



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

Annual Report 2020



## About DCAF

DCAF - Geneva Centre for Security Sector Governance is dedicated to improving the security of states and their people within a framework of democratic governance, the rule of law, respect for human rights, and gender equality. Since its founding in 2000, DCAF has contributed to making peace and development more sustainable by assisting partner states, and international actors supporting these states, to improve the governance of their security sector through inclusive and participatory reforms. It creates innovative knowledge products, promotes norms and good practices, provides legal and policy advice and supports capacity-building of both state and non-state security sector stakeholders.

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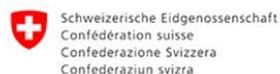
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## About the SHRIM

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

## Thanks to our SHRIM Donors



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## Introduction

While the COVID-19 pandemic slowed down movement around the world in 2020, implementation of the DCAF's Security and Human Rights Implementation Mechanism (SHRIM) ramped up to unprecedented levels. Here are some key takeaways:

- In 2020, the SHRIM oversaw the implementation of 23 projects, including 19 projects implemented in 8 countries on 3 continents, 1 regional-level project in Latin America, and the finalisation of 3 major policy reports.
- The SHRIM received and implemented funds equalling CHF 824,000 - it's highest level of annual implementation spending to date.
- The SHRIM welcomed the German Ministry of Foreign Affairs as a new donor, bringing the total number of donors to five.
- The SHRIM Steering Committee approved the SHRIM Strategy 2020 - 2023.

This Annual Report provides an overview of the activities undertaken in 2020, including outcomes, results, and next steps foreseen for the 23 active SHRIM projects in 2020. For five of these projects, most activities had concluded in 2019, with 2020 seeing the publication or finalisation of policy reports or legacy project activities. This Annual Report includes a list of active projects in 2020, indicating the thematic focus and SHRIM donor(s) for each. In doing so, DCAF seeks to increase clarity and transparency for all who follow our work.

The Annual Report presents two spotlights: one on how the SHRIM's programming in the Democratic Republic of Congo since 2018 has served as a flagship project - demonstrating the concrete impact of our work on the ground, as well as the SHRIM's objectives of achieving donor coherence and value for money - and on projects examining business, gender, and security.

Of the 23 active SHRIM projects in 2020, 11 of the country/regional projects, 4 country-based Security and Human Rights Grant projects, and 3 of the SHRIM policy report projects came to a contractual end. From the SHRIM perspective, however, this does not mean that the projects are "over." Rather, DCAF, its implementing partners, and donors are continuously engaging to identify the best ways to build on impact achieved to date to further promote the implementation of security and human rights best practices.

DCAF is tremendously grateful to our implementing partners, who demonstrated resilience and creativity as they took their project objectives forward successfully throughout 2020. DCAF also adapted new methods, relying more than ever on virtual communications to provide technical advice and oversight of the SHRIM projects.

We look back at 2020 with a strong sense of achievement under difficult circumstances and look forward to continuing to work with our partners, donors, colleagues, and friends to promote security and human rights in 2021 in new ways.

# Country and Regional Projects

## Democratic Republic of Congo (DRC)

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

#### Project Objectives

This project seeks to improve field implementation of the Voluntary Principles (VPs) in South Kivu, DRC with three objectives:

1. Establish a Working Group in South Kivu as a dedicated platform for multistakeholder dialogue on security and human rights challenges in the extractive sector, and to reinforce the capacity of its members (government, private sector, civil society and beyond) to develop common solutions to those challenges.
2. Reinforce good practice knowledge on field implementation of the VPs in DRC and on the global stage.
3. Reinforce human rights respect of the Congolese mining police (PMH) through training.

#### 2020 Activities

Since its creation in 2018 thanks to the project funded by the Dutch Embassy in the DRC, the South Kivu VPs Working Group (WG), led by the NGO OGP, quickly developed expertise and know-how on using multistakeholder dialogue to identify, analyse and respond to security and human rights risks in South Kivu. The WG convened a wide range of stakeholders, including civil society, private sector mining actors (both industrial miners and mining cooperatives), the provincial mining services, police and army representatives, and consulted representatives of affected communities on a case-by-case basis.

The WG held eleven meetings in Bukavu in 2020, despite COVID-19 restrictions, gathering local representatives from the three pillars and identifying a total of nine main SHR risks in the province. DCAF continued to provide technical expertise and thematic input to the WG meetings. A particular highlight was the exchange between DCAF and the WG on how to strengthen monitoring of police conduct.

In 2020, thanks to complementary funding from Switzerland, the WG increased its number of field missions to conduct follow-up monitoring or implement recommendations. This helped the WG demonstrate its increasing capacity to address security and human rights challenges by working alongside public and informal security forces (in Bitale, Lumbishi, Luntukulu) and to use mediation to negotiate with artisanal mining actors and cooperatives (in Nyabibwe, Bitale, Twangiza).

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

DCAF and OGP developed three case studies that demonstrate how the South Kivu Working Group's multistakeholder interventions had a practical positive impact on the ground:

- [Bitale](#) - An intervention that resulted in the negotiated withdrawal of an illegal army presence and resolved a community concession dispute;
- [Nyabibwe](#) - An intervention that helped a community maintain responsible supply chain standards through negotiated security arrangements;
- [Twangiza](#) - An intervention that ensured access to remedy to individuals affected by a security and human rights incident and improved security at a large-scale mining site.

DCAF also commissioned a Lessons Learned study to capture the development of the South Kivu Working Group. The study offers comprehensive information on the successes, impact and some challenges of the WG. It will be published in 2021.

With respect to the project's objective of improving human rights respect of the PMH, OGP and DCAF were successful in having the National Congolese Police formally endorse the incorporation of a human rights training module in the standard curriculum of the PMH in September 2020.

Overall, this 30-month project has filled an important gap in existing due diligence initiatives by directly addressing security and human rights challenges in the extractive sector. The project developed a track record demonstrating how a multistakeholder WG, even in a complex and challenging environment such as South Kivu, can prevent human rights incidents, improve community security, mediate security solutions, facilitate the peaceful resumption of mining activities and the access to remedies for communities and individuals who suffered from security and human rights incidents.

The South Kivu WG will continue to convene in 2021 with support from Switzerland through the SHRIM. DCAF and OGP will also seek to identify additional funding for another long-term project to support follow-up work of this important group in 2021.

## **Improving the Field Implementation of the Voluntary Principles - Haut Katanga**

### **Project Objective**

This project aims to build the capacity of the Haut-Katanga Voluntary Principles Working Group, led by the Congolese NGO Justicia, to develop expertise in security and human rights. This would serve as a complement to existing sectorial initiatives such as the *Investissements Durables au Katanga* (IDAK) platform, a multistakeholder group covering general challenges in the mining sector in the Haut-Katanga region.

### **2020 Activities**

Throughout 2020, the group held regular meetings and exchanges with the private sector on specific security and human rights incidents, most of which arose in the context of the co-

existence of artisanal- and small-scale mining (ASM) surrounding large-scale mining (LSM) industrial concessions. Incidents were discussed with six industrial miners, including three Chinese companies. Similar incidents were observed on nearby concession at Ruashi Mining and Tenke Fungurume Mining (TFM), among others. After identifying the incidents, the WG conducted advocacy with provincial officials to draw attention to the case and to persons in need of protection.

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

In one notable case, the WG addressed tensions between local communities and public security officers that followed the death of an artisanal miner in unclear circumstances and the choice by the company MMG to turn to the national police to contain the protesting miners. Similar incidents were observed on at least two nearby concessions – Ruashi and TFM. The WG conducted two field missions to Ruashi in February 2020 together with police representatives, issuing recommendations after hearing the position of each stakeholder. Although a mission at MMG could not happen, the case was actively discussed with security managers and provincial authorities. The advocacy regarding the tense security situation around MMG, Ruashi and TFM was ongoing at the end of 2020.

The WG will continue to encourage companies to address the impact of their security arrangements. DCAF and its partners will also continue to contribute to consultations around new standards and making sure that security is appropriately considered in a range of new initiatives backed by the private sector that aim to tackle issues of safety, working conditions, and protection of children and women in the ASM supply chains. The WG will continue to meet and undertake activities with funding from Switzerland through the SHRIM in 2021.

## **Improving the Field Implementation of the Voluntary Principles – Lualaba**

### **Project Objective**

This project aims to identify the gaps and opportunities for Voluntary Principles implementation in the Lualaba province, and to provide a kick-off strategy for a new Working Group.

### **2020 Activities**

DCAF and the Lualaba WG – also led by the Congolese NGO Justicia who leads the Haut-Katanga WG – developed a questionnaire and methodology to conduct a baseline study tailored to various stakeholders: extractive companies & cooperatives, provincial authorities, local communities, civil society organisations, and public & private security forces. Justicia conducted in-person interviews which were also used to explain the purpose of the new Working Group to Lualaba stakeholders. With support of Switzerland and the International Committee of the Red Cross (ICRC), DCAF reached out to the China Chamber of Commerce of Metals, Minerals & Chemicals Importers & Exporters (CCCME) as well as Glencore, with the objective of engaging Chinese companies and the Glencore subsidiary KCC to add their perspective to the baseline study.

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

The WG finalized a draft of the baseline study and convened an initial meeting of the Kolwezi Working Group in December 2020. The baseline study established that despite being the largest producer of cobalt in the world, knowledge and implementation of international norms on security and human rights in the Lualaba Province remains cursory, with only 30% of stakeholders in the sector indicating any knowledge of the VPs, and companies acknowledging they do not have vetting mechanisms in place to set standards for their security providers. The provincial government, however, participates in the IDAK platform and there have been positive signs of private actors showing interest in conducting human rights trainings for their security agents. Further options for development of the Lualaba WG will be pursued in 2021.

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

### **Project Objective**

This project aims to improve human rights compliance of public security forces assigned to extractive industries in the DRC, namely the mining police (PMH), through training. This project sought to scale-up the human rights training of PMH in South Kivu carried out in December 2019 as part of the project to support the South Kivu WG (see above) by developing a training-of-trainers (ToT) program targeting PMH officers from different provinces.

### **2020 Activities**

Planning took place to deliver an 11-day training of trainers at the Jules Moke Police School in Bukavu in April 2020, in partnership with Safestainable, Monusco, local partner OGP and in presence of the Police Directorate for Training. The police assigned 16 PMH officers from four different mining provinces (North Kivu, South Kivu, Haut-Katanga, and Lualaba) to take part in the training. The 11-day training would have included a direct training by the newly certified police officer/trainers to new recruits from South Kivu, to be followed by three subsequent direct trainings in North Kivu, Haut-Katanga and Lualaba.

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

Lockdowns due to the COVID-19 pandemic in mid-March 2020 led to the cancellation of the ToT scheduled for April 2020 at the last minute. This project was co-funded by the UK, Norway, and Switzerland. As the UK's project funding ended on 31 March 2020, DCAF sought project extensions to 2021 from Switzerland and Norway, which it was grateful to receive. DCAF and OGP resumed project planning in late 2020 to ensure the ToT will take place in 2021.

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

### **Project Objective**

This project aims to support the DRC government in achieving its stated commitment to become a government member of the Voluntary Principles Initiative (VPI), and to start implementing security and human rights standards by building on the foundational work of the multistakeholder groups operating in South Kivu, the former Katanga, and Kinshasa.

### **2020 Activities**

DCAF hired a Congolese consultant with expertise in natural resources governance, who started liaising with the government in Kinshasa in September 2020. On 1 October 2020, DCAF received the visit of the Ministers of Human Rights and Mines, Messrs. André Lite and Willy Kitobo, in its offices in Geneva to exchange further on modalities of collaboration. DCAF presented the ministers with a draft report taking stock of current VPs implementation efforts in DRC and outlining the steps required to become a member of the VPI. DCAF continued to liaise with the two ministries, as well as the ministry of hydrocarbons to ensure a cross-government approach to VPs implementation. These efforts slowed down when it became apparent at the end of 2020 that the political coalition was dissolving, which was sure to lead to a cabinet reshuffle.

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

In announcing its formal intention of joining the VPI, the DRC government explicitly committed itself to strengthen human rights protections in the extractive sector. The visit of two Congolese ministers to DCAF embodied a new dynamic of collaboration and openness towards the appropriation of international standards. The government took encouraging steps in 2020, including the adoption of a ministerial decree, and the first-time participation with a range of stakeholders by a national government representative in the Kinshasa VPs WG on 29 October 2020, confirming its intentions and its openness to dialogue. DCAF will continue to pursue the project's objectives in 2021.

## Spotlight: SHRIM in the DRC – Proving impact, ensuring donor coherence, and achieving value for money

December 2020 marked the conclusion of the SHRIM project “Improving the Field Implementation of the Voluntary Principles – South Kivu.” This project ran from June 2018 through December 2020 with core funding from the Dutch Embassy in the DRC. One of the three stated objectives of the project was to monitor the work of the South Kivu Voluntary Principles Working Group to draw lessons for other contexts and to examine its impact. The project – led by our partner OGP – far surpassed its original objectives in establishing a clear evidence base of how the Working Group was able to change the lives of mining communities where it intervened, by increasing security and conflict-resolution, preventing human rights abuse, and ensuring that mining operations could peacefully continue ensuring their livelihoods. Furthermore, the project proved to be successful as a pioneering initiative to promote the Voluntary Principles in synergy with the OECD Due Diligence Guidance (see the description of the relevant SHRIM Policy Report later in the Annual Report).

In many respects, this has been the SHRIM’s flagship project to date. Beyond proving the impact that multistakeholder groups can have on the ground, it has demonstrated how the SHRIM achieves its objectives of ensuring donor coherence and value for money. With the Dutch Embassy funding ensuring that sufficient resources were dedicated to the project – both within OGP as well as within DCAF to provide technical assistance and coordination – funds provided by other SHRIM donors were maximized in a flexible and dynamic manner to respond to needs that arose through implementation.

In the first year OGP realised that follow-up field monitoring to mining sites was a critical way of ensuring that the recommendations of the Working Group were being implemented. Yet the original Dutch grant included limited funds for these missions. To address this gap, Switzerland provided specific add-on funding to support these missions.

Similarly, as OGP and DCAF were organising the human rights training of the mining police in late 2019, the need and interest became evident to build on the Dutch Embassy funded training and turn the developed curriculum into a training-of-trainer module. Again, the SHRIM was able to combine funds from Norway, Switzerland, and the UK to develop a new project concept for a ToT. While this training did not take place in 2020 due to COVID-19 travel restrictions, the SHRIM co-funding approach was able to secure extensions from two of the three project donors, ensuring that this important project will be taken forward in 2021.

DCAF thanks the Dutch Embassy in the DRC for its core support for this project and to other SHRIM donors for reinforcing the work of OGP and the WG to achieve impact. In 2021, DCAF will continue to collaborate with OGP to design a holistic next phase of security and human rights programming and looks forward to collaborating with SHRIM donors to this end.

## Kenya

### Implementing Good Security and Human Rights Practices Linked to the Extractive Sector in Kenya

#### Project Objective

The objective of this project was to build on the human rights trainings provided by DCAF through the SHRIM to the National Police Service (NPS)/ Critical Infrastructure Protection Unit (CIPU) by extending the pool of instructors to the commander level through a training-of-trainer (ToT) approach. This project constituted the third phase of a SHRIM VPs training course for CIPU entitled “Service with Dignity” that DCAF has been implementing in collaboration with expert training partner Safestainable since 2017.

#### 2020 Activities

The command-level “Service with Dignity” ToT took place in February 2020 at the Administration Police Training Campus – Embakasi in Nairobi, Kenya. Sixteen county and sub-country CIPU commanders drawn from six counties throughout Kenya attended the ToT and culminated in the trainee instructors delivering the four-day “Service with Dignity” course to 18 officers while Safestainable provided support, feedback, and advice with the view to strengthening the pedagogical skills of the new trainers.

#### Outcomes, Results, and Next Steps

The command-level training received positive reviews from the participants. Furthermore, this training helped obtain political buy-in from the NPS/CIPU to dedicate government funds to sustainable onward trainings. Safestainable provided DCAF with a final report with recommendations on how further follow-on projects could continue to support the Kenyan NPS in maintaining high standards for the nationally self-funded “Service with Dignity” course.

Although DCAF and Safestainable reached out to the NPS throughout 2020, the NPS indicated that its priorities had shifted due to increased policing needs under the COVID-19 pandemic. DCAF and Safestainable will continue to reach out to both assess the lasting impact of the various phases of human rights training to the NPS/CIPU as well as consider potential follow-on support projects under changed circumstances.

### Improving Human Rights Compliance of Public and Private Security Forces in Kenya

#### Project Objective

This project sought to address two recommendations that emerged from [a Baseline Study on the Private Security Industry in Kenya published in 2019](#) by DCAF’s partner Usalama Reforms Forum through the DCAF-supported Private Security Governance Observatory, namely the needs to:

- Support civil society and the media role in the oversight and governance of private security; and
- Reinforce the cooperation between public and private security actors.

Building on the SHRIM's earlier engagements in Kenya, this project sought to ensure holistic implementation of police reforms related to public and private security in Kenya.

## **2020 Activities**

The following activities were undertaken as part of this project in 2020:

- Organisation of a two-day civil society and media capacity building workshop, followed by the development and dissemination of communication materials and a sensitisation campaign with community media through remote video conference/teleconference dialogues with media representatives in three regions of Kenya as well as public radio dialogues in the same regions;
- Development of an add-on curriculum to the existing NPS/CIPU "Service with Dignity" course focusing on coordination between public and private security and engagement with high-level command of the NPS/CIPU and the private security regulatory authority.

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

This project successfully raised awareness among civil society and media actors to increase their engagement in discussions around the governance of the private security sector. Further steps for scaling up this civil society and media outreach were identified for potential follow-up projects.

Furthermore, the project has created the first curriculum focusing on the interaction and coordination between public and private security in Kenya and was successful in security high-level buy-in from the Kenyan authorities for its rollout. DCAF and Safestainable will continue to assess the possibility of rolling out this public-private security training curriculum in Kenya going forward.

## **Nigeria**

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

#### **Objective**

The objective of this project is to strengthen private security regulation in Nigeria as a key contribution to the reinforcement of overall security sector governance - and stability - in Nigeria by:

- Strengthening regulation;
- Improving knowledge and capacities of civil society and the media;
- Improved policies and practices of PSCs and private clients; and

- Sharing of international and regional experience with the Economic Community of West African States (ECOWAS) of private security regulation.

DCAF is pursuing this project in partnership with the Nigerian organisation, AFRILAW.

## **2020 Activities**

From June to December 2020, this project has:

- Convened Private Security Governance Forum meetings in five of the six selected federal States to discuss private security challenges and regulatory opportunities;
- Organized a workshop to review the existing regulation on private security and to gather inputs from key stakeholders toward the drafting of a comprehensive law. The inputs were then used by the Private Security Industry Law Review Committee to draft the Private Security Industry Bill. The Committee is composed of 10 persons from the Federal Ministry of Justice, Ministry of Interior, the National Security and Civil Defence Corps (NSCDC), and AFRILAW (with support from DCAF) as the only CSO representative;
- Facilitated a civil society meeting, in which CSOs from different parts of the country shared their research and lessons learned on monitoring PSC activities; and
- Convened a roundtable on the Montreux Document (MD) and International Code of Conduct for Private Security Providers (ICoC).

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

DCAF and AFRILAW have created positive space for constructive multistakeholder dialogue on transforming the private security industry in Nigeria, bringing together civil society, industry, and the Nigerian regulator at multiple levels. This project has already influenced the federal government in setting up a legal committee to draft a new law on private security, requesting AFRILAW's engagement to support the committee, with insights from DCAF. DCAF and AFRILAW have calibrated project objectives for 2020 - 2021 accordingly.

Following the different aspects of discussions on private security, the NSCDC has also expressed interest in joining the MD and ICoC to improve the Nigerian domestic private security market.

DCAF and AFRILAW will continue to pursue the project in 2021.

## **Piloting Voluntary Principles Training with Public Security Using Multimedia Tools**

### **Objective**

The objective of this project was to integrate the VPs into an existing human rights training programme developed for the Nigeria National Police Force (NPF) and other public security actors. An additional project objective was to raise awareness and knowledge of the VPs and other security and human rights good practices among the communities where private security and

extractive companies operate. DCAF implemented this project in collaboration with the Nigerian NGO, PRAWA.

### **2020 Activities**

The project pursued the following activities in 2020:

- Updated the Nigeria Police Force Human Rights Pocket Handbook to include the VPs;
- Developed four case studies on security and human rights to be included in police trainings;
- Developed a smartphone application as a tool to raise awareness and build capacity and knowledge for police officers to comply with the VPs;
- Developed and diffused seven radio programmes, posters, stickers and flyers to raise awareness on the VPs for affected communities;
- Collaborated with the Nigerian Voluntary Principles In-Country Working Group to develop a Draft Guideline for a Complaints and Redress Mechanism to assist affected communities resolve business, security, and human rights disputes.

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

The project was successful in achieving its goal of increasing knowledge of the VPs among relevant public and private security actors as well as affected communities, including the following:

- Knowledge of local communities of their rights in relation to security and human rights was increased through the development and dissemination of several important awareness raising tools among affected communities in important areas of economic activity including: Port Harcourt, Abuja, and Enugu;
- Law enforcement agencies (including the NSCDC) requested training on the VPs, using materials on the VPs, including the Pocket Handbook material.
- The project's media engagement reached a total of 16 States through the radio with a cumulative reach of 12,077,079 persons.

Although this project ended in 2020, at the end of the year, DCAF and PRAWA were seeking to develop a follow-up project in 2021 to further strengthen VPs awareness and implementation in Nigeria.

## Madagascar

### Supporting the Regulation of Private Security in Madagascar

#### Objective

After DCAF's convening of a workshop on private security in Southern Africa in 2019, the Malgasy government requested DCAF's support as the Secretariat of the Montreux Document Forum to provide legal advisory and technical support on developing and implementing private security legislation, regulation, and oversight processes. To this end, the objectives of this SHRIM project were to:

- Raise awareness of norms and good practices on private security regulation, drawing on the MD, ICoC, and VPs;
- Support the Ministry of Interior and Decentralisation (MID) in developing a new draft law on private security – a first draft of which has been developed internally in Madagascar;
- Gather and present baseline information on the scope and characteristics of the industry in Madagascar; and
- Raise awareness on the importance of private security regulation among civil society and foster the input of CSOs into the national process.

#### 2020 Activities

DCAF undertook the following activities in 2020 with the assistance of two national experts:

- Promoting international best practice on private security regulation – DCAF developed customized capacity-building methodologies for Madagascar and raised awareness using DCAF tools such as the Legislative Guidance Tool, Contract Guidance Tool, Use of Force Tool, and Gender and Private Security Policy Brief;
- Finalisation of Baseline Study on the private security industry in Madagascar; and
- Capacity-building workshop with MID in December 2020.

#### Outcomes, Results, and Next Steps

The workshop and various consultations have influenced the MID to develop draft private security legislation through further consultation and review. The MID has consulted other Ministries on the draft law and has also recognized the need to consult the private security industry and clients.

Furthermore, the baseline study and capacity building workshops have raised awareness and capacities of Malagasy CSOs to engage on the national regulatory process in an informed manner. This has led to the organization of subsequent CSO meetings and strong engagement of Transparency International in the process. Transparency International has independently consulted other CSOs on the draft law and is proposing different activities to impact the content of the law.

## Guatemala

### Fostering human rights compliance and addressing gender-based violence in the private security sector in Guatemala

#### Objective

The objective of this project was to provide clients of private security services in Guatemala – and in particular member companies of the national Voluntary Principles Working Group:

- Clear guidance on legal requirements when contracting such services; and
- Guidance based on international norms and good practices – on the gender-sensitive procurement of such services.

This project was undertaken by the Institute of Teaching for Sustainable Development (IEPADES).

#### 2020 Activities

This project achieved the following activities in 2020:

- Finalisation and layout of the private security procurement guidelines developed by IEPADES in 2020, based on the legal requirements in Guatemalan law – [available here](#).
- Development of a guide for clients of private security services in Guatemala on gender-sensitive procurement of such services, and subsequent dissemination – [available here](#).

#### Outcomes, Results, and Next Steps

IEPADES presented the guidelines to members of Guatemalan Voluntary Principles Working Group. The reports are a strong example of local partners adapting and tailoring global policy guidance to a national setting and are likely to be translated into other languages for DCAF projects in other geographic settings.

## Peru

### Improving Voluntary Principles Implementation at the National Level in Peru

#### Objective

This project has enabled DCAF's continued support and technical advice to the Peruvian National Working Group on Security and Human Rights (NWG) to improve implementation of the VPs in Peru. The project was taken forward by IDEHPUCP (the Institute of Democracy and Human Rights of the Pontifical Catholic University of Peru), which assumed the WG's Secretariat in 2019.

## **2020 Activities**

Through this project, the NWG continued to organise regular meetings, support capacity development of its members and build dialogue in a year of high political and economic instability in Peru that was accentuated by the COVID-19 pandemic, including the convening of:

- Six regular Working Group meetings;
- Three extended group (EG) meetings on particularly relevant topics of:
  - Business and Human Rights in times of COVID-19;
  - Private security companies and Human Rights, with a participation of DCAF and the VPI Secretariat; and
  - Rule of Law, use of force and police reform.
- Other open meetings and webinars on topics of
  - Workshops on Women in Mining and Resources;
  - Presentation of the diagnostic studies on Security and Human Rights in February and March 2020 to the stakeholders involved in the NAP process; and
  - Webinar on Informality and Human Rights transmitted on Facebook live, for which the link which was shared 434 times and had 152 interactions.

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

In 2020, the NWG changed its name to *National Working Group on Business, Security and Human Rights* (Grupo de trabajo de empresas y derechos humanos: Principios Voluntarios y Principios Rectores) after it began addressing the linkages between the Voluntary Principles and UN Guiding Principles in 2020.

Despite the COVID-19 lockdown measures that impeded in-person meetings, participation in the NWG increased in 2020 to include a range of new actors:

- Public sector: Ministry of Interior increased its participation in two EG meetings and the Ministry of Labour joined the EG;
- Private security company “Protecta” asked to be admitted to the group in December 2020;
- Mining Companies such as Cerro Verde (Freeport MacMoran) participated in more meetings than last year and MINSUR entered in the group;
- Observer: EU entered in the group and participated in all the EG meetings, UNLIREC participated once in 2020.

Finally, IDEHPUCP put a particular emphasis on improving communications of the activities of the NWG in 2020. For example, the group started organizing live streaming on IDEHPUCP’s [Facebook page](#), publishing flyers or making public statements through twitter. This is an important

development given that NWG stakeholders were previously reluctant to engage publicly on security and human rights topics. The NWG's new outreach helped it gain visibility throughout the year, particularly on the national day on Human Rights in December 2020.

## **Promoting Security and Human Rights through the National Action Plan Process to Implement the UN Guiding Principles on Business and Human Rights**

### **Objective**

The objective of this project was to provide additional support to IDEHPUCP, as Secretariat of the NWG (see above), to ensure that security and human rights considerations would be infused into the Peruvian government's elaboration of the National Action Plan (NAP) on the UN Guiding Principles on Business and Human Rights (UNGPs) with two objectives:

1. Develop advocacy targets on security and human rights via outreach and dissemination of IDEHPUCP's diagnostic reports; and
2. Build security and human rights capacities of stakeholders involved in the NAP development process.

### **2020 Activities**

Progress towards the project's objectives was disrupted due to both the lockdown measures from COVID-19 and rising political tensions that led to the impeachment of the President in November 2020, which resulted in a *de facto* suspension of discussions on the NAP development until 2021.

Activities in 2020 therefore focused on building the capacities of stakeholders to engage in the NAP process. To this end, IDEHPUCP developed an online course on the VPs and UNGPs for stakeholders involved in developing the NAP. IDEHPUCP successfully held two sessions of the online course, with 46 participants passing the course in its first edition in October 2020 and 35 participants passing the course in its second edition in November 2020.

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

The project has been extended to 2021 to ensure that IDEHPUCP continues to conduct outreach and disseminate the results of the diagnostic studies on security and human rights and to ensure that stakeholders are equipped to advocate for specific action points on security and human rights to be included in the NAP. Furthermore, savings from the inability to travel and conducting the trainings online would allow for additional trainings to take place in 2021.

## **Improving Voluntary Principles Implementation at the Regional Level – Cusco, Peru**

### **Objective**

The regional Working Group (RWG) on the VPs in Cusco, in Peru's Macro Sur Region, was established after a feasibility study saw that increasing mining interests raised social tensions that could de-escalate and benefit from multi-stakeholder dialogue and other efforts to improve the security and human rights situation surrounding the mining corridors. The RWG has experienced several setbacks since 2018 due to the political situation, as well as leadership changes within the Secretariat. The objective of this project was to create a new dynamic for the RWG and further establish its position as a platform for dialogue to discuss and strengthen VPs implementation at the regional level in Peru.

### **2020 Activities**

In June 2020, the *Centro Guaman Poma de Ayala* (Guaman Poma) became DCAF's main partner and took over leadership of the RWG. Guaman Poma is a local civil society organization with over 40 years of experience that enjoys a considerable amount of trust from the local Peruvian authorities and community actors. Despite taking over the RWG at a challenging time, Guaman Poma adapted the project work plan well and transformed challenges into opportunities, bringing traditionally opposed actors to a level-playing field for participatory dialogue in an innovative manner. The RWG's activities in 2020 included the following:

- RWG meetings;
- Signing an MOU with the Journalist School of Cusco to build journalists' capacities to report constructively on security and human rights issues;
- Dialogue sessions and forums to address security and human rights issues surrounding the social conflict - the RWG convened two dialogue sessions in September and again in December 2020 to bring stakeholders together to address; and
- Six-sessions of participatory human rights training. Through the participation in the course, police officers, journalists, community representatives and RWG members became more aware of human rights obligations, including security and human rights standards and have developed trust and mutual respect, paving the way for further dialogue and action to address concrete concerns.

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

Guaman Poma managed the project in a way that outperformed original expectations both in reaching out to new actors and in organizing events and workshops, positioning the RWG as an active platform for dialogue in the Macro Sur. Moreover, the Secretariat managed to include in the

RWG a higher number of stakeholders coming from different pillars, convening actors with highly conflictive views to hold a constructive dialogue.

During the project, DCAF provided ongoing support to Guaman Poma, through recommendations and technical support. DCAF and Guaman Poma have jointly brainstormed potential ways of taking the RWG forward, depending on project funding opportunities, in a way that links security and human rights concerns to the root causes of the socio-environmental conflicts, including lack of dialogue and understanding around development, resource extraction and security.

## **Strengthening oversight of private security services by National Human Rights Institutions (NHRIs) in Peru and in Latin America**

### **Objective**

This project aimed to strengthen the capacity of NHRIs in Latin America to oversee the private security sector. This included pilot support to the Peruvian NHRI to monitor the impact of private security companies in social conflicts. DCAF implemented this project in cooperation with the Ibero-American Federation of Ombudsmen (FIO) and the Network of National Institutions for the Promotion and Protection of Human Rights in the Americas (RINDHCA), as well as the Danish Institute for Human Rights (DIHR), through a dedicated FIO-RINDHCA thematic working group on “Private Security and Human Rights.”

### **2020 Activities**

This project undertook the following in 2020:

- DCAF advisory support to create private-security indicators to be included in the Peruvian NHRI’s social conflict monitoring system;
- Development of an e-learning course on norms and good practices in private security regulation - available [here](#);
- Animated video material on norms and good practices in private security regulation to strengthen outreach to NHRIs and sensitize their staff on the topic (beyond the current members of the thematic working group) - available [here](#);
- DCAF developed two papers on international good practices in private security regulation and on the role of NHRIs and disseminated them among NHRIs in Latin America: [one](#) is an overview of international norms and good practices and the [other](#) provides an overview and concrete examples of how NHRI members of the thematic working group have overseen the private security industry.

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

As a result of DCAF’s capacity building support, the Peruvian Defensoría del Pueblo incorporated new private security-specific indicators in its social conflict monitoring mechanism and will report against these indicators in future monthly conflict reports (available [here](#)).

The knowledge products were widely disseminated among all member NHRIs. At the time of writing, the e-learning course on private security for NHRIs counts 78 learners. Building on the knowledge products and the e-learning course, Latin American NHRIs showed an improved understanding of norms and good practices in private security regulation during virtual sessions.

Thanks to awareness-raising, the thematic group initiated with eleven founding members from FIO was able to bring RINDHCA as well as six of its member NHRIs on board (Chile, Haiti, Honduras, Nicaragua, Paraguay and Venezuela).

DCAF, FIO, RINDHCA and DIHR organised two launch events in 2021 to optimise the distribution of the e-learning tools. The first event created high-level buy in - featuring as speakers the president of FIO, the Secretary General of RINDHCA, the Special Rapporteur on Economic, Social, Cultural and Environmental Rights of the Interamerican Commission for Human Rights and a member of the UN Working Group on the use of Mercenaries.

The development of a joint action plan - initially scheduled for 2020 but postponed due to the pandemic - is now scheduled to take place in 2021 or 2022.

## Security and Human Rights (SHR) Grants

### First Round SHR Grants (2019 - 2020)

#### Colombia: Cadenaz de Paz (CAPAZ) - Chain of Peace

##### Objective

This project sought to build the capacities of artisanal- and small-scale (ASM) miners and surrounding mining communities to undertake outreach with communities and public and private security forces as part of due diligence efforts to ensure that ASM miners produce minerals according to both the OECD Guidance as well as the Voluntary Principles. The project focused on pilot research and testing in the Antioquia region of Colombia. This project was undertaken by the Alliance for Responsible Mining (ARM).

##### 2020 Activities

Although most of the activities of the SHR grant project were finalized in 2019, in 2020 ARM produced a [video](#) summarizing how this project has developed clear guidance for ASM miners to address OECD and security and human rights risks in a holistic and multistakeholder manner.

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

This project was one of the first initiatives taken by DCAF and a partner organization that developed evidence-based guidance on how ASM miners can better conduct due diligence to identify and mitigate security and human rights risks. It enabled stakeholders to better understand the barriers and opportunities to use existing standards like the VPs and ARM's CRAFT Code (Code of risk mitigation for artisanal and small-scale mining engaging in formal trade) to mitigate security and human rights risks in ASM in real time. The project enabled DCAF and ARM to begin charting a path forward for how the VPs can be integrated on a local level to support willing ASM collectives to integrate security and human rights into risk mitigation strategies.

One important outcome was that ARM invited DCAF to contribute to the CRAFT Code revision. DCAF drew heavily on the lessons learned and experiences of the project. As a result, security and human rights issues are included in [CRAFT Code 2.0](#) released in 2020. This also points to the sustainability of partnerships initiated through SHRIM projects that allows for DCAF to have great impact beyond specific SHRIM projects.

## **Nigeria: Developing a Voluntary Principles Baseline Study to Support the Nigeria Voluntary Principles Working Group**

### **Objective**

The objective of this project undertaken by the Nigerian NGO LITE-Africa with the support of DCAF was to develop a national baseline and scoping study on the level of awareness and implementation of the Voluntary Principles to serve as roadmap for stakeholders to improve security and human rights standards surrounding extractives industries in Nigeria.

### **2020 Activities**

While the main research, stakeholder outreach, and drafting of the baseline study were conducted in 2019, the project concluded in 2020 with the launch of the [study](#) in March 2020 (held online due to COVID-19), engagement with media and seven federal ministries and heads of regulatory agencies, and the convening of a one-day multistakeholder dialogue held in September 2020.

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

The baseline study establishes clear recommendations on ways to improve awareness of the Voluntary Principles and thematic priorities for implementation of these standards to improve respect for security and human rights surrounding extractives operations in Nigeria. The September workshop resulted in a joint communiqué in which representatives of the government, private sector and civil society agreed to take the recommendations of the baseline study forward in developing the Nigeria VPs Working Group workplan for 2021.

## **Second Round SHR Grants (2020)**

### **Colombia: Developing Multistakeholder Strategies to Prevent Violence Against Human Rights Defenders in La Guajira**

#### **Objective**

The objective of this project was to develop a toolkit that would help different stakeholders collaborate to identify avenues for the prevention of violence against human rights defenders (HRDs) in the La Guajira region in Colombia. The project was undertaken by the Colombian CSO, the Regional Center for Responsible Business and Entrepreneurship - CREER.

#### **2020 Activities**

CREER undertook the following activities in 2020:

- Diagnostic study on the security and human rights risks to HRDs in La Guajira. The diagnostic study found that risks faced by HRDs and social leaders differ depending on their gender, the community they belong to and the region they come from. In general, the leaders at greatest risk to be attacked come from indigenous communities, followed by

leaders of peasant and afro-descendent communities. Women are less at risk of being killed but are subject to gender-based violence that impedes their participation in public life;

- Development of a [Toolkit for the Protection of HRDs](#). The Toolkit details concrete steps that different stakeholders can take to ensure the prevention and protection of HRDs and the avoidance of the excessive use of force by security providers, including those linked to business activities, against HRDs and social leaders. The toolkit is structured in four parts, oriented to different groups of actors involved in the violence protection and prevention policy: local and regional government; national government; social leaders and civil society organizations; and companies;
- Presentation of the Toolkit to multistakeholder groups. CREER presented the Toolkit to the *Comité Minero Energetico* (the Colombian VPs Working Group) and to the Human Rights and Coal Group (*Grupo de Trabajo Carbon y Derechos Humanos*) (the main business activity in *La Guajira* being coal extraction) through interactive online webinars;
- Workshops for public servants and social leaders in La Guajira; and
- Session between CREER and the Ministry of Interior on the role of women HRDs in public life and the Toolkit.

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

At the regional level, CREER and the *La Guajira* departmental authorities agreed to implement the Toolkit in all departmental municipalities and incorporate it into local strategies to prevent violence against HRD. This has achieved political buy-in and a new roadmap to foster the use of the Toolkit at the local level for the next years.

At the national level, the project exceeded the expected outcomes, thanks to the interest from the Ministry of Interior, which volunteered to disseminate the Toolkit at the national level, enabling a scaling up of outreach that was originally planned only for *La Guajira* department.

DCAF and CREER continue to seek ways to promote further implementation and monitoring of the Toolkit's application in 2021 and beyond.

## **Timor Leste: Identifying and Finding Solutions for Security and Human Rights Risks for Women from the Tasi Mane Petroleum Infrastructure Project**

### **Objective**

The purpose of this project was to foster multistakeholder dialogue on security and human rights risks of the Tasi Mane project, particularly for women. The intended outcome of the project was to raise awareness among public officials and security actors and to promote recommendations for solutions for mitigating these risks. This project was undertaken by the local CSO, Fundasaun Mahein (FM).

## **2020 Activities**

FM undertook the following key activities in 2020:

- Research and dissemination of findings of the gendered security and human rights risks of the Tasi Mane project through media reports, radio programmes, press conferences;
- Four security sector discussions with two communities, allowing women to discuss the human rights impacts of the Tasi Mane project;
- Press conference to launch security sector reform recommendations to address gendered security and human rights risks; and
- Outreach to the Human Rights Ombudsman.

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

Participants in the security sector dialogues confirmed that their understanding improved regarding the Tasi Mane project impacts/risks and how to participate in grievance mechanisms and claims processes. Women shared that the security sector discussions convened in this project were the first occasion that discussions on the impact of the business project included women and explicitly solicited women's views on the impact of the investment project. They mentioned that previous government consultations on the Tasi Mane project mainly involved men and failed to adequately inform or involve women in a meaningful way.

The investigation, consultations, and media reports have resulted in policy change on the ground:

- The National Timor-Leste Police General Commander requested the Government to undertake a further review of the draft legislation and consult the Council of Ministers; and
- The National Parliament is currently consulting further with the legal advisers on the issues identified by FM and the journalists. The Ministry of Interior is reviewing the draft law, as requested by the Council of Ministers.

## Spotlight: Gender, Security, and Business

DCAF and the SHRIM applies a gender lens to all its projects, striving to achieve gender parity in terms of women's participation in activities and consultations and ensuring that projects analyse and address the gendered impact of security and human rights needs and incidents. For the first time in 2020, the SHRIM oversaw three projects that focused specifically on the question of gender and security.

In its call for proposals for the second edition of the Security and Human Rights Grant, DCAF encouraged applicants to submit project ideas focusing on gender and security. The selected projects described above in Colombia implemented by CREER and in Timor Leste by FM revealed particular insights into how business activities can have acute gendered impacts.

In Colombia, for example, CREER's project focusing on the protection of human rights defenders in extractives communities uncovered that while women are less likely to be at risk of being killed by security forces, they are at greater risk of gender-based violence and as a result of that, have significantly less engagement in public life than men. In other words, the fear and reality of gender-based violence silences the voices of women in their communities for defending their rights in the context of minerals extraction.

In Timor-Leste, the projects stated objective of including women and analysing their security and human rights concerns yielded both positive, as well as disheartening results. On the one hand, the women who participated in the security sector discussions convened by FM were happy to participate in meetings and finally have a chance to air their views and discuss the impact of the large-scale petroleum project. On the other hand, they revealed just how much they had been excluded from state-sponsored human rights impact assessments of the project: when these state-run community meetings took place, women could come, but were immediately sent to the kitchen to prepare meals for the other participants, rather than being welcomed as active participants. The results of this project underscore just how important it is for businesses to ensure that women's right to be free from discrimination in such community consultations - whether conducted by private companies or the government - is respected.

The additional SHRIM project by IEPADES in Guatemala to develop gender guidance for private security procurement also responds to the reality that more and more women are working in private security and businesses bear responsibility for respecting the human rights of women it hires in these services.

## **SHRIM Policy Reports**

### **DCAF & FFP Study and Guide on Lessons Learned and Good Practices for Multistakeholder Working Groups on Business, Security, and Human Rights**

#### **Objectives**

This study undertook the first ever in-depth analysis of the experiences of Voluntary Principles In-Country Working Groups (ICWGs) to date to identify best practices for the effective implementation of the VPs. The objective of doing so was to raise awareness and strengthen capacities of local multistakeholder groups to adopt more effective methods of identifying and resolving security and human rights issues. DCAF undertook this study in collaboration with the former Steering Committee member of the NGO pillar of the VPI, the Fund for Peace.

#### **Study and Guide Summary**

The DCAF and FFP study was based on in-depth field missions and interviews to analyze the experience of ICWGs in Colombia, DRC, Ghana, Indonesia, Myanmar, Nigeria, and Peru. The study identifies the four key stages of the development of ICWG and critical factors for success for each phase, highlighting both what has worked, and has not worked in practice.

The accompanying "Guide for Local Working Groups on Business, Security and Human Rights," is a practical tool with recommendations for existing groups, as well as stakeholders interested in establishing new groups, on proven steps and key factors that can ensure effective implementation of security and human rights best practices.

#### **2020 Activities**

Although the research and drafting of this report concluded in 2019, DCAF finalized the design, translation, printing and online publication on the Security and Human Rights Knowledge Hub in 2020. There are English, French, and Spanish versions of both the study and guidance on the DCAF-ICRC Security and Human Rights [Knowledge Hub](#), with links to the English versions here :

- [From Commitment to Impact: Experiences from Local Working Groups on Business, Security, and Human Rights.](#)
- [From Commitment to Impact: A Guide for Local Working Groups on Business, Security, and Human Rights.](#)

Furthermore, DCAF presented the results of these studies in the following forums:

- Webinar to the Voluntary Principles Initiative Members and Observers, "Case Studies on Voluntary Principles Implementation," on 7 July 2020, available [here](#); and
- Presentations to existing ICWGs in DRC, Nigeria, and Peru and a nascent ICWG in Guatemala throughout 2020.

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

The study and guide have been successful at raising awareness and building ICWG capacities to improve their effectiveness. For example, the recommendations from the study and guide informed the development of Voluntary Principles baseline studies in Nigeria and Lualaba, DRC, as well as the deliberations of the nascent ICWG in Guatemala to identify thematic priorities to guide the development of these groups going forward.

Furthermore, the study and guide have reinforced DCAF's reputation as the leading contributor to the VPI with practical expertise on how to establish and implement effective ICWGs to promote business, security, and human rights best practices.

## **DCAF, OECD, and ICRC Study: Promoting Coherence between the OECD Guidance and the Voluntary Principles on Security and Human Rights**

### **Objectives**

The objective of this report was to promote the effective implementation of the OECD Due Diligence Guidance, specifically in relation to risks associated with public or private security actors. In addition, this project sought to contribute to the application of the security and human rights good practices contained in the VPs in different settings and through supply chain management.

DCAF, ICRC, and the OECD Responsible Business Conduct (RBC) unit commissioned the study to provide a comparative analysis of the OECD guidance and the VPs. Drawing on this analysis, recommendations were generated on how the work of the OECD and the VPI can be aligned both in terms of promoting policy coherence and in developing implementation activities on the ground that contribute to shared goals.

### **Report Summary**

The study reaches three main findings. First, both the Voluntary Principles and OECD Guidance can increase their impact through better exploiting the linkages between the two initiatives, particularly in harmonising approaches to due diligence. Second, the Voluntary Principles can have greater impact by extending security and human rights standards beyond large-scale mining (LSM) to artisanal and small-scale mining (ASM) operations. Third, the OECD Guidance can be strengthened by involving more LSM actors engaged in the VPs in efforts to ensure responsible supply chain standards. The study concludes with recommendations for various stakeholders to realise a more joined-up approach to incorporating the Voluntary Principles standards with the OECD Guidance in both ASM and LSM contexts.

### **2020 Activities**

Although the research and drafting of this report concluded in 2019, DCAF finalized the design, translation, printing and online publication of the following reports on the Security and Human Rights Knowledge Hub in 2020, as can be found here:

- [Promoting Coherence between the OECD Guidance and the Voluntary Principles on Security and Human Rights](#)

Throughout 2020, DCAF, the ICRC, and the OECD continued regular meetings with the view to further promoting the study and encouraging implementation of the findings in 2021.

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

The study has successfully identified findings and recommendations that provide a roadmap for increasing effective implementation of both the Voluntary Principles and OECD Guidance standards. DCAF, ICRC, and OECD remain committed to raising awareness of the findings to inspire more joined-up action in 2021 and beyond.

## **DCAF Study: Baseline Study on Private Security Regulation in the Southern Africa Region**

### **Objectives**

The Southern Africa region has experienced an exponential growth of its private security industry that has outpaced regulatory oversight, resulting in a governance deficit. The purpose of this study was to conduct a comparative analysis of existing approaches to private security regulation in Southern African countries, to identify common challenges and opportunities for the sector and to make recommendations for improved oversight and accountability. The scope of the study included the following countries: Angola, Botswana, Democratic Republic of the Congo, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Tanzania, Zambia and Zimbabwe. The objective of this study is therefore to raise awareness and spur further private security reform and oversight initiatives to improve the human rights performance of private security actors.

### **Report Summary**

The study finds that private security regulation varies greatly between the various states of the Southern Africa region. Some countries have effective regulatory systems while others remain weak. In all states, challenges in implementation remain. To address such challenges and gaps, the study recommends fostering local, regional and international networking in order to draw on good practices and develop new strategies. Gaps and opportunities that could be addressed by regional networking are presented in depth and include the development of regulatory frameworks, vetting and training standards, monitoring and oversight and the increase in capacity of key stakeholders such as regulatory bodies and civil society. The study concludes with recommendations for each stakeholder – thereby emphasising the distinct role that national governments, regulatory agencies, the private security industry, civil society, and clients can play in advancing the effective regulation of the private security sector in the region.

## **2020 Activities**

Although the research and drafting of this report concluded in 2019, DCAF finalized the design and online publication of the following reports on the Security and Human Rights Knowledge Hub in 2020 here:

- [Baseline Study on Private Security Regulation in the Southern African Region](#)

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

Following the sharing of the study findings at a DCAF-PSIRA workshop on Sharing Good Practices between Private Security Regulators in the Southern African Development Community (SADC) Region in June 2019, DCAF has received requests for support from three states (Madagascar, DRC and Eswatini) which led to significant private security regulatory development in Madagascar with the drafting of a draft law based on baseline data and in DRC through the increase in private security regulator monitoring and oversight capacities in 2020. DCAF has maintained contact with PSIRA and continues to explore ways to promote a regional approach to improving private security regulation, oversight, and performance in the region.

## **SHRIM Governance and Financial Management**

### **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 2020, the SHRIM Steering Committee met virtually three times to address the following agenda items:

- February 2020 - to discuss and select the two winning projects of the second Security and Human Rights Grant;
- May 2020 - focusing on COVID-19 project implications; updates on SHRIM projects, discussion on draft SHRIM Strategy 2020 - 2023; and next steps for the DCAF-Voluntary Principles Initiative Memorandum of Understanding; and
- November 2020 - focusing on taking stock of 2020 results and looking ahead to 2021 priorities from both DCAF and SHRIM Steering Committee perspectives.

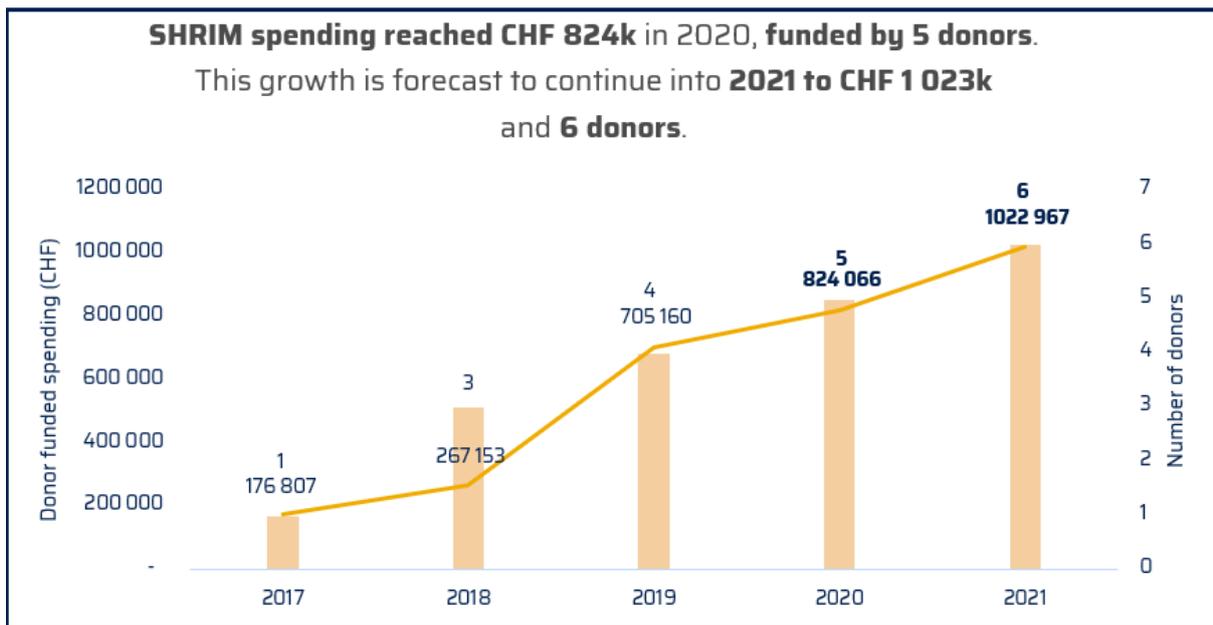
Furthermore, the SHRIM Steering Committee approved updated Terms of Reference for the SHRIM Steering Committee and the SHRIM Strategy 2020 - 2023 in September 2020.

### **Financial Management**

Total project spending of the SHRIM from its inception in 2016 through December 2020 totalled CHF 1.97 million. In 2020, SHRIM project spending reached the level of CHF 824,000, its highest annual level to date. The SHRIM successfully completed financial audits of three projects that came to an end in 2020.

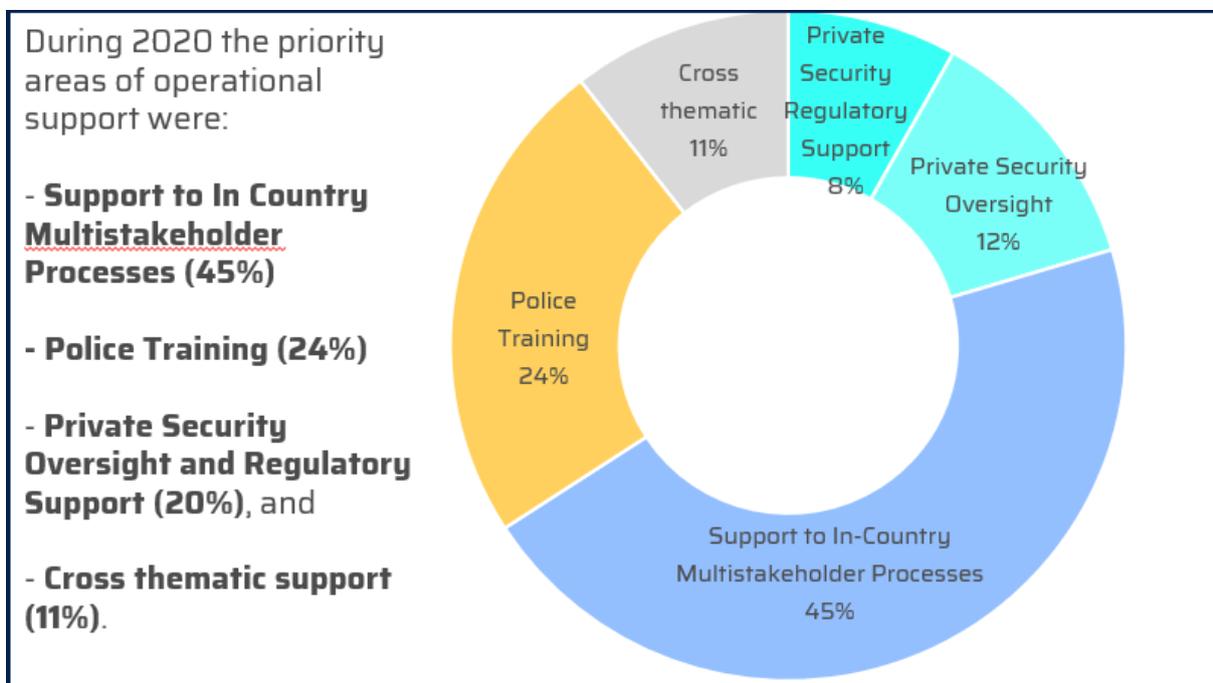
DCAF forecasts that by December 2020, SHRIM project spending will have continued to rise further, with committed funds from six donors to equal at least CHF 1,022,000 for 2021.

The graph on the next page tracks the increase in number of donors and SHRIM project spending alongside the forecast for 2021 as at December 2020.



### Overview of SHRIM Thematic Priorities 2020

DCAF has analysed its project activity spending in 2020 to illustrate how its funds were applied to the following thematic priorities:



## SHRIM 2020 Active Project List

SHRIM Country Projects			
Country	Project	Theme	Donors
DR Congo	Improving the Field Implementation of the Voluntary Principles - South Kivu	Support to in-country multistakeholder security and human rights processes	NL, CH
	Improving the Field Implementation of the Voluntary Principles - Haut-Katanga	Support to in-country multistakeholder security and human rights processes	CH
	Improving the Field Implementation of the Voluntary Principles - 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
	Supporting the Voluntary Principles in the DRC at the National Level	Support to in-country multistakeholder security and human rights processes	CH
	Building Civil Society Capacity to Implement the International Code of Conduct for Private Security Providers	Private security oversight (CSOs)	UK, CH
Kenya	Improving Human Rights Compliance of Public and Private Security Forces in Kenya	Police Training	UK
Nigeria	Piloting VPs Training with Public Security Using Multimedia Tools	Support to in-country multistakeholder security and human rights processes	CH
	Strengthening Private Security Regulation and Oversight	Private security regulation	DE
Madagascar	Supporting the Regulation of Private	Private security regulation	UK, CH

	Security in Madagascar		
Guatemala	Fostering human rights compliance and addressing gender-based violence in the private security sector in Guatemala	Support to in-country multistakeholder security and human rights processes	CH
Peru	Support to the VPs National Working Group	Support to in-country multistakeholder security and human rights processes	CH
	Support to the Cusco VPs Regional Working Group	Support to in-country multistakeholder security and human rights processes	UK, CH, NO
	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
Latin America Regional	Strengthening Oversight of Private Security Services by National Human Rights Institutions (NHRIs) in Peru and Latin America	Private security oversight (Ombud institutions)	UK

### SHRIM Security and Human Rights Grant Projects

Country	Project	Primary Theme	Donors
Colombia	Cadena de Paz - Chain of Peace	Support to in-country multistakeholder security and human rights processes	UK
	Multistakeholder Strategies for the Prevention of Violence against Human Rights Defenders in the Region of La Guajira, Colombia	Support to in-country multistakeholder security and human rights processes	CH
Nigeria	Developing a VPs Baselines Study to Support the VPs National Working Group	Support to in-country multistakeholder security and human rights processes	UK
Timor Leste	Implications of the Tasi Mane	Support to in-country	CH

	Petroleum Project on Timorese Women: Research, Advocacy, Engagement	multistakeholder security and human rights processes	
<b>SHRIM Policy Report Projects</b>			
<b>Partner</b>	<b>Policy Report</b>	<b>Theme</b>	<b>Donor</b>
FFP	From Commitment to Impact	Support to in-country multistakeholder security and human rights processes	CH
OECD and ICRC	Promoting Coherence between the OECD Guidance and the Voluntary Principles on Security and Human Rights	Support to in-country multistakeholder security and human rights processes	UK
PSIRA	Baseline Study on Private Security Regulation in the Southern African Region	Private security regulation	UK

**DCAF** Geneva Centre  
for Security Sector  
Governance

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