



Security and Human Rights Implementation Mechanism

Annual Report
2019

DCAF Geneva Centre
for Security Sector
Governance
20TH ANNIVERSARY

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1. Introduction

The DCAF Security and Human Rights Implementation Mechanism (SHRIM) is a multi-donor trust fund committed to improving security and human rights on the ground through multistakeholder engagement. The SHRIM builds on DCAF's unique expertise developing international multi-actor mechanisms to support targeted, cost-effective security, development and human rights programming in fragile contexts. The SHRIM promotes donor coherence and supports the implementation of international initiatives in the field of business, security and human rights.



SHRIM Countries of Operation

The SHRIM was set up in 2016. Since then, it has implemented projects with an impact in 26 countries. The DCAF-based Secretariat provides donors with quarterly monitoring reports and a consolidated annual narrative progress report. The present annual report focuses on SHRIM activities during 2019.



Secretariat

The SHRIM Secretariat is based within DCAF's **Business and Security Division**. The Secretariat consists of a Programme Manager who oversees the implementation of projects and ensures coherence. A finance officer monitors that funds and budgets are used according to DCAF's rules and regulations and donors' requirements. The head of DCAF's Business and Security Division provides strategic leadership and advice. Additional DCAF staff are involved as required depending on the skills and knowledge needed to support project implementation.



Tools



The SHRIM has adopted **Terms of Reference**, which underpin the functioning of the mechanism. The SHRIM applies DCAF's **Result Based Management** system and well-defined administrative and financial procedures. An audit of the first phase of SHRIM activities was conducted successfully in 2018.

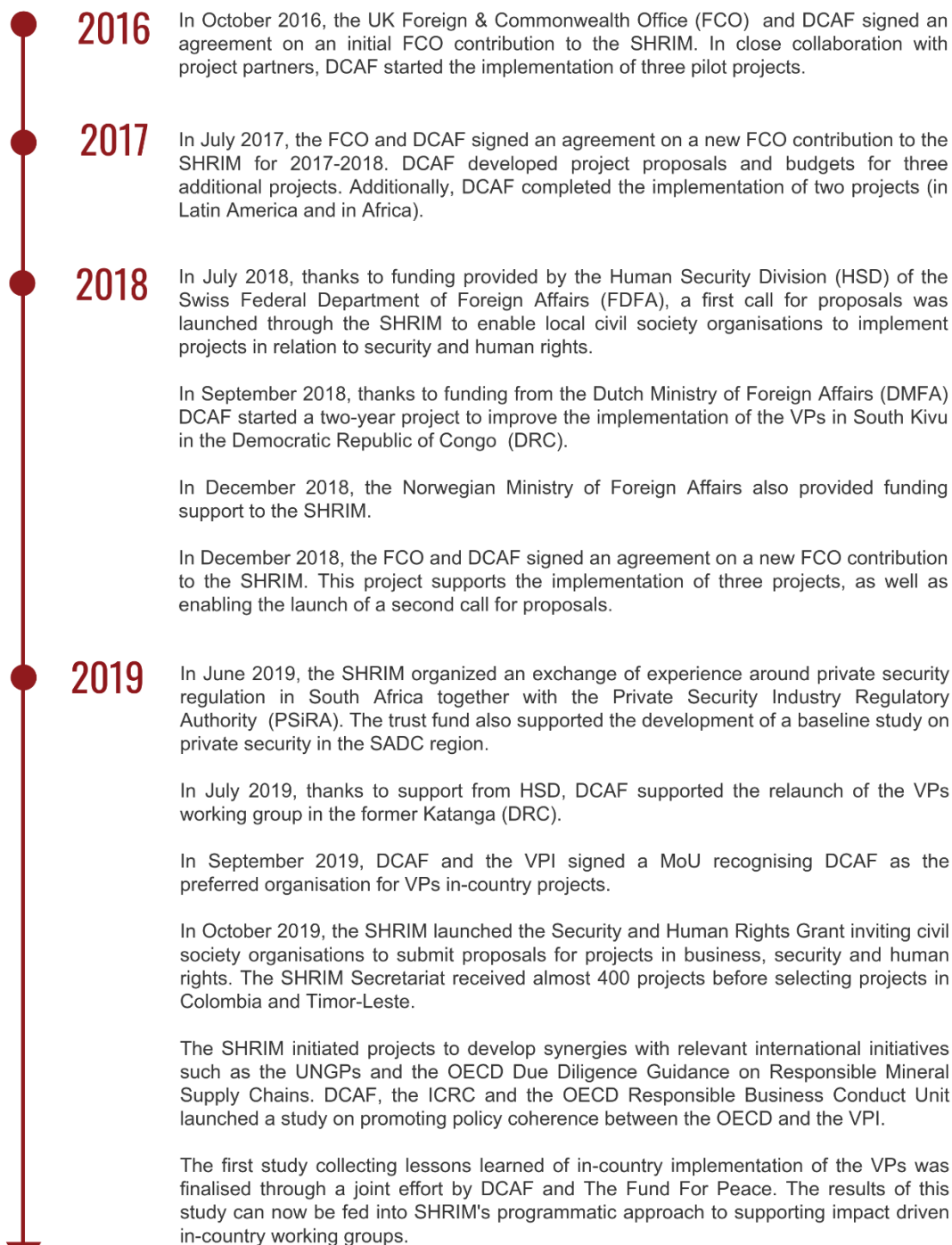
SHRIM communication materials can be found on the DCAF-ICRC **Security and Human Rights Knowledge Hub**. The Knowledge Hub is an interactive platform that allows stakeholders to find good practices on security and human rights. An updated Hub will be launched in mid-2020.

Results

In 2018, the donor base of the SHRIM expanded with **Switzerland**, **The Netherlands** and **Norway** joining the United Kingdom in the trust fund. In the the same year, the **International Committee of the Red Cross** also joined the SHRIM as an observer. In 2019, active discussions started with Germany to enter the SHRIM as a donor. The SHRIM was also identified as a **preferred mechanism for In-Country Implementation of the Voluntary Principles** by the Voluntary Principles Association.

Total donors contributions are increasing, totalling CHF 1.57 million since 2016. The SHRIM currently has 10 ongoing projects.





2. Projects



2.1. Peru: Improving Voluntary Principles Implementation – National Level

Overview

The national working group on business, security and human rights was created in Lima in 2010 on the initiative of NGOs and companies in a context of growing social conflicts in Peru. Since its creation, the WG has been a space for discussion and reflection on the Voluntary Principles among government, company and civil society stakeholders. The group is currently led by the Institute of Democracy and Human Rights of the Pontifical Catholic University of Peru (IDEHPUCP), which has assumed the Secretariat in 2019. Since its creation, the WG has been driven by a Steering Committee (*Grupo Impulsor* - SC), a 10-member group, which meets regularly, decides priority issues and establishes the yearly workplan. The decisions and topics determined by the SC are subsequently addressed during meetings of the Expanded Group (EG), which convenes at least 5 to 6 times a year and involves around 40 institutions. The meetings of the Expanded Group are also an opportunity to invite experts and discuss current challenges and opportunities related to security and human rights in Peru. Due to the significance of the Peruvian mining sector, the SHRIM supports linking Peruvian stakeholders to multilateral dialogues like the VPs. In a multi-year approach that prioritizes sustainability, the SHRIM supports the working group by providing capacity building, supporting the identification and development of priorities and activities, and ensuring inclusive membership.

In 2018, the third Peruvian National Human Rights Plan was launched, including for the first time a guideline on the topic of business and human rights and identifying the elaboration of a National Action Plan on Business and Human Rights (NAP) as one of its goals. The Ministry of Justice and Human Rights (MINJUSDH), responsible for this process, expressed the need for technical support to the NAP process. Considering this request as well as the important linkages between the VPs and the UNGPs, the WG decided to expand its approach and include linkages with the UNGPs and the NAP in its 2019 workplan and activities. The 2019 strategic objectives of the Working Group were therefore defined as following:

- i) Dissemination and capacity building on VPs and UNGPs;
- ii) Promote multi-stakeholder dialogue ensuring a balanced presence from the three pillars;
- iii) Support the VPs and UNGPs implementation through participation in the NAP.

2019 Activities



Coordination of the Working Group: In 2019, the SHRIM supported the Working Group in adopting a change in approach and developing the linkages between the VPs and the UNGPs. In line with this new identity, the National Working Group changed its name and adopted a new visual brand. The group was renamed “Working Group on Business and Human Rights: Voluntary Principles and Guiding Principles” (see the new logo above). In the first half of 2019, the Secretariat focused on outreach to new members and established - together with the SC - a workplan encompassing this new approach.

At the beginning of 2020, WG members took the opportunity to discuss the workplans, activities, main objectives and strategies. This enabled the WG to replace the members who had left the SC in 2018. In May 2019, the University Antonio Ruiz de Montoya (UARM) replaced the Asociación Pro Derechos Humanos (APRODEH). The National Society of Mining, Oil and Energy (SNMPE) became a member of the SC in December 2019 to reinforce the corporate pillar. In total, the SC is composed of the following members:

- Government pillar: Ministry of Justice and Human Rights (MINJUSHD – the ministry responsible for the NAP process);
- Civil society pillar: IDEHPUCP (Secretariat), Centro de Estudios y Promoción del Desarrollo (DESCO), UARM and Socios Perú;
- Company pillar: Yanacocha-Newmont, Anglo American and SNMPE;
- Observers: embassies of Switzerland, the UK and the Netherlands.

The WG SC met seven times in 2019.

During 2019, the following institutions participated in the Extended Group’s meetings:

- Government pillar: Ministry of Justice and Human Rights (MINJUSHD – the ministry responsible for the NAP process), Ministry of Interior, Ministry of Labour, Ministry of Energy and Mines, National Superintendence of Control of Security Services, Weapons, Ammunition and Explosives for Civil Use (SUCAMEC);
- Civil society pillar: IDEHPUCP (Secretariat), *Centro de Estudios y Promoción del Desarrollo* (DESCO), UARM, CEMS – Universidad del Pacífico, Instituto de Defensa Legal (IDL), Pro Dialogo, Oxfam, Socios Perú, SER, *Grupo de Diálogo Minería y Desarrollo Sostenible*, APRODEH, Perú Equidad and National Superintendence of Higher University Education (SUNEDU) as new member;
- Company pillar: Gold Fields, REPSOL, Yanacocha-Newmont, Anglo American, SNMPE, Cerro Verde and Nexa Resources;
- Observers: International Committee of the Red Cross (Peru Delegation), embassies of Switzerland, the UK, the Netherlands, the United States of America and Canada. A delegate of the European Union also participated.

Capacity building and sensitisation: In 2019, the extended working group met three times, and prioritised the following topics:

- Social conflicts in Peru (management and prevention);
- The first Peruvian NAP and its relevance for WG members as well as the related challenges related to its development;
- Protests linked to extractives.

Linkages with other initiatives and contribution to the National Action Plan on Business and Human Rights: The WG developed a guidance document highlighting the linkages between the VPs and the UNGPs. Thanks to support provided by the UK Embassy, IDEHPUCP undertook a diagnostic study on security and human rights in Peru that identifies gaps and opportunities in the implementation of the UNGPs. This study focuses on the use of public security, the provision of police services to companies and how private security is used around extractives sites. The study explores these topics in the three regions identified by the Ombudsman's Office as those with the highest rate of social conflicts in the last ten years: Ancash, Puno and Cajamarca. The SHRIM is currently supporting the dissemination of the results through the development of an online course on the VPs and UNGPs. In 2019, the WG began gathering consolidated inputs on including security and human rights in the NAP and will present it to the MINUSJDH before the end of 2020.

Linkages were established with other entities working on business and SHR in Peru, such as the *Grupo de Diálogo Minería y Desarrollo Sostenible*. The *Grupo* participated in a SC meeting and a common agenda was set. The WG's Secretariat also held a panel on security and human rights in Peru during the annual Congress of the *Grupo* in November 2019.

In November, IDEHPUCP participated actively in the annual UN Business and Human Rights Forum in Geneva and presented the work of the WG to SHRIM donors, VPI members and DCAF. IDEHPUCP promoted the WG's activities and highlighted the important results of joining the dots across relevant multilateral initiatives in Peru. IDEHPUCP also participated in an experience sharing workshop organized by the SHRIM Secretariat, together with a representative of the Regional WG in Cusco, the Co-chair of the Nigerian National VPs Working Group and the South Kivu Regional WG.

Milestones/Indicators

Intermediate Outcome: Increased dialogue and sharing of good practices between regional stakeholders leading to concrete strategies and approaches to address security and human rights challenges.

	Output	Indicator	Baseline	Results
2019	Working Group meets on a regular basis	Meetings organized	4 (2018)	7 meetings of the SC and 3 meetings of the EG organised in 2019
	Working Group expands its approach to incorporate the UNGPs to	New members participate in the group The WG contributes to policy dialogue at the national level	N.A. N.A.	2 New members of the SC (UARM and SNMPE) and 1 new member of the EG (SUNEDU). The Secretariat is currently developing an online course to support capacities of stakeholders involved in the NAP process.

Impact

Social conflicts resulting from security and human rights grievances around extractive operations are significant in Peru.¹ Attempts to address and resolve these conflicts are stymied by limited dialogue between the government, CSOs and company representatives. The WG's focus on promoting a safe space for discussion and exchange on a national level is crucial in this context. The WG has established itself as a platform for dialogue, enabling candid discussion on root causes of issues causing social unrest and ensuring direct feedback to company representatives. In 2019, the WG has also significantly enlarged the discussion space to include new stakeholders such as the *Grupo*. Finally, by connecting to the UNGPs as well as the VPs, the working group is contributing important security and human rights elements into the NAP process.

Next Steps

With COVID-19 heavily affecting Peru, the WG has continued to meet online and plan activities adapted to this extraordinary situation. In 2020, the SHRIM will support the working group in promoting security and human rights good practices linked to extractive operations as well as reinforcing linkages with other initiatives. A key priority will be to support the WG in providing inputs to the Peruvian NAP process on the VPs, that due to the COVID 19 pandemics, will only be finalised at the end of 2020.

The WG is considering proposing a SHRIM project on media, security and human rights, and how to engage constructively with journalists reporting on security and human rights challenges.

2.2. Peru: Improving Voluntary Principles Implementation – Regional Level

Overview

In 2017, members of the national WG recommended to work at a more operational level to support VPs implementation in one of the main extractive areas of the country: the Macro-Southern mining region (Macro Sur). The SHRIM supported the establishment of the Regional Working Group in Cusco (RWG) in August 2017. The initial core constituency group (*Grupo Impulsor* or steering committee) consisted of regional representatives of the Ministry of Production, the Peruvian National Police (PNP), three mining companies (MMG, Glencore and First Quantum), and two civil society organisations (Centro Guamán Poma and Socios Perú). The Ministry of Foreign Affairs participated as an observer. The RWG also carried out workshops, trainings and capacity building events including for the police on the prevention of social conflicts.

During 2018, regional elections resulted in a turnover of most WG members from the public sector. Several members of the WG from the private sector were also replaced in the course of the year, which created constraints on the activities of the working group, as most of the new members were not acquainted with the VPs. Moreover, in 2018 social protests linked to extractive operations increased, with authorities ordering a state of emergency in the *corridor minero* (the highway that connects the main mining projects of the *Macro Sur*). This development confirmed the importance and necessity of the RWG in the region.

¹ Peru's Ombudsperson reported that in November 2019, there were 134 active and 51 latent social conflicts in Peru. By region, Áncash had the most conflicts (22) followed by Cusco (18) and Loreto (15), while the majority were related to socio-environmental aspects (68.1%) and mining (64.3%). <https://www.defensoria.gob.pe/adjuntia/prevencion-de-conflictos/>; For further context, see Statement at the end of visit to Peru by the United Nations Working Group on Business and Human Rights, 19 July 2017, <https://www.ohchr.org/en/NewsEvents/Pages/DisplayNews.aspx?NewsID=21888&LangID=E>.

To further ensure local ownership and implementation, in 2019, the coordination of the RWG shifted from Socios Peru to the local NGO Centro Guamán Poma de Ayala (Guamán Poma) based in Cusco. During the first half of 2019, DCAF, Socios Peru and Guamán Poma worked together to define a new strategy and build up capacities of the RWG. DCAF, Socios Peru and Guamán Poma focused on the following three workstreams:

1. Strengthening the RWG as a space for dialogue on security and human rights and their linkages with extractive operations in the region, with a balanced presence from the three pillars;
2. Promoting sensitisation and capacity building of security actors on security and human rights;
3. Developing capacities of local media outlets and networks of community journalists on social conflicts, security and human rights to support the development of a constructive public debate around these topics in the Macro-Southern region.

Guamán Poma organized a first meeting of the Regional Working Group under its leadership in November 2019.

2019 Activities

Coordination of the RWG: To ensure a balanced representation of the three pillars in the group (government, CSOs and companies), the Secretariat mapped potential stakeholders for membership. As a result, the Secretariat reached out to the Ministry of Interior in Cusco and government entities that are linked to the environment and water management. These entities play a crucial role as most of the social conflicts connected to extractives in the region are labelled as “socio-environmental conflicts” by the national Ombudsman Office (*Defensoria del Pueblo*).

Due to the sensitive situation in the Macro Sur region, the Secretariat strategically decided to first meet in a smaller group for planning and coordination purposes. The group was composed of the Government of Cusco, Peruvian National Police, Universities (UNSAAC and UAC), Socios Peru and Guamán Poma.

The larger group met in January 2020 with the following participants:

- Government pillar: Cusco’s Regional Government, Environmental Evaluation Organism (OEFA - Organismo de Evaluación y Fiscalización Ambiental), National Water Authority (ANA), Ministry of Interior (Cusco), Dirección Desconcentrada del Ministerio de Relaciones Exteriores (decentralized direction of foreign relations)
- Civil society pillar: Socios Perú, Guamán Poma, Universidad Nacional San Antonio Abad de Cusco – UNSAAC, Universidad particular Andina de Cusco – UAC, Red de Comunicadores Sociales (Network of Social Communicator), Colegio de Periodistas de Cusco.
- Company pillar: Las Bambas MMG.

Media Focus: The Secretariat has been in contact with networks of community and professional journalists and is planning to develop a media training on social conflicts, security and human rights. Preliminary meetings with the media networks have been organized. In parallel, Socios Peru initiated the development of a training manual for community journalists on how to report on social conflicts.

Milestones/Indicators

Intermediate Outcome: Increased dialogue and sharing of good practice between regional stakeholders leading to concrete strategies and approaches to address security and human rights challenges.

	Output	Indicator	Baseline	Results
2017	Establishment of a Regional Working Group in the Macro Sur Region	Group established with at least three meetings in a year	0	Working group established in 2017
2018	Working Group meets on a regular basis	N° of meetings	0	4 meetings organised in 2018
	Adoption of a yearly working plan for the group	Submission of a plan by the group coordinator	0	A working plan was adopted for 2019
2019	Working Group meets on a regular basis	N° of meeting	4 (2018)	1 meeting organised in 2019. Further meetings planned for 2020.
	New members of the WG	N° of members	0	6 new members in 2019
	Media training	N° of training N° of participants (disaggregated by gender and media experience: professional or community journalists)	0	Ongoing- training postponed due to COVID19

Impact

SHRIM projects with the RWG have been impacted severely by the sensitive context on the ground. February 2019 marked over 200 days of tension in the Macro Sur region, with human rights defenders labelling it 'the most worrying conflict' due to its persistence.² As a result, the current phase of the project with Guamán Poma was not kicked off until September 2019. However, the RWG has reinstated activities and with the new configuration of members, the media guidance developed, and a concrete workplan elaborated, the RWG is on solid footing to re-invigorate the discussion on security and human rights challenges.

Next Steps

In 2020, Guamán Poma will work together with DCAF and Socios Peru to increase the number of participants in the working group. Moreover, the working group will jointly identify priorities and activities for 2020. Due to the COVID 19 pandemic, the project will continue with slightly adapted activities. Several one-day-training modules for local journalists (both professional and community journalists) will be organized through online webinars.

² Observatory of Mining Conflicts of Latin America (OCMAL), Special report : More than 200 days of tension in the mining corridor, 18 March 2019, <https://www.ocmal.org/ocmal/>.

2.3. Kenya: Training for Public Security Forces Assigned to Areas of Extractive Operations



Left: a participant receives the commandant certificate; Right: training participants in the 'tower' exercise; Right: CIPU representatives opening the course (Danish Demining Group)

Overview

In 2012, oil companies discovered significant commercial oil reserves in Kenya's Turkana region, with an estimated 560 million barrels projected to be exported. The Turkana region has been characterised by under-development, perennial drought and inter-ethnic conflicts. Community expectations related to the benefits of the oil discoveries led to violent protests against companies. Civil society cited inadequate community engagement by the government and companies in recent years, as well as a lack of transparency surrounding transactions, leading to social conflicts in the region. The increased use of private security providers by extractive companies in the area and the deployment of armed national police created risks associated with use of force in clashes with demonstrators. Indeed, public security forces assigned to extractives operations with limited knowledge of human rights principles can present a major security and human rights challenge.



Left: Feedback from participants after practical sessions; Right: CIPU representatives opening the course (Danish Demining Group)

Beginning in 2017, DCAF worked in partnership with Safestainable and Tullow Oil in order to develop a three-day training course entitled “Service with Dignity” focusing on police roles, responsibilities, ethics, and professional practices drawn from National Police Service (NPS) policies and best practices. After extensive engagement with stakeholders and based on a training need analysis, the project culminated in the organisation of four trainings of mixed groups of officers from the Kenya National Police Service (KPS), including members of the Critical Infrastructure Protection Unit (CIPU).

2019 Activities

A train-the-trainer session was organised in Nairobi in January 2019. The Kenyan police now has a pool of 16 instructors to carry out human rights trainings on the ground. In order to monitor the first training of the instructors, the project will further support roll out trainings in several regions in Kenya.

In May 2019, a delegation from DCAF and Safestainable travelled to Nairobi to secure high-level buy-in for the project from the Kenyan Police and to follow up on the organisation of the roll out trainings with all project partners. Following this mission, the Kenyan police sent a letter to the British High Commission to acknowledge DCAF and Safestainable for the quality of the trainings and request additional support.

Following this training of trainers, four roll out trainings were organised in Kenya: Turkana, Isiolo, Kisumu, Nakuru. A fifth training in Machokos is planned for early 2020. The trainings were delivered by the new instructors, under the supervision of the Danish Demining Group (DDG) who provided extensive feedback to the new instructors. Overall, feedbacks from the police was extremely positive on the quality of these trainings.

In total, thanks to this project, a pool of 16 Kenyan Police instructors are fully trained to provide human rights trainings to their counterparts. During these roll-out sessions, 80 police officers were trained (58 men and 22 women). According to the results of tests undertaken before and after the training:

- 98% of the trainees expressed that their knowledge on maintaining public confidence and trust has improved as a result of the training;
- 90% of the trainees expressed positive change in their understanding of when force can be used as a result of the training;

- 100% of the trainees stated that their understanding of communication skills to de-escalate tense situations has improved as a result of the training.

Milestones/Indicators

Intermediate Outcome: Improved awareness on the VPs of Kenyan National Police Critical Infrastructure Protection Unit (CIPU)

	Output	Indicator	Baseline	Results
2017	Training needs are identified, allowing to tailor training programmes accordingly	Training needs analysis report	0	1 training needs analysis report finalised by April 2017
	Improved training of public security forces assigned to their operations	Number of police officers trained	0	A total of 85 Kenyan police officers assigned to extractive operations in the Turkana region, trained by December 2017 with buy-in and financial contribution from Tullow Oil
2018	Improved training of public security forces assigned to their operations	Number of police instructors trained	0	16 instructors trained in 2019
2019	Improved training of public security forces assigned to their operations	Number of police instructors trained	0	96 police officers trained in the course of the year. A pool of 16 instructors is available to continue training their colleagues

Impact

The project has already led to positive behaviour changes from the police located in Turkana, and improved relations between the police, the company and the community. This project was timely as a police reform process was put in place in Kenya in 2018. As a result, the CIPU will have an increased role and responsibilities in providing security for different industries and critical infrastructure sites in Kenya. DCAF and its partners have developed constructive relations with the police authorities at a senior level, generating strong interest in additional trainings and capacity building for their new officers. In June 2019, the head of CIPU and the head of the training directorate wrote a letter to the UK High Commission, recognizing the added value of the project and requesting the project continue to increase the pool of instructors.

In early 2020, Tullow announced it would be reducing their investment in Turkana region. Due to this as well as the COVID19 lockdown, in-country activities are paused. However, funding opportunities are being pursued to ensure the sustainability of the project.

Next Steps

A last training in Machokos is scheduled for early 2020. Due to the recent police reform process, the number of CIPU officers will soon reach 10,000 officers. Given this expansion, DCAF is currently in contact with the Police authorities to determine how best to respond to their request for additional support. During preliminary discussions with the police, they indicated that *a priori* they would be willing to cover costs in relation to the roll out of the trainings, if the SHRIM can contribute to increase the pool of instructors.

2.4. Collecting Lessons Learned for In-Country Implementation of the Voluntary Principles on Security and Human Rights

Overview

Implementation of the VPs is currently being undertaken by oil, gas, and mining companies in approximately 100 countries. At the same time, these efforts are often carried out in isolation from any broader, community- or national-level implementation that would involve governments, civil society, or affected communities, with limited knowledge sharing across stakeholders. Implementation support has only been undertaken in a coordinated fashion in a select few countries, notably Colombia and Peru, which both have well-developed processes, the Democratic Republic of Congo (DRC), which at the time only had a national Working Group in Kinshasa and a regional Working Group in the former province of Katanga, and Indonesia, where a less successful process was attempted several years ago. In 2016, the VPI made wider national-level implementation a key priority for the Initiative's strategic plan. In doing so, the VPI identified three countries that would be the focus of "In-Country Pilot Working Groups", namely Ghana, Nigeria, and Myanmar.

As the VPI strategy 2020-23 is clearly linked to support for in-country implementation, there is an evident need to gather best practices. In 2018, the SHRIM supported a study, developed jointly by DCAF and Fund for Peace (FFP) to respond to a clear knowledge gap and lack of research on good practices in relation to the development of in-country working groups.

Activities in 2019

DCAF and FFP conducted extensive field and desk research from April 2018 to March 2019. The research team conducted a desktop review of existing literature, followed by a series of Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs) with individuals identified as having extensive current or historical knowledge of VPs in-country processes. DCAF led in-person KIIs in Bukavu, D.R. Congo, and in Lima and Cusco Peru; meanwhile, FFP conducted in-person KIIs and FGDs in Accra, Ghana, Abuja and Port Harcourt, Nigeria, and Yangon, Myanmar.

At the end of 2019, DCAF and FFP finalised the study and companion guidance tool: **From Commitment to Impact: Experiences of Local Working Groups on Business, Security and Human Rights**. The guide offers practical checklists of lessons learned and specific recommendations.

The report analyses the evolution of in-country processes:

1. The Implementation Environment — the situation in a country prior to formal engagement by the VPI or the development of an ICWG.
2. Setting-Up ICWGs — the phase during which the idea of establishing an ICWG is pursued and a group begins to take form.
3. Growing ICWGs — the phase after the establishment of an ICWG at which point the group begins to grow and expand and focuses on substantive goals and objectives.
4. Sustainability of ICWGs — the phase during which the group begins to develop a certain permanence.

Milestones/Indicators

Intermediate Outcome: Improved capacity of both existing and future in-country Working Groups to implement the VPs at the national level.

	Output	Indicator	Baseline	Results
2019	The study is developed and disseminated with VPs stakeholders.	Number of existing Working Groups using the findings/study	0	The study is being used in the development of 2020 project proposals by 2 Working Groups: Peru and Lualaba, DRC
	An online repository of existing resources is developed.	Number of country pages created	0	The study is integrated into the development of the new Knowledge Hub in 2019 / 20.
	Lessons learned and good practices are shared with VPI stakeholders	Number of presentations	0	Preliminary findings shared during the 2019 VPI plenary. Findings of the study shared with the working group in Myanmar in February 2019.

Impact

The study has created an objective and empirically grounded analysis of VPs implementation which is being used to shape the future approach of the VPI, ensuring results-oriented support to working groups.

Next Steps

In 2020, the study and guide will be translated to French and Spanish. Several launch events are planned to disseminate the Study's findings. Country pages on the DCAF-ICRC Knowledge Hub will be developed in 2020.

This important study will also be used to operationalise the DCAF-VPI Memorandum of Understanding and to drive results-based support to in-country working groups. The study is being used by the Voluntary Principles Initiative to drive the 2020 In-Country Working Groups Roadmap Consultation. The targeted recommendations of the study will be used by members of the VPI to further support ongoing and future working groups. Building on the findings of the study and implementing its recommendations, DCAF is supporting the development of a new working group in Lualaba region, DRC. With the province's importance for cobalt, as well as its significance in the artisanal mining context, both the demand and the need for a multi-stakeholder forum is clear.

2.5. DRC: Improving the Field Implementation of the Voluntary Principles for Security and Human Rights

Overview

In the DRC, field implementation of the VPs is active but relatively limited considering the importance of the extractive sector for the DRC economy. While the DRC is not currently a member of the VPI, working groups have been set up: a national VPs working group has been established in Kinshasa and regional working groups have been set up in Lubumbashi and Bukavu. While these are important steps, more needs to be done to ensure that a constructive dialogue on security and human rights is held among key stakeholders.



Police Training in Bukavu, DRC, December 2019 (Safestainable)

Two workshops were organized in Lubumbashi and in Goma to promote the VPs in November 2017. Following the workshops, a number of recommendations were adopted to hold more regular and open dialogue to ensure that all pillars work together for the prevention and response to risks in relation to security and human rights. Challenges concerning the management of public and private security were particularly prominent.

Following the recommendations from this workshop, two SHRIM projects were initiated in 2018 to support VPs implementation in the province of South Kivu and in the former Katanga. The South Kivu-based project is implemented in partnership with a local NGO, *Observatoire pour la Gouvernance et la Paix* (OGP), and the project in the former Katanga region with the Lubumbashi-based organisation *Justicia Asbl*. Both projects support the respective VPs working groups to foster regular dialogue, enabling implementation of concrete recommendations to improve the management of security and human rights by actors in the mining sector. A second component is the reinforcement of the capacities of the mining police, through the organization of a human rights-based training of trainers.

Activities in South Kivu in 2019

Throughout 2019, the South Kivu Working Group has met on a monthly basis to jointly discuss and address security and human rights related incidents. The WG was supported by DCAF through thematic inputs on security and human rights as well as conducting human rights sensitisation missions for security actors. To ensure that progress takes place, the meetings always followed an agenda that includes follow up to previous human rights abuses or other incidents for which the WG has provided recommendations. In addition, they include a thematic input and exchange of information about new cases and new recommendations.

Working group members have identified that it was crucial to conduct field missions to sensitise public security forces about human rights sensitive security practices as well as monitor the situation on the ground. Thanks to SHRIM support, the working group was also able to increase the number of field visits in the second part of the year. This considerably increased the impact and reach of the working group.

In addition to its conflict prevention role, the working group recorded several successes in relation to the mitigation of security incidents in the vicinity of mining zones. The working group has contributed to the de-escalation of conflicts between mining cooperatives, raised the awareness of the Congolese army (FARDC) around the VPs and other related initiatives to ensure that the army presence is consistent with national and international law, and that any abuse committed by FARDC elements in relation to mining activities is reported and acted upon. During sensitisation missions, the working group has played an important role conducting sensitisation missions to raise awareness on the Voluntary Principles while acting as a neutral mediator between the State and armed groups, specifically on issues of demobilisation.

In December 2019, a milestone was reached with two successful rollouts of a three-day VPs Mining Police training for nearly 70 participants. Thanks to an in-depth needs assessment of the South Kivu Mining Police, a curriculum was developed which addresses the lack of coordination among the mining sector's key stakeholders. This lack of coordination and dialogue is often at the root of security and human rights risks. Not only police officers but also key stakeholders from artisanal mining cooperatives and the Ministry of Mines participated in the training.

Activities in Haut Katanga & Lualaba in 2019

The SHRIM project to re-dynamise the Working Group in Lubumbashi was launched in July 2019. Together with Justicia Asbl, an NGO that provides the secretariat for the Working Group, a strategy for the Working Group was developed. Based on a stakeholder mapping and targeted outreach, new stakeholders were mobilised to participate in the activities of the WG. This effort was timely as in June 2019, the national army was sent to two large scale mining sites in Haut Katanga and Lualaba to dislodge artisanal miners that were operating on large scale mining (LSM) sites without authorisation. This event led to violations committed by the security forces.

After the project kick-off in July 2019, the WG met 5 times, once each month until the end of the year. In addition to regular meetings, WG members also organised missions to monitor the situation on the ground and sensitise actors on good practices. This has led to the de-escalation of incidents and risks including cases of unlawful arrests by security actors. While the group is active, additional capacity building support is necessary to engage more widely, including in relation to mining operations owned by Chinese shareholders.

In order to reinforce the implementation of the VPs on the ground, in 2019 DCAF participated in a mission to the DRC (Kinshasa, Lubumbashi and Kolwezi) involving the Swiss Government, the ICRC, the China Chamber of Commerce for Metals Minerals and Chemicals (CCCC) and the OECD.

Following this visit, the DRC government expressed its willingness to officially join the VPI as an engaged government.

Milestones/Indicators

Intermediate Outcome: Stakeholders in the DRC effectively implement better security and human rights practices³

	Output	Indicator	Baseline	Results
2018	Set up and continuous functioning of a VPs Technical Working Group	Number of working group set up and operational	1 in Lubumbashi, but meeting on an ad hoc basis	1 Working Group created in South Kivu
	Outreach about the work of the group at the provincial, national and international level	Exchange at the national and international level	0	0
	Reinforce human rights performance by the Mining Police	Number of police officers trained	0	0
2019	Set up and continuous functioning of a VPs Technical Working group	Number of working group set up and operational	1 in Lubumbashi, but meeting on an <i>ad hoc</i> basis, 1 in South Kivu	The working group in Lubumbashi is active and holding meetings The South Kivu working group has an active Secretariat, growing membership and undertakes continuous oversight of the mining police.
	Outreach about the work of the group at the provincial, national and international level	Exchange at the national and international level	0	Experience sharing between the working groups of South Kivu and Katanga 1 in-person workshop and experience sharing session organised between VPs secretariats and members from DRC, Nigeria and Peru organised by DCAF in Nov 2019 Work of the South Kivu Working group presented during the OECD Forum on Responsible Supply chains in April 2019 and VPI plenary in March 2019
	Reinforce human rights performance by the mine police	Number of police officers trained	0	66 participants to a police training in December 2019, including 4 women

³ For the purpose of this report, only a limited number of indicators were included. Further indicators are used and reported quarterly to the project donor.

Impact

The WGs in Bukavu and Lubumbashi have demonstrated significant added value in prevention and responses to security and human rights risks. Thanks to capacity building and close coordination between DCAF and the Secretariats, important security and human rights risks have been identified, providing recommendations on how to mitigate them. In several cases, the intervention of the WGs was crucial in order to resolve security issues that could have escalated further, causing harm to local communities and impacting negatively on company operations.

Next Steps

In 2020, SHRIM will continue to support the operations of the working groups in Bukavu and Lubumbashi. To reinforce the impact of the Mining Police Training, the curriculum will be developed into a Train-the-Trainer to be rolled out across several provinces in the DRC. Moreover, the South Kivu Working Group will conduct Mining Police monitoring missions across the province to assess impact and document challenges persisting after the training. Moreover, DCAF will support the launch of another working group in Kolwezi, in the copperbelt, where significant LSM operations are taking place.

In the course of 2020, DCAF will work together with the Swiss government and other members of the VPI to support the DRC government in their accession to the VPI, notably helping the government to draft an action plan for the implementation of the VPs in the DRC. This will add an important political dynamic to ongoing VPs implementation efforts.

2.6. Promoting policy coherence between the OECD and the Voluntary Principles

Overview

Initiatives that promote voluntary principles, standards and good practices can complement and reinforce national efforts toward responsible business conduct. However, it is important that such initiatives reinforce each other, capitalizing on complementarities and synergies in order to improve their overall reach and impact. This SHRIM project explores the relationship between the VPs and the OECD's "Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas" (hereafter "OECD Guidance"). It analyses in terms of both policy and practice how the linkages and associated impacts can be improved.

The study finds that the VPI can increase its impact and broaden its outreach through linking more closely to the OECD Guidance initiative. When they first emerged in 2000, the VPs addressed the security practices of large-scale extractive operations. The VPs underline the importance of identifying security risks and human rights risks related to mining operations, as well as ensuring security providers act in a manner that respects human rights. The OECD Guidance introduces the implementation of the VPs as one of its policy requirements. The VPs, as a result, reach beyond large-scale mining (LSM) operations to artisanal and small-scale mining (ASM) operations. The OECD Guidance also links the VPs and applies it to all points along the extractive supply chain that require security, such as transport routes, trading hubs and export facilities. Similarly, the OECD Guidance is shown to be of relevance not only to ASM, but also to LSM. A closer engagement between the VPI, which includes major LSM actors, and the OECD would be an opportunity to reinforce the implementation of the OECD Guidance by LSM. This presents opportunities for collaboration between stakeholders who have previously worked in silos on the VPs and the OECD.

Activities in 2019

A specialised consultancy, Synergy Global, was commissioned to carry out the “Study on promoting policy coherence between the OECD and the VPI”. Synergy carried out desk research and several interviews. The first draft of the study was then further developed and refined by DCAF, the OECD and the ICRC. The study is slated for finalisation in mid-2020.

Next Steps

The study will be launched in 2020. The OECD, DCAF and the ICRC will engage with the main stakeholders in order to promote implementation of the recommendations of the study, both at the global and national levels.

2.7. Colombia: Cadenas de Paz

Overview

This project was selected following the first SHRIM call for proposals launched by DCAF in 2018. This grant provides support to the Alliance for Responsible Mining (ARM) to implement its CAPAZ (*Cadenas de Paz*) programme, which seeks to demonstrate that Colombian artisanal miners can produce minerals according to the OECD Guidance as well as the VPs requirements, while generating confidence in national and international markets.

Through this project, ARM has conducted an in-depth risk-analysis related to due diligence in the region of Antioquia, to elaborate risk mitigation strategies, and find opportunities to connect to the markets while creating transparent and legal supply chains. The project has drawn on the CRAFT Code (Code of Risk-mitigation for artisanal and small-scale mining engaging in Formal Trade). A further focus has been on fostering inter-regional exchange and improved public-private cooperation in the mitigation of risks linked to artisanal and small-scale mining (ASM) in Colombia.

Activities in 2019

After a first feasibility study, the risk assessment was carried out through field research in five municipalities of Antioquia. One of the key insights was in relation to risks associated to the security sector, as well as potential human rights abuses link to mining activities in the extraction, transport and trade of minerals. ARM also submitted in August a report of the Supply Chain Analysis of the artisanal gold production in Antioquia and lower Cauca.

After the in-depth analysis of the municipalities, ARM established a risk mitigation strategy based on the CRAFT Standard in the municipalities of Remedios and Cauca. These two municipalities fulfilled the conditions to start implementing the CRAFT Standard.

In the month of July, an exchange of experience took place with a *Fairmined* certified mine *Cooperativa Multiactiva Agrominera del Municipio de Iquira* in the Huila region.

DCAF and ARM also discussed the results of the entry strategy and how to formulate concrete options to overcome the challenges mentioned in the analysis in the municipalities of Remedios and Cauca.

Finally, at the end of December 2019, ARM organized a regional workshop to promote a space for exchanges between miners from different regions (Antioquia, Cauca, Nariño, Boyacá, etc.) and local, regional and national public institutions which work on mining-related issues. The aim of the workshop was to build an action plan and an agenda 2020 to address the main challenges that the artisanal

mining is facing in Colombia. An important topic in this agenda was linked to security and human rights (see visual result of discussions in the infographic below, developed during the workshop)



Alliance for Responsible Mining, workshop agenda 2020 (ARM)



Alliance for Responsible Mining site visit (ARM)

Next Steps

This project underlined the need to systematically ensure that security and human rights are included in the risk mitigation strategies of ASM mineral supply chains in order to comply with the OECD due diligence guidance. As a result, a follow up project is under evaluation. DCAF is also providing input into the revision of the CRAFT Code under the section that addresses security risks. Finally, in 2020, ARM will develop a video to highlight the results of the project.

2.8. Nigeria: National Baseline and Scoping Study on National VPs Implementation

This project was selected following the first SHRIM call for proposals in 2018. After a careful analysis of all the proposals received, the SHRIM Steering Committee decided to support LITE-Africa to develop a national baseline and scoping study on the national VPs implementation. The baseline is intended to be a useful tool to provide empirical evidence on the current status of VPs implementation, to measure challenges and gaps, and to identify opportunities for the way forward for the Nigeria VPs Working Group (NWG), the Nigerian government, extractive and agriculture companies, CSOs and other critical stakeholders.

Activities in 2019

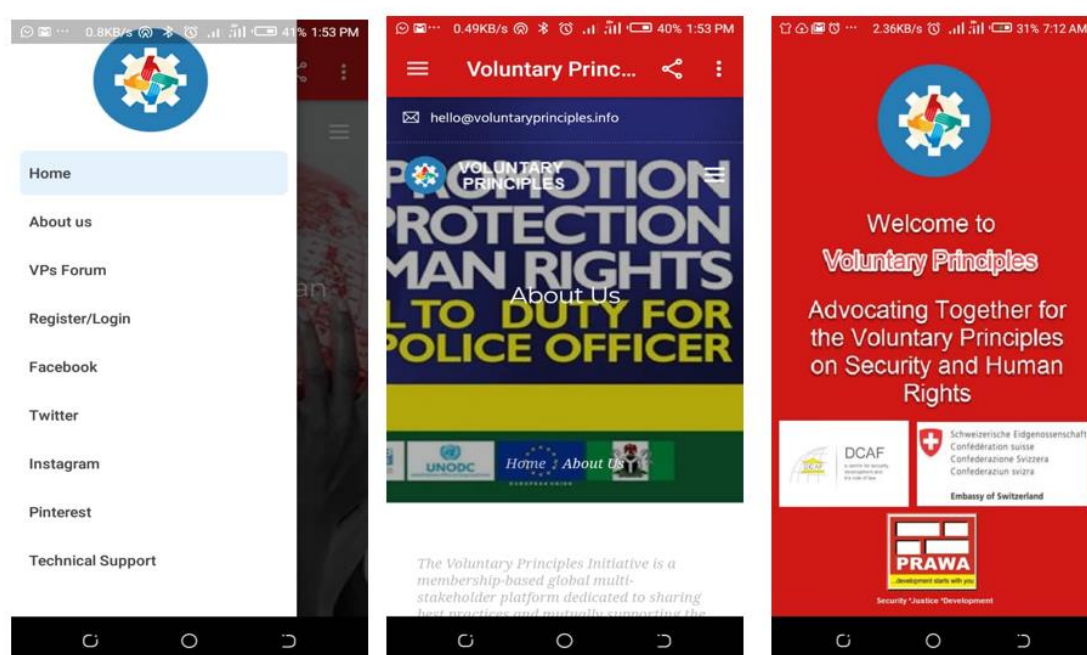
LITE-Africa developed the indicators and the methodology for the baseline study with the expert support of DCAF. This methodology was discussed and approved by the members of the NWG during a meeting in September.

Field research was carried out in October and November 2019. Lite Africa then submitted a first draft of the research for review by DCAF.

Next Steps

Following publication in 2020, the study will provide a basis for the NWG to develop a work plan and identify priority activities. The baseline study will be shared with the wider VPI community. The study also will reinforce one of the main findings of the DCAF-FFP study: that development of research is a critical step in ensuring that in-country working groups identify their priorities and anchor their activities in a strong empirical foundation on the implementation of good practices in business, security and human rights.

2.9. Nigeria: Pilot VPs Training Using Online Radio and App Platforms



Draft Smartphone application (PRAWA)

Overview

Nigeria has experienced high rates of violations of human rights by security actors in communities located close to extractive industries (both LSM and ASM).⁴ Training and education of security actors on human rights is an important entry point for reducing risks. There is a need to mainstream the VPs in training institutions for public security, both on the operational/field level as well as at the headquarters level. VPs and human rights training should also focus on government officials who are responsible for developing policy directives and deploying security officers to field operations. Creative techniques can be used deliver this training/awareness raising. Collectively, these measures should provide clear guidance for implementation of the VPs.

An existing police training programme was implemented by the Nigeria Police Force (NPF) with the financial support of the Embassy of Switzerland, GIZ and the United Nations Office on Drugs and Crime to support the NPF by developing a human rights training programme. To ensure that the VPs are included in this programme, the SHRIM supported PRAWA, the technical partner, to integrate the VPs into the overall project. In addition to including the VPs in the course curriculum, the project seeks to develop creative mixed media platforms to raise awareness within the NPF and the broader public. PRAWA is a Nigerian NGO established in 1994 around issues of detainee rights. In the years since, it has expanded into broader security and justice sector reform programming and business and human rights.

2019 Activities

In 2019, PRAWA began implementation of the SHRIM project to support the development of training materials for the Nigeria Police Force on security and human rights, including the VPs. The project sought to develop an add-on to the Nigeria Police Pocket Handbook, develop case studies in relation to business, security and human rights, develop promotional materials on the importance of the VPs for inclusion in trainings of the NPF, develop an application and carry out field testing of the materials through in-person trainings. The project was kicked off at the end of 2019. PRAWA focused the first phase of activities on the technical development of the smartphone application.

Next Steps

Throughout 2020, PRAWA will finalise the smartphone training application, develop promotional materials on the VPs, and radio programmes. This important media component will raise awareness on the VPs among a wider Nigerian audience.

⁴ See for example, Institute for Human Rights and Business, *Kiobel v. Shell*, <https://www.ihrb.org/library/commentary/?staff/views-on-kiobel-vs-shell.html>; *Kobel v. Shell*, <https://www.business-humanrights.org/en/shell-lawsuit-re-nigeria-kiobel-wiwa>; Nigeria Premium Times, *Zamfara Violence: Nigerian govt bans mining activities in troubled state*, July 2019, <https://www.premiumtimesng.com/news/headlines/324348-breaking-zamfara-violence-nigerian-govt-bans-mining-activities-in-troubled-state.html>.

2.10. Southern Africa Region: Promoting Network Building and Sharing of Good Practices between Private Security Regulators

Overview

The private security sector is booming in the Southern Africa region, often outnumbering public security forces. Nevertheless, policy makers rarely address private security, national parliaments and regulatory bodies provide limited oversight in this area, and the attention of African media and civil society is localized and sporadic. To fill this knowledge gap and promote network building, the SHRIM supported the development of a baseline study on private security in the Southern Africa region. In order to improve the exchange of experience between regulators, a regional workshop on private security regulation was co-organised by DCAF and PSiRA (Private Security Industry Regulatory Authority – private security regulatory body in South Africa).



Workshop participants, Pretoria (PSiRA)

2019 Activities

The workshop was organised in Pretoria in June 2019, bringing together private security experts as well as regulators. During this workshop, the first results of the Regional Baseline Study were presented and discussed with the participants. Representatives from 14 countries participated in the workshop. Participants discussed the need to develop a permanent network of private security regulators in the region. The workshop also promoted relationships between regional action and relevant international initiatives including the Montreux Document and the International Code of Conduct.

Madagascar participated in the workshop and requested national advisory support from DCAF in their current effort to draft a law on private security. The SHRIM agreed to support this request. DCAF will

also support a baseline study on the current state of the private security sector in Madagascar, the existing legislative framework, the size of the industry, as well as challenges and opportunities faced by the sector, and its regulation. This study will provide relevant information to the stakeholders involved in the legislative process and inform the national public policy debate to ensure that legislation is responsive to the realities of the industry, and the security and human rights needs of the population.

Next Steps

The baseline study on private security in the SADC region will be finalised and published in 2020. DCAF remains in contact with PSIRA and participants to the workshop to explore the possibility to set up a network of private security regulators in the region.

2.11. Security and Human Rights Grant

In July 2018, the SHRIM launched its first call for proposals to allow CSOs to implement projects to support the implementation of better security and human rights practices. The SHRIM received 98 applications from Africa, Asia and Latin America. After a first round of selection, the SHRIM Steering Committee decided to support a project put forward by the Alliance for Responsible Mining (ARM) in Colombia as well as a proposal submitted by the Leadership Initiative for Transformation and Empowerment (LITE-Africa) in Nigeria.



Call for Proposals 2019

Learning from the experience of the pilot call for proposals and in agreement with the SHRIM Steering Committee, the call for proposals was re-branded as the “Security and Human Rights Grant” to ensure clarity with potential applicants and facilitate outreach.

The SHRIM Secretariat established three thematic focuses for this edition of the Security and Human Rights Grant. In 2019, proposals were required to focus on at least one of the following themes:

- Gender, Security and Human Rights; and/or
- Human Rights Defenders and Security; and/or
- Media as a tool to promote dialogue towards better security and human rights implementation.

The Security and Human Rights Grant 2019 was launched in October 2019. Published through multiple networks and channels (OECD, Business and Human Rights Resource Centre and newsletter, Environmental Peacebuilding Platform, ICMM, VPI, Funds for NGOs, etc.) 380 applications were received. After a technical evaluation by the SHRIM Secretariat, and the SHRIM Steering Committee, two final proposals were selected. The projects will be launched in the course of 2020:

- Fundasaun Mahein (Timor-Leste): Implications of the Tasi Mane Petroleum Infrastructure Project on Timorese Women: Research Advocacy and Engagement
- Regional Center for Responsible Companies and Entrepreneurships (CREER) (Colombia): Multi-actor strategies for the prevention of violence against human rights defenders in the region of La Guajira

3. SHRIM Governance and Financial Management

Steering Committee Decisions

In 2019, the SHRIM Steering Committee met twice in person and organised one conference call to discuss governance decisions. Between meetings, regular communication was maintained via email. The following five decisions were taken:

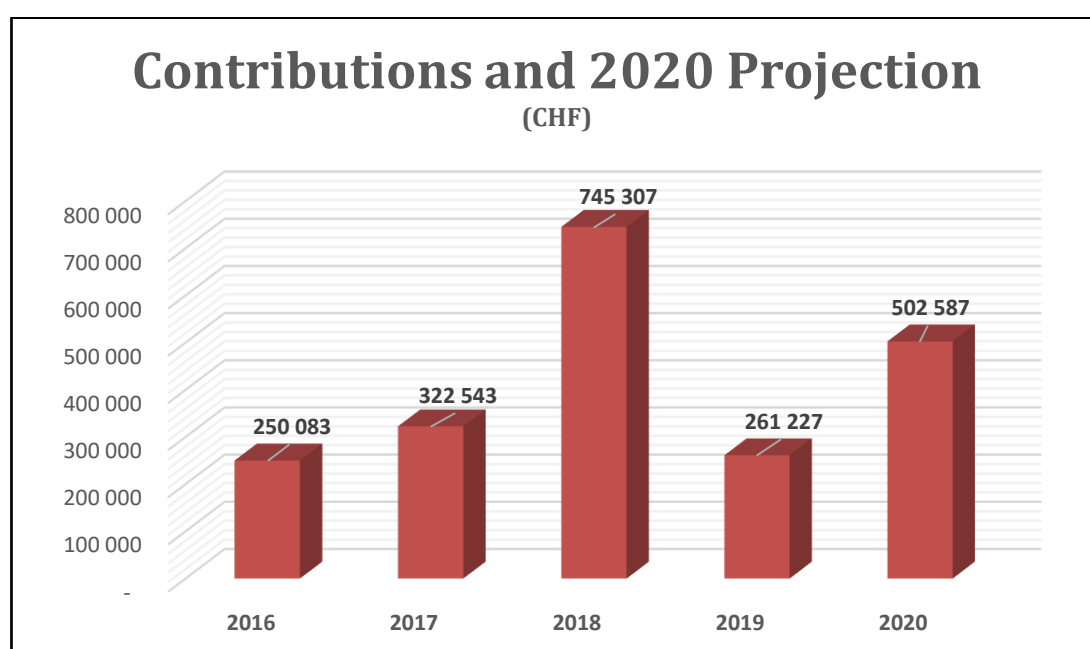
1. The UK agreed to a no-cost extension of its second phase support to the SHRIM in order to finalise the implementation of two projects notably, the Kenyan project, and the VPs lessons learnt project;
2. The UK agreed to a no cost extension of its third funding phase to the SHRIM (specifically: reinforcing the dialogue between private security regulators in the Southern Africa region, supporting the regulation of private security in Madagascar, supporting the sustainability of the VPs working group in Macro Sur region of Peru, developing synergies between the OECD and VPI, SHR Grant 2019);
3. In November 2019, the members of the SHRIM agreed that project proposals will now be subject to a two weeks silent procedure to smoothen the procedural process for the launch of new projects. Members of the Steering Committee will be notified in advance of the submission of the project proposal to plan review time accordingly;
4. In November 2019, the Steering Committee discussed the development of a 4-year strategy document that could be used for strategic planning, public engagement and donor outreach. The strategy will be finalised and validated in 2020;
5. Due to the growth of the SHRIM and in order to ensure all donors requirements are met, the Terms of Reference of the SHRIM will be reviewed in the course of 2020.

Financial Management

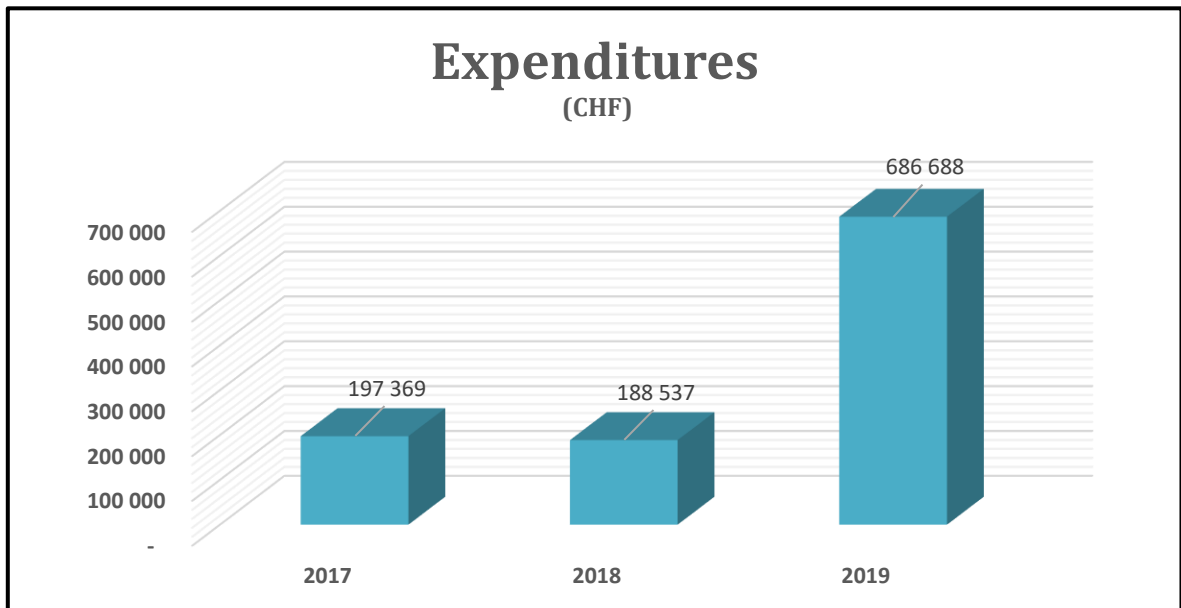
Since its establishment in 2016, the SHRIM has received a contribution of 1.57 million CHF. The graphic below demonstrates that contributions have peaked in 2018 and decreased in 2019. This drop is due to several factors:

- Projects that started in 2018 have been granted no-cost extensions, effectively bridging funding into 2019;
- Funding received in 2018 followed a 2-year cycle, effectively covering the period 2018-2019. This is notably the case for the project on training of the mining police in DRC. A two-year contribution of 401'240 CHF was signed in 2018 but covers the funding period of 2018 until 2020.

Therefore, while the graph shows a theoretical decrease in the funding in 2019, funds received enabled the realization of agreed activities as planned.



Regarding SHRIM expenditures (see graphic below), all funds for 2017 projects of the SHRIM have been fully utilised. 2018 and 2019 projects have gone through a series of revisions and adaptations between the approval of the proposals and project implementation. These adaptations reflect the field-based nature of SHRIM projects. Targeted implementation of security and human rights good practices on the ground in complex environments brings with it political, contextual, security, duty of care and logistical challenges that require constant monitoring and adaptation. All 2019 SHRIM activities should be closed by the end of 2020, with the exception of a two-year project contribution which spans 2019-2020.



4. SHRIM Outreach and Partners



Signing of the MoU between DCAF, ICRC and CCCMC (ICRC)

The SHRIM has currently four members: The United Kingdom, Switzerland, Norway and the Netherlands. Outreach has been carried out by the SHRIM Secretariat with the support of members in order to increase the donor base and partner network of the SHRIM.

Outreach remains a priority in order to consolidate and further grow the Mechanism. DCAF has notably engaged the German Ministry of Foreign Affairs which has expressed its strong interest in supporting the SHRIM in the future.

During this period, the SHRIM has developed relationships with other actors and initiatives. These include:

- VPI: in 2019, the SHRIM has raised its profile within the VPI. As a recognition of the impact of SHRIM projects on the ground, DCAF is now the 'preferred organisation' for VPs implementation projects.
- China: In 2019, DCAF, the ICRC and CCCMC signed a Framework Agreement to further deepen cooperation between the organisations. A first deliverable is to produce training modules on security and human rights targeted to Chinese companies operating in complex environments. To develop this resource, an MoU has been agreed with Renmin University of China.
- OECD: DCAF has been working closely with the OECD Responsible Business Conduct Unit in order to identify synergies and complementarities between both organisations. This has resulted in the study on *Promoting coherence between the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas and the Voluntary Principles on Security and Human Rights*. In 2020, the study will be used to guide further projects, specifically on supporting implementation in the DRC.

Our Partners

