

The Voluntary Principles on Security and Human Rights: Backgrounder on Company Implementation

Established in 2000, the Voluntary Principles on
Security and Human Rights (VPs) Initiative is a
multi-stakeholder initiative involving
governments, companies, and non-governmental
organizations (NGOs) that promotes
implementation of a set of Principles that guide
companies in the industries of
extracting, harvesting, or developing natural resources or energy on providing security for their
operations in a manner that respects
human rights.

Through the VPs Initiative, companies are better able to align their corporate policies, procedures, and internal assessments with internationally recognized human rights principles in the provision of security for their operations. In so doing, companies communicate to employees, contractors, shareholders, and consumers their commitment to the Principles: (1) through sharing of best practices and lessons learned with one another, and (2) by collaborating on difficult issues.

(1) Sharing of Best Practices and Lessons Learned Strengthens Internal Policies and Procedures

-Prioritizing resources by determining risk.

The VPs Initiative helps companies develop human rights risk assessment policies and procedures that better anticipate situations inwhich human rights abuses are most likely to occur, and translate the results of such assess-ments into on-the-ground strategies to mitigate human rights risk. One VPs company

安全与人权自愿原则: 公司实施背景介绍

《安全与人权自愿原则》

(以下简称《自愿原则》)

倡议于2000年发起,由政府、公司和非政府组织多利益相关方参与,旨在推广实施一系列原则,指导采掘业、采伐业或自然资源或能源开发行业的公司以尊重人权的方式保障自身运营安全。

通过《自愿原则》倡议,公司能够在保障自身运营安全方面更好地使公司政策、程序及内部评估符合国际公认的人权原则。在此过程中,公司向员工、承包商、股东和消费者传达其对履行《自愿原则》的承诺,具体方式包括:

- (1) 相互分享最佳实践和经验教训;
- (2) 就困难问题展开合作。

(1) 分享最佳实践和经验教训,强化内部政策和程序

• 通过确定风险,确定资源的优先

《自愿原则》倡议帮助公司制定人权风险评估政策和程序,能够更好地预测最有可能发生侵犯人权行为的情况,并将相关评估结果转化为落地策略,从而缓解人权风险。一家实施了《自愿原则》的公司指出:"实施(《自愿原则》)显著提升了我司项目地安保人员的绩效表现,改善了



noted that "implementing the [VPs] ha[s] resulted in significant improvements in the performance of our security personnel at our sites, improved our relationships with local communities and governments and, not least, significantly reduced the risk of security and human rights incidents."

- Developing risk mitigation strategies. The VPs Initiative provides a forum for companies to collaborate and learn from one another when developing internal policies and procedures to minimize the likelihood of human rights harm. For example, companies learn from one another about measures implemented to minimize the risk of abuse of firearms. One VPs mining company minimizes the likelihood of the inappropriate use of force by not allowing security forces to carry firearms unless a risk assessment first determines their use would be justified. Similarly, a VPs oil company only uses armed guards after a review and senior level authorization, which must be periodically renewed.
- -Adopting assessment processes to measure and improve progress. VPs companies regularly review their internal VPs policies and procedures as they strive to constantly improve their practices. Many companies have internal processes for assessing their implementation of the Principles, and some also commission external assessments. Participants then develop procedures to implement recommendations arising from the assessments. One VPs mining company, for example, uses a checklist of VPs-related indicators as part of its internal assessment process; the company reports that the checklist has helped it to mitigate human rights risk. Another VPs company uses the risk assessment process to categorize operations as high, medium, or low-risk. All high-risk and medium-risk operations are annually or semi-annually assessed by independent external specialists. Other VPs companies have deployed independent investigators in specific instances to ensure implementation of their VPs commitments.

我们与当地社区及政府的关系,尤其是显著减少了安全与人权事件的风险。"

- 制定风险缓解战略。《自愿原则》倡议为公司 合作,以及制定旨在最小化人权危害可能性的内 部政策与程序时相互学习,提供了一个论坛。例 如,公司可以互相学习为最小化火器滥用风险而 实施的措施。一家实施《自愿原则》的采矿公司 为了最小化不当使用武力的可能性,所采取的做 法是,除非首先经过风险评估,确定有正当理由 使用火器,否则不允许安全部队携带火器。同样 地,另一家实施《自愿原则》的石油公司仅在经 过评审和高层批准之后才能使用武装警卫,而且 批准授权必须定期重审。
- 采用评估流程,衡量所取得的进展并加以改善。 实施《自愿原则》的公司在不断努力改善实践的 过程中定期审议公司内部的《自愿原则》政策与 流程。许多公司都设立了评估《自愿原则》实施 情况的内部流程,部分公司还委托外部机构进 行评估。然后,参与人员会根据评估所得出的 建议,制定实施程序。例如,一家实施《自愿 原则》的采矿公司使用《自愿原则》相关指标清 单作为其内部评估流程的一部分;该公司表示, 这一清单帮助公司缓解了人权风险。另一家实施 《自愿原则》的公司则使用风险评估流程,将运 营点的风险等级划分为高中低三级。所有中高风 险运营点每年或每半年会由外部独立专家进行评 估。其他实施《自愿原则》的公司在某些特定情 况下部署了独立调查员,确保公司履行《自愿原 则》承诺。



(2) Multi-stakeholder Collaborative Problem Solving Helps Participants Reduce the Risk of Human Rights Violations

VPs Initiative Participants take part in shared learning and joint problem-solving, combining resources to develop best practices around security and human rights challenges. NGO Participants bring to the table their expertise from working with local communities on extractive industry-related issues, which can help companies improve how they interface with communities. NGOs can help companies define and understand the risks they face in working in a particular country, develop plans for mitigating those risks, conduct outreach to local communities, and assess compliance with the VPs. Companies also work with NGOs to understand how they can better interface with communities.

The multi-stakeholder approach also promotes dialogue and collaborative problem solving between governments and companies.

- •Peru. In Peru, VPs Participants share successful approaches and challenges in promoting and implementing the Principles through an in-country working group, which consists of international and national non-profits, the Peruvian Ministry of External Affairs, embassies of VPs governments, and VPs companies. Through this process, VPs Participants have developed a solid foundation to address security and human rights concerns and to encourage the Government of Peru to join the VPs Initiative.
- •Colombia. In Colombia, where both the national government and many extractives companies have committed to the VPs, companies report that joining the VPs Initiative has helped them become more accustomed to analyzing, discussing, and addressing human rights issues within the context of every-day business operations. The Govern-

(2) 多利益相关方合作解决问题,帮助参与人员减少人权侵犯风险

《自愿原则》倡议的参与者通过经验分享、共同解决问题及整合资源,发展安全与人权挑战应对方面的最佳实践。来自非政府组织的参与者分享其与当地社区在解决采掘业相关议题的合作中所积累的专业知识,能够帮助公司改善与社区的沟通方式。非政府组织能够帮助公司明确并理解在特定国家工作中所面临的风险,制定减轻风险的计划,对当地社区开展联络活动,并评估对《自愿原则》的遵守情况。公司也会与非政府组织合作,了解如何能够与社区更好地沟通交流。

采用多利益相关方的方法还能够促进政府与公司之间进行对话,并合作解决问题。

- •秘鲁。在秘鲁,《自愿原则》参与人员通过驻在国工作组分享在推广和实施《自愿原则》的成功方法及挑战。工作组成员包括国际与国内非营利组织、秘鲁外交部、实施《自愿原则》相关国家政府大使馆及公司。通过这一过程,《自愿原则》参与人员已建立了坚实的基础,以处理安全与人权问题,并鼓励秘鲁政府加入《自愿原则》倡议。
- •哥伦比亚。在哥伦比亚,政府和许多采掘业公司均承诺实施《自愿原则》。公司报告称,加入《自愿原则》倡议已帮助公司在日常业务运营中更适应于分析、讨论及处理人权议题。哥伦比亚政府定期与公司参与人员沟通,制定降低人权风险的战略,促进公司可持续性成长。政府借鉴公司



ment of Colombia regularly engages with company Participants to develop strategies to reduce human rights risks and facilitate sustained growth. Drawing on results from companies' own risk analyses, the Government is adapting its new security model so that the armed forces and the police are better equipped to act in accordance with human right principles. The Government is also preparing a guide for current operators and potential investors that will provide political, social, institutional, and economic context and tools to mitigate the risks of operating and to achieve sustainable development in the country. The Colombian Ministry of Defense and several VPs companies have signed memoranda of understanding that incorporate the Principles as the standard of conduct for the Colombian forces protecting company projects.

的风险分析结果,正在调整其新型安全模型,从而使武装部队和警察能够更好的依据人权原则开展行动。政府还在为目前的经营者及潜在投资者起草一份指南,将提供政治、社会、制度和经济方面的背景信息及工具,以缓解运营风险,促进哥伦比亚实现可持续发展。哥伦比亚国防部和若干实施《自愿原则》的公司已经签署了谅解备忘录,将《自愿原则》纳入其中,作为哥伦比亚部队保护公司项目的行为标准。

For specific examples of Voluntary Principles implementation in particular countries or sectors, please contact the Voluntary Principles Secretariat at info@voluntaryprinciples.org

如欲了解《自愿原则》在特定国家或行业的具体实施案例,请发送邮件至《自愿原则》秘书处: info@voluntaryprinciples.org