

## **VOLUNTARY PRINCIPLES ON SECURITY AND HUMAN RIGHTS REPORT FROM INTERNATIONAL ALERT, 2015**

### **A. Statement of Commitment**

International Alert has been actively engaged with the Voluntary Principles (VPs) process since its inception in December 2000. As an NGO participant, Alert believes the VPs and the process of accompanying their implementation make a difference in the global effort to protect fundamental human rights. Alert is also committed to its third year as a NGO Pillar representative on the Steering Committee for the Voluntary Principles Initiative.

Hence, Alert has played an active role in promoting the VPs in international forums, HQ level with companies, governments, as well as in-country, in particular in Bolivia, Chile, Colombia, Myanmar, Peru, Myanmar, South Africa and Uganda. Alert believes the VPs provide useful guidance to company executives operating in a range of conflict contexts, where security forces providing protection to the company's facilities have a history of abusive behaviour, or are likely to commit acts implicating the company in human rights abuses. The VPs also require companies to ensure that its key staff members are aware of their human rights responsibilities, and in arranging for security for their operations, bear in mind those responsibilities.

The VPs also play the important role of serving as an entry point for companies to engage with host country governments and civil society organizations on security and human rights issues. Alert has consistently advocated the need for both states and companies to be held accountable for their human rights commitments through their separate but complementary roles to protect and respect, and believes VPs offer a way through which companies can use their influence on host states.

### **B2 Policies/procedures/guidelines/any changes**

There have been no changes in policies of International Alert regarding the VPs.

### **B8 Examples of promoting and advancing implementation of the Voluntary Principles internationally**

The VPI and Global Policy

In 2015, Alert served its second year on the Steering Committee, participated in the Outreach and Implementation Working Groups and attended the VPs Strategic Retreat. The organisation led the development of the draft NGO Strategy for the Pillar as an outcome of the Strategic Retreat.

#### Colombian Mining and Energy Committee (CME)

Alert furthered its support and accompaniment of the Colombian in-country process in 2015 via remaining an active participant and supporter of the CME (see details under C9 & C10), after being the first NGO to formally join in 2014.

#### Company Engagement

In this reporting period, the team continued its partnership agreements with Anglo American and Occidental Petroleum to continue the implementation of the VPs and take on broader human rights issues related to the UNGPs. In addition, Alert assisted Total, Repsol and Newmont on VPs-related activities, detailed below.

- *Anglo American*

Alert continued its work with Anglo American, particularly at HQ level and in their operations in South Africa, Chile and Peru. At HQ, Alert supported the development of VPs training materials, including providing input into existing training packs and developing new materials based on risk assessments and case studies at business unit level. Alert also conducted a gap analysis of contracting for private security providers (Australia) to identify where they could be strengthened in order to align with the VPs.

In Peru and Chile, Alert conducted risk assessment workshops and VPs trainings. Alert also conducted field research for a Voluntary Principles gap analysis for Anglo American operations in Chile which identified the need for training and awareness training, discussed under C12.

In South Africa, Alert has continued to progress with supporting VPs risk assessments and trainings. The following were outcomes of this work:

- Risk assessment exercise highlighting VPs-specific risks: using the bow-tie methodology developed in 2014 for DeBeers and Platinum operations, Alert worked with the key staff from Coal to identify events that could trigger VPs risks and/or impacts, specifically around situations of social and labour unrest. The exercise identified causes and consequences as well as preventive and mitigating measures to be taken. Alert also worked with the risk manager from Platinum and DeBeers on integrating the VPs bow ties into company systems and processes and developing tailored training based on the triggers for VPs risks and/or impacts.
- Alert began to explore what an internal security and human rights incident management process would involve, using the social incident reporting to ensure efficiency and oversight. Alert also began to identify instances in which Anglo does public reporting and explore how it can be used for VPs.
- Following Alert's gap analysis for DeBeers in South Africa, which identified the need for a tighter collaboration and alignment between all the areas

relevant to the VPs and HR, a human rights working group was established, bringing together both security and community relations departments. The committee has the objective of joint monitoring of risks and impacts and following up on the VPs and human rights action plans.

- *Occidental Petroleum, Colombia*

Alert conducted awareness raising and trainings on human rights and VPs aimed at staff members, public security and private security providers. The objective was to introduce the topic of human rights and why it is a priority, and to link it back to the security and human rights discussions. The total number trained was over sixty.

- *Total*

International Alert worked with Total E&P in Bolivia to initiate the process of a conflict and human rights impact assessment in area with indigenous communities, and of archaeological interest. Alert is in the process of developing recommendations including the consideration of security and human rights issues as a potentially high risk area.

- *Repsol*

Jointly with HQ staff from Repsol, Alert conducted a gap analysis to assess the level of compliance of company policies regarding the VPs. This exercise used one of their subsidiaries as a source to determine the extent to which corporate policies were cascading down to the operational level. The gap analysis was conducted using Alert's own methodology. This process also included trainings on the VPs to senior management as well as field staff as a way to introduce the assessment and provide a levelled-playing field for all internal staff (as some knew more about the VPs than others).

- *Newmont*

Alert acted as external observer to a VPs audit conducted by Newmont Mining in 2015 in their operations in Peru, believed to be one of the riskiest for the company from a VPs perspective. The audit involved talking to key staff and assessing their level of knowledge, and also identifying examples of ways in which the VPs have been useful to prevent or mitigate risks and impacts. Alert's role also included making recommendations to the company in order to improve the audit tool.

## **C9 & C10 Overview of country operations selected for reporting (including any notable changes from the previous reporting year if the same country is being reported this year) & engagements with stakeholders on country implementation**

### Colombia

Alert continues to actively participate in the CME through two working groups: public force working group and public policy working group, including providing recommendations on agreements between companies and public forces. In addition, Alert worked with civil society organisations in Colombia to ensure their views and concerns are considered in the discussions and processes taking place at the VPI.

## South Africa

In South Africa, Alert continued to work with Anglo American in its platinum and diamond business units and expanded to their coal and iron ore operations. Alert conducted a series of trainings for staff from the security and social performance departments on the VPs with a particular focus on risk assessment, and provided input for the training material each business unit uses.

## Uganda

In Uganda, Alert continues to advocate for improved information access and collaboration between civil society organisations, communities, government and oil companies on issues related to the VPs. Alert convened a workshop for government officials and civil society as part of a dialogue on oil-related infrastructure development including any associated security and human rights considerations.

In the Albertine region of Uganda, Alert identified the need to improve responses to oil-related conflicts and resulting security and human rights issues. The organisation set up a technology based conflict monitoring and early warning system which provides a high level of precision in identifying the geographical location of conflict hot-spots and real time tracking and analysis of conflict issues based on information provided by conflict monitors. Conflict monitors are embedded in the communities and supervised by Alert's local partners. Alert is using the information generated to build capacity of key stakeholders including religious, cultural and political leaders to proactively and peacefully respond to and mitigate oil related conflicts in the Albertine region.

## **C12 Examples of supporting outreach, education, and/or training of (i) relevant personnel, (ii) private security, (iii) public security, and/or (iv) civil society (e.g. local NGOs, community groups)**

In Colombia, Alert provided a number of trainings to staff from Occidental Petroleum (over sixty trained). Alert also provided training for Canadian embassy staff (sixteen total) in Colombia and Mexico, resulting in embassy staff having an increased familiarity with the VPs and the accompanying the Implementation Guidance Tools, and a broader awareness of the responsibility and expectations of the Canadian government on Canadian companies in conflict-affected countries.

In South Africa, training was conducted for Anglo American's coal operations, using the bowtie exercise to identify causes and consequences of security and human rights related risks, as well as prevention and mitigation measures. The bowtie workshops (detailed under B8) were also useful in supporting staff in understanding how addressing root causes of specific events relating to social or labour unrest can support VPs risk mitigation.

In Peru and Chile see activities under B8. In Chile these were introductory workshops arising from the gap analysis which indicated training was an area to strengthen. As a result of the training, staff from Anglo American's community relations team in Chile have a better understanding of how company operations can create human rights risks for communities. In one training, a community relations officer realised

that by purchasing land which had land mines in it and by just putting "no trespassing" signs (as opposed to more proactive measures), the company was putting at risk community members who passed through it as well as hunters who also use the land, and that additional, more proactive measures were needed. In a country like Chile, where human rights are a politically charged term which people relate to the dictatorship times (and where the role of business is not recognised), having this open discussion and realisation of a company representative is quite a breakthrough.

Alert also presented at Total's internal Annual Societal Conference on the conflict and human rights risk assessment it conducted in collaboration with Total in the DRC (2013) where security was a key focus area and consideration. This helped to raise awareness internally on security and human rights. The conference was attended by over 200 staff from a range of functions.

In Uganda, Alert conducted a VPs gap analysis on behalf of CNOOC as a basis for making recommendations and training staff from HR, external affairs, security, community affairs, logistics, and HSE and private security providers to raise awareness about human rights and security, with a focus on root cause analysis. Over twenty staff attended. Additionally, Alert held a series of awareness-raising activities and dialogues that brought civil society together with governments companies to discuss key issues related to security and human rights, such as land tenure, porous borders and infrastructure development.

In South Africa, Alert also reviewed and the VPs and human rights training material developed for the platinum operations and DeBeers. Alert is also developing training materials for use across all South African business units, focusing on case studies relevant to events likely to trigger VPs-related risks in the South African and site context.

#### **D 14 Lessons or issues from this reporting year, as well as plans or opportunities to advance the Voluntary Principles for the organization**

##### Lessons learned

Alert had the opportunity to work with CNOOC on the VPs after the company indicated an interest in better understanding the international framework and how their activities in Uganda align, inviting Alert to undertake a short gap analysis and develop recommendations. Alert appreciated CNOOC's openness and interest in learning more about the VPs, but there was more work to do in getting them oriented towards the underlying concepts and approaches, particularly as unlike their joint venture partners Total E&P and Tullow Oil, they are not formal members and therefore not as aware of the issues and approaches. It is also important to note the value in having Total E&P and Tullow Oil, advocating and supporting the company's interest in learning more about the VPs.

In work with one company, Alert identified that asking staff at guard level about specific responses in particular instances (for instance how would they respond to community provoking them or acts of violence) indicated an understanding behind the VPs, and at this level demonstrating the appropriate behaviour is more important than specific knowledge of the VPs as an international initiative. Through working with other companies, Alert has identified that this can be further strengthened through identifying the tasks private security guards undertake that are especially risky from a VPs point of view, and determining the human rights triggers. For example, one company identified such tasks helps security guards understand what the VPs mean for their day-to-day functions and responsibilities.

### Opportunities

In Myanmar, Alert is in discussions with Shell to explore an in-country process. This is at a very initial stage but Alert is optimistic that focusing initial efforts on a scoping or feasibility study could lead to more coordinated efforts in country to promote and raise awareness on the VPs.