

Providing Global Leadership in Security and Human Rights: Voluntary Principles on Security and Human Rights Initiative Strategy 2019-2022

The Voluntary Principles Initiative (VPI) is a platform in which governments, companies and NGOs work together to help companies maintain the safety and security of their operations within an operating framework that ensures respect for human rights and fundamental freedoms. Since the Initiative was established, members of the VPI have deepened their understanding of security-related human rights risks in various operating environments and significantly improved their policies and practices. At the same time, the VPI membership recognizes that complex environments, ongoing serious risks and growing stakeholder expectations require continuous knowledge-building and application of best practices.

I. VISION

Members of the Voluntary Principles Initiative will continuously improve their promotion of and respect for human rights in the context of their security practices and will make every effort to prevent conflict.

The focus in 2019-2022 will be on creating value for members, increasing membership, maximising impact through joint and cross-pillar action, building on-the-ground capacity, increasing accountability amongst the membership, and continuing to support the effective implementation of the Voluntary Principles so that members may operate within a framework that promotes respect for human rights, fundamental freedoms, and the principle of non-discrimination. The membership underlines its support for equal rights for all, including women and men, as well as the importance of taking into account the vulnerabilities of other groups.

在安全和人权方面提供 全球引领：2019-2022年 《安全和人权自愿原则》 倡议战略

《自愿原则》倡议（VPI）是政府、企业 and 非政府组织携手帮助企业在确保尊重人权和基本自由的操作框架内，维护运营地安全的一个平台。自该倡议发起之后，VPI成员加深了对各种运营环境中与安全有关的人权风险的理解，并极大地改进了其政策和实践。同时，VPI成员认识到，由于环境复杂，严重风险持续存在，以及利益相关方的期望不断增长，要求持续积累知识并应用最佳实践。

I. 愿景

《自愿原则》倡议成员将在其安保实践中不断改善对人权的促进与尊重，并将尽一切努力防止冲突发生。

2019-2022年的工作重点包括为成员创造价值，增加成员数量，通过联合行动和跨界行动最大限度地发挥影响力，开展落地能力建设，在成员中加强问责制，并继续支持《自愿原则》的有效实施，以使成员能够在促进尊重人权、基本自由和不歧视原则的框架内运营。成员身份强调的是支持人人都享有平等权利，无论是男性还是女性，并强调考虑其他群体的脆弱性具有重要意义。

A Defining Moment

In 2020, the VPI will celebrate its 20th anniversary, an important milestone for the Initiative on which to reflect on achievements and lessons learned, and to set the direction for the coming years. The Secretariat and Steering Committee will ensure that the communications opportunities presented by the 20th anniversary are fully deployed in support of this strategy.

Building on Solid Foundations

Over the past 20 years, the Voluntary Principles has become an influential global framework, referenced as a global best practice in the performance standards of many international organizations, international financial institutions, and industry associations. Tools and templates have been developed to help implement the VPs and improve operational practices. Within the VPI membership, increased cross-pillar collaboration and frank dialogue have contributed to deeper understanding of complex issues and improved implementation. A number of multi-stakeholder In-country Implementation Groups have been established and meet regularly, some in high-risk environments, to improve collaboration and dialogue aimed at reducing human rights risks.

Strengthening Our Effort

Numerous challenges remain in addressing continuing human rights vulnerabilities in the natural resource industries. VPI members are increasingly aware of the repression of human rights defenders, gender-based violence such as sexual abuse and exploitation; entrenched gender biases which can undermine women and girls' enjoyment of their rights; and other threats to the human security and human rights of those belonging to particularly vulnerable groups, including women, children and young

决定性时刻

2020年标志着倡议发起20周年，这是一个的重要里程碑。借此机会，可以回顾取得的成果、反思经验教训，并确定未来几年的发展方向。倡议秘书处和指导委员会将确保充分利用20周年纪念日所带来的交流机会，支持这一战略。

奠定坚实基础

在过去20年里，《自愿原则》已经成为一个具有影响力的全球框架，许多国际组织、国际金融机构和行业协会的绩效标准将其作为全球最佳实践的参考。工具和模板已经开发完成，用于帮助实施《自愿原则》并改进运营实践。在倡议成员内部，日益增加的跨界合作日益增加，还进行了与坦诚对话，加深了对复杂议题的理解，并改进了《自愿原则》的实施情况。大量多利益相关方驻在国实施小组（其中部分小组身处高风险环境）得以创立，并定期举行会议，以改进合作、加强对话，致力于减少人权风险。

加强自身努力

在解决自然资源行业持续存在的人权脆弱性方面，仍然存在许多挑战。倡议成员越来越意识到人权捍卫者受到压制，性虐待和性剥削等性别暴力依然存在；根深蒂固的性别偏见会损害妇女和女童享受其权利；以及对特别脆弱群体（包括妇女、儿童和青年）¹的安全和人权

¹弱势群体包括但不限于妇女和女童、儿童、土著人民、少数民族和宗教少数群体、穷人和边缘群体以及性少数群体。特定群体的脆弱性需要在各个项目或社区的具体环境背景下加以理解。

people.¹ In some cases, operating environments are becoming more conflict-ridden and the broader respect for human rights is deteriorating. Violent conflict is a major driver of security-related human rights violations. Members are aware that underlying conflict drivers such as political, social and economic exclusion and lack of opportunity, the absence of the rule of law, insufficient civic space and ability to dialogue, repression, persecution of human right defenders, and poor human security, all create conditions where the risk of violent conflict increases. By helping to address such underlying issues, members are creating an enabling environment for the realisation of human rights. Members are committed to having a positive impact on local governance, peace and stability and playing a proactive role in preventing conflict, rather than reacting to it is essential for effective implementation.

Cooperation of host governments remains another key factor for effective implementation, often requiring a joint effort by all pillars.

The number of companies, governments, and civil society organizations which are members of the VPI remains small relative to the number that would benefit from more universal implementation. The Initiative must adapt and expand to ensure its continued relevance in a changing world.

In light of the above contextual challenges, this Strategy seeks to advance the Initiative's work in four strategic directions:

的其他威胁。在某些情况下，运营环境中的冲突正日益增加，对人权的广泛尊重也正在退化。暴力冲突是与安全有关的侵犯人权行为的一个主要驱动因素。各成员认识到，在政治、社会和经济层面遭到排斥，缺乏机会，法治缺位，公民空间和对话能力不足，人权捍卫者受到镇压和迫害，以及恶劣的人类安全状况等潜在的冲突驱动因素，都为暴力冲突风险的增加创造条件。通过帮助解决这些根本问题，各成员就是在为实现人权营造有利环境。成员均致力于对地方治理、和平与稳定产生积极影响，并在预防冲突方面发挥积极作用，而非对冲突作出被动反应，这对《自愿原则》的有效实施至关重要。

东道国政府的合作仍是有效实施《自愿原则》的另一个关键因素，这往往需要所有界别共同努力。

已加入倡议的公司、政府和民间社会组织数量仍然较少，未达到通过更为普遍地实施倡议而能够惠及的公司数量。本倡议必须加以调整，不断壮大，从而确保在不断变化的世界中始终切合形势。

鉴于上述背景方面存在的挑战，本战略力求在四个战略方向推动倡议的工作：

¹ Vulnerable groups include but are not limited to women and girls, children, indigenous peoples, ethnic and religious minorities, the poor and marginalized, and LGBT persons. The vulnerabilities of particular groups need to be understood in the specific context of each project or community.

1. Solidifying the Voluntary Principles Initiative as the premier global guidance and multi-stakeholder forum in the area of security and human rights, allowing members to convene, share best practices, and promote respect for human rights;

2. Advancing country-level implementation of the Voluntary Principles, including by reinforcing mechanisms for in-country stakeholder coordination and joint engagement with host governments by VPI members;

3. Further enhancing the Initiative's relevance and influence by expanding its membership; and

4. Continuing to strengthen the Initiative's governance and accountability systems.

II. KEY RESULT AREAS 2019 – 2022:

In order to advance this work, activities will be implemented under the following key result areas:

1. The Voluntary Principles Initiative is recognized as a leading security and human rights initiative providing global leadership

a) The internal sharing of best practices and lessons learned through the convening power of the VPI is leveraged to develop and provide new or updated tools and guidance around specific themes, including in collaboration with other organisations. As a result, the capacity of Voluntary Principles Initiative members to address emerging implementation challenges and create a se-

1. 巩固《自愿原则》倡议，将其作为安全和人权领域的首要全球指导和多利益相关方论坛，使成员能够共聚一堂，分享最佳实践并促进尊重人权；

2. 通过加强驻在国利益相关方协调机制，以及倡议成员联合与东道国政府进行沟通，推进国家层面对《自愿原则》的实施；

3. 通过扩大倡议成员数目，进一步加强倡议的相关性和影响力；以及

4. 继续加强倡议的治理和问责体系。

II. 2019-2022年的关键成果领域：

为推进这项工作，将在以下关键成果领域开展活动：

1. 《自愿原则》倡议能够提供全球引领，是公认的首要安全和人权倡议

a) 通过《自愿原则》倡议的召集力内部分享最佳实践和经验教训，包括与其他组织合作以围绕特定主题开发和提供新的或更新的工具和指南，从而促进《自愿原则》倡议成员的能力得以提升，能够应对实施过程中新出现的挑战，并营造人权得到尊重的安全环境。优先考虑的主题包括缓解风险、

cure environment where human rights are respected is increased. Priority themes include risk mitigation, conflict prevention and the creation of an enabling environment for the realization of human rights, the prevention of gender-based violence, and policy development that is sensitive to the needs all vulnerable groups, risk assessments and training;

b) The Voluntary Principles Initiative addresses conflict prevention through the compilation and sharing of best practices, the development of guidance on identifying and addressing conflict drivers in Risk Assessments, and on identifying and using opportunities to promote the creation of an enabling environment for human rights;

c) The Voluntary Principles Initiative collaborates with other organizations and initiatives (including the UN Working Group on Business and Human Rights, DCAF, ICOCA, EITI, OECD, Business and Human Rights Resource Centre, IHRB) on specific implementation issues where expertise and resources can be leveraged by working together, for example, in the development of best practice guidance; and

d) The international visibility of the Voluntary Principles is supported and enhanced through the development and implementation of a communications plan, which is updated annually.

2. Country-level implementation of the Voluntary Principles is deepened, including through supporting the In-country Implementation Groups

预防冲突、营造实现人权的有利环境、防止性别暴力、制定兼顾所有弱势群体需求的政策，以及开展风险评估和培训；

b) 《自愿原则》倡议通过汇编和分享最佳实践，制定在风险评估中识别和处理冲突驱动因素的指南，以及制定识别和利用机会，促进营造实现人权的有利环境的指南来预防冲突；

c) 《自愿原则》倡议与其他组织和倡议（包括联合国工商业和人权工作组、日内瓦国际安全治理中心、国际安保行为守则协会、采掘业透明行动倡议、经济合作与发展组织、商业和人权资源中心、人权与商业协会）就具体实施议题开展合作，从而能够集思广益，汇聚专业知识和资源，例如：制定最佳实践指南；以及

d) 通过制定和实施每年更新的宣传计划，支持加强《自愿原则》的国际知名度。

2. 通过支持驻在国实施小组等方式加强国家层面对《自愿原则》的实施

a) Meaningful policy and programming support are provided to the In-country Implementation Groups within a context of strong encouragement for local ownership. Support will include the development of a framework for their budgets and plans to support their activities with an emphasis on clear deliverables and planned outcomes;

b) Support to In-country Implementation Groups, which may include operational funding and activities (such as workshops, training, outreach, etc);

c) Support for the attendance of one In-country Implementation Group member to each Annual Plenary, if required and appropriate, to enhance peer learning towards improvement of VPs implementation;

d) Support by the Secretariat and full members to building the capacity of engaged members within their operating environment;

e) The feasibility of creating new In-country Implementation Groups is explored, ensuring on-the-ground multi-stakeholder demand and support prior to setting up any group;

f) A VPs funding mechanism is considered for development to provide a framework for disbursing any appropriate Voluntary Principles Association funds to In-country Implementation Groups and potentially for other activities as determined by the Steering Committee to provide greater predictability and sustainability for 2020-2021;

a) 在大力鼓励地方自主权的背景下，向驻在国实施小组提供有意义的政策和项目支持。其中包括制定预算框架和支持实施小组所开展活动的计划，重点在于可交付成果要清晰，对成果要有规划；

b) 对驻在国实施小组提供支持，其中可包括运营筹资，以及研讨会、培训、外联等活动；

c) 在必要和适当的情况下，支持一名驻在国实施小组成员参加年度全体会议，以加强同行学习，从而改进《自愿原则》的实施；

d) 秘书处和正式成员在参与成员的运营环境内支持其能力建设；

e) 探讨建立新的驻在国实施小组的可行性，确保在建立任何小组之前，了解实地多利益相关方的需求，并能获其支持；

f) 考虑制定《自愿原则》筹资机制，以提供一个框架，用于向驻在国实施小组分配任何适当的《自愿原则》协会资金，并可能用于指导委员会所确定的其他活动，从而为2020-2021年工作提供更大的可预测性和更好的可持续性；

g) Guidance for In-country Implementation Groups is created and disseminated based on lessons learned and multi-stakeholder working group best practices, including around conflict prevention, creating an enabling environment for human rights, and the meaningful participation of women and women's organizations;

h) Effective cross-pillar coordination is employed by all pillars to address specific challenges on the ground towards improvement of VPs implementation, including engaging with host governments, conflict prevention, the creation of an enabling environment for the realization of human rights, and implementation that is sensitive to vulnerable groups; and

i) Support, tools, and mentorship is provided, including to new members of the Voluntary Principles Initiative.

3. The Voluntary Principles Initiative is expanded, further enhancing the Initiative's relevance and sustainability

a) The Voluntary Principles Initiative will attract new members through an outreach plan that targets all pillars, including companies outside the extractive sector and non-OECD governments. Specific companies and governments will be targeted in the outreach plan.

4. Ensuring credible and meaningful accountability and stronger governance within the Initiative

g) 基于在预防冲突、营造有利于人权的环境，以及妇女和妇女组织切实参与的相关领域的经验教训和多利益相关方工作组的最佳实践，为驻在国实施小组制定和传播工作指南；

h) 各界别都采用了有效的跨界协调，以应对实地改进《自愿原则》实施方面的具体挑战，包括与东道国政府接触、预防冲突、为实现人权营造有利环境，在实施过程中顾及弱势群体需求等；以及

i) 提供支持、工具和指导，对《自愿原则》倡议的新成员也是如此。

3. 《自愿原则》倡议不断壮大，进一步加强倡议的相关性和可持续性

a) 《自愿原则》倡议将通过一项针对所有界别的外联计划吸引新成员，包括采掘业以外的公司和非经合组织的国家政府。外联计划将针对具体的公司和政府制定。

4. 确保在倡议范围内实施可信而富有意义的问责制，并加强治理

a) The Engaged Company category is adopted and implemented to admit new members pursuant to an agreed-upon process. More broadly, the applications process is efficient, accountable and transparent for the membership and the applicant;

b) The VPI Grievance Mechanism is reviewed through relevant hypothetical scenarios. Any needed changes are made to improve the substance and/or procedures of the VPs Grievance Mechanism such that problems identified by Members are constructively addressed and resolved satisfactorily, including, if applicable, by addressing barriers that vulnerable groups may face in the grievance process;

c) The Verification presentation roster and rotation of presenters is made more equitable, transparent and predictable, and circulated to all members;

d) A peer review process and a timetable for reviewing Annual Reports is adopted;

e) A common approach for assessing the impact of Voluntary Principles on Security and Human Rights implementation by VPI members is developed through the elaboration of relevant model indicators;

f) Alternatives to the current Voluntary Principles Association establishment in the Netherlands is explored with the aim of lowering costs and increasing the efficiency of Voluntary Principles Association operations;

g) The effective roles and responsibilities of the Government Chair, the Steering Committee and the Secretariat are reviewed and strengthened to ensure strong continuity from year to year;

a) 采用“参与公司”这一类别并加以落实，以便按照商定的程序接纳新成员。更广泛地说，申请过程对成员和申请人来说是高效、负责和透明的；

b) 通过相关假设情景对倡议申诉机制进行审议。对《自愿原则》申诉机制的实质内容和（或）程序进行任何必要的调整，包括在适当情况下解决弱势群体在申诉过程中可能面临的障碍，从而以建设性的方式处理成员所发现的问题，使其得到圆满解决；

c) 核查情况介绍的人员名册与讲解人轮换方式，制定得更加公平、透明、有规律可循，并分发给所有成员；

d) 采纳同行审议程序，以及审议年度报告的时间表；

e) 通过研究相关的示范指标，制定倡议成员评估《安全与人权自愿原则》实施影响的通用方法；

f) 探讨了针对荷兰现有《自愿原则》协会的替代方案，旨在降低成本，提高《自愿原则》协会运作的效率；

g) 审议和加强政府主席、指导委员会和秘书处的有效作用和职责，以确保每年具有很强的连续性；

h) Current but inactive members are encouraged to actively re-engage in the VPI;

i) A surplus/reserve policy is adopted that meets Voluntary Principles Association needs and concerns; and

j) A gender analysis of the Voluntary Principles Initiative is conducted in order to inform gender-sensitive decision making and mainstreaming at the local and institutional levels.

h) 鼓励当前不活跃的成员重新积极参与倡议；

i) 采取盈余/储备金政策，满足《自愿原则》协会的需求和关切；以及

j) 对《自愿原则》倡议进行性别分析，以便为地方和机构层面对性别敏感问题的决策和性别主流化提供信息。

III. PROGRESS REVIEW:

The Steering Committee will review this strategy on an annual basis and report back to the Annual Plenary Meeting.

October 15, 2019

三、 进度审议：

指导委员会将每年审议这一战略，并向年度全体会议报告。

2019年10月15日