



# **Security and Human Rights Mechanism (SHRIM)**

**Annual Report 2021**



## About DCAF

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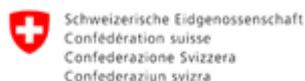
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Cover photo: DCAF, Liquefied natural gas rig off the shores of Pemba, Cabo Delgado, Mozambique

## About the SHRIM

DCAF's Security and Human Rights Mechanism (SHRIM) is a multi-donor fund committed to improving security and human rights on the ground through multistakeholder engagement. The SHRIM supports targeted, cost-effective security, development and human rights programming in fragile contexts. It is committed to promoting local ownership and capacity building. Projects therefore prioritise partnerships that reinforce local actors and processes. The SHRIM promotes donor coherence and result-based approaches to the implementation of international initiatives in the field of business, security and human rights.

## Thanks to our SHRIM Donors



## Contents

1. Introduction .....	1
2. Country and Regional Projects .....	2
2.1 Colombia .....	2
2.2 Democratic Republic of Congo (DRC).....	4
2.3 Kenya .....	14
2.4 Mozambique.....	16
2.5 Nigeria.....	17
2.6 Central American Northern Triangle (El Salvador, Guatemala, Honduras) .....	22
2.7 Peru.....	23
3. SHRIM Governance and Financial Management .....	26
3.1 Governance .....	26
3.2 Financial Management .....	26
3.3 Overview of SHRIM Thematic Priorities 2021.....	27
4. Marking the SHRIM's Fifth Implementation Anniversary .....	28
Annex: SHRIM 2021 Active Project List .....	30



## 1. Introduction

In 2021, DCAF re-initiated travel and in-country support to projects pursued through its Security and Human Rights Implementation Mechanism (SHRIM). Here are some key takeaways:

- In 2021, the SHRIM oversaw the implementation of 16 projects, implemented in 6 countries in Sub-Saharan Africa and Latin America, including 1 sub-regional project for the first time in the Northern Triangle region of Central America.
- Four of the 16 SHRIM projects in 2021 were intense short-term projects that were active from January – March 2021, made possible with funding from United Kingdom Foreign, Commonwealth, and Development Office at a late stage in the UK’s financial year.
- Seven of the 16 active SHRIM projects received some level of co-funding between SHRIM donors, underscoring the SHRIM’s commitment to donor coherence and value for money.
- The SHRIM received and implemented funds equalling CHF 975,960 – it’s highest level of annual implementation spending to date.
- The SHRIM initiated a new project for a pilot training to build police capacities on security and human rights to prevent and reduce the worst forms of child labour on mining sites in South Kivu, DRC mandated by the Thomson Reuters Foundation as part of a large project grant funded by UK AID. The Thomson Reuters Foundation approached DCAF because of the positive reputation DCAF has built in the DRC from the successful implementation of human rights trainings for the Congolese Mining Police in earlier SHRIM projects.
- The SHRIM initiated programming with a new local partner to establish a multistakeholder process for the Voluntary Principles on Security and Human Rights in Mozambique.
- The SHRIM Steering Committee approved the Implementation Framework to accompany the SHRIM Strategy for 2020 – 2024.

This Annual Report provides an overview of the activities undertaken in 2021, including outcomes, results, and next steps foreseen for the 16 active projects pursued this year. This Annual Report includes two special features that highlight the impact of SHRIM projects, in one case resolving and improving the security and human rights situation on a mine site in South Kivu, DRC, and the success of our partners’ advocacy in including two security and human rights recommendations in the Peruvian National Action Plan for Business and Human Rights.

This year marks the fifth anniversary of SHRIM project implementation from 2017 through 2021. The financial section and a special anniversary section of this Annual Report show how the SHRIM has evolved in its efforts to promote security and human rights good practices.

DCAF remains grateful to the SHRIM donors and implementing partners for the results achieved in 2021 and looks forward to continued collaboration.

## 2. Country and Regional Projects

### 2.1 Colombia

#### **Promoting security and human rights due diligence in artisanal and small-scale mining (ASM) contexts in Antioquia, Colombia (January – March 2021)**

**Donor: UK**

##### **Project Objective**

The objective of this project was to develop a guidance tool to build capacities of artisanal and small-scale (ASM) miners to undertake security and human rights risk management around their mining operations. The project focused on the context of ASM miners in Antioquia, Colombia and raised awareness of the application of the Voluntary Principles on Security and Human Rights (VPs) in ASM contexts. This project was led by the Alliance for Responsible Mining (ARM) in Colombia and built upon the results of the SHRIM's 2018 Security and Human Rights Grant with ARM, which scoped security and human rights challenges in ASM mining communities in Antioquia.

##### **2021 Activities**

After conducting research and consultations, including two dialogues with multistakeholder groups on mining in Colombia (the Dialogue Group on Mining in Colombia - the *Grupo Dialogo* or GDIAM) and the Gold and Copper Group in the *Asociación Colombiana de Minería* [ACM]), ARM and DCAF developed a guidance tool for ASM stakeholders to identify and mitigate risks in line with the [CRAFT Code](#). This guidance tool facilitates the inclusion of security governance elements in ASM due diligence and draws on the VPs, the International Code of Conduct for Private Security Service Providers (ICoC), and Montreux Document (MD). This is the first contextualized guidance for Colombian stakeholders that focuses specifically on security issues in ASM.

An innovative element of this project was for ARM and DCAF to organize an exchange between the GDIAM and the South Kivu Voluntary Principles Working Group from the Democratic Republic of Congo to share experiences and strategies in ASM security risk management.

Finally, the project partners contributed to a wider process recommending language to strengthen human rights standards in relation to public and private security providers to be included in ARM's [Fairmined standard](#).

##### **Outcomes, Results, and Next Steps**

ARM and DCAF finalized the guidance tool, which is available in Spanish [here](#). ARM distributed and disseminated the guidance among GDIAM members, including: ASM collectives, large-scale mining (LSM) companies, civil society organisations (CSOs) and public institutions, and presented the guidance to the CME in November 2021. ARM will continue to promote the guidance online as a resource to the CRAFT Code and in events where the CRAFT Code is disseminated. DCAF also promoted the guidance with the OECD Responsible Business Conduct Unit.

The Fairmined revision recommendations will be presented to the Fairmined Standard Committee, (representatives from ASM miners, industry companies and experts) in the first half of 2022. The standard will be used by any market players who buy ASM gold and associated precious metals, thereby supporting responsibly managed community mines.

The project was an important vehicle for DCAF to expand and deepen its collaboration with a wide range of stakeholders in Colombia, including the broad membership of CME, GDIAM, and the ACM's Gold and Copper Group, thereby raising awareness on security and human rights good practices among a range of companies, ASM actors, and CSOs, opening the door for future collaboration.

The project also gave life to recommendations proposed in the [DCAF-ICRC-OECD Study on Promoting Coherence between the OECD Due Diligence Guidance and the VPs](#), in particular with respect to promoting improved security and human rights standards as part of due diligence efforts for ASM, with the VPs serving as a useful framework. To this end, this project has increased awareness and understanding of the VPs standards, contextualized to Antioquia's ASM industry. Furthermore, this project has bridged and networked various pre-existing multi-stakeholder processes, which traditionally focused on addressing the OECD responsible minerals due diligence standards broadly, not only with the CME at the national level, but also through a South-South exchange with the DRC.

## **Developing an Implementation Guide for Multi-Stakeholder Collaboration to Prevent Security and Human Rights Risks (September 2021 - March 2022)**

**Donor: UK**

### **Project Objective**

In September 2021, DCAF began work with the Comité Minero Energetico (CME - Colombian VPs Working Group) and its member organisation Centro Regional de Empresas y Emprendimientos Responsables (CREER) to develop an Implementation Guide that would allow extractive companies, public security forces, and communities to undertake joint risk assessment and management. The project seeks to help prevent community-corporate conflicts and strengthen the protection of human rights. It is based on a formal protocol previously signed between the Colombian Ministry of Defence and the CME.

### **2021 Activities**

DCAF, CREER and the CME undertook a sustained virtual collaboration to structure the methodology and outline and draft the content of the Implementation Guide. The partners also initiated discussions with CME member companies to receive feedback and identify interest in piloting the Guide. Sustained outreach by the partners achieved buy-in from the Ministry of Defence not only in providing input into the development of the Guide, but also to fully take part in piloting the Guide with corporate and civil society stakeholders in 2022.

### **Outcomes, Results, and Next Steps**

In 2022, the partners will finalise the Guide and develop a strategy for field-testing through CME members and other relevant stakeholders.

## 2.2 Democratic Republic of Congo (DRC)

### **Supporting the Voluntary Principles in the DRC at the National Level**

**Donor: CH, NO**

#### **Project Objective**

The objective of this project is to support the DRC government in achieving its stated commitment to become a government member of the Voluntary Principles Initiative (VPI).

#### **2021 Activities**

The project, launched in 2020, continued in 2021 with efforts to build upon the commitment expressed by the Ministers of Human Rights and Mines during an October 2020 meeting with DCAF in Geneva. The elections in the DRC led to a transition of government in the first half of 2021. Through this transition, DCAF engaged with the permanent administrations of the Ministries of Human Rights, Mines, and Petroleum and then to the new cabinet appointees, facilitating meetings with the Swiss Embassy. By June 2021, the Ministry of Human Rights seized its leadership role, with the Human Rights Minister appointing his Chief of Staff to lead the VPs process, and five focal points from the three ministries were confirmed.

On this basis, a Kinshasa VP Working Group meeting was organized on 17 June 2021 in a hybrid setting (both virtual and in-person) and jointly hosted by Canada, the 2021 chair of the VPI, and Switzerland. The Human Rights Ministry Chief of Staff and two additional focal points from the Ministries of Mines and Hydrocarbons presented their ministries' engagement to the Working Group members.

From July 2021 onwards, a strong working relationship was developed that led to the organization of four technical meetings of the government focal points. These meetings established a common foundation of knowledge, providing space to share the VPI's expectations of an application, and to begin drafting a roadmap.

In September 2021, DCAF supported a gathering of national and provincial stakeholders in Kinshasa at a workshop championed by the Congolese Ministry of Human Rights to discuss the impact achieved by Voluntary Principles Working Groups in the DRC to-date and the challenges and opportunities for further improvements in security and human rights in the extractive sector, in particular through the government's engagement in the Voluntary Principles Initiative.

This workshop was opened by high-level speeches by the Congolese Human Rights Minister and the Ambassadors of Canada, the Netherlands, and Switzerland, reaffirming the importance of multistakeholder dialogue and the VPs as a framework for promoting security and human rights good practices in the DRC. Open-floor discussions continued, led by the technical focal points of the Ministries of Human Rights, Mines, and Hydrocarbons who presented a draft roadmap of

necessary steps to formalise the government's engagement in the Voluntary Principles and received input and suggestions from stakeholders in the audience. A panel also featured the important results achieved to date by the provincial Working Groups in South Kivu and ex-Katanga. The workshop highlighted a new national dynamic towards Voluntary Principles implementation that DCAF will continue to support.

### **Outcomes, Results, and Next Steps**

The project has been successful in establishing a good technical working relationship with the government and has encouraged the government to broaden its engagement and strengthen its commitment to join the VPs.

DCAF is committed to continue its support for the DRC government to finalise its application to become an “engaged government” of the VPI to submit to the Initiative by the next deadline of 31 March 2022. DCAF will continue multistakeholder engagement and channelling guidance and inputs from the provincial WGs. In parallel, DCAF is scoping contributions from different donors to support a strategic, multi-year, and comprehensive approach to promoting VPs implementation in the DRC.

## **Improving the Field implementation of the Voluntary Principles – South Kivu**

### **Donor: CH**

#### **Project Objectives**

In 2021, DCAF continued to support and reinforce the capacity of the VPs Working Group (WG) in South Kivu. The project focused on enabling the WG to address security and human rights challenges in the mining sector in the specific context of artisanal and semi-industrial extraction of South Kivu. The project continues to be led by the Congolese NGO, the Observatoire Gouvernance et Paix (OGP), which leads the Secretariat of the WG, with technical input from DCAF.

#### **2021 Activities**

In 2021, the South Kivu WG held five meetings and conducted numerous actions to respond to security and human rights challenges previously identified, particularly on the Luhihi mining site and in Mwenga territory. DCAF participated in the April 2021 WG meeting in-person in Bukavu, as it coincided with the WG's organization of the Training-of-Trainers program with the Congolese Mining Police (PMH) and first direct training of PMH from South Kivu in April 2021 (see below).

In addition to its interventions in Luhihi, the South Kivu WG undertook two missions to Lugushwa and Kitumba in Mwenga territory, where disputes had arisen between industrial companies, cooperatives and communities in a mining area that uses illegal security actors drawn from the army and militias. The WG organized two roundtables to gather stakeholders, foster dialogue and issue recommendations. These missions highlighted the deteriorating conditions caused by the arrival of industrial or semi-industrial actors of Chinese or South-East Asian origin that have a poor understanding of their context, risks and importance of maintaining good relations with communities in their immediate area. The WG has continuously monitored the situation and issued

recommendations to improve conditions on the mining sites. In August 2021, the South Kivu Governor suspended the activities of Chinese-run extractive operations, as well as their partner cooperatives in Mwenga, South Kivu, in part due to the WG's awareness-raising and advocacy.

### **Outcomes, Results, and Next Steps**

Through project-based support, the SK WG continues to demonstrate the effectiveness of multistakeholder platforms in addressing security and human rights challenges. Furthermore, the WG was instrumental in 2021 in finalising the PMH train-the-trainers that had been postponed due to COVID-19 as well as an add-on training focusing on the identification and prevention of the worst forms of child labour on mining sites (see project descriptions below). Finally, the South Kivu WG continues to play an important role in accompanying the Congolese government at the national level to become an engaged government member of the VPI.

DCAF will continue to coordinate with the South Kivu WG to deepen multistakeholder dialogue, incident identification and monitoring in eastern DRC and link findings to security sector governance, oversight and reform advocacy at the national level in Kinshasa.

## Multistakeholder Action Helps Evacuate Illegal Army Presence and Close an Illegal Prison in Luhihi

Luhihi is an official artisanal gold mining site (“zone exploitation artisanale” [ZEA]) a few kilometres away from the South Kivu provincial capital of Bukavu. The site was closed in January 2021 by the governor due to a range of irregularities. In a meeting in April 2021, the South Kivu VPs WG noted with concern that local army commanders and officers were continuing to exploit miners and capturing profits from the gold sale on the site and undertook to follow-up in implementing recommendations for resolution of security and human rights concerns on the site.

In June 2021, the WG followed up with the regional commander of the army to set a course of action to resolve problems at Luhihi and other sites. The commander pledged support to the WG and appointed his deputy intelligence officer to participate in WG meetings and accompany the WG to Luhihi. The WG also met with the provincial police commissioner. These two meetings facilitated the planning of a fact-finding mission in Luhihi in July 2021, when the WG travelled to Luhihi to ascertain the situation objectively and to ascertain responsibilities. During this mission the WG confirmed the veracity of the following allegations that had been reported:

- An illegal prison was operated by the army in Luhihi.
- Former elements of armed groups among artisanal miners have burned state authority offices.
- An estimated 2000 people were living on the mining site in a temporary camp.

The WG also met and exchanged with the army officers occupying the site. The WG identified eleven units coming from two detachments and received information that confirmed that smugglers were retrieving minerals by jeep every night. After the on-site monitoring mission, the WG received confirmation that a dozen locals had been illegally imprisoned in inhumane conditions because they did not pay illegal taxes levied by the army. Following the mission, the WG and the deputy intelligence officer reported back to the authorities and agreed on a follow-up mission to resolve the issues.

In September 2021, the WG returned to Luhihi. The illegal army units were evacuated by the army, mining police and territorial police and the illegal prison in Luhihi was closed. Witnesses were heard on the conditions in the prison. The temporary camp was cleared and relocated and grievances were collected. Finally, the site was returned to the Mining Police to provide security.

Days later, in October 2021, a multistakeholder mission led by the Ministry of Mines and provincial authorities accompanied by civil society, and Global Communities from the USAID-funded Clean Gold Programme, declared the mining site re-qualified and ready to resume activities.

## **Improving the Field Implementation of the Voluntary Principles – Haut Katanga and Lualaba**

**Donor: CH**

### **Project Objective**

The objective of this project is to continue to reinforce the capacity of two VPWGs in the former Katanga (Haut-Katanga and Lualaba) to address security and human rights challenges on the ground. This project is led by Congolese CSO Justicia ASBL, who acts as the Secretariat of the two Working Groups, with technical inputs from DCAF.

### **2021 Activities**

In 2021, Justicia convened a total of four WG meetings: two in Kolwezi and two in Lubumbashi. In Haut-Katanga the WG identified the good practice of the company MMG hiring close to half its security officers among the local community and shared and discussed this experience among its members in June 2021. Furthermore, the Kamoa Copper company associated the WG to a training on human rights for 350 security officers from the company, where the WG explained and promoted the VPs in May 2021.

In Kolwezi, in addition to convening two regular WG meetings and sensitizing a range of stakeholders from the three pillars of the initiative, Justicia held a one-day workshop in Kolwezi in September 2021 for the Lualaba WG and an extended group of invited stakeholders involved in mining to introduce the VPs framework and obtain buy-in for engagement in the group, notably the local representatives of the national police (PNC) who had been previously reluctant to participate in the VPWG activities. DCAF participated virtually in this workshop, delivering a presentation where Justicia raised previously identified challenges to illuminate the benefits of a multistakeholder approach to first-time participants.

In the first half of 2021, Justicia collaborated with OGP on the organization of a Training-of-trainers for the Mining Police in Bukavu, which incorporated four high-ranked officers from Haut-Katanga. In June 2021, both organizations organized the second direct training in Lubumbashi, delivered by the certified trainers of the ToT.

Justicia and the Legal Adviser to the provincial police commissioner of Haut-Katanga presented the most recent activities of the Haut-Katanga and Lualaba WGs to national stakeholders during the September 2021 Kinshasa workshop to provide examples of the impact of the VPs and its use of multistakeholder dialogue to respond to security and human rights incidents.

### **Outcomes, Results, and Next Steps**

The Haut-Katanga WG monitored the conduct of private security actors and the performance of large police interventions on industrial mining sites. The group raised questions to the police on issues directly after the evacuation of a thousand artisanal miners on the Kipoi site (75km south of Lubumbashi) that had resulted in the death of a miner. An investigation is under way, but the evacuation, led by the provincial commissioner, has otherwise been identified as a good example of the use of dialogue with the miners that were occupying the mining site.

During its monthly meetings, the WG has given particular attention to the worsening conditions around Tenke Fungurume Mining, which faces a range of complex challenges in its relations with communities and in addressing the theft of minerals and materials from the industrial mine site that are sold through *comptoirs* or other channels. The WG gained greater understanding of LSM-ASM challenges and issued recommendations to improve communication with communities and conduct trainings.

The bilateral meetings conducted by Justicia and the September 2021 workshop in Kolwezi helped reinforce engagement from actors from the government (Ministry of Mines, Ministry of Interior, Police) and to share lessons learnt from the Haut-Katanga group. The WG also arranged for a representative of the Haut-Katanga command of the Congolese army (FARDC) to address corporate stakeholders in Lualaba, although only one company responded to the invitation for this exchange. DCAF will continue to coordinate with Justicia for the Haut-Katanga and Lualaba WGs to promote improved security and human rights standards in the region and bringing lessons learned to national dialogues on the VPs.

## **Improving Human Rights Compliance of DRC Mining Police**

**Donors: UK, CH, NO**

### **Project Objective**

The objective of this project was to improve the human rights compliance of public security forces assigned to extractive industries in the DRC, namely the mining police (PMH). This project built on a SHRIM pilot training that was delivered in December 2019 to units of the PMH at the police school in Bukavu, South Kivu that was funded by the Dutch Embassy in the DRC. After being postponed due to COVID-19 in 2020, the project was able to reach its completion in 2021.

### **2021 Activities**

In April 2021, DCAF and OGP organized a training-of-trainers (ToT) targeting 15 officers from the Mining Police (PMH) delivered by Safestainable and UNPOL. The training was also observed by civilian stakeholders from South Kivu and the Deputy Head of the General Directorate for Police Schools and Trainings (DGEF) of the National Congolese Police (PNC) from Kinshasa. The 8-day ToT was followed immediately with a 3-day direct training targeting 20 mining police officers from the South Kivu province.

In June 2021, Justicia and OGP organized a second direct training in Lubumbashi for 16 PMH officers from the Haut-Katanga province, in a similar format and in presence of provincial authorities, bringing the total of mining police officers trained in 2021 up to 51.

### **Outcomes, Results, and Next Steps**

The three trainings organized in 2021 have created a pool of mining police officers trained on security and human rights in their respective provinces where two VP Working Groups are active and can monitor them. This is a first step towards sustainability of training capacities within the Congolese national police.

Participants reviewed the course favorably. In particular, the inclusion of civilian stakeholders and members of the South Kivu VPWG helped provide context for the presentation of international norms and good practices with real-life challenges seen in the South Kivu province. The presence of the high-ranking Deputy Head of the DGEF strengthened the legitimacy of the training and was also a key factor of success. Finally, the use of practical exercises was an important and effective component to help the trainees put theory into practice.

Furthermore, OGP's and DCAF's outreach and inclusion of the Deputy Director of the DGEF has resulted in the Director of the DRC National Police recognizing DCAF as a technical expert and resource institution for an 8-hour course on human rights as part of the national training curriculum for the PMH. In September 2021, the DGEF deputy agreed to put DCAF in contact with the national module development contact person to explore concretely the possibilities of module integration and harmonization.

## **Building Police Capacities on Security and Human Rights to Prevent and Reduce the Worst Forms of Child Labour on Mining Sites in South Kivu, DRC**

**Donor: Thomson Reuters Foundation (UK AID)**

### **Project Objective**

The objective of this project is to raise awareness and strengthen the capacity of duty bearers of the Congolese National Police (PNC) – through both the Escadrons de Protections de l'Enfance et de Prévention des Violences Sexuelles (EPEPVS) and the Police des Mines et Hydrocarbures (PMH) – to better identify and respond to cases of worst forms of child labour (WFCL) on mining sites. This project was commissioned by the Thomson Reuters Foundation as one work-stream of a multi-year/multi-country initiative called the and the [Partnership against child exploitation \(PACE\)](#) consortium, with funding from UKAid. The project is being piloted in South Kivu province in collaboration with OGP.

### **2021 Activities**

The training of trainers that took place in October 2021 over 11 days at Jules Moke police school in Bukavu targeted 12 officers that were appointed by the provincial police command based on criteria conveyed by local partner OGP. The content of the training focused on learning to identify worst forms of child labour and on determining practical responses to the presence of child labour in mines in agreement with national law and international standards. After an eight-day course on the content, the new Congolese trainers taught 16 further police officers from the nearby mining areas of Walungu. Five trainers were certified as being best able to reproduce the training without international support.

The training highlighted the importance of coordination between different police units, with state services, mining cooperatives, and civil society actors. To this end, a total of eighteen civilian participants from government agencies, private sector and civil society actively participated in the different training sessions to enrich the content and highlight the importance of coordination.

Local partner OGP had first convened and raised awareness of these civilian actors in August on the purpose of the training, and they will reconvene to close down the project with a roundtable aimed at durably improving abilities to tackle the WFCL in mines.

Based on the training curriculum and feedback received during the training in Bukavu, DCAF, OGP and TRF developed a pocket guide to offer practical step-by-step pointers to police officers deployed on mines on how to identify and respond adequately to cases of WFCL on mining sites.

The PACE consortium dispatched an expert hired by Colombia University to monitor the trainings, conduct interviews with participants, and produce a learning report.

### **Outcomes, Results, and Next Steps**

The feedback from participants to the training was largely positive and underlined the gaps in training in South Kivu police. The project will organise a second direct training in 2021 where the certified trainers and local partner OGP will train 16 further police units from the PMH and EPEPVS. Partners to the project will design the pocket guide and OGP will print and disseminate 600 copies available in French and Swahili in areas where police conduct can be monitored. Finally, a roundtable gathering all stakeholders of the child protection system in the province will take place, including police representatives, the ministry of mines, government services, social assistants, prosecutors and more.

The presence in the PACE consortium of a monitoring, evaluation, and learning team will allow the SHRIM to reflect on the effectiveness of this pilot program and could inform future activities on the topic of child labour in DRC.

## **Strengthening Civil Society Monitoring of the Private Security Sector in the DRC (January - March 2021)**

**Donor: UK, CH**

### **Objectives**

The objective of this project was to empower CSOs to operationalize a private security monitoring tool to effectively monitor and report on human rights issues linked to private security actors. The project trained civil society actors on using the private security monitoring tool developed in a prior SHRIM project by DCAF project partner l'Observatoire d'Etudes et d'Appui à la Responsabilité Sociale et Environnementale (OEARSE) and the International Code of Conduct Association (ICoCA) through the organization of workshops in Kinshasa and 4 provinces (Kasaï Oriental, Ituri, Nord Kivu, Lualaba). Furthermore, the project partnered with three CSOs to test and pilot the tool through private security monitoring in South Kivu, Maniema, and Haut Katanga provinces with the view to making improvements to the tool for its final publication. Finally, the project began a new phase, increasing the capacity of governmental authorities – namely, the Civil Protection Unit of the Ministry of the Interior, which serves as the regulator of private security in the DRC – to cooperate with civil society on private security oversight.

## 2021 Activities

At the provincial level, OEARSE and DCAF built the capacities of at least 75 CSOs across the capital and 4 provinces based on the tool, creating an opportunity to interact with the provincial representative of the civil protection unit of the Ministry of Interior through workshops organized in Goma, Mbuji-Mayi, Bunia, and Kolwezi in March 2021.

To test the monitoring tool, DCAF developed a methodology in collaboration with CSOs in three provinces: South Kivu, Maniema and Haut Katanga. In February – March, each organisation monitored at least two types of clients, including at least one extractive setting and another economic sector where public security collaborates with private security. The final civil society monitoring tool tailored to the DRC was published at the end of this project and is available online [here](#).

Finally, OEARSE and DCAF undertook outreach to the regulator of the private security industry at the civil protection unit of the Ministry of Interior in Kinshasa. Three working sessions were organized between civil society representatives and the national regulator and his team in Kinshasa in February and March.

## Outcomes, Results, and Next Steps

This project successfully filled gaps that have existed amongst both government representatives and CSOs with respect to (1) awareness and understanding of international human rights good practice standards related to private security conduct; and (2) the complementary roles of CSOs and the regulator in monitoring and oversight of the private security industry.

The capacity of civil society to monitor private security was successfully reinforced. The workshop process of adapting the practical guide to the DRC context has produced additional insights into challenges in private security governance and the existing regulatory framework. Furthermore, the provincial activities allowed for the tailoring of discussions to focus on the most relevant sections of the monitoring tool per province. For example, North Kivu focused on the importance of information sources for monitoring; Lualaba and Kasai Oriental focused on the regulatory framework and specific standards such as apprehension and detention; and Ituri concentrated on raising awareness of civil society's role in good private security governance. According to the evaluation forms, the vast majority of the 75 participating CSOs indicated they will conduct further monitoring of private security in the future as a result of the project and their strengthened capacities. Of particular note, one CSO trained through this project has already contacted the private security CSO network to request help on how to monitor and report on a concrete case of an individual who was allegedly injured by a security guard.

As a result of the engagement of the regulator and provincial representatives in all the workshops, civil society was more conscious of the role of the state in private security oversight as many reported in their feedback forms. It is therefore expected that civil society will engage more closely with the state in its monitoring work. A mutual understanding between the regulator and CSOs of each other's respective roles in monitoring and oversight of the private security industry was created. These exchanges increased the regulator's respect for CSOs as independent and informed

actors capable of generating important monitoring information that strengthens the regulator's oversight role.

Finally, this project successfully increased dialogue between the national civil protection office in Kinshasa with its representatives in the province, raising awareness of concrete private security challenges on the ground and the need for a harmonized approach to regulation and oversight. This resulted in the regulator repeatedly expressing the need for regulatory reform and for the adoption of international good practices. Next steps will thus consist of seizing on the positive dynamics created between the government and civil society to develop a detailed and timebound roadmap for private security regulatory reform.

## **Building the oversight capacity of the national regulatory authority to improve private security governance in the DRC (September 2021 - March 2022)**

**Donor: UK, CH**

### **Objectives**

The objective of this project launched in September 2021 between DCAF and implementing partners OEARSE and ICoCA is to create a framework of multistakeholder consultations to guide the private security regulator - the Civil Protection Unit of the Ministry of Interior - to develop and take ownership of a regulatory roadmap to achieve more effective oversight and control of the private security sector. It will do so by raising awareness and capacities of the regulator, his representatives and private security clients in Kinshasa and seven provinces (South Kivu, Haut Katanga, Lualaba, Kasaï Oriental, Maniema, Ituri and Haut-Uélé) through an interactive e-learning course, identifying private security regulatory reform priorities to reduce human rights violations by private security companies at the provincial and the national levels, and convening a national workshop to develop a roadmap for implementation and build multi-stakeholder buy-in for regulatory reform. The project will end in March 2022.

### **2021 Activities**

In 2021, DCAF, OEARSE and ICoCA initiated the following activities:

- Organising introductory sessions by CSO experts for private security regulators and private security clients at the provincial level on the DRC's private security regulatory framework, as well as international good practices;
- Organising preparatory e-learning and feedback sessions with representatives of the regulator and private security clients;
- Development of seven reports that identify private security regulatory reform priorities to reduce human rights violations by private security companies in each province and in Kinshasa;
- Development of a draft national private security regulatory roadmap based on the seven provincial reports; and

- Mapping of key stakeholders to engage for governmental buy-in for implementing the private security regulatory roadmap.

### **Outcomes, Results, and Next Steps**

The relationship between the regulator and CSOs was strengthened. In the Autumn of 2021, the regulator expressed buy-in for the capacity-building process and the development of the private security regulatory roadmap.

The regulator identified the private security regulatory staff to be trained on private security regulation and expressed positive feedback on the e-learning developed together by CSOs and DCAF from September to November 2021. The regulator in Kinshasa also requested that the CSO partners accompany the regulator's office to present the tool to the Secretary General and the Minister of Interior.

Thanks to the e-learning platform, CSOs expressed that the process has further increased their understanding of international good practices on private security governance and provided them with strengthened capacities to shape private security regulatory development in the DRC. By end December 2021, CSOs participating in the project, regulators from seven provinces and 14 clients (including seven from the extractive industry) began to take the e-learning course. In January 2022, a regulatory reform report adapted to the seven provinces will be compiled in a roadmap.

In February 2022, the project partners will organise a conference convening key governmental stakeholder, regulator representatives, private security clients and experts to validate and adopt the private security regulatory roadmap. With the sustained efforts conducted by all involved in the project to secure buy-in by key stakeholders it is expected that concrete steps will be taken to improve regulatory frameworks in the country.

## **2.3 Kenya**

### **Strengthening Civil Society and Media Oversight of Private Security in Kenya (January - March 2021, September 2021 - March 2022)**

**Donor: UK**

#### **Project Overview**

The objective of this project, undertaken in two phases, is to strengthen civil society and media oversight capacity in Kenya with the view to contribute to their more active role in monitoring, identifying, and promoting solutions that will improve the human rights compliance of private security actors in Kenya. This project is being implemented jointly by DCAF and a local Kenyan partner organisation, the Usalama Reforms Forum.

## **2021 Activities**

In the first phase of this project from January to March 2021, this project strengthened CSO's and the media's role in monitoring and reporting on business, security and human rights. To this end, the project convened two-day workshops in three regions of Kenya: Nairobi, Mombasa and Kisumu. Usalama Reforms Forum partnered with the Kenya Correspondent Association (KCA) to design the content of these workshops. Each of the workshops was attended by 15 to 17 CSOs and Media representatives.

The workshops raised awareness of the challenges related to the private security industry in Kenya and its implication on human rights. They also trained participants on the existing national regulatory frameworks as well as international initiatives and good practices available to support more effective regulation of the private security sector, and how these can be useful to support CSOs and media monitoring and reporting roles.

Based on the recommendations issued during the workshop, Usalama Reforms Forum launched a media awareness campaign, holding TV and radio shows on local channels from Nairobi, Kisumu and Mombasa, directly in local languages. The campaign was successful in launching conversations around private security and their governance across the country, reaching a wide, local audience.

In the second phase of this project starting in September 2021, the project partners will develop a practical guide and online training module that will allow for ongoing and sustainable capacity building of civil society, the media, and the public on private security regulation and oversight in Kenya. To this end, Usalama Reforms Forum conducted consultations with around 15 participants from local CSOs and media representatives from Nairobi, Mombasa, and Kisumu and held three one-day workshops to brainstorm on security governance challenges in Kenya and the relevance of international best practices to strengthen the role of media and CSOs in monitoring and reporting. Following the workshops, the CSOs and Media representatives provided written inputs that will directly feed the content of both the practical guide and the online training module that will be developed in early 2022.

## **Outcomes, Results, and Next Steps**

In its first phase, this project was successful in raising awareness among CSOs and media representatives on their key role in the monitoring and reporting on business, security, and human rights issues, and on proving them with knowledge and capacities to ensure this key role. In particular, the media awareness raising campaign was successful in launching conversations around private security and their governance across the country, reaching the targeted local audience, including a range of local community stakeholders.

Based on the follow-up local-level consultations conducted in late 2021, Usalama Reforms Forum and DCAF will draft the practical guide and online training module in early 2022. To ensure strong local ownership, the partners will share the drafts with the same group of CSOs and media representatives for their final inputs, comments, and validation in a virtual feedback session, before being officially launched in March 2022. The launch will aim to disseminate these new tools

to the wider CSO and media community in Kenya but will also provide an opportunity to include other key stakeholders such as regulatory authorities and private security actors and to continue the conversation on how to improve the good governance of private security in Kenya. These discussions will come at a critical moment, as Kenya will be preparing for the August 2022 elections, during which security concerns are particularly high.

## 2.4 Mozambique

### **Establishing a multistakeholder in-country implementation process for the Voluntary Principles on Security and Human Rights in Mozambique**

**Donors: UK, CH**

#### **Objective**

The objective of this project is to establish the baseline and thematic priorities contributing to the establishment of in-country Voluntary Principles Working Groups both at the national level out of Maputo and in Cabo Delgado province that will provide a basis for sustainable implementation of the Voluntary Principles on Security and Human Rights in Mozambique. This project is being led by a Mozambican CSO, the Centre for Democracy and Development (CDD), in partnership with DCAF. This project was launched in September 2021 after an initial phase of collaboration between DCAF and CDD starting in February 2021 that contributed to the development of a pilot project from September 2021 to December 2022 with joint funding from the United Kingdom and Switzerland.

#### **2021 Activities**

DCAF conducted a first mission to Maputo, Mozambique in July 2021 to contribute to a roundtable on the VPs convened by CDD and the Ministry of Justice, Constitutional and Religious Affairs. This was the first event in Maputo where the Mozambican government expressed its intention of creating VPs Working Groups in Maputo and Cabo Delgado. This was also an opportunity for CDD and DCAF to cement their working relationship and develop a workplan for kick-off in September.

On 9 November 2021, the Mozambican Ministry of Justice appointed a focal point to lead the government's engagement. This was followed by the convening by the Ministry of Justice and CDD of a roundtable on the VPs on 24 November in Maputo, during which the Ministry of Justice formally launched the national VPs WG. CDD presented draft Terms of Reference for the national VPWG at the roundtable, which were also endorsed by the Ministry of Justice at this meeting. This high-level event provided the opportunity for CDD and DCAF to further raise awareness of the VPs process with a range of diplomatic missions and international organizations.

In the week following the roundtable, CDD and DCAF conducted their first joint mission to Pemba, Cabo Delgado to announce the project to the local authorities and initiate a process of stakeholder outreach and consultation. The project partners held high level meetings with the Governor of Cabo Delgado, the Secretary of State of the province, and a team from ADIN - the Mozambican

agency created with support from the World Bank to promote integrated development in northern Mozambique. Furthermore, CDD and DCAF undertook a wide range of meetings with local civil society actors and international organizations based in Cabo Delgado.

Finally, CDD and DCAF developed a methodology for a baseline study on the Voluntary Principles in Cabo Delgado, issued a call for proposals, and conducted interviews for a consultant to assist in undertaking this study. The baseline study will be conducted in early 2022.

### **Outcomes, Results, and Next Steps**

Through close collaboration throughout 2021, DCAF and CDD established a strong working relationship, with CDD in the lead on in-country implementation work and DCAF providing technical advice and security and human rights expertise to the project. CDD's sustained outreach throughout 2021 was successful in obtaining political buy-in from the Ministry of Justice to commit to launching the multistakeholder platform of the Maputo VPWG.

CDD and DCAF will continue to collaborate in 2022, first to finalise the baseline study and continue to build political will for the launch of a Cabo Delgado VPWG by March 2022 and then to refine workplan objectives that respond to the thematic priorities and needs to be identified in the baseline study.

## **2.5 Nigeria**

### **Strengthening Private Security Regulation and Oversight in Nigeria**

**Donors: DE, CH**

#### **Objective**

The objective of this project, which concluded in December 2021, was to strengthen private security regulation in Nigeria as an integral component of improving overall security sector governance and stability in Nigeria through the pursuit of the following four outcomes:

- Strengthening regulation;
- Improving knowledge and capacities of civil society and the media;
- Improving policies and practices of private security companies (PSCs) and private companies who are clients of PSCs; and
- Sharing of international and regional experience with the Economic Community of West African States (ECOWAS) of private security regulation.

DCAF pursued this project in partnership with the Nigerian CSO AFRILAW.

#### **2021 Activities**

The project convened a Private Security Governance Forum meeting in Ikeja, Lagos state in March 2021. During the forum, there was a substantive discussion on gender participation in the private security business, concluding that as more women are going into private security either as owners

or employees, there is a need to know more about their experience and share narratives within the sector. Furthermore, AFRILAW and DCAF continued to support the Legal Committee established by the Nigeria Government in 2020 to reform the Law on Private Security Companies. DCAF and AFRILAW held a two-day meeting in March 2021 to review and provide input to the Draft Nigeria Private Security Industry Bill. By December 2021, the Chairman of the Committee was consolidating the comments for further consideration of the bill.

DCAF and AFRILAW partnered with CSOs of the Private Security Governance Observatory to develop a guide to support monitoring PSC activities. Consultations gathered experiences, challenges, and case studies relevant to national and state contexts to ensure the guide is tailored to local issues. The partners convened two virtual events in September 2021 with a wider group of CSOs and media representatives to validate the draft guide. The guide, entitled “Private Security Governance Challenges and the Relevance of International Norms and Best Practices: Guide for Civil Society and Media, Nigeria,” was officially launched in November 2021 at an event attended by representatives of public institutions, including the private security regulator, the NSCDC, civil society, media, the Association of Licensed Private Security Practitioners of Nigeria (ALPSPN) as well as embassies. The guide enables CSOs and media to identify specific challenges and supports these organisations to connect international initiatives and frameworks (namely the VPs, Montreux Document and ICoC) with local issues and situations. The guide therefore represents a major step to interpreting these frameworks to the Nigerian context and is available [here](#).

In September 2021 ALPSPN, AFRILAW, and DCAF signed a tripartite agreement of collaboration to respond to the ALPSPN’s requests for DCAF to review its code of conduct and adapt it to international norms and good practices and to prepare a training for the management of its member companies on human rights and international good practices. As a result, DCAF, AFRILAW and the ALPSPN in collaboration with ICoCA and Lite-Africa, as chair of the VPWG, organized capacity-building workshops for private security clients in October 2021. A first workshop provided private security clients with training on the procurement of private security companies, highlighting the reputational and human rights risks of weak selection and lack of vetting, whereas the second workshop focused on good practices for companies on governance and management practices, human rights due diligence and advice on setting up effective internal grievance mechanisms.

Partnering with the African Security Sector Network (ASSN) through its local affiliate PRAWA as well as an additional expert consultant, DCAF developed a baseline study analysing the private security industry and its regulation across West Africa. The study also assesses the actual or potential role of the ECOWAS Commission in promoting good private security governance through the implementation of the ECOWAS SSG/R framework. The study was shared with the ECOWAS commission and discussed during a two-day validation workshop in October 2021.

### **Outcomes, Results, and Next Steps**

DCAF and AFRILAW successfully achieved the overall project objective of enhancing governance of the private security sector in Nigeria. Of note, this project achieved the following results against its stated objectives:

- To strengthen private security regulation, the project initiated a public discussion on private security governance at federal and state levels, prompting the government's creation of a legal committee that developed a new draft private security law with thematic support from DCAF and AFRILAW on international best practice standards on private security regulation. Furthermore, this project has prompted the Nigerian government to initiate a formal review process to explore joining international initiatives on private security governance (Montreux Document and International Code of Conduct) as a sign of its political will to strengthen regulation of the private security industry.
- To empower civil society and the media, the project's efforts created a tailored, context-specific guide that was disseminated to partners. This has resulted in the expansion of Nigerian membership in the pan-African Private Security Governance Observatory.
- To improve the policies and practices of private security companies and expectations of their clients, DCAF and AFRILAW forged an innovative partnership with the Nigerian Association of Licensed Private Security Practitioners (ALPSPN) resulting in successful collaboration on a capacity building workshop and initial review of their code of conduct for PSCs.
- To build the capacity of regional private security regulators and improve governance across West Africa, the project disseminated a regional baseline study. This catalysed interest by the ECOWAS Commission to open a consultation with the organisation's member states on how to strengthen private security governance in the ECOWAS region.

The project concluded in December 2021. DCAF will continue to collaborate with AFRILAW to pursue other opportunities to take the important results of this project forward in furtherance of the objective of strengthened regulation and oversight of the private security sector in Nigeria.

## **Strengthening Civil Society and Media Capacities to Promote International Good Practices on Business, Security and Human Rights (January - March 2021)**

**Donor: UK**

### **Objective**

The objective of this project was to build capacities and skills of stakeholders (communities, public and private security providers, and media and CSOs) to better understand security and human rights good practices to improve respect for international best practice standards on business, security, and human rights.

This project was led by the Nigerian CSO PRAWA with technical inputs from DCAF and built upon past SHRIM projects through which PRAWA developed and disseminated capacity building, training and outreach materials on the VPs (Nigeria Police Pocket Handbook training material, podcasts, case studies, flyers, Smartphone application). Despite already impressive results in contextualizing the VPs to the Nigeria context via these tools, DCAF and PRAWA identified a need to further engage stakeholders in the local communities where companies operate.

## 2021 Activities

PRAWA and DCAF developed and promoted the VPs podcasts, posters, flyers and other outreach materials to over 70 civil society and media representatives through an interactive virtual exchange. PRAWA and DCAF, together with 3 other CSOs active in the respective communities (including LITE-Africa, the Chair of the VPs Working Group) organized 4 community outreach meetings. The community outreach meetings built the capacities of community leaders, including traditional, youth, and women leaders, to use the VPs as a tool in their dialogues with companies and security providers. Special focus was given to women participants, to gather information on the gendered security and human rights risks faced by women in the communities where companies operate.

Furthermore, this project disseminated training materials on the VPs to law enforcement actors from the Nigeria Police, Nigeria Civil Defence Service (NSCDC), private security agencies, vigilante groups and state environmental agencies). The workshop with law enforcement officials reached 85 participants from: the NSCDC, including one representative from the NSCDC's three training institutions; Nigeria Police Force; private security providers; the National Youth Service Corp; the National Orientation Agency; and the National Human Rights Commission.

The workshop introduced the VPs and other guidance on private security regulation and discussed how they can be mainstreamed into the training curriculum. Finally, the project gathered inputs and feedback on the VPs Smartphone application and integrated these user experiences into the edited version of the App.

A selection of media covering the project can be found here:

- <https://guardian.ng/features/law/prawa-geneva-centre-train-security-officers-on-voluntary-principles/>
- <https://www.blueprint.ng/a-ibom-ppdf-prawa-dialogue-oil-community-on-peaceful-co-existence-with-oil-coy/>
- <https://www.morenews.ng/ibeno-oil-communities/>

## Outcomes, Results, and Next Steps

This project was successful in building the capacities of civil society to integrate the VPs in their work around promoting responsible business conduct. The project has improved interactive media materials on the VPs for Nigerian stakeholders by integrating feedback and inputs and by disseminating these materials to communities who had previously never heard about the VPs and had not been able to use them in their dialogues with companies. Finally, the project linked important complementary workstreams by drawing on the Co-Chair of the Nigeria Voluntary Principles Working Group and CSO members of the Private Security Governance Observatory to promote the VPs in their respective regions.

## **Reinforcing Voluntary Principles Implementation in Nigeria (September 2021 - March 2022)**

**Donor: UK, CH**

### **Objective**

The objective of this project launched in September 2021 seeks to build capacities of Nigerian stakeholders to promote implementation of, and compliance with, the Voluntary Principles on Security and Human Rights (VPs) through the national VPs WG to better address community-based security and human rights concerns and have strengthened government engagement for VPs implementation. This project is being led by Nigerian CSO, PRAWA, in its capacity as a member of the VPs WG, in partnership with LITE-Africa, in its role as Co-Chair of the WG and with technical inputs from DCAF. This project builds on prior SHRIM projects promoting the VPs in Nigeria.

### **2021 Activities**

In December 2021, PRAWA and DCAF organized two capacity building workshops for communities in Akwa Ibom State and Abia State for CSOs, grassroots organizations and community leaders to discuss security and human rights concerns related to extractive operations. DCAF and LITE-Africa also initiated consultations on how to engage companies to ensure that the VPWG can play a constructive role in facilitating tripartite discussions between communities, companies, and government representatives. PRAWA also initiated consultations with the Nigeria National Human Rights Commission and government stakeholders on VPs implementation gaps.

### **Outcomes, Results, and Next Steps**

Participants in the December 2021 workshops already confirmed that they are better informed of their rights and felt that their concerns were heard and understood. In 2022, DCAF, PRAWA and LITE-Africa will organize a VPs Working Group meeting, bringing community members to Abuja to raise community-level concerns directly with company and government representatives in the context of the national VPWG. PRAWA will also engage the Nigeria National Human Rights Commission and its representatives in Akwa Ibom and Abia States and link the NHRC to the community representatives. In 2022, the project partners will also organize a workshop with government ministries to identify key implementation gaps and develop a roadmap to address regulatory gaps/challenges.

## **2.6 Central American Northern Triangle (El Salvador, Guatemala, Honduras)**

### **Strengthening Private Security Regulation in the Northern Triangle of Central America (El Salvador, Guatemala, Honduras) (January – March 2021)**

**Donor: UK**

#### **Objective**

The objective of this project was to conduct research to establish national baseline studies on the state of play on private security regulation and human rights issues related to the private security industry in the Central American Northern Triangle countries of Guatemala, Honduras, and El Salvador. These baseline studies will provide crucially needed information to national stakeholders (regulatory authorities, civil society, and the industry itself) to assist them in developing private security regulation in line with international norms and good practices. This project was coordinated from Guatemala by civil society partner IEPADES.

#### **2021 Activities**

IEPADES undertook multistakeholder outreach and field research, analysis, and initial drafting of baseline studies on the private security sector in each of the three Northern Triangle countries. DCAF and the project partners finalised the baseline studies by March 2021 and continued to collaborate throughout 2021 to disseminate the findings. The three baseline studies can be found online [here](#).

#### **Outcomes, Results, and Next Steps**

The outreach, research, and analysis conducted through this project are the first publicly available baselines on private security established within the three Central American Northern Triangle countries. This knowledge combined with enhanced thematic capacities of the project's civil society partners will be used in national and regional policy discussions to raise awareness of the need for strengthening private security regulation, both by presenting national-level findings and – given the identical structure adopted for all three studies – by allowing for comparisons between the countries.

The project's civil society partners have committed to taking an active role in the dissemination of the studies, both at national and regional levels. Three important dissemination milestones were achieved to this end in 2021.

The first dissemination event was held on 6 May 2021 in close collaboration with the UK and Swiss Embassies in Guatemala in the context of the Guatemalan Voluntary Principles Working Group. This triggered a discussion about the state of private security regulation in-country and possibilities for the Group to reach out to government stakeholders in a more structured way. The presentation of the study to the Guatemalan VPs Working Group on 7 May 2021 fed into an on-

going reflection by working group members on how to adequately procure private security services, with one company subsequently changing its private security provider.

At the national level in Guatemala, the findings were then presented to senior management of the Guatemalan private security regulator DIGESSP on 24 June 2021 during a training session organised jointly with the Swiss and UK Embassies in Guatemala, IEPADES and ICoCA. This event fostered political will by new DIGESSP leadership to consider a possible training for all staff on how adequately to regulate the use of force by private security companies.

Finally, IEPADES convened a face-to-face meeting in Guatemala-City on 9 December 2021 for the private security regulatory agencies of all three Northern Triangle countries and the CSOs involved in this project. The meeting presented and discussed the findings and recommendations of the three studies. DCAF also contributed (virtually) to this meeting, providing additional input on best practices for regulating the use of force by private security companies and offering the regulatory agencies free access to our corresponding online training course. The project partners concluded the meeting with the commitment to remain in contact to identify possible follow-up collaboration.

In the intermediate-term, this dissemination of knowledge is expected to reach national decision-makers and regulators and open possibilities for governments to request legislative and regulatory advisory support from DCAF, IEPADES or other national partners.

## 2.7 Peru

### **Contributing to the Elaboration of the National Action Plan on Business and Human Rights**

**Donor: CH**

#### **Project Objective**

The objective of the project was to support the Secretariat of the Peruvian National Voluntary Principles Working Group (WG) - the Institute for Democracy and Human Rights of the Pontifical Catholic University of Peru (IDEHPUCP) - in raising awareness among WG members and other stakeholders on security and human rights priorities in Peru and the complementarity between the Voluntary Principles on Security and Human Rights and the United Nations Guiding Principles on Business and Human Rights and in leading a multi-stakeholder process for advocating for the inclusion of security and human rights recommendations in the Peruvian National Action Plan (NAP) on business and human rights.

#### **2021 Activities**

Although the majority of activities for this project were undertaken in 2019 and 2020, this project was extended into 2021 to allow IDEHPUCP to continue its advocacy for the inclusion of security and human rights recommendations until the [NAP](#) was successfully adopted on 10 June 2021. Given the additional time, IDEHPUCP convened an online training webinar in April 2021 for the

Guatemala Voluntary Principles Working Group, and other stakeholders involved in security and human rights using the training materials developed and used with Peruvian stakeholders in 2020.

Once the NAP was finalized and adopted by the government, IDEHPUCP developed and disseminated two brochures (1. [Use of force by police and extraordinary service agreements](#), 2. [private security](#)) summarizing the key points of the two diagnostic reports to ensure widespread dissemination and awareness-raising of the NAP. The brochures were disseminated via social media, newsletter and on the IDEHPUCP website, reaching over four thousand people in October 2021.

### **Outcomes, Results, and Next Steps**

This project was successful in advocating for the inclusion of two policy action points related to security and human rights in the Peruvian NAP, adopted in June 2021. The NAP specifically recommends for the regulatory authority SUCAMEC to produce a report analysing the application of standards for the use of force in the provision of extraordinary police services, which in turn should be extended to companies providing and contracting private security. The NAP also recognizes the need to restore public confidence in the national police (PNP) through capacity-building and effective regulation in line with a previous constitutional court [ruling](#). The action points were based on debates and final validation of the two security and human rights baseline studies prepared by IDEHPUCP. These reports have been published in one final document archived online [here](#) on the Biblioteca Nacional del Perú.

The project was also successful in achieving its capacity building and awareness raising objectives. IDEHPUCP's online course on the UNGPs, VPs, and security and human rights reached 128 representatives from government, companies and civil society. The proportion of female participants was exactly 50%. Furthermore, this project allowed IDEHPUCP to share their experience through an online training for regional stakeholders from El Salvador, Honduras, and Colombia. The total attendance in this ad-on online training was 37 (64% female participants).

Looking ahead, DCAF and IDEHPUCP have agreed to collaborate in 2022 to implement Action 28 of the Peruvian NAP and complete the analysis report on the application of standards for the use of force in the provision of extraordinary police services and in companies that provide and hire private security. IDEHPUCP and DCAF will also continue to explore ways to continue strengthening the national VPWG and finding renewed support to the VPWG based in Cusco, Peru, including on ways to implement Action 27 of the NAP on reviewing and regularising corporate arrangements with the national police.

## Spotlight: The Voluntary Principles and UN Guiding Principles National Action Plans - Peru

After years of deliberation, the Peruvian National Action Plan (NAP) was adopted on 10 June 2021 to guide the Peruvian government's engagement to improve business and human rights for a four-year period from 2021 - 2025. The SHRIM supported implementing partner IDEHPUCP to build multistakeholder awareness of the links between the VPs and its security and human rights concerns and the UN Guiding Principles on Business and Human Rights (UNGPs). Through successful engagement and advocacy, two security and human rights policy action points emerged from this advocacy. These recommendations are included in the NAP's section on public policies, under the specific objective of promoting regulatory action to prevent human rights violations in the private sector.

On the use of force in the context of social protests and the provision of extraordinary police services, the NAP recognizes the need to restore public confidence in the national police (PNP) through capacity-building and effective implementation of international standards. Extraordinary police service agreements ('convenios') must be used only according to the criteria set by the Constitutional Tribunal. The NAP notes that companies that use security have put in place grievance mechanisms, such as the standard elaborated by the National Society of Mining Petroleum and Energy.

*Action point 27: The Peruvian government should develop implementing regulations in line with the Constitutional Court's ruling to ensure compliance with the conditions enabling the exceptional use of extraordinary police service agreements.*

*Indicator: Dispositions formulated and implemented (Ministry of Interior)*

On the topic of private security, the NAP refers to the Montreux Document, ICOCA and the VPs as the body of international standards for the private security regulator (SUCAMEC) to implement in the Peruvian context. The NAP notes challenges related to lack of commitment on human rights, the lack of due diligence guidance for private security companies, and the existence of barriers to judicial remedy.

*Action point 28: Produce a report analysing the application of standards for the use of force in the provision of extraordinary police services, which in turn should be extended to companies providing and contracting private security.*

*Indicator: Analytical report (Ministry of Interior and SUCAMEC)*

This experience can serve as a model to support multistakeholder awareness on the linkages between the VPs and the UNGPs and advocacy for anchoring concrete recommendations and action points for improving both public and private security forces relations with companies through NAPs.

### 3. SHRIM Governance and Financial Management

#### 3.1 Governance

The SHRIM is governed by a Steering Committee comprised of representatives of donor government members of the SHRIM, as well as the International Committee of the Red Cross (ICRC) in an Observer function.

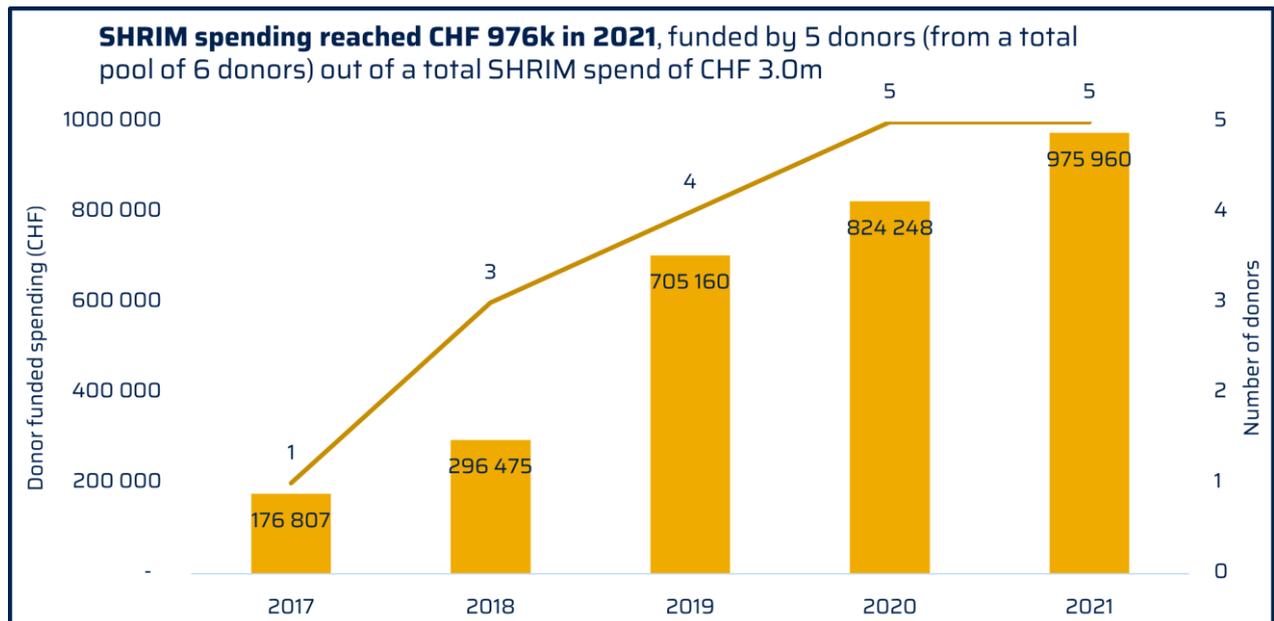
In 2021, the SHRIM Steering Committee met virtually twice on the following agenda items:

- 5 May 2021 - discussing updates on SHRIM projects and a discussion on DCAF’s proposed Implementation Framework for the SHRIM Strategy 2020 - 2023 that had been adopted in 2020;
- 17 November 2021 - discussing updates on SHRIM projects, an analysis of SHRIM’s programming in its first five years of operational programming (1997 - 2021), and a discussion of SHRIM priorities for 2022.

Following the May 2021 meeting, the Steering Committee approved the SHRIM Strategy 2020 - 2023 Implementation Framework.

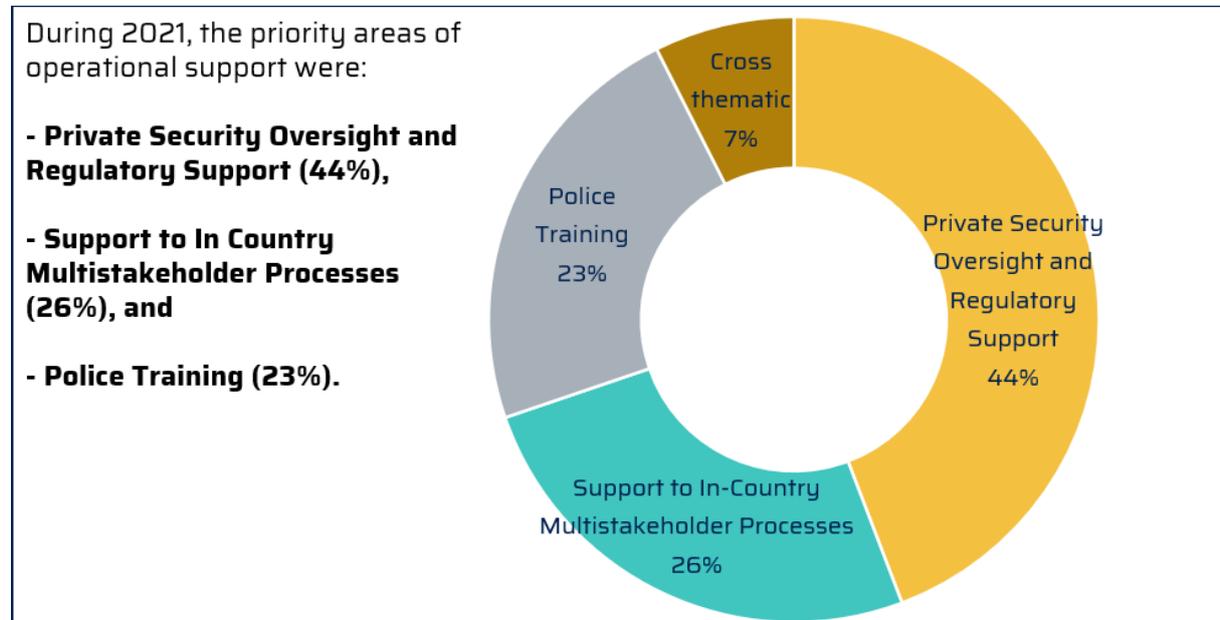
#### 3.2 Financial Management

Total project spending of the SHRIM from its inception in 2016 through December 2021 totalled CHF 3 million. In 2021 SHRIM project spending reached the level of CHF 975,960, its highest annual level to date.



### 3.3 Overview of SHRIM Thematic Priorities 2021

DCAF has analysed its project activity spending in 2021 to illustrate how its funds were applied to the following thematic priorities:



## 4. Marking the SHRIM's Fifth Implementation Anniversary

By December 2021, the SHRIM had reached the important milestone of completing five years of project implementation. The SHRIM was created in September 2016 by DCAF with support from the then-UK Foreign and Commonwealth Office with a first seed grant of £ 183'480 was signed shortly thereafter. Starting in 2017, the SHRIM began implementing its first three projects with these funds, supporting the Africa Private Security Governance Observatory; improving VPs implementation in Peru; and providing human rights training for public security forces assigned to extractives operations in Kenya.

In 2017 and 2018, DCAF signed contracts with Switzerland and the Netherlands to undertake projects through the SHRIM, with additional funding received from Germany and the Thomson Reuters Foundation starting in 2020 and 2021 respectively.

Donors participating in Steering Committee meetings over the years have voiced support for, and confirmed the SHRIM's success in, pursuing projects through in-country partnerships that promote local ownership and promoting donor coherence and value for

money. An important milestone for the SHRIM was the development of a Strategy in 2020 covering 2020 - 2024 to align with DCAF's Strategy for the same period, and the adoption in 2021 of an Implementation Framework setting targets for the attainment of the strategic objectives. When the SHRIM Strategy was developed in 2020, after three-years of in-country implementation support, the Strategy identified five SHRIM priority countries that had received the majority of SHRIM support, namely: DRC, Kenya, Nigeria, Peru, and Colombia), while setting the target to expand to at least one additional country by 2022. This target has been achieved with the SHRIM's intensive engagement in supporting the creation of a multistakeholder process promoting the VPs in Mozambique. Other aspects of the SHRIM Strategy and targets will be reviewed mid-way through the Strategy at the end of 2022.

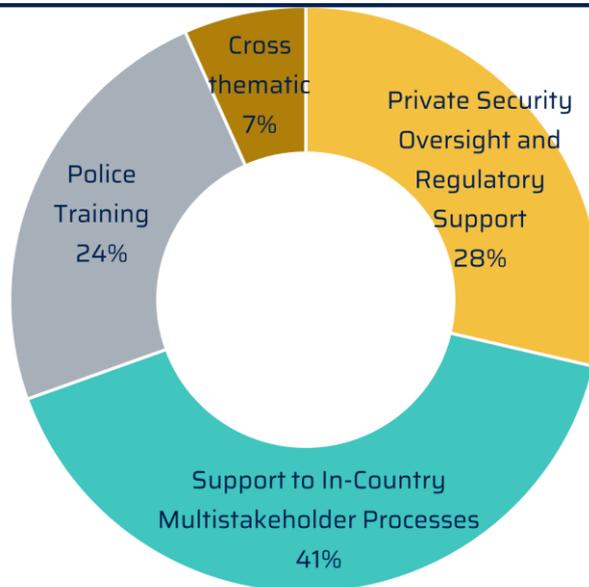
The below graph illustrates the cumulative distribution and priorities of SHRIM operational support throughout the last five years (2017 - 2021):

In five years from 2017 - 2021, the SHRIM has supported:

- 33 projects in
- 12 countries
- including 4 major policy reports
- with funds of CHF 3M
- from 6 donors/funders
- of which 10 projects co-funded.

In 5 years (2017 - 2021), the priority areas of SHRIM operational support have been on the following themes:

- Support to In Country Multistakeholder Processes (41%)
- Private Security Oversight and Regulatory Support (28%)
- Police Training (24%), and
- Cross-thematic (7%)



DCAF is thankful to the SHRIM donors, funders, and implementing partners for the successful results achieved through SHRIM projects in its first five years of implementation support and looks forward to future collaboration to further promote the implementation of security and human rights good practices.

## Annex: SHRIM 2021 Active Project List

SHRIM Country Projects			
Country	Project	Theme	Donors
Colombia	Promoting security and human rights due diligence in artisanal and small-scale mining (ASM) contexts in Antioquia, Colombia (January - March 2021)	Support to in-country multistakeholder security and human rights processes	UK
	Developing an Implementation Guide for Multi-Stakeholder Collaboration to Prevent Security and Human Rights Risks	Support to in-country multistakeholder security and human rights processes	UK
DR Congo	Supporting the Voluntary Principles in the DRC at the National Level	Support to in-country multistakeholder security and human rights processes	CH, NO
	Improving the Field Implementation of the Voluntary Principles - South Kivu	Support to in-country multistakeholder security and human rights processes	CH
	Improving the Field Implementation of the Voluntary Principles - Haut-Katanga and Lualaba	Support to in-country multistakeholder security and human rights processes	CH
	Improving Human Rights Compliance of DRC Mining Police	Police training	UK, CH, NO
	Building Police Capacities on Security and Human Rights to Prevent and Reduce the Worst Forms of Child Labour on Mining Sites in South Kivu, DRC	Police Training	Thomson Reuters Foundation (UK AID)
	Strengthening Civil Society Monitoring of the Private Security	Private security oversight (CSOs)	UK, CH

	Sector on the DRC		
	Building the oversight capacity of the national regulatory authority to improve private security governance in DRC	Private security regulation	UK, CH
Kenya	Strengthening Civil Society and Media Oversight of Private Security in Kenya	Private security oversight (CSOs)	UK
Mozambique	Establishing a multistakeholder in-country implementation process for the Voluntary Principles on Security and Human Rights in Mozambique	Support to in-country multistakeholder security and human rights processes	UK, CH
Nigeria	Strengthening Private Security Regulation and Oversight in Nigeria	Private security regulation and oversight	DE, CH
	Strengthening Civil Society and Media Capacities to Promote International Best Practice Standards on Business, Security, and Human Rights	Support to in-country multistakeholder security and human rights processes	UK
	Reinforcing Voluntary Principles Implementation in Nigeria	Support to in-country multistakeholder security and human rights processes	UK, CH
Peru	Promoting Security and Human Rights through the National Action Plan Process to Implement the UN Guiding Principles on Business and Human Rights	Support to in-country multistakeholder security and human rights processes	CH
Central American Northern Triangle	Strengthening Private Security Regulation in the Northern Triangle of Central America (El Salvador, Guatemala, and Honduras)	Private security regulation and oversight	UK

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