now reference the VPs in their guidelines and standards.

Implementation of the VPs has achieved
success in the initiative's first 10 years.

- ⊕ All companies are including the VPs in at least some of their contracts, particularly with private security;
- ⊕ A number of companies have conducted VPs-related trainings for public and private security, or other company staff;
- ⊕ Most companies have a process for anonymously reporting human rights abuses and “whistle-blower” protection; and
- ⊕ Companies believe the VPs have caused a noticeable shift in company culture regarding awareness of human rights and security issues.

However, companies acknowledge that there is
more to accomplish in the future.

- ⊕ Increased transparency in the VPs process and implementation efforts, including reporting;
- ⊕ Greater involvement of NGOs and home governments in implementation efforts, especially in engaging host governments; and
- ⊕ Improved guidance for implementation, such as developing specific tools and implementation guidelines, especially with regard to engaging host governments.

Implementation Guidance Tool project launched to improve guidance for implementation.

- ⊕ The final IGT will be a practical tool for companies applying the Voluntary Principles and will provide a common basis for relevant stakeholders for understanding what constitutes good practices of implementation.

- ⊕ Project partners:
 - + International Finance Corporation (IFC)
 - + International Council on Metals & Mining (ICMM)
 - + International Petroleum Industry Environmental Conservation Association (IPIECA)
 - + International Committee of the Red Cross (ICRC)

- ⊕ External consultant selected to develop the tool.

Difficult countries require a multi-stakeholder approach to implementation.

- ⊕ Implementing the Voluntary Principles can prove difficult in certain countries, particularly when engaging with host governments about public security.
- ⊕ Companies are collaborating with their home and host governments, and at times NGOs, to initiate an “in-country process” to integrate the VPs into host country policies and practices.
- ⊕ Such initiatives have been started in Colombia, Indonesia and Peru.

The in-country processes have achieved some success in Colombia and Indonesia.

- ⊕ The Colombian government has agreed to include the VPs in agreements that the state-owned oil company (Ecopetrol) signs with the Colombian armed forces.
- ⊕ The Colombian process also developed a draft set of best practice guidelines for risk assessment and a set of performance indicators, and continues to coordinate a series of on-going best practice exchange workshops.
- ⊕ The success of the Colombia process has hinged on support from Colombian VP Francisco Santos and the country's petroleum industry association serving as a process champion.
- ⊕ Several companies involved in the Indonesian process have signed MOUs with regional police forces.
- ⊕ The Norwegian government funded in-country scoping work in Indonesia and Peru, involving local consultations and workshops and resulting in in-country work plans.

However, the in-country processes
have also met some challenges.

- ⊕ Lack of sufficient international and local NGO involvement.
- ⊕ Difficulty in engaging host country governments, such as disparate levels of understanding and acceptance of the Principles among regional public security forces.