BEHIND THE SCENES OF EXTRACTIVES:

MONEY, POWER AND COMMUNITY RESISTANCE

A Toolkit

PROLOGUE

On March 3, 2016, Berta Caceres, a globally recognized indigenous women human rights defender, was assassinated for her work to stop a dam that threatened her community. As coordinator of the Civic Council of Popular and Indigenous Organizations of Honduras (COPINH) she had played a leadership role in the community's years of organizing, advocacy and resistance.

But despite these efforts, the project looked like it would go forward until her murder brought global pressure to bear on the investors behind the proposed dam to pull their funds. The Count Me In! Consortium, a Dutch-funded collaborative of feminist movement support organizations and donors, many of whom had worked with Berta and other women human rights defenders (WHRD) for years, joined these efforts in solidarity. The revelation that one of the dam investors was also the Dutch state (development bank FMO) came as a shock. But it also presented an opportunity to engage with the Dutch ministry for frank dialogue, pressure and dissent. Five years later the dam project remains suspended, and efforts continue to gain justice for Berta.

Our experience highlighted for CMI! that a key leverage point for land defenders opposing extractive projects, and one often quite elusive, is the ability to go behind the scenes and identify and pressure funders enabling the projects. This realization led us as a consortium to launch a research project on how to "follow the money" enabling extractive projects, in order to make this analysis available and useful for WHRD in their communities. This curriculum is a result of the findings of this research.

CMI!'s Behind the Scenes curriculum provides WHRD, social movements, and grassroots organisations facing extractive land grabs with tools and analysis that enables them to map the web that is impacting their lands and develop stronger strategies in response.

In solidarity,
the Count Me in! Consortium

We also welcome feedback and suggestions at info@justassociates.org

USER'S GUIDE

This course consists of six exercises. Each exercise has between five and ten activities and there are fifty-three activities in total. The purpose of this guide is to provide the user with information and advice that will help them get the most benefit out of the course and make it easier to use.

The overall purpose and structure of the course

The course is designed to facilitate two complementary but distinct processes.

The goals of the first process are to share the contents of the research report 'Behind the scenes of extractives industry: critical insights from Honduras, Indonesia and Zimbabwe' by Salena Fay Tramel and Arif Naqvi, and to facilitate a process of reflection on these contents. Most of the exercises that make up the course include activities that use different methods to share contents of this report and facilitate sessions where participants reflect on these contents. An example of this would be activity 3.1 of exercise 2. For this activity, the facilitator presents a diagram that shows the links between investors and other actors in the Agua Zarca hydro-electric dam project in Honduras.

The goal of the second process is to facilitate sessions where course participants can generate, share and reflect on knowledge of extractives projects in their own communities. These sessions use different methods to help participants share information and experiences that are comparable to the instances documented in the research report. An example of such a session would be activity 3.2 of exercise 2. For this activity, participants receive a table to which they add information about investors in the extractives projects that affect them. They then compare this information to the information that was shared about the Agua Zarca dam project in activity 3.1 of exercise 2. These two processes are distinct and are meant to complement each other.

The first process gives participants illustrations of the kind of information they may want to share and search for through the second process. Different experiences can then be compared, which benefits the work of reflection. Knowledge and experiences documented in the research are used to inspire and guide participants as they build their own knowledge.

It should be noted that there are places where the course deviates from this basic design and where it is deemed necessary to draw on knowledge outside of the scope of the research report. This is done in three particular instances - exercises 3, 5 and 6. They are respectively aimed at learning how to design and conduct a community survey (exercise 3), to supplement the report's take on human rights legal instruments (exercise 5) and to address the issue of risks and threats for anti-extractives activists (exercise 6). These three exercises do not draw on the research report but on other sources and also, like the rest of the course, seek to draw on the knowledge and beliefs of the participants.

In addition to this basic course structure, there are several other points for users to keep in mind and consider. Most of these arise from the non-linear nature of the course.

A syllabus that is not linear and sequential

The course is not put together as a sequential syllabus, where participants are meant to start with exercise 1 and end with exercise 6. Instead, each exercise stands more or less on its own, and explores an extractives related theme in a manner that can be used independently as an educational exercise.

At the same time, none of the exercises on their own, or the course as a whole, can lay claim to deal exhaustively with all the themes that may confront popular educators in extractives affected communities. No single course can do that, as the development of these struggles are open ended and raises new issues constantly. This course simply looks, from different vantage points, at the issues raised when we focus on the funders and enablers of extractives projects. Even here the assumption is not that every activity and every exercise will be relevant to a particular popular education process in a particular community. The course simply offers a broad range of educational activities from a broad range of vantage points that experience has shown are likely to be relevant and useful to such processes.

This multifaceted approach gives the course a number of characteristics that users should take into account. While the activities within the different exercises follow each other logically, the exercises do not. Users will note that each exercise starts with its own introduction and works towards its own conclusion; there is also repetition of content and methods across the different exercises.

Facilitators are expected to use the course as a menu from which to choose exercises and activities for a particular workshop or popular education process. Exercises can be used as they are designed or facilitators can put together their own exercises by combining different activities. For example, exercise 1 is designed to introduce the overall theme and language of investment while putting the struggles of women at the centre. Facilitators may choose to include one or more activities from exercise 6, which deals with the theme of risks and threats of violence faced by anti-extractives activists and WHRDs in particular, if in their judgment the process requires an emphasis of this theme from the beginning.

In the vision behind the design of this course, the actual educational process will draw on the course but be adapted to the situation and needs of the participants and facilitators who use it. The best judges of how this should be done are the people who will be doing it.

In addition to the questions around the best use of particular parts of the content and the sequencing of exercises and activities, there are a number of other issues that must be worked out by the eventual users of this course. One of these is the issue of time. Except for introductions, which take about 15 minutes, the activities are designed around the unit of 45 minutes each. Most of them require one unit, but some need two, which are 90 minutes. Facilitators may decide to use more or less time for any particular activity if they judge that it would benefit the group. On the whole, given the complexity and open-ended nature of the material, it is better to err on the side of going slowly.

Another issue relates to an aspect of sequencing. For every exercise and activity set, users have to decide whether to start with the experience of the community or with the sharing of the research findings. Starting with the research findings can guide the sharing of participant knowledge and make it

deeper and more concrete. In other words, starting with the research findings does not imply a lesser value being put on the knowledge of the participants. The course follows a mixture of sequencing, sometimes starting with research findings and other times with experience, but most of the activities can be swapped around as the users prefer.

Another issue faced by users is the preparation of information about the country where the education takes place. The research covers instances of extractives projects in Honduras, Indonesia and Zimbabwe, but the course is designed to be used across the global South. The research is also not an exhaustive overview of the extractives sectors in the three countries, but rather, it looks at instances. There is likely to be a need to prepare information about extractives investors and enablers in the countries where the course is being used. It is hoped that the course provides useful guidance for this, both in the actual preparation and in helping users to decide what information to prepare and how it should be done.

The political orientation of the course

The feminist, anti-extractives and anti-neoliberal orientation of the Count Me In! Consortium that commissioned both the research project and this course is visible and present in all of the exercises and activities. At the same time, it is not the prime purpose of the course to educate users in the content of this political orientation. That would actually run against the spirit of popular education, whose main claim is in its support for the efforts of the oppressed to 'name the world'.

The political orientation of the course, therefore, is embodied in its striving to facilitate the political expression and liberation of women, indigenous people and other marginalised communities affected by extractives. The course shares information and asks questions; while the purpose of this is profoundly political and revolutionary, it avoids instructing its users in the points of a preferred political ideology.

Instead, the course allows for users to bring their own political orientation to the process and express it, question it and recreate it as they see fit. It is nevertheless, or rather consequently, important that users see, understand and

engage the political orientation that informs the course. Even if they should disagree with it, this will put them in the best position to get the optimum value out of the course. It is to this end that the political orientation document of the CMI Extractives Working Group is included as an addendum to the course.

What about the 'complexity' of the course?

Are the contents and structure of the course complex in the sense that they are difficult to understand? The view of the designer of this course is that they are not. This may seem counter intuitive. Firstly, the course is obviously complex in that it consists of many parts that interlock in a variety of ways. Secondly, a glance or even a read of the course may give the impression that it is indeed complex in the sense that it is difficult to understand, especially for those who lack specialist knowledge of investment flows. However, as much as this may be true, the course is not designed to be glanced at or even to be read. It is designed to be worked through, in accordance with the procedures and pace typical of popular education, over the course of many days, weeks or even months. If this is done, then in the view of the author, the contents and structure of the course is hardly difficult and certainly not too difficult to understand.

Granted, groups who want to use this course will do well to have certain minimums in place. These minimums include a group of people willing to act as facilitators. They will need good reading skills and a willingness to learn and reflect. The facilitation skills required are the ability to listen carefully, take notes faithfully and verbal skills on a level needed to take part in a community or school drama group. It is helpful if the facilitators are grounded in the basic ideas and concepts of activism and movement building. The course is also designed to cater to groups with different levels of access to technology and resources. There are high, low and no technology options of activities. If a group has been active in organising resistance to extractives projects over a length of time, it is more than likely that the group will have members or close allies with the necessary skills and resources to act as the facilitators in the use of the course.

POINTS TO KEEP IN MIND FOR EACH EXERCISE

Exercise 1

◇ Read the facilitation notes at the end of the exercise carefully before starting. They discuss the issues of language, the concept of investment and the gender make-up of participant groups and technology.

◇ You can substitute the video in activity 2 with another video that profiles women-led struggles against extractives.

Exercise 2

◇ Read up about the life of Berta Caceres as much you can. If due to circumstances you are not able to do so before doing the exercise, you can make it part of the exercise to note points for further reading.

◇ Activity 3.1 is organised around the presentation of the Agua Zarca dam investment chain. The complexity of the diagram may be off-putting. Take note that the point of the presentation at this stage is to show participants just how complex such investment chains can be. If this point is grasped, it is not essential to understand all the links and dynamics represented by the diagram at this stage. The rest of the exercise is designed to assist participants to construct an investment diagram step by step. Once they have done this, they can come back to the Agua Zarca investment chain and then participants will find it much easier to understand.

Exercise 3

◇ Users may be concerned that this exercise is not explicitly engaging the theme of extractives. It is indeed a general design that can be used by organisers to deepen their knowledge and connections to their home communities, even if those communities are not seen as extractives affected. However, in extractives affected communities, the design of the exercise will ensure that community members list

and engage their extractives related concerns and struggles. The exercise provides a framework through which organisers and communities identify, list and analyse their concerns and struggles. The survey framework may not focus on extractives, but the results will have such a focus to the extent that communities are indeed affected by extractives projects.

Exercise 4

◇ Of all the exercises in this course, this one provides the most comprehensive coverage of the information and themes engaged by the research report on which the course is based. Facilitators who lack the time to work with participants through the whole course, can use this exercise as an overview of the material and themes.

Exercise 5

◇ The course includes this separate exercise on legal human rights instruments because it was felt that the use of these instruments poses specific challenges to extractives affected communities, while at the same time, it is a common tactical option for such communities involved in drawn out struggles. This does not imply that the course recommends it as a tactic, or believes it should be used as the only or main tactical option, or that it is more important than other tactics, such as public protests, media campaigns or direct action. The intention is simply to offer information and ideas that are helpful to extractives affected WHRDs and their communities when they do decide to engage on this difficult terrain.

Exercise 6

◇ Most WHRDs and extractives affected communities face serious risks of violence when they resist extractives projects. Facilitators who work in such communities will need to be aware of this risk at all times. This exercise offers an introduction into the issue using popular education methods. It ends with a list of groups and resources that can assist with self-protection in extractives affected communities who are at risk. This

should not be seen as 'nice to add' material. In those communities where the threat of violence is clear and present, working with these organisations and resources becomes essential, as they cover crucial areas that fall out of the scope of this introductory exercise.

More general points to keep in mind

◇ It will probably benefit users to repeat certain activities and exercises. This is not only because repetition will allow for more familiarity with the material and deeper engagement, but because the outcomes will differ from time to time. The course provides a framework that communities can use to generate and share their own knowledge and views on the themes, which will be different over time, and/or depending on who participates in the process. This can only benefit resistance and movement building processes.

◇ This course, like the popular education movement as a whole, is meant to support the practice of emancipatory politics, which has as its overarching aim the ending of all forms of oppression. Engaging the issues raised in the course therefore will not be easy. However, we have to keep in mind that difficult work is not necessarily without joy, and if the goal is emancipation, the joy of meaningful and communal relationships and activities is always in reach. Therefore, although the course seeks to support feminist, indigenous and land-based communities in their long-term struggles to end neoliberal extractivism, working through the course is meant to be joyful in the moment as well.

INTRODUCTION

This is a course of six popular education exercises on 'Investment chains in extractives projects.' It was commissioned by the Extractives Working Group (EWG) of the Count Me In! (CMI) Consortium, a group of feminist funder and civil society organisations dedicated to joint work in support of feminist activism and women's rights. The course is based on the contents of the research report 'Behind the scenes of extractive industry: critical insights from Honduras, Indonesia and Zimbabwe' by Salena Fay Tramel and Arif Naqvi. (1)

The purpose of this course is to support women human rights defenders (WHRDs), and their communities in their struggles to defend land and territories against extractivism, by sharing and building on the knowledge generated by research. Particular attention is paid to investors and behind-the-scenes enablers of extractive projects, with the aim of identifying and rating possible pressure points that activists could focus their efforts on.

The course is designed for activists and organisers in communities affected by extractive projects. In addition to sharing the key contents of the research report, the course includes exercises to assist participants to update the information in the report, or to generate the same type of information about extractives projects and communities other than the ones studied in the research. The course is guided by the principles of popular education, where the generation and sharing of knowledge is seen as part of building movements for social justice and emancipation, and by the feminist perspectives of the CMI Consortium.

WOMEN & INVESTMENT

Exercise 1

Objectives of exercise

By the end of this exercise, participants will have:

1. Explored the relationship between women and the central theme of the course (investment chains in extractive projects) by joint generative examination of women and investment.

2. Shared information about the situation of women in their communities and reflected on that information through the framing of investment.

3. Learnt about and reflected on the situation of women in an extractives affected community other than their own.

ACTIVITIES

The activities are structured to engage the questions below.

Questions

A. How many women live and work in this community?
B. Do the women invest in this community?
C. What do they invest?
D. How do they invest?
E. What do women want to achieve through investing in the community?
F. What does the community gain out of their investment?
G. What do the different parts of the community gain – men, children, LGBTIQ* people, animals, plants, soil, rivers, lakes, sea?
H. What do the women gain for themselves out of their investments?

Activity 1 – group discussion

◇ Plenary discussion of questions A to D.
◇ Small group discussion of questions E to H.
◇ Feedback to plenary.
◇ Quiet reflection.

Activity 2 – comparative group discussion

◇ Show a video profiling a community, e.g. Women in the Zapatista movement-
◇ Form participants into two groups.
◇ Group 1 follows Method 1.
◇ Group 2 answers the questions in relation to the community shown in the video.
◇ Feedback to plenary.
◇ Quiet reflection.

FACILITATION NOTES

1 The goal of this exercise is to introduce the theme that puts women and their positive contributions to the community at the centre of the education process from the start. It provides a notion of 'good investment' that is jointly generated and available throughout the course as a baseline for comparison with the modes of neoliberal, extractive investment.

2 The use of the concept 'investment' in this way is designed to work in the English language. There needs to be consideration of how well it translates into the language in which the course is facilitated as well as the main languages of communication of the participants. It may be necessary to use an alternative concept with the same meaning, which may require more than one word. For example, instead of 'what do women invest,' 'what do women put in, bring or contribute'.

3 This exercise can be used in mixed gender groups and in women-only groups, although it works more reliably in women-only groups. In mixed gender groups there is the possibility that men will respond in negative, defensive ways when the process starts with a focus on women. It is important to be aware of how these kinds of situations are usually handled in the particular community, and address that particular dynamic by maintaining the empowerment of women. This knowledge will often be held by feminist and women's groups inside the community.

4 Method 1 is designed for situations where there is minimal or no access to wi-fi, computers and projectors. Method 2 depends on the availability of technology to show the video. The video included is narrated in English with interviews in Spanish with English subtitles. An alternative video may need to be found depending on the language proficiency of the participants. The advantage of method 2 is that it often energises participants and broadens the perspective of the discussion if the local situation is compared to another one with similarities and differences.

5 The time allocation for this exercise should be generous – 45 minutes or even more depending on the overall educational time available. People from marginalised communities may enter this course with an idea that topics such as 'investment', 'economics' and 'finance' are the preserve of qualified experts. This exercise is designed to help break down this idea because it relates the concept of investment to the familiar everyday experiences and observations of participants. Time spent on diminishing the obstacle of technocracy will be valuable later in the course when participants engage technical information and concepts.

THE
BERTA CÁCERES CODE

Extractive Projects,
Communities and Investors*

Exercise 2

Objectives of exercise

By the end of the exercise, participants will:

1. Know selected highlights from the life and activism of Berta Cáceres, including feminism, environmental justice and the rights of indigenous communities.

2. Understand key features of the operation of extractivism in Honduras, with particular reference to the proposed construction of the Agua Zarca dam.

3. Share understandings of 'investment chains' and 'enablers' of extractives industries.

4. Be able to use a participatory method of knowledge generation to share their knowledge of extractives projects in their communities

5. Compare their experience of extractives projects with that of the Lenca people in Honduras.

6. Reflect on methods for sharing the knowledge exchanged in this exercise with their communities.

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* *Berta Isabel Cáceres Flores* *was assassinated on 2 March 2016. She was a Honduran activist for feminism, environmental justice and the rights of indigenous communities. Her murder was seen as part of the efforts to suppress community resistance against the Agua Zarca dam that was proposed as a hydro-electricity generation project. (2)*

In popular education *a code* *is a symbolic representation of experiences or problems in the communities of participants. (3)*

The CMI has adopted the following understanding of extractivism: *'"an economic and political model based on the unbridled commodification and exploitation of nature" and characterised by the extraction of natural goods and resources with four defining features:*

  a. Intensive extraction of natural resources (including fossil fuels, metals and minerals, water, plants, etc.)

  b. Emphasis on large quantities, often focusing on a single product or crop;

  c. Low requirement for processing; and

  d. Intention that extracted materials is for export.' (4)

Agenda of exercise activities

	TOPIC	METHOD	TIME
1	Introduction	Interactive presentation	
2	Who was Berta Cáceres?	Debriefing a code Debriefing a podcast	
3	Investment chains and enablers	3.1 Present diagram of Agua Zarca dam investment chain 3.2 Start an investment chain diagram	
4	Extractives in our communities	4.1 Producing a code 4.2 Producing a podcast	
5	Comparing our experiences with that of the Lenca community 5.1 Extractives in our communities 5.2 Similarities 5.3 Differences 5.4 Solidarity	5.1 Plenary discussion 5.2 & 5.3 Group work 5.4 Crafting a solidarity message 5.4.1 Group letter 5.4.2 Video clips 5.4.3 Role play	
6	Sharing learnings	Group work and plenary	

METHODS

Interactive presentation (introduction)

A. Facilitators introduce themselves.

B. Participants introduce themselves.

C. Explain the background and purpose of the exercise as per the introduction and objectives above. Probing questions:
   a. Who knows of activists that were attacked or threatened?
   b. Who knows of Berta Cáceres?
   c. What is the meaning of 'extractives' for participants?
   d. Which extractives projects are present in our communities?
   e. What are the expectations and ground rules for the session today?

The following two activities of debriefing respectively a code and a podcast are offered as alternatives. It is up to facilitators to decide which one to use, depending on time and materials available. The code and the podcast can also be offered together to participants for the purpose of reinforcement. It should be kept in mind that a later activity requires the participants to produce their own code or podcast. This should determine the choice of primary material in activity 2. In other words, it would make sense for participants who will be required to produce a code for activity 4 to focus on a code as the primary source of information in activity 2. In the same way, participants who will produce a podcast for activity 4 should focus on the podcast in activity 2.

2.1 Debriefing a code (Who was Berta Cáceres?)

This exercise requires the production of a visual representation that can function as a code for the life and activism of Berta Cáceres. If you want to use the visual material produced by CMI for this purpose, please contact ronaldwesso@gmail.com or alexa@justassociates.org or info@justassociates.org

A. Participants inspect a visual representation (code) of the life and activism of Berta Cáceres.

B. Participants form small groups to discuss the following questions:
  i. What do you see in the pictures?
  ii. What are the problems in this community?
  iii. What are the causes of these problems?
  Facilitators could, time permitting, call a plenary report-back and discussion session at this point before more specific probing questions are asked. This would indicate whether the issues probed in questions after this point were already noted by the participants and are therefore likely to be present in their own communities.
  iv. What was the role of investors?
  v. What was the role of political and state-based decision makers?
  vi. Were there other external actors playing some role in relation to the problem (visible, hidden)?
  vii. What was the position of women?
  viii. What happened to the earth and natural resources?
  ix. What was the role of violence and repression? For the whole com-

munity/for women?
  x. What was the experience of indigenous communities?

C. *In order to manage time or provide for deeper engagements of the different questions, facilitators can divide up the questions between the different groups, instead of asking all the groups to engage in all of the questions.*

D. Plenary report-back and discussion for facilitators and participants to form a shared interpretation of the material.

2.2 Debriefing a podcast (Who was Berta Cáceres?)

This exercise requires the production of a podcast that can function as a code for the life and activism of Berta Cáceres. If you want to use the podcast produced by CMI for this purpose, please contact ronaldwesso@gmail.com or alexa@justassociates.org or info@justassociates.org

A. Participants listen to an audio representation (podcast) of the life and activism of Berta Cáceres.

B. Participants form small groups to discuss the following questions:
  i. What do you hear in the podcast?
  ii. What are the problems in this community?
  iii. What are the causes of these problems?
  Facilitators could, time permitting, call a plenary report-back and discussion session at this point before more specific probing questions are asked. This would indicate whether the issues probed in questions after this point were already noted by the participants.
  iv. Who were the investors? What was their role?
  v. Who were the political and state-based decision makers? What was their role?
  vi. What was the position of women? Why do we think they had that position?
  vii. What happened to the earth and natural resources?
  viii. What was the role of violence and repression?
  ix. What was the experience of indigenous communities?

C. *In order to manage time or provide for deeper engagements of*

ent questions, facilitators can divide up the questions between the different groups, instead of asking all the groups to engage in all of the questions.

D. Plenary report-back and discussion for facilitators and participants to form a shared interpretation of the material.
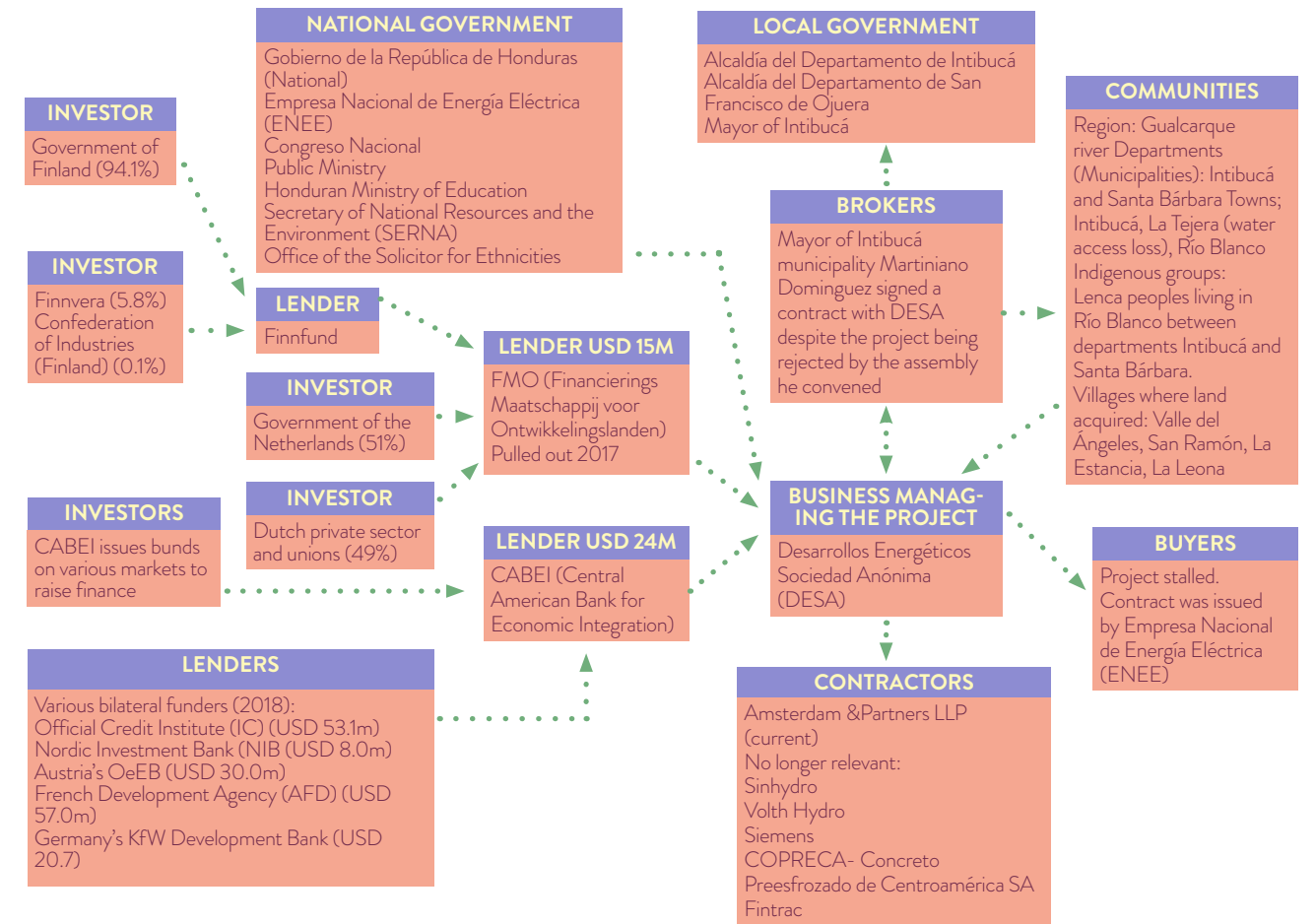
3.1 Present diagram of Agua Zarca dam investment chain (Investment chains and enablers)

This activity draws on the research report 'Behind the scenes of extractive industry: critical insights from Honduras, Indonesia and Zimbabwe' by Salena Fay Tramel and Arif Naqvi (1) pages 42 – 46. The report has not been published. Should you want access to the report please contact alexa@justassociates.org.

A. Each participant is presented with a copy of the Agua Zarca dam invest chain diagram (1):

B. Questions and points for presentation and discussion:

i. What is the purpose of such a diagram? *Introduce the concept of 'pressure points' (1).*

ii. What is an investment chain? Who were the upstream, midstream

EXERCISE 2

AGUA ZARCA INVESTMENT CHAIN

INVESTOR
Government of Finland (94.1%)

INVESTOR
Finnvera (5.8%) Confederation of Industries (Finland) (0.1%)

LENDER
Finnfund

INVESTOR
Government of the Netherlands (51%)

INVESTORS
CABEI issues bunds on various markets to raise finance

INVESTOR
Dutch private sector and unions (49%)

LENDERS
Various bilateral funders (2018):
Official Credit Institute (IC) (USD 53.1m)
Nordic Investment Bank (NIB (USD 8.0m)
Austria's OeEB (USD 30.0m)
French Development Agency (AFD) (USD 57.0m)
Germany's KfW Development Bank (USD 20.7)

NATIONAL GOVERNMENT
Gobierno de la República de Honduras (National)
Empresa Nacional de Energía Eléctrica (ENEE)
Congreso Nacional
Public Ministry
Honduran Ministry of Education
Secretary of National Resources and the Environment (SERNA)
Office of the Solicitor for Ethnicities

LENDER USD 15M
FMO (Financierings Maatschappij voor Ontwikkelingslanden)
Pulled out 2017

LENDER USD 24M
CABEI (Central American Bank for Economic Integration)

LOCAL GOVERNMENT
Alcaldía del Departamento de Intibucá
Alcaldía del Departamento de San Francisco de Ojuera
Mayor of Intibucá

BROKERS
Mayor of Intibucá municipality Martiniano Dominguez signed a contract with DESA despite the project being rejected by the assembly he convened

BUSINESS MANAGING THE PROJECT
Desarrollos Energéticos Sociedad Anónima (DESA)

CONTRACTORS
Amsterdam &Partners LLP (current)
No longer relevant:
Sinhydro
Volth Hydro
Siemens
COPRECA- Concreto Preesfrozado de Centroamérica SA
Fintrac

COMMUNITIES
Region: Gualcarque river Departments (Municipalities): Intibucá and Santa Bárbara Towns; Intibucá, La Tejera (water access loss), Río Blanco
Indigenous groups: Lenca peoples living in Río Blanco between departments Intibucá and Santa Bárbara.
Villages where land acquired: Valle del Ángeles, San Ramón, La Estancia, La Leona

BUYERS
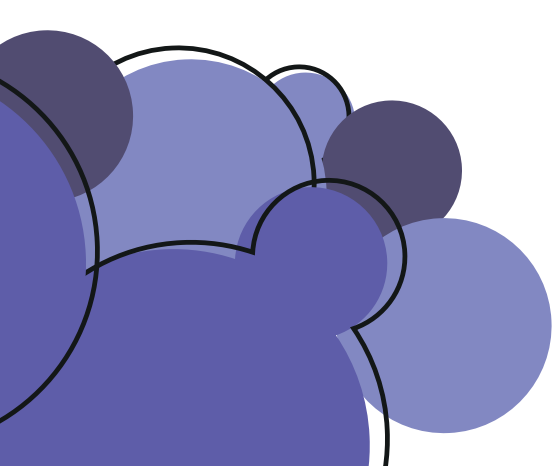Project stalled. Contract was issued by Empresa Nacional de Energía Eléctrica (ENEE)

and downstream actors in this investment chain?

iii. How did knowing this information benefit the struggles of the Lenca people?

iv. Would it be useful to make a similar diagram showing the extractive projects in our communities?

3.2 Starting an investment chain diagram (investment chains and enablers)

A. Participants receive the following table:

Name of community:			
Name of organisation/movement:			
Name and type of extractives project:			
Upstream actors	Midstream actors	Downstream actors	Roles
Example: Neoliberal Investment Bank			Investor; lender
	Example: Extractive Projects Contractors (Pty) Ltd		Project manager
		Example: London Buyers Company (plc)	Buyer of products

B. Participants work in groups to complete the table and make a list of the actors

in the investment chain of the extractive project affecting their community.

C. Care is taken to identify gaps in the information.

D. Discussion – how can the missing information be found?

E. Discussion – which of the actors are vulnerable to pressure? What kind of pressure can stop them from enabling the project?

The following two activities of creating respectively a code and a podcast[1] are offered as alternatives facilitators can choose from depending on circumstances.

4.1 Producing a code (Extractives in our communities)

A. Participants need to assemble pictures, drawings and symbols that can represent their experiences of extractivism in their communities. Based on the Agua Zarca experience, these could have the following themes:
  - ◇ International financial institutions
  - ◇ Foreign investors and lending institutions
  - ◇ Multi-lateral institutions
  - ◇ National government
  - ◇ Armed forces
  - ◇ Local government
  - ◇ Local companies
  - ◇ Women
  - ◇ Communities
  - ◇ The earth and natural resources
  - ◇ Indigenous communities
  - ◇ Workers
  - ◇ Small farmers
  - ◇ Repression and violence

B. The images are combined into one portrait.

C. Using symbols representing smiles and tears, the images are connected through showing who/what are causing who to smile or cry.

D. *This can work with magazine/newspaper cuttings and simple drawings. It can also work with printing images from the internet and the cell phones of participants. There is software that allows for the on-screen combination of the images and the drawing of the connections. Facilitators (and participants) have to decide based on their preferences and the technology and resources available.[2]*

4.2 Producing a podcast (Extractives in our communities)

A separate instructions sheet is attached to guide the production of a sound clip using cell phones.

5.1 Plenary discussion (Extractives in our communities)

A. Participants listen to the podcast and/or inspect the code produced in activity 4.

B. Plenary discussion:
  - ◇ What story does it tell about extractives in our communities?
  - ◇ Does it leave anything out that is important?
  - ◇ Are there things in the story that must be corrected?
  - ◇ Where are the women in our story?

5.2 & 5.3 Group work (Similarities and differences between our experiences and what we learned about the Lenca community)

A. Participants divide into two groups.

B. Group 1 discuss similarities between our experience and that of the Lenca community.

C. Group 2 discuss differences between our experience and that of the Lenca community.

D. Specific issues to be included in the discussion:

  1. The role of investors

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1 *Facilitators may want to call this an audio clip if the participants seem overwhelmed by the idea of producing a podcast.*

2 *A separate instructions sheet will be provided to guide the production of the code.*

2. The role of government institutions

3. Violence and repression

4. Community livelihoods

5. The roles and struggles of women

6. Indigenous communities and their rights

7. Free, prior and informed consent

8. Report-back to plenary

5.4 Crafting a solidarity message (Solidarity between our communities and the struggles of the Lenca community)

A. Buzz groups[3] - What kind of solidarity can our communities and that of the Lenca give to each other?

B. Participants divide into three groups.

C. All three groups share the points that came up in the buzz groups with each other.

5.4.1 Group letter

D. Group 1 writes a group letter to the Lenca community communicating a message of solidarity based on the points shared in activity 5.4.

5.4.2 Video clips

E. Group 2 record video clips[4] of messages of solidarity from group members based on the points shared in activity 5.4.

5.4.3 Role play

F. Group 3 produces a short role play illustrating a message of solidarity with the Lenca people based on the points shared in activity 5.4.

G. Plenary – groups share their letter, video clips and role play with each other.

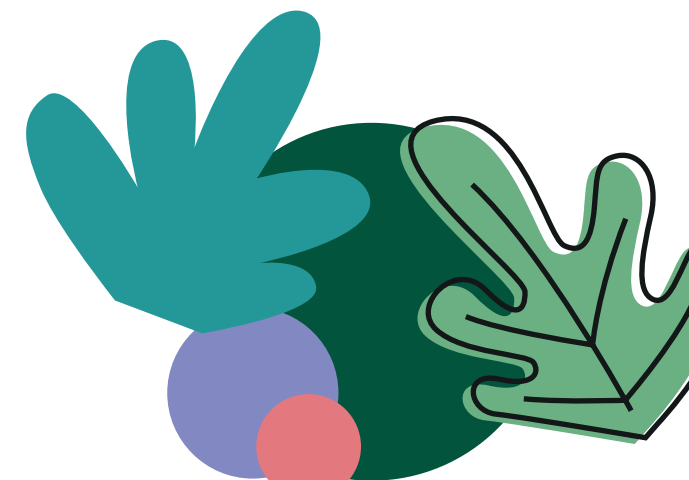## 6. Group work and plenary (Sharing learnings)

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3 *Two or three participants next to each other have a minute conversation about a topic. All participants talk in these small groups at the same time, which creates the 'buzz' in the room.*

4 *Videos are to be recorded with cell phones.*

A. Participants divide into 4 groups.

B. All groups discuss – how can we share what we learned with our communities?

C. Plenary report-back and discussion.

At the end of this exercise, participants have generated and shared the following knowledge products:

A. *A visual code and/or sound clip/podcast representing their experiences of extractives projects in their communities.*

B. *A table of information for the construction of an investment chain diagram representing the extractive projects in their communities.*

C. *A list of missing information and possible sources for the completion of the investment chain diagram.*

D. *A list of similarities and differences between their experiences of extractives projects and the experiences of the Lenca community in Honduras.*

E. *A letter and/or video clips and/or a roleplay that illustrate their understanding of solidarity between their communities and the Lenca community.*

F. *A list of suggestions and ideas for sharing what they learned during the exercise with other members of their communities.*

EXERCISE 2

EXERCISE 2

Activity 4.1 Guidelines for producing a visual code[5]

1. A code is a visual aid meant to help with the discussion of a topic.
2. It shows or raises the questions you want to ask about the topic. You are inviting the people you work with to come up with their answers to the questions. The code does not show your answers.
3. If the picture shows your answers as a facilitator, it is no longer a code but an illustration.
4. In this activity, for example, one set of possible questions is about international financial institutions. What are the roles of the World Bank and the IMF? How should activists and communities respond to these institutions? The role of the code would be to ask these questions or to draw attention to them, not to illustrate the answers of the facilitators.
5. One way that participants could produce a code about their own struggles in a workshop would require internet access and a computer and printer. Participants can look images up on the internet, print them on A4 paper, and cut and paste them on A3 newsprint sheets to construct a code.
6. Other points to keep in mind when constructing a code include:
   a. Codes should deal with a topic about which the community has strong feelings.
   b. Codes should show scenes that participants are familiar with.
   c. Codes should focus on one theme.
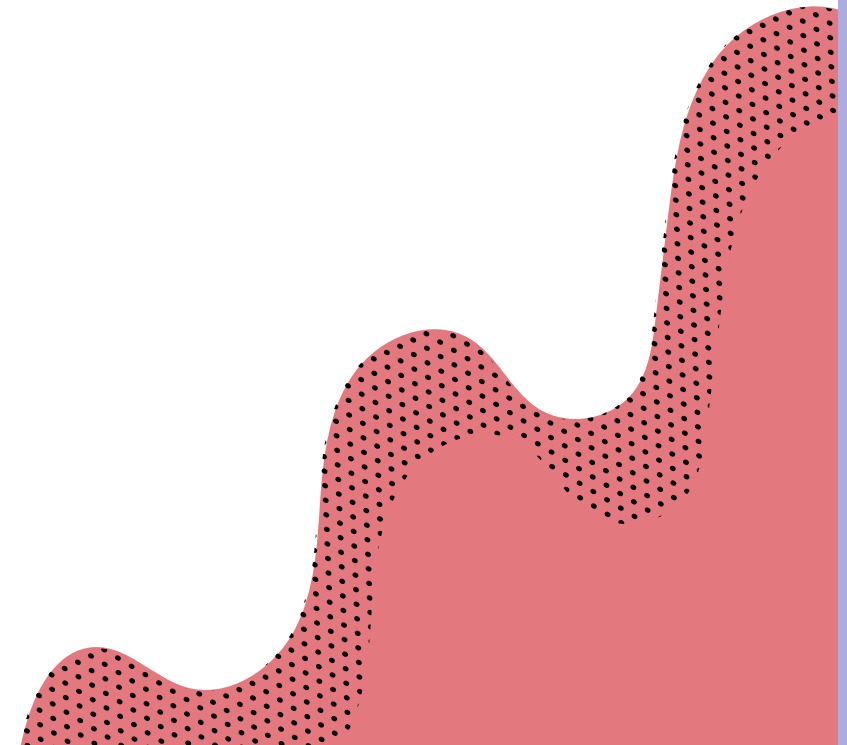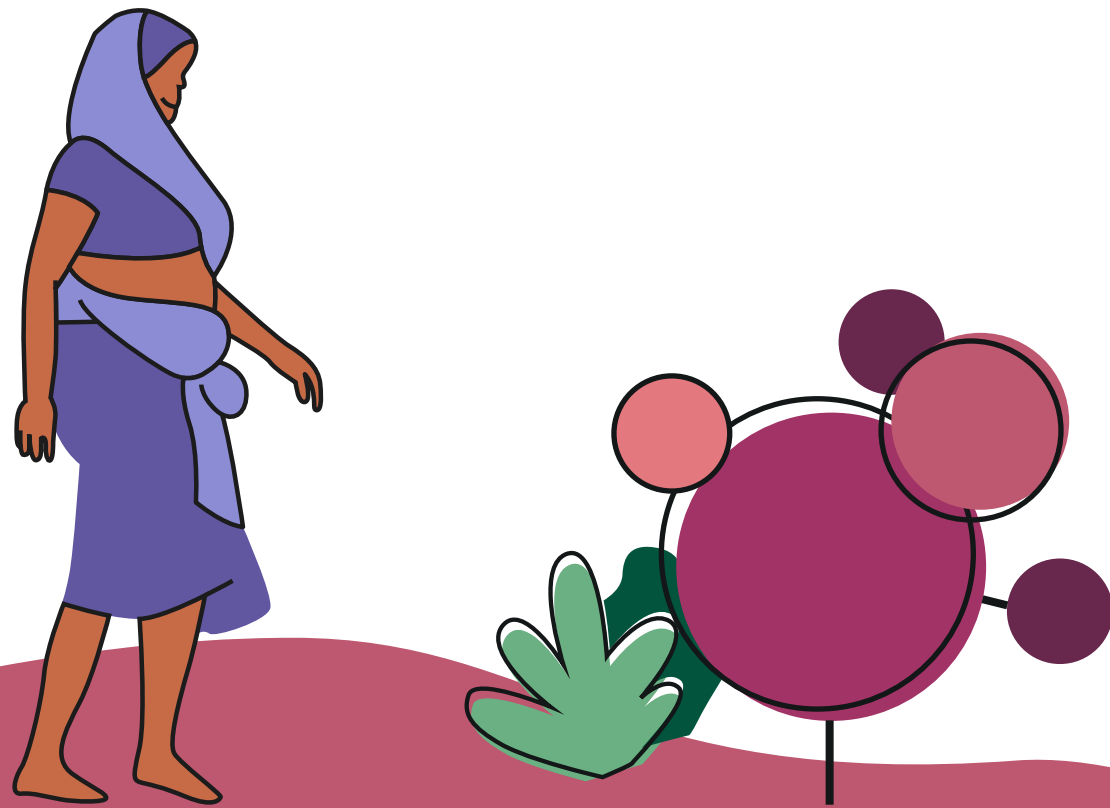   d. Codes should show one person the participants can identify with.

Activity 4.2 Producing a podcast

A. The aim of this guideline is to help participants record a podcast or sound clip, telling the story of their experiences and struggles with extractives projects. Participants would have listened to and debriefed the podcast about the life and activism of Berta Cáceres in activity 2.2.

B. Participants divide into groups of five. Members of the group must be from the same community or organisation, as the sound clip will be about a specific community. It would be good to have more than one group from the same community in order to compare their sound clips.

C. The next step is to construct the story of how this community experienced and struggled with extractives projects. The same questions as in activity 2.2 are used. Keywords helping with the telling of the story are written on a newsprint sheet. The questions are:
   ◇ What are the problems in this community?
   ◇ What are the causes of these problems?
   ◇ What was the role of investors?
   ◇ What was the role of political and state-based decision makers?
   ◇ What was the position of women?
   ◇ What happened to the earth and natural resources?
   ◇ What was the role of violence and repression?
   ◇ What was the experience of indigenous communities?

D. The group uses the relay story telling method to practice telling the story. This means each member of the group gets to tell a part of the story and then passes the baton to another member to continue the story. [The use of an actual baton is recommended.] The story starts with introducing the community, the organisation and the members of the group. It then proceeds through answering the above questions.

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5   Adapted from 'Training for transformation: a handbook for community workers' by Anne Hope and Sally Timmel, book 1, Chapter 3.

E.   When the group is able to tell the story smoothly in this way, the next step is to record the story. Most cell phones have standard voice recording apps that can be used. WhatsApp voice notes can also be used, and the recording can be easily shared with facilitators and participants.

F.   When the group is satisfied with the recording it is played through speakers for the other participants. It can also be shared via WhatsApp and other platforms.

LINK TO PODCAST

https://soundcloud.com/justassociates/solidarity-with-berta-podcast

EXERCISE 2

EXERCISE 2

PODCAST TRANSCRIPT

Hello my name is Leila Wesso and I am 24 years old. I was born in Cape Town South Africa and currently reside in Johannesburg South Africa, since 2018. I am a woman of colour, a university student and an au pair to two kids. I am also an activist against violence against women. My activism is purely out of necessity. I'm my ideal world this podcast would not be about the murder of a fellow comrade. With this I share with you Berta's story. I heard about Berta Catares from my father who is an activist for the mining affected communities.

From her Wikipedia page I found out she was born in Honduras, a country filled with beauty such as tropical rain forests, massive rivers and even ancient sites of the Mayan civilizations. These wonders are contrasted with the oppression of women, black people, indigenous communities, poor farmers and poor farm workers. Honduras is also a country plagued with violence and in 2009 the military viciously seized power and declared the country open for business to capitalists everywhere. I could notice strong similarities between Honduras and South Africa. Her plight against injustice spoke to me. I wanted to know more so I tuned to Youtube to find out about Berta's activism and leadership; and how it came to a tragic and brutal end. Berta Cateres stood up against racism, patriarchy, neoliberalism and exploitation of the earth and its people. She fearlessly and relentlessly fought for the just treatment of her indigenous community, the Lenca people. From 2008 her struggle was concentrated against the construction of the Agua Zaca Dam. This Hydraulic dam was threatening the land her people was living on and to destroy her entire community. Women would lose their livelihood from the land and would be left destitute and hungry. The Agua Zaca Dam was backed by the highest levels of government and investors. Berta was up against a powerful opponent. Her life was in danger. Armed forces were killing activists who were resisting the dam. Berta and her comrades were able to attract global attention to their cause and in 2015 she received the prestigious Goldman environmental prize. She now faced being a singled out enemy of the state and capitalists who were to benefit from the construction of the dam. In the

dark night on the 2nd of March 2016 assassins came into her house and killed her. Her life taken because of what she believed in. In the aftermath of her killing her comrades mobilized solidarity from across the globe. International NGOs and activists became involved. Under international pressure The Development Finance Institution of the Netherlands withdrew and the Agua Zaca Dam construction came to a halt. Berta's death caused global outcry and protests. Calls for investigation came from public figures , leaders and activists worldwide. It was a sore loss to the activist community and sparked protests in Honduras. Many things only became clear after Berta's murder. Experts investigating the case noted that The Central American Bank for Economic Integration, The Netherlands Finance Institution and the Finfund pursued a strategy to control, neutralize and eliminate any opposition. A total of 7 men were arrested for her murder. For now the Agua Zaca Dam construction is at a standstill. Berta's story is my story. Berta's struggles are my struggles. My country South Africa is one of the largest mining sites n the world. And it's people conquered and enslaved do work in these mines. My beautiful country and it's people being destroyed and exploited. Then dreams of my people crushed. Livelihoods given up to make capitalists richer. Today my country is a violent nation where a woman is killed every 3 hours. I don't want to die for the plight of my country and its people. Listen to me now.

COMMUNITY SURVEY

Exercise 3

Objectives of exercise

By the end of the exercise, participants will:

1. Understand how to design a community survey to identify generative themes.[6] In order to reach this objective, participants will engage the following concepts and skills:
   a. Generative themes
   b. Forming a survey team
   c. Design and implement of a listening survey
   d. Designing a code and creating a question outline for the critical analysis of themes
   e. Identify policy and institutional links to themes identified
   f. Using storytelling and human sculpture to present the findings of the community survey

The objective of this exercise is to identify generative themes in extractives affected communities.

Generative themes are "the issues which are so important to the community that they will generate enough energy to break through apathy and stimulate initiative in the members." (2)

Facilitators and organisers can use this exercise in two ways. In the first way, facilitators would conduct a training workshop. Participants would learn the basic concepts and skills involved in the design and implementation of a community survey for identifying generative themes. This can be done in a one-day workshop. The intended outcome is that participants leave the workshop in the position where they are capable of taking part in the design and implementation of said community survey. This way can also serve as preparation for the second way.

The second way to use this exercise is for the actual design and implementation of a community survey. This would take place over a period of at least a few days, and might take longer. Participants would meet in a workshop setting to become familiar with the concepts and procedures of a community survey. They would then design such a survey and plan and implement it in the community up to the

point where generative themes have been identified and debriefed. This would involve field trips and multiple training and debriefing sessions. The intended outcome is a designed and implemented community survey process with generative themes for a particular extractives affected community identified and debriefed by a group of facilitators and organisers active in the community.

Agenda of activities

	TOPIC	METHOD
1	Introduction	Interactive presentation
2	We and our community	Verbal quiz and cell phone contacts survey
3	Forming a survey team	3.1 Talking stick
4	Design and implement a listening survey	4.1 Collecting the survey information 4.2 Organising, supplementing and analysing the collected information
5	Critical analysis of themes	Codes and question outlines
6	Presenting the findings of the community survey analysis	Storytelling and human sculpture

ACTIVITIES

1. Introduction

◊ Introduction of facilitators
◊ Overview of the course as per the introduction above
◊ Introduction of participants
◊ Introduction of objectives of exercise as proposed above
◊ Expectations and ground rules

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6   *Unless otherwise indicated the material in this exercise are from chapter 2 of volume 1 of Training for Transformation by Anne Hope and Sally Timmel 1995 revised edition. (2)*

EXERCISE 3

2. We and our community – examining and deepening our knowledge of each other

The purpose of this activity is to demonstrate the possible benefits of the community survey. This is done by facilitating a process that gets participants to identify gaps in their knowledge of the community, and the community of them. It is sometimes difficult for activists to accept that these knowledge gaps exist.

See the activity guide prepared in presentation format: 'We and our community'. It is available as a PowerPoint presentation and a Google Forms Survey. Facilitators must conduct the survey either in-person or online. The Google Forms Survey link can be shared in a WhatsApp group of the participants. The survey results are shared with the participants and the participants are asked to reflect on them.

3. Forming a survey team

The survey team will consist firstly of the members of the activist group in the surveyed community. It is important to involve as many of the group members as possible. For both the activist group and the broader community, the experience of doing the survey could be as important as its results. Where necessary, large activist groups could be organised into smaller teams that can be asked to survey particular themes or spaces.

Most survey teams would benefit from the participation of people with relevant training and experience. Researchers, educators, journalists, development workers, nurses, social workers and other professionals could make valuable contributions, even if they are recruited from outside the community. It is important that this latter group understand that they need to resist and abandon the hierarchical elitism of their professional environments in order to do this work. The work must be done in the spirit of free cooperation between equals.

The team should reflect the make-up of the community as much as possible. In mixed gender groups, special care should be taken to ensure the participation of women. The operation of institutionalised sexism, and the ways in which it undermines the participation of women, should be foregrounded and addressed. The same approach should be taken around issues of sexuality, gender, race, ethnicity,

indigeneity, nationality and other structural oppressions. Careful attention should be paid to the capacities of team members to understand the languages and idioms used in the community.

As much as the team should be grounded in the community, team members should also have the capacity to step back mentally and view the community with some objectivity. This can be difficult for activists, who are often shaped and influenced by their struggles to be heard and recognised as spokespersons for their communities. A dictionary defines objectivity as "the fact of being based on facts and not influenced by personal beliefs or feelings."[7] The second part means no one can be fully objective, as no one is above being influenced by personal beliefs and feelings. In the context of this activity therefore, objectivity can be seen as the ability to record and report, with high levels of accuracy, the feelings and beliefs of others when these are different and even in conflict with your own.

This capacity to be objective is something that can be learnt, practiced and developed. There are different methods facilitators can use to do this, like simply asking participants to imagine a person who they know nothing about except that the person knows nothing about the situation in their community. Participants are then asked to explain their community to this imaginary person. Another method is for participants to develop a role play where they are asked to voice a character such as a large shareholder in the extractives project or a community member who supports the project. Below is an example of an activity design to develop the capacity for this kind of objectivity.

3.1 Listening with objectivity – 'talking stick' activity (3)

A. This activity can be done in plenary or in groups.
B. Participants are asked to discuss questions:
   ◊ What are the issues a community survey should cover?
   ◊ What issues should it not cover?
   ◊ What are the challenges that will come up for the team carrying out the survey?
C. The first speaker is handed a listening stick and get two minutes to speak their opinion.

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7   *Cambridge Dictionary of English*

EXERCISE 3

D. The rule is that you can only speak your opinion once you receive the listening stick.

E. If you want to speak you raise your hand. When you are recognised by the facilitator, you get a chance to repeat the point made by the last speaker. When the last speaker is satisfied that you had made their point in way that showed you had paid attention and understood them, they hand you the listening stick. Now you get a chance to make your own point.

F. This procedure is followed throughout the discussion.

G. *"The Talking Stick is an ancient (Native American) Aboriginal tool for healing relationships through learning to listen to others and to speak your truth. We have asked permission from Indigenous friends to use the Talking Stick to help connect people to one another and to begin dialogue through listening. They have graciously granted us their blessing.*

The Talking Stick is appropriate to modern needs. The stick is passed around the circle. The person holding the Talking Stick is the only one who speaks. Everyone else listens. There is absolutely no interruption. Everyone's viewpoint is heard. Great Councils in Indigenous America were held in this fashion and the Council of Elders made decisions after listening to all the viewpoints expressed."8 (3)

4. Design and implement a listening survey

A. The survey team works out a set of questions to guide surveyors. [Listening surveys are different from traditional surveys. They are about open listening to unstructured conversations rather than collecting information with the help of precise questionnaires. The purpose of the questions is to provide a broad framework, not a precise guide. One set of questions that is commonly used is the following that covers six basic areas of life:

  i. How are people meeting/not meeting their basic physical needs?

  ii. What is the quality of the social and inter-personal relationships between people?

  iii. How do community decision-making processes and structures work?

  iv. What are the dynamics of education and socialisation?

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8   *The method has been slightly modified here to suit this activity, but its content is the same.*

  v. What do people do for recreation?

  vi. What are the beliefs and values that influence this community?

B. The team prepares to listen, record and reproduce, as much as possible, without judgment. The following sub-questions can help to produce concrete, detailed answers to the questions in a) above:

  i. What do people do?

  ii. What changes are happening?

  iii. What motivates people?

  iv. What issues in these fields arouse the strongest emotions? What are those emotions?

  v. What are the most frequently used words in community discussions?

C. The team identifies listening situations. Where are the conversations taking place that the team is interested in? *A community survey is interested in the on-going, day to day conversations in a community and will use more formal methods such as organised group discussions only as a back-up option.* Examples of listening situations could be:

  ◊ Markets

  ◊ Public transport nodes

  ◊ Sports events

  ◊ Cultural and religious gatherings

  ◊ Wherever people have to wait.

4.1 Collecting the survey information

A. The team needs to find ways of letting the community know that the survey is taking place and what its objectives are. The issues of consent and anonymity must be addressed. No information will be used and no person identified without their consent. This is to ensure wide participation and avoid suspicion. Some of the points to include and ways to use could be:

  ◊ A leaflet.

  ◊ Local media and social media.

  ◊ Notice boards.

  ◊ Include the contact details of the group doing the survey.

  ◊ Assure people that participants will be anonymous.

  ◊ Use local institutions such as schools, religious groups and clubs to announce the survey.

B.   Team members must listen actively to conversations rather than ask direct questions.

C.   The survey is interested in the subjective experiences and feelings of community members. What are the issues they feel strongly about?

D.   The team searches for generative themes – "the issues which are so important to the community that they will generate enough energy to break through apathy and stimulate initiative in the members." (2)

E.   In the field work of collecting the information, the safety of team members and the community must be a prime consideration.

4.2 Organising, supplementing and analysing the collected information

A.   The team meets to share the information collected and identify themes that emerged.

B.   Themes that need to be engaged through supplementary research are identified. Researchers and sources are identified for this task. Two particular types of sources are relevant to many themes:
   ◊ Any published and available material of research conducted about the community.
   ◊ Laws and policies of all levels of government and other powerful institutions that are relevant to the selected theme.

C.   The team needs to come up with ways to organise and present the information based on their preferences and needs. Here is one way, a grid adapted from the Training for Transformation (2) handbook:

GRID ON GENERATIVE THEMES						
Theme	Economics/ physical needs	Social/interpersonal (including gender) relationships	Decision making and policy	Education and socialisation	Recreation	Beliefs and value
Unemployment	Lack of income	Gender conflict – threatened masculinity. Crime.	Unemployment protection policies. Job creation schemes. Macro-economic policy	Skills training. Political education.	Alcohol and drug abuse. Access to sport and entertainment.	Gender norms around work. Notions of human value based on employment status. Personal versus political explanations for unemployment.

The grid is based on the idea that most themes would connect to all the six areas of life identified in activity 4 above.

D.   The team ranks the generative themes with the ones generating the most emotions, opinions and inclinations to act at the top.

E.   The team needs to pay special attention to identifying institutional and policy links to the generative themes. *Which institutions and policies have influence and power over this particular theme?*

5. Critical analysis of themes – codes and question outlines

A.   From this point in the community survey, team members share their findings with other members of the community. The purpose is triangulation of results, deeper analysis and the building of cohesion in the community. There are many different ways a survey team can choose from to reach these objectives. What follows is an explanation of two such methods used in combination – codes and question outlines.

B.   The team needs to find or create pictures that represent the particular generative theme. A choice must be made between using codes that represent the findings or the survey or ones that represent the theme generally. Here are examples of pictures drawn from media discussions that could serve as codes representing unemployment in South Africa:

Pictures published in the South African media on the topic of unemployment

Code 1:

Photo source: Mail and Guardian, 11 February 2014
https://mg.co.za/article/2014-02-11-unemployment-rate-drops-as-government-hires-workers/

Code 2:

Photo source aa News, 31 August 2020
https://agogoayonews.com/2020/08/31/in-the-face-of-an-unemployment-pandemic-can-south-africa-still-afford-minimum-wages-and-suffocating-labour-laws/

Code 3:

Photo source: The Economist 27 April 2019
https://www.economist.com/special-report/2019/04/25/high-unemployment-is-a-symptom-of-south-africas-economic-malaise

C.   In a workshop setting, these three pictures can be used as codes separately or together. Participants can be asked to decode them in groups looking at either one, two or all three of them, depending on the judgment of the facilitators of what is needed to provoke the desired engagement.

D.   Participants will be asked to interpret what they see in the codes. Eventually their interpretations and stories will be compared to the findings of the community survey. It is recommended that the initial questions to the participants are broad and open ended along the following lines:
   ◊ What do you see in the pictures?
   ◊ What is not in the pictures?
   ◊ What does it mean?
   ◊ How do the pictures compare to the situation in your communities?

E.   In order to facilitate in-depth engagement with a particular theme,

participants can be provided with a question outline. The questions are designed to draw out connections between the theme under discussion and the six areas of life identified in activity 4 of this exercise. A question outline around the theme of unemployment could look as follows:
   ◊ What are the effects of unemployment on the efforts of people to meet their basic needs? How do the unemployed meet their basic needs?
   ◊ What are the gender dynamics of unemployment? *Why are there no women in the pictures of codes 1 and 3? What are the women doing?*
   ◊ What government institutions support the unemployed? What policies cause unemployment? What policies help the unemployed?
   ◊ Do the unemployed lack skills and education? What kind of training and education do unemployed people need? Are educated people also affected by unemployment?
   ◊ How does unemployment affect recreation? How are the effects different for women and men?
   ◊ What do people in the community believe are the causes of unemployment? What do people believe are the solutions? How do beliefs and values in the community help or obstruct efforts to solve unemployment?

F.   The participants' answers are compared to the findings of the community survey. The purpose is triangulation of results, deeper analysis and the building of cohesion between the survey team and the rest of the community. This common, survey-based understanding of the theme can then be the basis for making plans of action to address the issues identified.

6. Presenting the findings of the community survey analysis – story telling and human sculpture

A.   This activity provides the survey team and other community members with an opportunity to work together on presenting the results of the survey and its deeper analysis. The presentation is done in the form of storytelling and 'human sculpture' to make the information accessible

and the process participatory. It can be done as a concluding activity for activity 5 above or as an introductory activity that shares the conclusions of activity 5 with a new group of participants.

B.   A panel discussion of three speakers. Each speaker is asked to tell a story from their own life or from the community survey that illustrates important points made in the findings and analysis of the community survey.

C.   The group is divided into groups of five. Each participant is asked to tell a story that illustrates points in a similar way to the stories told by the speakers.

D.   Each group chooses a scene that is a key moment in one or more of the stories. Members of the group assume bodily positions and poses to create this scene that illustrates the key moment – this is the 'human sculpture'.

E.   Each sculpture is presented to the plenary group. Opportunity is given for comments, questions and sharing of similar experiences.

F.   A facilitator concludes the exercise by summarising main points of the different sculptures and comparing these points to the findings of the community survey and analysis.
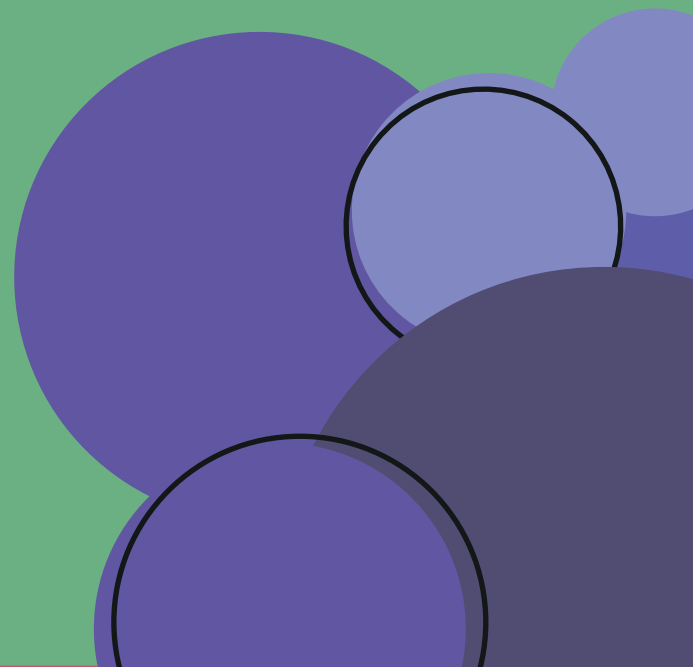
EXERCISE 3

EXERCISE 3

LINK TO SURVEY

https://docs.google.com/forms/d/e/1FAIpQLSdSjfjY-2W8RfizUQoCVNf8ge4j-FOcy7k0AQ2-dDZL-1NHZMA/viewform?gxids=7628

INVESTORS, ENABLERS & PRESSURE POINTS

Exercise 4

Objectives of exercise
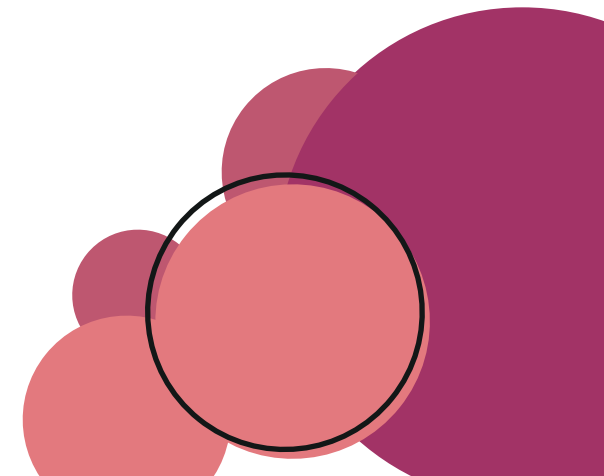
By the end of this exercise, participants will:

1. Be able to collect information on investors and enablers of extractives projects affecting their communities.
2. Be able to identify and select pressure points as targets for campaigning.
3. Be able to achieve the above objectives 1 and 2 by becoming familiar with the following concepts, information and skills:
   ◊ Different kinds of investors in extractives projects
   ◊ Vulnerabilities and resistance of investors to different methods of activist pressure
   ◊ Different kinds of enablers of extractives projects
   ◊ Vulnerabilities and resistance of enablers to different methods of activist pressure
   ◊ Sources of information about investors and enablers
   ◊ Templates for the collection of information about investors and enablers
   ◊ Methods for assessing potential pressure point
   ◊ Overview of different methods for exerting pressure

The aim of this exercise is to put community activists in a position to access and analyse information about the investors and enablers of extractives projects that affect them. Much of this information will be in written sources both printed and on-line. Some of the information would also be of a technical nature and include numbers, statistics and forms of statistical representation such as graphs. For a group to access it, at least some people in or close to the group would need to have the time, resources and reading and writing capacities that enable access, understanding and communication of such information.

Most activist groups who have been active for a few years would have developed the knowledge, skills and connections to do this. Allies with access to computers, cell phones, the internet and particular databases can play an important role. Activist groups tend to have at least some such allies in NGOs, the academy, the media and the professions. Finding the information that can assist extractives affected communities to make decisions about what strategies to use to target which pressure points, requires persistence rather than specialist knowledge. It can

also be done in partnership with allies who are not based in the affected communities, as databases and websites can generally be accessed from anywhere.

The activities below both demonstrate and enable how this is possible. They covers basic concepts, indicates possible sources and provides draft templates for activists and allies to use to collect and analyse the relevant information.

Agenda of activities

	TOPIC	METHOD
1.	Introduction	Interactive presentation
2	Understanding extractives projects	2.1 We and business – buzz group, newspaper analysis, plenary discussion 2.2 What does a business need to be successful – plenary, group work 2.3 Where does the extractives project gets what it needs – plenary, group work
3	Investors	3.1 What do investors do? – interactive presentation 3.2 Investor institutions or different kinds of investors – reading material, interactive presentation 3.3 The extractives elite – group work, plenary
4	Enablers	4.1 What do enablers do? – plenary discussion, bingo game 4.2 Different kinds of enablers – reading material, interactive presentation, plenary discussion 4.3 Institutional and social power of extractives enablers – group work, plenary discussion
5.	Pressure points	5.1 Methods of exerting pressure – plenary, group work 5.2 Identify and rate pressure points – plenary, group work
6.	Research into investors and enablers	6.1 What do we know and what do we want to find out – plenary, interactive presentation 6.2 Research tools – presentation, plenary discussion 6.3 Campaign targets – group work, plenary

ACTIVITIES

1. Introduction

◊ Introduction of facilitators
◊ Overview of the course as per the introduction above
◊ Introduction of participants
◊ Introduction of objectives of exercise as proposed above with an emphasis on the concepts in bold *A sheet [1] with short definitions of the concepts can be handed to participants for reference.*
◊ Expectations and ground rules

2. Understanding extractives projects

The purpose of this activity is to draw out and, where needed, supplement the existing knowledge of the participants regarding how businesses function in general and how the extractives project affecting them function. The activity lays a foundation on which to introduce the concepts of investors, enablers and pressure points.

2.1 We and businesses – the presence of business organisations in our lives

A. Get participants to think and talk about their understandings of a 'business organisation'. Questions for plenary and/buzz group discussion and/or quiet reflection:
   ◊ Who in the room are members of a business organisation?
   ◊ In what capacity? Owners? Managers? Employees?
   ◊ Who has been involved in starting a business?
   ◊ What is the main goal of a business?
B. **Alternative/additional introduction activity:** Analysis of a newspaper.
   ◊ Participants work in groups.
   ◊ Each group is given a newspaper.
   ◊ Instructions:
     i. Browse through the newspaper slowly.
     ii. Look at the headlines and first few lines of the articles – just enough to see what the articles are about.

iii.   **Discussion point:** what portion of the articles are about the activities of business organisations? (Remember to also count those articles that are about individuals who are acting in their capacity as members of business organisations.) Is it more than half? More than two thirds?

iv.   **Plenary debrief:** What portion of the articles are about the activities of business organisations? What are some of the activities of these businesses? What is their main goal?

A point for facilitators to note is how participants classify the articles in the sports section of the newspaper. Modern sports reporting is dominated by professional sport organised for profit by business organisations. It can be a good way to illustrate to participants how business organisations are more influential than we sometimes assume or notice.

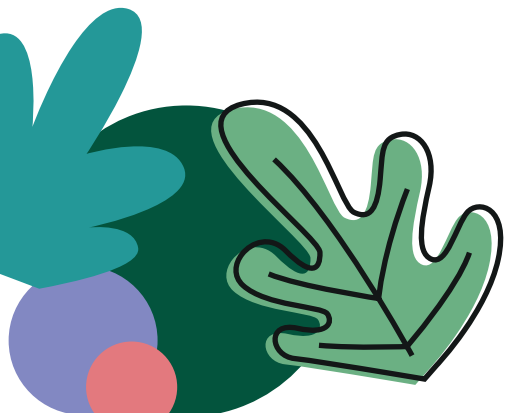## 2.2 What does a business need to be successful?

A.   **Plenary discussion:**
◇ When do we say a business is successful?
◇ Name an example of a successful business.
◇ What did it manage to do?
◇ *The general goal of businesses is to make profit for their owners. Check whether participants agree with this statement.*

B.   **Group work:** Make a list of all the things a business needs in order to be successful.

C.   Compare the list of the participants with the list below. *The list and table below will be used in the next activity. If the participants list anything important that is not in column A, add it in.*

Table 1: Business needs of extractives projects

What does a business need to succeed?[2]	Where and who does the extractives project get this from?
1. Legal structure	
2. Physical space	
3. Raw materials	
4. Labour	
5. Capital	
6. Equipment	
7. Professional assistance	
8. Permits and licences	
9. Tax registration	
10. Intellectual property	
11. Legal documents	
12. Insurance	
13. Accounting system	
14. Proof of compliance to standards	
15. Social approval or tolerance	
16.	
17.	
18.	

2.3 Where does the extractives project get what it needs?

A. **Plenary discussion:** Participants name the extractives project affecting their community. Further issues to explore briefly:
  ◇ What are the problems caused to the community by this project?
  ◇ How does it affect women in the community?

B. **Group work - refer to Table 1:** Business needs of extractives projects:
  ◇ For every item listed in column A, participants list their answer to the question posed by column B. *Where does the extractives project get this from?*
  ◇ Participants note the items in column A for which they do not know the answer for column B.

C. **Plenary debrief:**
  ◇ Facilitator and participants compare the answers of the groups. Similarities and differences are noted. *It is not necessary to resolve conflicting answers at this point. This must only be done if participants change their minds about an answer they have given. Otherwise, all answers are noted for later investigation.*
  ◇ Gaps in the answers of the participants are noted.
  ◇ If the facilitators have access to researched and confirmed information that answers any of the questions, they share the information and the sources with the participants.
  ◇ Question for reflection by participants: how can this information be used to get the community what they want?

3. INVESTORS

3.1 What do investors do?

A. Ask participants to look at table 1, column A. Can they identify any free items on the list? *Everything on the list costs money, but only one item is money and can therefore be used to pay for all the other items on the list. That is item 5, capital. Investors are the ones who provide capital to an extractives project, which is used to pay for everything else on the list to generate a profit. The profit is used to pay the investors for their capital. Another term for investors is capitalists.*

B. Is it possible for an extractives project to start and establish itself without investors? What are the dimensions of resources needed by companies to start extractives projects? How does the amounts of money compare to opening a store for example? What are the implications of the size of investments required by extractives projects? *It is not possible for an extractives project to start and establish itself without investors. Extractives projects require large investments to start. Much more than most other businesses. This is part of the reason why these projects generate intense involvements of powerful institutions including the state and why the conflicts around extractives projects are so intense. The stakes are as high as imaginable. Given climate change, the stakes could be said to be the continued existence of organised human society.*

C. Who provides the capital for the extractives project affecting your community? Who are the investors? Where does the money come from?*[Ask participants to share as many details as they know.*

3.2 Investor institutions or different kinds of investors

This activity covers the different types of investors. It is an introduction to the topic. The course will return to it later when looking at 'pressure points.' The proposed method is an interactive presentation which will draw out the participants' knowledge about particular topics and then supplement this knowledge with a prepared presentation. For more information see the sheet 'List of useful concepts.'

A. Who has ever taken out a loan from a bank? How does the bank make profit out of lending money? Where does interest come from? *Some investors in extractives projects are banks and other credit institutions who provide loans.*

B. Was the extractives project affecting your community financed by a loan? Who lent the money? How much was it? What were the repayment terms?

C. Who can explain what happens on the stock exchange? When share prices fall, what is the tone of the newsreaders on television? Why do they take this tone? *Some extractives investors provide capital by buying*

shares in the extractives company. Shareholders can use different institutions. Even an individual can buy shares by forwarding a certain amount of money to the company. The most common institutions in which shareholders are organised are banks, investment funds, pension funds and unit trusts.

D. Who are the shareholders in the extractives project affecting in your community? What is the price of a share and how do you buy it? Did the ownership and price of the shares change in a big way at any time?

E. Who can explain the difference between a private or publicly listed company? *Private companies are not listed on a stock exchange, which means the public cannot buy shares in the company without specific permission from the owners. Publicly listed companies are listed on a stock exchange and the general public can buy shares in the company without seeking specific permission from the managers or owners.*

F. Are the main investors in the extractives project affecting your community a private or public company?

G. Who are the owners of the institutions that invest in extractives projects? *Banks, investment funds, private companies as well as public companies can be private-owned, state-owned or socially-owned. Private sector ownership means the owners are individuals or other private sector companies.*

State ownership is also known as public sector ownership or parastatals. This sector includes banks and financial institutions that are jointly owned and managed by several states – for example the World Bank, International Monetary Fund (IMF), the New Development Bank and the ALBA Bank. Some countries have their own state-owned investment fund sometimes known as sovereign wealth funds.

Investor institutions that are socially-owned or socially influenced are owned or heavily influenced by trade unions, charitable groups, religious groups, etc. These often include pension funds and trade union investment funds.

H. What kinds of groups own the investor institutions investing in the extractives project affecting your community?

I. Who can explain what speculation is? What is the difference between speculative and substantive investors? *Speculative investors acquire assets in order to sell it at a profit. They tend to want to do this as soon as possible and are not interested in owning and operating the businesses and assets they acquire for a long time. They can buy mining licences and extractives companies with the intention of selling it or part of it without wanting to manage the extractives project. They can also lend money or buy shares in extractives companies with the purpose of selling the debt or the shares at a profit. Substantive investors tend to be part of the extractives economy and invest with the intent of making money over a longer time out of the operation of the company they invest in.*

J. Are the main investors in the extractives project affecting your community speculative or substantive investors?

3.3 The extractives elite – the social identity and power of investors

This activity looks at investors in extractives projects as the holders of social power that ensue from their identities and positions as beneficiaries of systems of structural oppression. These systems include capitalist class oppression, patriarchy, racism, statism, heterosexism, imperialism and others that enmesh and cooperate to perpetuate a social elite with a definite identity. The institutional power of the investors in the extractives economy is both an element and an expression of the social power of the extractives elite, which itself operates as a section of the neoliberal state-capitalist elite. Activists need to keep these oppressive systems in the frame if they want to craft effective strategies.

A. **Group work:** imagine and describe the personal characteristics of a typical investor. Use the attached 'Suspect description form' as a guide.

B. **Plenary debrief:**
◇ Compare the descriptions of the groups? What are the characteristics of a typical investor?
◇ What other characteristics can be added that the form did not ask

about? Where do they live? Where did they go to school? What are their hobbies? How are they linked to other investors at national and international levels?

C.   Further debrief:

◇ Think about the identities of these investors. What are their genders, races, classes backgrounds, nationalities?

◇ Why do they look the way they do? What are the systems of structural oppression that have shaped their identities and power?

◇ Point for reflection: what does the social power that extractives elite derive from the identities and positions as beneficiaries of these systems of structural oppressions mean for our campaigns? *This point is meant as a lead into the idea that anti-extractives campaigns need to be positioned as part of broader movements for social justice fighting to end these structural oppressions.*

4. ENABLERS

4.1 What do enablers do?

A.   Plenary: Ask participants to look at table 1. Can they identify all the items that require either someone's signature or for someone to look the other way? *Enablers of extractives projects are individuals or institutions who deliver these items.*

B. Is it possible for an extractives project to start and establish itself without enablers? *It is not, but wait for participants to make this point themselves.*

C. Who are the enablers for the extractives project affecting our community?

Method: Bingo game

◇ Participants divide into groups.

◇ Each group gets a copy of table 1.

◇ **Instructions:**

* If you know the names of the persons or groups that provide the item in column A, write their names in column B.

* The group that completes column B first shouts 'Bingo!' and are

the winners.

* If no group shouts 'Bingo!' after fifteen minutes, the facilitator stops the game.

* The group with the most answers in column B is the winner.

◇ **Plenary debrief:** Compare and verify the answers. For purposes of follow up, note the names of participants who provided specific answers.

4.2 Different kinds of enablers

This activity covers the different types of enablers. It is an introduction to the topic. The course will return to it later when looking at 'pressure points'. The proposed method is an interactive presentation which will draw out the participants' knowledge about particular topics and then supplement this knowledge with a prepared presentation. For more information see the sheet 'List of useful concepts'.

Do the enablers of the items in column A provide them for the extractives sector as a whole or just for the specific project? *Project versus sector enablers. There are laws, policies, regulations and ideas that work in favour of the extractives sector as a whole, and the people who put them in place can be called sector enablers. Every extractive project also needs its own enabling conditions such as licenses, zoning permits and community support or neutrality, and the people who work to put these in place can be called project enablers.*

Which of the enablers identified in activity 4.1 are elected into their roles and which are not? *Elected versus unelected enablers. Many enablers of extractives projects are elected into their roles as politicians or leaders of social groups such as trade unions. Others play their enabling role based on being appointed into positions in organisations. Examples of the latter are civil servants, lawyers, journalists and even members of criminal organisations.*

Is there any corruption happening in the extractives project affecting your community? Are their criminal groups involved? *Legitimate versus illicit enablers: legitimate enablers do their work within accepted laws, regulations and designated professional roles, while illicit enablers work covertly and often in corrupt and illegal ways. It is sometimes difficult to tell legitimate and illicit enablers*

apart as seemingly legitimate enablers often work in illicit ways.

How would you describe the types of enablers that were listed in column B of table 1 during activity 4.1?

4.3 Institutional and social power of extractives enablers

This activity looks at the sources of power that enablers of extractives projects draw on. This power comes from the roles enablers are assigned in particular institutions such as courts, parliaments and regulatory bodies. In turn, the power of these institutions expresses, reproduces and concentrates the social power that elites draw from systems of structural oppression such as capitalism, patriarchy, racism, religion, imperialism and others. Enablers should therefore be understood as either members or senior servants of the neoliberal state-capitalist elite.

A. Participants divide into groups.
B. Each group gets a copy of Table 2: Characteristics of typical enablers of extractives projects.

Table 2: Characteristics of typical enablers of extractives projects

Enabling factors	Characteristics of enablers who provide these factors							
	Job	Em-ployer	Gen-der	Race	Rich or poor now?	Born rich or poor?	Indigenous or not?	Educated professional or not?
1. Legal struc-ture	Lawyer	Greed, Avarice, Grasp-ing & Partners	Male	White	Rich	Rich	No	Yes
2. Physical space								
3. Raw mate-rials								
4. Labour								
5.Capital								
6. Equipment								
7. Profession-al assistance								
8. Security								
9. Permits and licences								
10. Tax regis-tration								
11. Intellectual property								
12. Legal documents								
13. Insurance								
14. Account-ing system								
15. Proof of compliance to standards								
16. Social approval or tolerance								

EXERCISE 4

EXERCISE 4

C. Each group fills in the empty spaces with the information about the provider of the enabling factor in the column on the left. *Row 1 was completed for the purpose of illustration. The information listed is the author's view of the identity of typical providers of the legal structures for extractives projects. Groups should list the real information of the extractives project affecting their community if they have it. In cases where they do not have the information, they should be invited to give their views of the typical characteristics of these enablers. They can indicate these generalisations by using a different colour pen when filling in the information. Facilitators must take care to distinguish between actual information about specific extractives projects and these generalisations.*

D. **Plenary debrief:**
  ◇ Compare the descriptions of the groups. What are the characteristics of a typical enabler?
  ◇ What other characteristics can be added that the form did not ask about? Where do they live? Where did they go to school? What are their hobbies?

E. **Further debrief:**
  ◇ Think about the identity of these enablers in terms of gender, race, class background and nationality.
  ◇ Why do they look the way they do? What are the systems of structural oppression that have shaped their identities and power?
  ◇ Point for reflection: what does the social power that extractives elite derive from the identities and positions as beneficiaries of these systems of structural oppressions mean for our campaigns? *This point is meant as a lead into the idea that anti-extractives campaigns need to be positioned as part of broader movements for social justice fighting to end these structural oppressions.*

5. PRESSURE POINTS

The purpose of this activity is to introduce the concept of pressure points and to give participants the opportunity to identify and rate possible pressure points.

5.1 Methods of exerting pressure

A. **Plenary discussion:** list the methods activists can and have used to put pressure on those driving extractives projects to give in to the demands of the activists. *The list must be as comprehensive as possible. Participants may start with their own experience and then be encouraged to draw on the experience of other activists. The list will include public protests such as pickets, marches and demonstration; organising and mobilising women and indigenous communities against the institutionalised sexism and racism of extractivism; media pressure such as press releases, media interviews and film making; direct action such as land occupations and road blockades; lobbying of business and state-based decision makers; and referring complaints to oversight and law enforcement bodies such as industry regulators, the police and the courts. Usually activist groups will use a combination of these methods.*

B. **Group work:** which of these methods are most effective against behind-the-scenes operators such as investors and enablers? *Instructions for group work:*
  ◇ *Make a list of the investors and enablers of the extractives project affecting your community. In cases where they are not known, list the type of investor as explained in activity 3.2 and the type of enabler as explained in activity 4.2.*
  ◇ *Note the methods of activist pressure that is likely to be effective for each investor and enabler.*

C. **Plenary debrief:** compare and integrate the information and views generated by the different groups.

5.2 Identify and rate pressure points

A. **Plenary discussion:** what is a pressure point? *Participants must be encouraged to answer this question. Facilitators should then compare their answers to the definition provided in the 'List of useful concepts' sheet.*

B. **Group work:** Identify and rate pressure points. *Instructions for group work:*

◊ *Make a list of five individuals or institutions that include the most important investors and enablers of the extractives project affecting your community.*

◊ *Discuss whether they have the power to concede to your demands or to force other decision makers to concede to your demands.*

◊ *Give them a power rating from 1 to 5: If they have all the power needed to concede to your demands, they get a power rating of 5. If they have almost no power to concede to your demands, give them a rating of 1. Most of the people and groups on the list will get a rating somewhere between 1 and 5, but closer to 5.*

◊ *Discuss whether they are sensitive to the methods of pressure the community and its allies are able to mobilise. Participants should refer to the discussions of the sensitivities to pressure different kinds of investors and enablers.*

◊ *Give them a pressure rating from 1 to 5: if they are very sensitive to pressure, give them a pressure rating of 5. If they are almost completely insensitive to pressure, give them a rating of 1. Most of the people and groups on the list will get a rating somewhere between 1 and 5, but closer to 1.*

◊ *List the investors and enablers in order of their power rating from low to high.*

◊ *List the investors and enablers in order of their pressure rating from low to high.*

◊ *[These lists can be used to construct a simple scatter graph showing how different investors/enablers compare to each other when their power and pressure ratings are combined. Facilitators need to judge whether such a graphic presentation would assist participants or intimidate them.]*

C. **Plenary debrief:** Compare the groups of important investors/enablers and their power and pressure ratings. Discuss whether those that rate high on power and sensitivity to pressure offer possible targets for campaigning.

6. RESEARCH INTO INVESTORS AND ENABLERS

6.1 What do we know and what do we want to find out

A. **Plenary interactive presentation and discussion:** summary of the information and knowledge we have so far:

◊ List of investors.
◊ List of enablers.
◊ List of possible pressure points.
◊ Ratings of pressure points in terms of power and sensitivity to pressure.
◊ List of available methods to exert pressure.

B. What more do we want to know? Possible issues for research:

◊ Key decision makers in investor/enabler institutions.
◊ Parent and holding companies of investors.
◊ Relevant laws, conventions and regulations.
◊ Project details such as contract size.
◊ Political connections of the extractives project.
◊ Possible risks of violence and smear tactics.
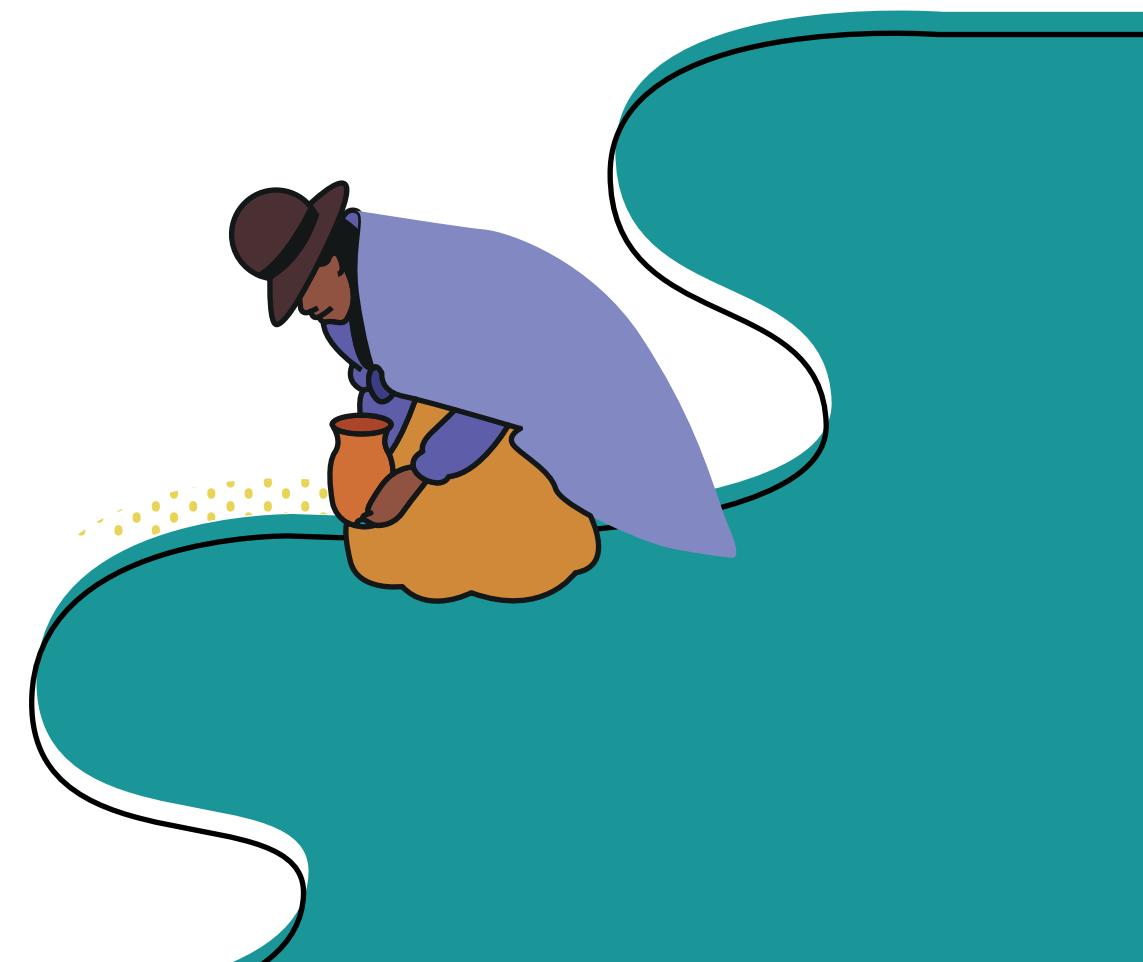◊ Possible allies for extractives affected communities.

6.2 Research tools

A. **Plenary presentation:** CMI 'Behind the scenes' worksheets
Facilitator presents an overview of the worksheets, noting the information already known and the missing information. The parts about investors and enablers should be emphasised. It is best if the known parts are completed before the presentation to show the participants how much of the information they already know, in case they are put off by the complexity of the worksheets.

B. **Discussion:**

◊ Who in the group is willing to assist with completing the worksheets?
◊ Are there allies such as NGO workers, journalists and academics who can help the group with the research?
◊ What kind of support can CMI! and its member organisations offer

to help with completing the worksheets? An explainer video? A dedicated researcher?

6.3 Campaign targets

A. *The purpose of this activity is for participants to spell out the steps they will follow to identify which pressure points among investors/enablers and by what methods. It brings this exercise to a conclusion. It may well be that participants decide at this point that they have enough information and knowledge to decide on campaign targets. Or they may decide that more research is needed, which means the researchers must be identified, the research goals set and the time frame decided. It is also possible that both be done - campaign targets are set and a process for further research is put in place.*

B. **Group work:** Setting campaign targets. Groups are asked to consider the following issues based on the knowledge shared so far during this exercise:
  ◊ Which are the best pressure points to target?
  ◊ What are the advantages and disadvantages of focusing on these targets?
  ◊ Is there a need to consult further in the community before the decision is made?
  ◊ What methods of pressure should be used?
  ◊ Is there a need for further research?
  ◊ Should allies be approached to help with exerting pressure?
  ◊ How does a focus on these targets take the struggles of women forward?

C. **Plenary debrief:**
  ◊ Compare the views of the different groups.
  ◊ What is the way forward?
  ◊ Conclusion.

LIST OF USEFUL CONCEPTS

Extractives projects

These projects extract and commodify natural resources. This means nature is treated primarily as a source of profit for business corporations. The political and economic model that supports these projects are called extractivism and its four defining features are:

1. Intensive extraction of natural resources (including fossil fuels, metals and minerals, water, plants, etc.)
2. Emphasis on large quantities, often focusing on a single product or crop;
3. Low requirement for processing; and
4. Intention that extracted materials is for export.[9]

Investors

Extractives projects are generally large and costly. Huge amounts of money may have to be spent for some time before profits are made. Investors are the people and groups, such as banks, who put forward this money in the belief that they will profit and benefit from the activities of the extractives projects.

Kinds of investors

Investors can be grouped in different ways. For this discussion we focus on the factors that may make a difference in how they respond to pressure from activists. Here are some of the ways in which investors may be different from each other:

◊ **Lenders versus shareholders.** Lenders borrow money to companies who use it to run extractives projects, while shareholders are investors who buy shares in these companies. Lenders make their profits from the repayment of the loans with interest. Shareholders make profit from dividends, which are paid out of the profits of the extractives companies. Shareholders may also make profits from selling their shares in these companies. This may mean that shareholders are more

focused on the short term profits of the extractives companies they invest in, while lenders are more focused on long term profits. Activists may therefore be more effective if they can convince shareholders of their ability to affect the company in the short term and lenders in the long term.[10]

◊ **Private versus public companies.** Private companies are not listed on a stock exchange, which means they do not offer shares for sale to the general public. Public companies are listed on a stock exchange. This means members of the public can buy shares (parts of ownership) in the companies without seeking specific agreement with the owners. Public companies tend to be more sensitive to public and activist pressure than private companies because they are concerned that a negative public image of the company may drive the share price down. They also tend to be more tightly regulated as stock exchanges have rules and overseers that are tasked to ensure that companies meet the requirements for listing. Activists can also practice shareholder activism, where they buy a small amount of shares to gain access to shareholder meetings and information.

◊ **State owned versus privately owned versus socially owned investor companies.** States own banks, funds and businesses that can lend money to extractives companies or buy shares in these companies. Examples include multilateral and international financial institutions such as the World Bank, International Monetary Fund, the New Development Bank and the ALBA Bank. These lending and investing institutions are jointly owned and managed by several states, although one or two may be dominant such as the USA in the World Bank. Individual states also have their own banks, funds and companies that invest in extractives projects. State owned investors are different from privately owned investors in that the state owned ones are more likely to be required to be in line with the dominant politics of their states, while the privately owned investors tend to be more narrowly focused on generating profits and dividends for their shareholders. Social groups such as trade unions, religious organisations and charities can also own investment companies or exert influence in state owned and privately owned

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9   *Adapted from "Behind the Scenes: Investigative Research on Extractive Industries and Public/Private Funding" by the CMI! Extractives Working Group*

10   *This is not always true. It may differ in specific cases and it is open for debate. What do you think?*

ones. These socially owned or influenced investors tend to be more focused on investments in line with the beliefs of the social groups who own them, rather than a narrow focus on profits. State owned investors tend to be more sensitive to political pressure, privately owned ones to pressure that threatens profits and socially owned ones to pressure that challenges the consistency of investments with the principles and beliefs of the owners.[11]

◇ **Speculative versus substantive investors.** Speculative investors acquire assets in order to sell them at a profit. They tend to want to do this as soon as possible and are not interested in owning and operating the businesses and assets they acquire for a long time. They can buy mining licences and extractives companies with the intention of selling all or part of them without wanting to manage the extractives project. They can also lend money or buy shares in extractives companies with the purpose of selling the debt or the shares at a profit. Substantive investors tend to be part of the extractives economy and invest with the intent of making money over a longer time out of the operation of the company they invest in. Speculative investors tend to be more sensitive to pressure that threatens to bring down the selling price of the companies and assets they are invested in, while substantive investors are more sensitive to pressure that threatens the long term operations and profits of the company.

Enablers

Extractives projects need a range of conditions to be in place in order to get started and meet their objectives. Many of these conditions are influenced and controlled by the various institutions of the state. These include laws, policies, regulations and permits. The people who work to put the conditions in place that favour extractives projects are known as enablers. Most of them are politicians and other state officials such as military officers, judges, regulators and civil servants. Some of them are also lawyers, academics, lobbyists, journalists and even local community leaders. These enablers are important actors in extractives projects and it is important that activists think about the ways in which they may be sensitive to pressure.

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11   *These are general tendencies and do not hold true in all cases.*

Different kinds of enablers

Enablers can be grouped in different ways. For the purpose of this discussion, we group them based on how they are likely to respond to public and activist pressure:

◇ **Project versus sector enablers.** There are laws, policies, regulations and ideas that work in favour of the extractives sector as a whole and the people who put them in place can be called sector enablers. Every extractives project also needs its own enabling conditions such as licenses, zoning permits and community support or neutrality and the people who work to put these in place can be called project enablers. These two groups usually overlap but it is useful to distinguish between them because project enablers are usually more sensitive to community pressure while sector enablers have the power to deliver more far reaching changes when effectively pressured to do so.

◇ **Elected versus unelected enablers.** Many enablers of extractives projects are elected into their roles as politicians or leaders of social groups such as trade unions. Others are playing their enabling role based on being appointed into positions in organisations. Examples of the latter are civil servants, lawyers, journalists and even members of criminal organisations. Elected enablers can be sensitive to public pressures that may influence voters in ways that unelected ones are not. Unelected enablers are sometimes easier to influence by putting pressure on the people that appointed them rather than on them directly.

◇ **Legitimate versus illicit enablers.** Legitimate enablers do their work within accepted laws, regulations and designated professional roles, while illicit enablers work covertly and often in corrupt and illegal ways. Illicit enablers may have greater fears of public exposure and criminal-judicial investigations, but their responses to such pressure may be more violent and pose greater risk to activists. Legitimate and illicit enablers often work together. Exposing these links can put both of these sets of enablers under pressure.

Pressure points

For activists facing extractives projects, pressure points are individuals and institutions with two characteristics. Firstly, they are likely to be responsive to the kinds of pressure that activist groups and their allies are able to put on them. Secondly, they have a level of control or influence over the extractives project that puts them in a position to deliver some or all of the decisions the activists want. The perfect pressure point is 100% likely to respond to activist pressure in the way desired, and have 100% power to deliver the desired decision. It is almost certain that this would never happen and activists have to balance the two characteristics of responsiveness and influence in order to decide who to target. To come up with the best pressure points, activists have to consider the following questions:

◊   Who has the power to deliver the decisions we want?

◊   What kinds of pressure can make them respond in a way we want?

◊   What is our capacity to mobilise this kind of power?

◊   Should we apply indirect pressure by targeting those who do not have the decision making power but who can put pressure on the power holders?

Campaigning

Campaigning is to "work in an organized and active way toward a particular goal, typically a political or social one"[12]. It is not one or two actions but a series of planned activities that is often understood to be part of a larger struggle. Activists who face extractives projects understand that their goals can only be reached through many carefully worked out and persistent campaigns. This is a result of the depth and strength of the social bases of extractivism.

The forces behind extractives projects are formidable. They trace back to the historic systems and projects of domination associated with imperialism and colonialism for at least the last seven hundred years. During the neoliberal period of the last four decades, extractivism assumed new levels of violent intensity as a deep sense of capitalist crisis drove states to roll back the ac-
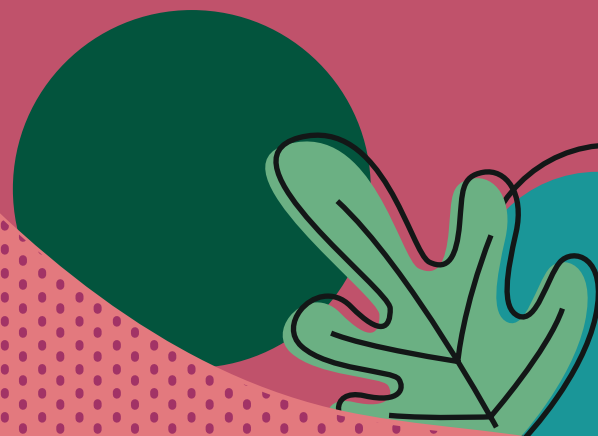
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12   *Oxford Dictionary*

quired rights of dominated groups and find new sources of commodification, profits and wealth.

The ones targeted for loss in the extractives equation are women, peasants, indigenous communities, workers and other excluded and exploited groups. None of their losses, struggles, pain and deaths are unintended. It is part and parcel of a deep-rooted system whose overthrow requires equally formidable struggles.

USING LEGAL HUMAN RIGHTS INSTRUMENTS

Exercise 5

Objectives of exercise

By the end of this exercise, participants will have:

1. An understanding of the definitions of
   a. human rights (with a focus on the rights of women and indigenous communities),
   b. recourse,
   c. human rights instruments,
   d. rights holders and
   e. duty bearers.
2. Compared the advantages and disadvantages of using human rights instruments.
3. Identified human rights instruments relevant to the extractives related problems in their communities.
4. Discussed the roles allies based in NGOs and other groups could play to support communities using human rights instruments.
5. Shared and developed their knowledge of what is required from activist groups seeking to use human rights instruments.
6. Reflected on strategies needed to complement using human rights instruments and compensate for its limitations
7. Started to reflect about the relationship between neoliberal extractivism and human rights.

Agenda of activities

	TOPIC	METHOD
1	Introduction	Interactive presentation
2	What are human rights?	Plenary discussion, guessing game
3	Extractives problems and human rights	Role play, plenary discussion
4	Human rights instruments	4.1 Introduce human rights instruments – posters, plenary discussion 4.2 Locating specific rights in specific human rights instruments – group work, document review, plenary discussion
5	Advantages, disadvantages and limitations of human rights instruments	5.1 Advantages and disadvantages of human rights instruments – group work, plenary discussion 5.2 Mitigating the disadvantages – world café
6	Neoliberal extractivism and human rights	Reading, reflection

Activities

1. Introduction

a. Introduce the facilitators.
b. Introduce the participants.
c. Introduce the course as per the introduction above.
d. Introduce this exercise as per the objectives above.
e. Ground rules and expectations.

2. What are human rights? *facilitated discussion and guessing game*

a. Ask participants: what are human rights? *In most cases participants will have an idea of what human rights are. Encourage a good number to share their view, even if it is similar. Compare their views to this definition: "Human rights are those rights that belong to every individual – man or women, girl or boy, infant or elder – simply because she or he is a human*

being. They embody the basic standards without which people cannot real-ize their inherent human dignity." (1)

b. Guessing game:

◊ Each participant is handed a piece of paper.

◊ Instruction: write on the paper the name of the human right that is most important to you. Do it in a way that the other participants cannot see.

◊ At least 5 participants are asked to stand up one by one. The other participants are asked to guess which human right the one who is standing has written on their piece of paper. *Continue this while participants still seem alert and excited. Stop it before they get bored.*

◊ When enough participants have stood up, ask the rest to share what rights they have written on their papers.

◊ *This activity gives the facilitator a picture of what human rights are important to the participants. It also shows differences and how well the participants know each other. In later activities, for example about human rights instruments, the facilitator can refer back to this activity. See below.*

3. Extractives problems and human rights *role play and plenary discussion*

a. The role play shows a visit by a television news crew to the ex-tractives project and the surrounding community. The news crew is there to document the claimed benefits that the extractives project has brought to the community. Participants will develop a script fol-lowing these guidelines:

◊ Participants will work in five groups.

◊ Each group will elect a spokesperson.

◊ The group will discuss and develop speaking points for the represen-tative to use in an interview and a television debate, which are two separate activities.

◊ One participant will be the overall director of the role play.

◊ The groups will represent the following points of view:

◊ The CEO of the extractives project,

◊ Small-scale farmers in the community,

◊ The mayor of the local town,

◊ Women in the community and

◊ Workers at the extractives project.

◊ The tv crew interviews each of the spokespersons separately, asking:

◊ What advantages does the extractives project bring?

◊ What are the problems caused to the community by this extractives project?

◊ There is a talk show style debate moderated by the tv reporter. The spokespersons are the panellists and the other participants are studio guests. Each spokesperson speaks from the point of view prepared by the group.

◊ The topic of the debate is the problems caused in the community by the extractives project.

◊ *The interviews and talk show should be recorded even if only with a cell phone.*

b. Plenary discussion:

◊ Look back at the human rights listed in activity 2.

◊ Which of those rights can help to solve which problems raised during the role play?

◊ *Participants should be probed to explain why and how they think these rights will help solve the problems.*

4. Human rights instruments

The purpose of this activity is for participants to develop their understanding of human rights instruments. Human rights that were identified in activity 3 as help-ful for addressing extractives related problems will be located within human rights instruments. Ideally facilitators should have a basic familiarity with the relevant human rights instruments and have them stored digitally for projection in the workshop so participants can see them. Printed copies can also be made available if possible. Relevant instruments will differ by country and region, but globally when it comes to resisting extractivism, the following are likely to be important:
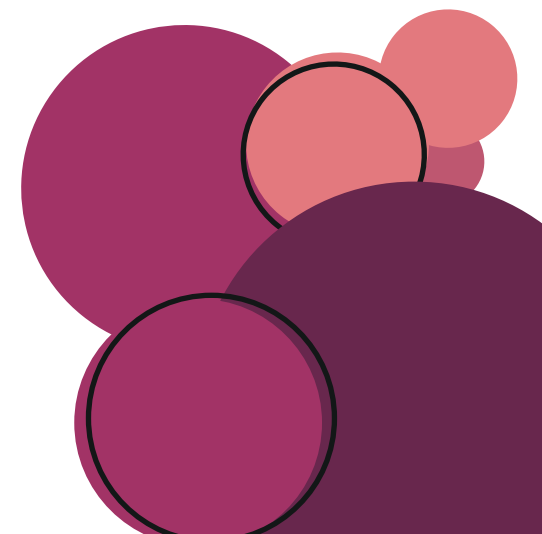
◊ *The Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW)*

- *The CEDAW General Recommendation no. 35 on gender-based violence against women*
- *The United Nations Declaration on the Rights of Indigenous Peoples (UN-DRIP)*
- *United Nations Declaration on the Rights of Peasants and Other People Working in Rural Areas (UNDROP)*
- *The UNECE Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters (Aarhus Convention)*
- *The Human Right to Water and Sanitation as recognised by the United Nations General Assembly*
- The discussions on the responsibilities of businesses and private enterprises regarding human rights

4.1 Introduce human rights instruments *posters and plenary discussion*

A. *Paste the included posters on the wall of the meeting venue without drawing attention to it. [See the document 'Exercise 5, activity 4 - posters'*

B. **Plenary facilitated discussion:**
- Review the rights identified by participants in activity 3.
- Question: where did you get these rights? Who gave them to you? *Challenge participants to be as specific as possible. Note that the way people in low income and marginalised communities understand human rights is often different from the legal understanding of human rights. Popular conceptions of human rights often do not refer to human rights laws or conventions, but understand it as self-evident and obvious. Human rights are those rights you lay claim to simply because you are human. If other humans have these rights, so should you. When coming across this difference between popular and legal conceptions of human rights, facilitators must NOT invalidate or undermine the popular conception. The differences between the two conceptions are important, and for the purposes of this exercise participants must familiarise themselves with the legal conception. This in no way must be taken to mean that the popular conception is less important. For the general purposes of social emancipation and movement building, the popular conception is actually more important.*

- Participants may have referred to the posters around the room and talked about different United Nations human rights declarations, conventions and other instruments. They may also have referred to national legislation or regional treaties and conventions. If not, then the facilitator must do so. *Points to explain:*
  - *These UN instruments, national legislation and regional treaties are the basis for the legal understanding of human rights.*
  - *This is the idea that you have certain rights because it is written into governing documents by state legislative institutions and representatives. You are entitled to the rights in the way that they are written and interpreted by judicial bodies.*
  - *In most cases this is different from the popular understanding, which tend to see human rights as the automatic entitlements of all humans in accordance with general beliefs and not judicial interpretations. Point out that although this exercise is about grasping and using the legal understanding of human rights, the popular understanding is valid and actually more important to emancipation movements.*
  - *An important aspect of legal human rights is that they offer legal recourse when violated, which means the legal right to demand remedies, punishments and compensation. This exercise is about how activists can use recourse in their struggles with extractivism.*

4.2 Locating specific rights in specific human rights instruments
group work, document review and plenary discussion

A. Make a list of the rights identified by participants in activity 3 b).

B. Divide participants into groups. Each group is assigned a number of the rights on the list. *It is advisable to assign particular participants the rights that they have identified in activity 3. You can assign more than one right to a particular group and the same right can be assigned to more than one group.*

C. *The facilitators must ensure that participants have access to relevant human rights instruments. It can either be printed, stored electronically or accessed via the internet. In the case where electronic downloading and storage are used, participants would need access to tablets or computers with the documents pre-loaded or with the appropriate ports for accessing the documents on flash drives. The documents are freely available on the internet. Internet access should only be relied upon where the connection is strong and Wi-Fi data is freely available. Printing and electronic storage are more reliable. A few members in each group must be able to read the language of the documents and have basic computer skills. The facilitator will support groups during the task.*

  ◇ *The documents must include all the relevant national legislation and regional treaties as well as the UN documents listed under activity 4.*

D. Instructions for the groups:

  ◇ Take each of the rights you have been assigned and review the human rights instruments to see if they refer to this right.

  ◇ Explain how they refer to this right.

  ◇ Discuss whether they tell you how to get this right if you do not have it.

  ◇ Discuss whether they tell you what you can do if your right is violated.

  ◇ Report your findings to the plenary.

E. Plenary debrief:

  ◇ Which rights were mentioned in which document?

  ◇ Do we have these rights?

  ◇ Do the documents give us direction for how to get these rights?

  ◇ Do the documents tell us what we can do if our rights are violated?

  ◇ What kind of help do we need, if we want to use these documents and their procedures to claim our rights?

  ◇ Who can provide such help? *To illustrate the kind of legal assistance needed, the participants can be shown a typical founding affidavit of an anti-extractives court case. See the notice of motion and founding affidavit of the case 'Escarpment Environment Protection Group versus the Minister of Mineral Resources and Others, case no 99593/15 Pretoria High Court, South Africa' included in this pack. Most recourse processes are similar to court cases or are in fact court cases. Note that it is not necessary to take the participants through the contents of this judgment. The purpose of the judgment is to show how complicated the documents and proceedings attached to legal processes can be. A cursory scan through the judgment should be enough to show this.*

  ◇ What are the obstacles to us accessing and using these rights?

F. *Useful terms:*

  ◇ *Rights holders and duty bearers: "From a human rights perspective, individuals are rights-holders that can make legitimate claims, and States and other actors are duty-bearers that are responsible and can be held accountable for their acts or omissions. Therefore, a focus on rights and obligations helps to identify who is entitled to make claims and who has a duty to take action, empowering those who have legitimate claims to rights." (2)*

5. ADVANTAGES AND DISADVANTAGES OF USING HUMAN RIGHTS INSTRUMENTS

5.1 Advantages and disadvantages of human rights instruments
group work and plenary discussion

A.   Participants divide into groups.

B.   **Instructions to groups:**

◊   Each group to list as many advantages and disadvantages as they can think of. Groups should strive to list at least ten.

◊   *It if important to encourage groups to list as many as they can. This is to ensure that they move beyond the ones that seem obvious.*

C.   **Plenary debrief:**

◊   Compare and combine the lists of the groups.

◊   Compare the combined list to the pre-prepared list below.

◊   Consolidate the two lists.

Table 1: Claimed advantages and disadvantages of using human rights instruments to oppose extractives

USING HUMAN RIGHTS INSTRUMENTS TO OPPOSE EXTRACTIVES PROJECTS	
ADVANTAGES	**DISADVANTAGES**
Use the power of the law to enforce rights	Working within a legal conception of human rights that may be in conflict with the popular conception
Strengthen the inclusion of marginalised groups in citizenship	Creates dependency on outsiders for community-based activists
Establish and push for human rights to be part of the law and policy	Can take a long time and cost a lot of money
Cases create a basis for putting pressure on governments to respect and protect rights	Can create divisions in the community between founders of the case and people who join later
Provide a platform to campaign and build solidarity (3)	Can crowd out other issues and people in the community
Attract media attention	Can legitimise the extractives elite such as investors and their enablers
Can help to strengthen women's rights and indigenous rights	Can undermine demands and radical tactics that do not fit in the legal framework
Can create a record of the struggle	Can undermine women's struggles and leadership
Put pressure on company investors	Can take decision-making and control of the struggle away from ordinary community members
Build solidarity between community-based activists and NGO professionals	Can involve communities in costly struggles that do not deliver fundamental changes
Provide a focus for community organising	

5.2 Mitigating the disadvantages *world café*

A. *Review the disadvantages listed in activity 5.1. It may be necessary to edit them for clarity.*

B. Participants divide into groups. Each group is allocated a number of disadvantages. *It is fine to allocate more than one disadvantage to one group and to allocate a particular disadvantage to more than one group.*

C. **Instructions for the groups:**
- Discuss the disadvantage/s that you have been allocated.
- Is it real? How serious is it?
- What can activist groups do to avoid it or to soften its impact? *Encourage the groups to be as detailed and concrete as possible?*
- After ten minutes of discussion, the facilitator will choose one member of the group to leave and join another group.
- When the new member arrives in the group, a group member will explain the points made so far to the new member.
- The discussion then continues.
- From this point, after every ten minutes, this process is repeated.
- The facilitator will indicate when the discussion ends.

D. **Plenary debrief:**
- A small group (5) of participants is selected to give feedback on the points made in the discussion.
- The plenary is asked to add any missing points.
- Time is allowed for a general discussion on how to mitigate the disadvantages of using human rights instruments.
- Summary and conclusion.

5.3 Other strategies *plenary discussion*

A. *The purpose of this activity is to emphasise and explore the fact that most groups who use human rights instruments will find it necessary to complement this tactic with a range of others.*

B. Review what was said in activity 5.1 about the danger of using human rights instruments 'crowding out' other tactics and struggles:
- Do the participants have experience of this situation where 'the case' becomes the only thing that the group does?

- Why does this happen? *Here it may be necessary to talk about funding flows. Funders of NGOs often prioritise work tied to legal rights and processes, while other tactics are starved of funding.*
- Why is this dangerous? Can we reach our objectives if we focus solely or mainly on using human rights instruments?

C. **Plenary discussion:** which other tactics are used by extractives affected communities? Why are they necessary?

6. Neoliberal extractivism and human rights

A. *This is a reading and reflection exercise that participants will complete in their own time after the workshop. They will be handed three articles to read and think about. The articles explain the relationship between neoliberalism and human rights, with each of the writers taking a different position. Activist groups who use human rights instruments in their resistance to extractivism will benefit from thinking about and discussing the relationship between neoliberalism and human rights, and the political challenges this relationship will put in front of them.*

B. The included presentation 'Neoliberalism and human rights' gives some background to the articles and summarises their content. Facilitators could present it to help participants get to grips with somewhat long and technical content.

C. The articles are:
- Being bold about rights in a neoliberal world, by Audrey Chapman (4)
- When Rights Go Wrong – Distorting the rights-based approach to development, by Srilatha Batliwala (5)
- When Neoliberalism Hijacked Human Rights, by Jeanne Morefield (6)

NEOLIBERALISM & HUMAN RIGHTS

THREE DIFFERENT VIEWS

Extractives projects & neoliberalism

◆ The dominant ideology and policy framework for the majority of states over the last forty years is called neoliberalism.

◆ This framework supports the growth and power of extractivist projects globally.

◆ Activists are trying to use human rights to help resist neoliberal extractivism.

◆ What is the relationship between neoliberalism and human rights?

What is neoliberalism? What is human rights?

◆ Think of them as two political movements that overlaps in time:

◆ Neoliberalism achieved political power from 1973 onward when Augusto Pinochet and his colleague established a violent military dictatorship in Chile and especially from 1979 onward with the election of Margaret Thatcher as Prime Minister of Britain.

◆ Human Rights achieved political power from 1948 when the United Nations General Assembly adopted the Universal Declaration of Human Rights.

What are these movements about?

◆ Neoliberalism has the stated aims of expanding human freedom by fighting for more freedoms and state support for capitalist businesses.

◆ Human rights has the stated aim to legislate the obligations of states to respect, protect and fulfill the freedoms and resources individuals and communities are entitled to.

What is the relationship between the two?

◆ Are they friends?

◆ Enemies?

◆ Does it differ from time to time?

◆ Three writers have put forward three different views:

◆ Writers - Audrey Chapman, Srilatha Batliwala, Jeanne Morefield

AUDREY CHAPMAN

◆ 'Being bold about rights in a neoliberal world'

◆ The rise of neoliberalism has undermined the human rights movement

◆ Activists working for human rights find it more difficult because of how dominant neoliberalism is

◆ They are enemies

◆ Activists should look to use human rights to fight neoliberalism

EXERCISE 5

SRILATHA BATLIWALA

◊ 'When Rights Go Wrong – Distorting the rights based approach to development'

◊ Neoliberalism has penetrated the human rights movement

◊ It has distorted the human rights framework, which has undermined its purpose

◊ They may appear as enemies, but they could be friends

◊ Activists should develop human rights frameworks that are appropriate for oppressed communities

JEANNE MOREFIELD

◊ 'When neoliberalism highjacked human rights.'

◊ Parts of the human rights agenda, such as property rights, serve the aim of neoliberalism

◊ Neoliberals can use human rights for their own purposes

◊ They can be friends sometimes

◊ Activists cannot rely on human rights only to resist neoliberalism

Questions for activists using human rights instruments

◊ Are there dangers of co-option and neutralisation of our struggles?

◊ How do we avoid these dangers while using the benefits of human rights instruments?

TO LEARN MORE, READ THESE ARTICLES

Article by Jeanne Morefield that argues that parts of the human rights agenda support the neoliberal agenda.

When Neoliberalism Hijacked Human Rights

https://www.jacobinmag.com/2020/01/morals-markets-human-rights-rise-neo-liberalism-jessica-whyte

Article by Srilatha Batliwala that argues human rights discourses has been distorted by neoliberalism.

When Rights Go Wrong- Distorting the rights-based approach to development.
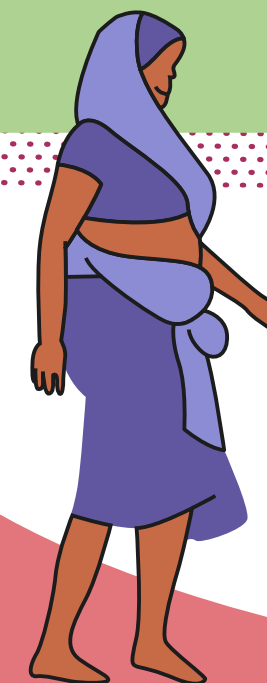
https://www.justassociates.org/sites/justassociates.org/files/whenrightsgowrong.pdf

To illustrate the kind of legal assistance needed, the participants can be shown typical legal documents of an anti-extractives case. See included in this pack the 'Ruling on application for a postponement of the Water Tribunal held in Pretoria, South Africa on 16 April 2019 in the case 'Escarpment Environment Protection Group versus the Department of Water and Sanitation and Others, appeal no WT 03/13/MP'. Most recourse processes are through tribunals such as this that are similar to court cases or are in fact court cases.
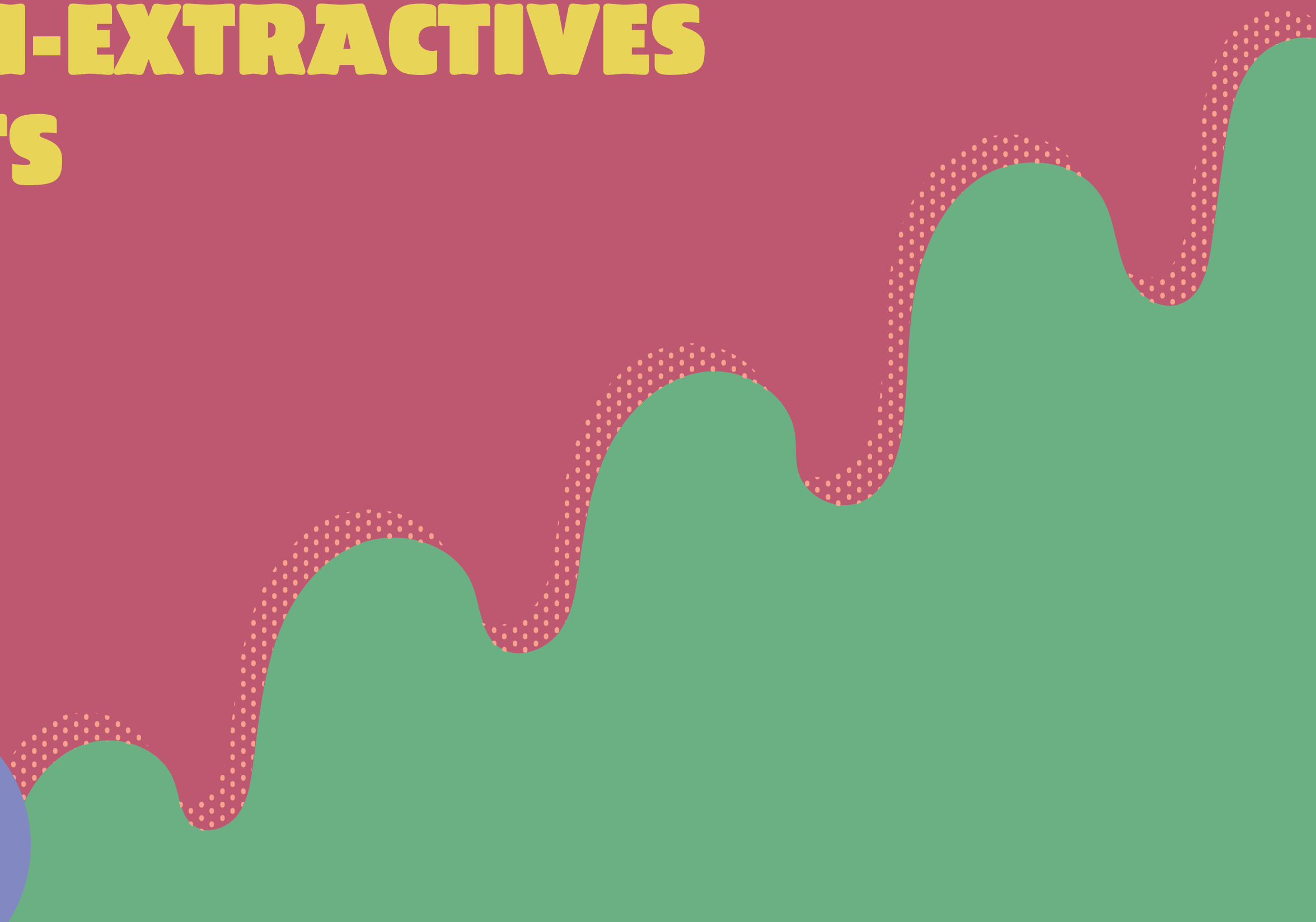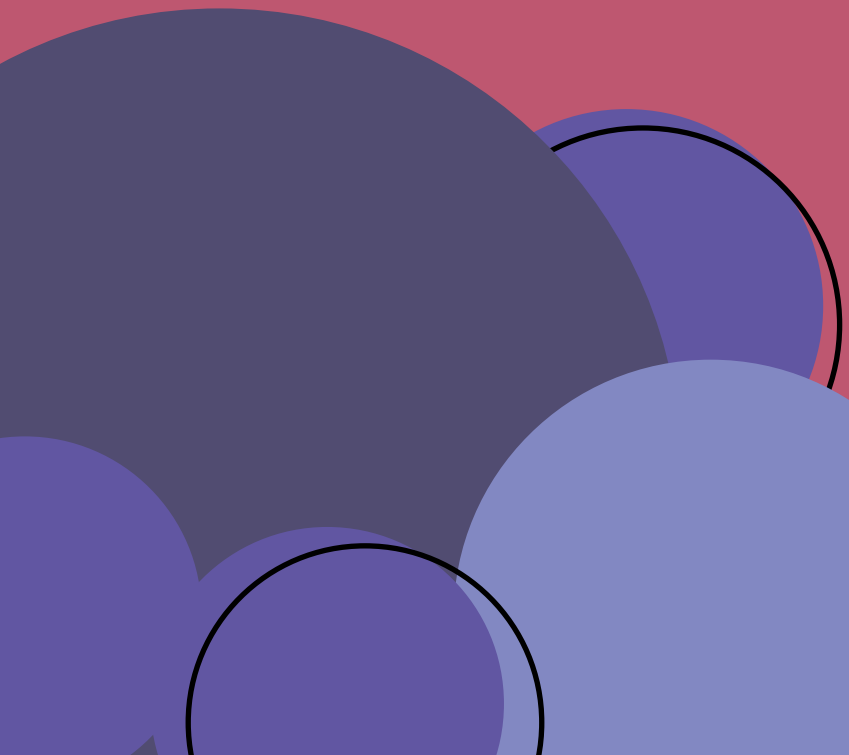*https://www.dws.gov.za/WaterTribunal/cases/JUDGEMENT%203.pdf*

Being Bold about Rights in a Neoliberal World reviewed by Audrey Chapman
https://www.ncbi.nlm.nih.gov/pmc/articles/PMC6586979/

EXERCISE 5

EXERCISE 5

RISKS & THREATS FOR ANTI-EXTRACTIVES ACTIVISTS

Exercise 6

Objectives of exercise

By the end of this exercise, participants will have covered the following topics and skills:

◊ The risks and threats concerning violence targeted at anti-extractives activists

◊ Incidences and causes of violence connected to neoliberal extractivism

◊ Experiences of women human rights defenders (WHRDs) and feminists

◊ Why indigenous and rural communities are targeted

◊ Basic concepts of self-protection and self-defence

◊ Strategies and techniques for self-defence

Agenda of activities

	TOPIC	METHOD
1	Introduction	Interactive presentation
2	Basic risk assessment	Scenario reflection, writing exercise
3	Overview of violence against anti-extractives activists	Video, discussion
4	Risks to feminists and WHRDs	Plenary discussion, relay storytelling, quiet reflection
5	Neoliberalism and indigenous communities	Thought experiment, plenary debrief, buzz group
6	Self-protection (Tactics, techniques, resources and groups)	Guidelines

Activities

1. **Introduction**
   a. Introduce the facilitators.
   b. Introduce the participants.
   c. Introduce the course as per the introduction above.
   d. Introduce this exercise as per the objectives above.
   e. Ground rules and expectations.

2. Basic risk assessment [scenario reflection and writing exercise]
   a. Instructions for participants:
      ◊ Imagine someone you care about deeply.
      ◊ This person is coming to visit you for two weeks. They will share your home and your life. They will go with you to work, meetings, protests, parties and everywhere.
      ◊ They are not familiar with your life. They spend their time in a situation that is very different from that in your community.
      ◊ You need to brief this person about the risks they will face.
      ◊ Name the risks.
      ◊ Describe briefly how they will recognise threats.
      ◊ Rate the threats from dangerous, to very dangerous, to deadly.
      ◊ Rate the threats from sometimes present, to often present, to always present.
      ◊ It is important to note all types of risks and threats, not only those connected to the extractives project directly. [Many WHRDs face threats and risks of violence in their homes and movements in addition to the direct political attacks.]
      ◊ Make notes that you will use to brief this person.

   b. *Facilitator preparations:*
   ◊ *Place newsprint sheets on the wall labelled as follows:*
      ◊ *Woman,*
      ◊ *Human Rights Defender and*
      ◊ *Extractives*
   ◊ *Supply the participants with flash cards or sticky notes, at least five per person.*

   c. **Debrief instructions:**
      ◊ Find a partner.
      ◊ Share your risk briefing with your partner.
      ◊ What are the risks you face because you are a woman? Write them on sticky notes and paste them on the newsprint labelled 'woman'.
      ◊ What are the risks you face because you are a human rights

defender? Write them on sticky notes and paste them on the newsprint labelled 'human rights defender'.

◇ What are the risks you face because of the extractives project affecting your community? Paste them on sticky notes and paste them on the newsprint labelled 'extractives'.

3. Overview of violence against anti-extractives activists *video and discussion*

A. **Participants watch the video below:**
The video was produced by Global Witness, an NGO dedicated to human rights, defending the environment and fighting corruption. The video draws on their report 'Defending tomorrow: the climate crisis and threats against land and environmental defenders'. The report gives an overview of violence directed against land and environment defenders. It shows that extractives industries are mainly behind such violence.

https://youtu.be/FM7X1tnT4Sc

Some facts from the report:
◇ 212 land and environmental defenders were killed in 2019 – an average of more than four people a week. This was the highest number ever.
◇ More than half of the killings occurred in Colombia and the Philippines.
◇ More than two thirds of the killings took place in Latin America.
◇ Mining was the deadliest sector, followed by agribusiness and logging.
◇ Women are 1 out 10 of the defenders killed. Women face specific threats regarding sexual violence.
◇ 40% of murdered defenders belonged to indigenous communities, although indigenous people make up 5% of the world population.

◇ Verifying cases in Africa is difficult and the numbers are probably underreported.
◇ State forces were directly linked to 37 out of the 212 murders.

B. **Debriefing instructions:**
◇ Stay with your partner from activity 2 c). Find another pair to form a group of 4.
◇ **Discuss the following questions:**
  ◇ What story did the video tell?
  ◇ What stood out for you about this story? What are your reflections on the facts highlighted from the video?
  ◇ How does your experience of extractives projects compare with the story told in the video?
  ◇ What are the risks facing women activists?
  ◇ Why do you think the extractives industries are targeting indigenous communities?

4. Risks to feminists and women human rights defenders *plenary discussion, relay storytelling and quiet reflection*

A. **Plenary discussion:**
◇ Instructions for participants:
  ◇ Share the answers given to the questions asked for activities 2. c) and 3. b)
  ◇ 2. c) What are the risks you face because you are a woman?
  ◇ 3. b) What are the risks facing women activists?
  ◇ Review these answers - are there additional risks and threats you can think of?

B. **Group work instructions:**
◇ Participants divide into groups
◇ Each group has a discussion on the following questions:
  ◇ What is sexism?
  ◇ What is patriarchy?
  ◇ What is misogyny?
  ◇ What is feminism?
  ◇ What is a woman human rights defender?

◊ Each group creates a story that illustrates the way the group understands the above concepts

◊ The group practices telling the story through a relay method - each member of the group tells part of the story, and then hands the relay baton to another group member who continues the story *The use of an actual baton or stick is encouraged.*

◊ **Plenary debrief:**

  ◊ Each group tells its story to the plenary using the relay method

  ◊ The facilitator shares written definitions of the above concepts *See the attached concept sheet.*

  ◊ Questions for quiet reflection:

    ◊ Does being a feminist and/or a woman human rights defender increase the risks and threats for woman activists facing extractives project? What role does sexism, patriarchy and misogyny play in this? What is gender-based violence?

5. Neoliberalism and indigenous communities *thought experiment, plenary debrief, buzz group*

A. *This activity starts with a thought experiment. It can only work if the participants are familiar with the histories of indigenous communities in at least one country. Detailed knowledge is not required, only the broad outlines need to be known. It also does not have to be the same country for all the participants. If such knowledge is absent then the facilitators should use a map to illustrate the points of the thought experiment, which is the relationship between indigenous autonomy and the historic movements of colonial conquest, independence and neoliberalism. This means that facilitators should research these histories and prepare to present it to the participants at the appropriate moments in the activity. This information is generally available for individual countries.*

B. **Thought experiment instructions for participants:**

  ◊ Imagine indigenous communities in country X.

  ◊ See the map of the country in your mind's eye.

  ◊ Imagine it is the year 1400 - how much of the country is under

control of indigenous communities? Colour that area in bright green on the map in your mind's eye.

◊ Take a moment to see the map clearly.

◊ Now imagine it is the year 1600 - how much of the country is under control of indigenous communities? How big is the green area on the map?

◊ Jump to 1910 - how big is the bright green area now?

◊ 1980 - how much of the country is now under control of indigenous communities?

◊ What about today? How big is the green area under indigenous control? Is the control as firm as it was in 1400? Is it as firm (is the green as bright?) as it was in 1980?

C. **Debriefing of the thought experiment:**

  ◊ 1400 - almost total control by indigenous communities in the Americas, Asia and Africa.

  ◊ 1600 - a radical shrinkage in the green area, especially in the Americas, but also visible in Asia and Africa. This is the result of the spread of European colonial conquest *Facilitators can choose to use a later date in Asia or Africa to account for the later spread of European colonialism in these continents compared to the Americas.*

  ◊ 1910 - the area under control of indigenous communities will have shrunk to very small. This is the high point of European colonialism in Asia and Africa. In the Americas, independence movements have already had some successes without necessarily expanding indigenous control.

  ◊ 1980 - compared to 1910 the areas under indigenous control have remained the same or expanded. This is the result of the successes and radicalisation of independence movements after 1945. These movements tended to centre the building of strong nation states, but some of them included the agenda of respecting and defending the rights of indigenous communities.

  ◊ Two important periods in Latin America must be kept in mind.

    i. In the second half of the 20th century there was a boom of commodities and infrastructure projects overseen by dicta-

torship regimes.

    ii.   In the early 2000s the development agendas of self-described progressive governments promoted extractivism that impacted on indigenous and traditional rural communities.

◇ Today - green areas are shrinking and the green is less bright. This is a result of neoliberalism that increasingly targeted indigenous areas for extractivist projects and the commodification of nature.

D.   **Instructions for buzz group activity:**

◇ Participants partner up.

◇ Each group of partners discuss the statement below:

> There is evidence from all over the world that alliances of states and multi-national corporations are targeting indigenous and other traditional land-based communities for dispossession of land and natural resources. This is a key characteristic of the neoliberal era that started from the late 1970s. Why is this so?
>
> The factors driving neoliberalism include a crisis of overaccumulation and the defeat of certain resistance movements. In the 1970s the world capitalist economy ground to a halt because the richest capitalists had large reserves of capital for which they struggled to find opportunities to invest and make profit. This was called the crisis of overaccumulation. They were desperate to create these opportunities and the neoliberal movement was defined by its struggles to open new avenues for capital investment, profit and accumulation.
>
> In order to create these opportunities, the neoliberal movement had to defeat and neutralise certain resistance movements that had managed to put constraints on capital and profit making, especially in the decades following the Second World War. Two of these movements were the nationalist independence move-

ment in the former colonies and the socialist labour movement in the North. The overthrow of the Chilean government of Salvador Allende in 1973 and the brutal suppression of the Popular Unity coalition marked the start of neoliberal victories over independence movements. In the UK, the Thatcher government's defeat of the British trade unions in the early 1980s signalled the beginning of neoliberalism's rollback of the social democratic labour movement of the North.

The targeting of indigenous communities flow from both of these driving factors of neoliberalism. Indigenous controlled land and natural resources provide new opportunities for investment, commodification and accumulation, while the defeat, cooperation and neutralization of national states in the South and social democracy in the North cleared the political way for neoliberal extraction from indigenous communities.[13]

6. Self-protection (Tactics, techniques, resources and group)

A.   *This activity is practical training in the fundamentals of self-protection tactics and techniques. It is important to keep a gender lens as self-protection are extra challenging for people facing discrimination based on their gender. It is best done in partnership with self-protection professionals. This is particularly important if we understand that self-protection as the protection of the self is a profoundly political task based on the assertion of full personhood by women and other oppressed groups. A basic introduction session is usually between 2 and 3 hours. It is a good, exciting way to conclude a popular education workshop. A full introductory course is usually up to 4 sessions, which can be completed over a six-week period. In those cases where activist groups decide to work with self-protection*

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13   This statement was written for this activity.

professionals, it is highly recommended to work with professionals that are women focused and have experience in supporting activist groups. The rest of these notes are not a self-protection manual. They merely lay out some points that popular educators must keep in mind when working to support activists looking for or doing self-protection training.

B.   *The field of self-protection is dominated by former and current members of the armed forces of states. Their political sympathies are overwhelmingly with pro-extractivist forces and their skills are drawn from military and law enforcement fields. Civilian self-protection against the forces of extractivist elites, requires a different political orientation and skill set. This makes identifying appropriate trainers difficult, as even experienced, well-trained instructors are likely not to be able to meet the needs of protecting anti-extractivist activists. The key element in finding the proper instructors to work with is time. It is important not to wait until a clear threat arises, but to start searching for appropriate instructors as soon as reasonably possible. Reach out to groups who have been doing this work and find out their approaches.*

C.   *Two important facts about self-protection need to be kept in mind, although they appear to be in tension with each other.*
i.   One, there are no guarantees in self-protection and you may still be vulnerable to attack no matter what you do.
ii. Two, efforts towards self-protection are always worth it and are almost guaranteed to bring some benefits. The implication of these two facts is to take action while learning to live with vulnerability.

D.   *Awareness and deliberate action with an emphasis on precautions are the biggest part of the battle to stay safe. It is recommended that activist groups facing extractivist projects do this exercise or at least activities 2, 3 and 4 regularly, at least once every 6 months.*

LIST OF GROUPS AND RESOURCES THAT CAN ASSIST WITH SELF-PROTECTION

Our rights, our safety: resources for women human rights defenders
Just Associates, Valerie Miller, Mariela Arce and Marusia Lopez
Available here

Workbook on security: practical steps for human rights defenders at risk
Frontline Defenders
Available here

Our right to safety: women human rights defenders' holistic approach to protection
Association for Women's Rights in Development
Available here

New protection manual for human rights defenders
Protection International
Available here

CONCEPT SHEET

Sexism[14]

The belief that the males (or members of the male sex) are inherently superior to females simply by virtue of their biological sexual traits. Sexism is the fundamental basis for the domination and oppression of women and is manifested through many social and political structures, including patriarchy. This belief is not always explicit but is embedded through socialization and reinforced by beliefs, customs, values and attitudes. It is perpetuated through language, media, stereotypes, religious beliefs, education and the like. Women experience sexism differently depending on their social position, race or ethnicity, nationality, sexual orientation, age, ability, religion and other attributes, which makes sexism very difficult to eradicate.

Patriarchy

Literally means "rule of the father." Historically, patriarchy refers to systemic and institutionalized male domination embedded in and perpetuated by cultural, political, economic and social structures and ideologies. These systems explicitly make women inferior and subordinate and confer control and decision making on males while assigning values associated with masculinity the norm or ideal. Patriarchy has taken many particular forms in different stages of history and in different cultures. The concept was developed within feminist writings (but existed in anthropology far longer) and is not a single or simple concept, but has a variety of different meanings.

Misogyny

The hatred of women. It is a psychological manifestation of sexism that is expressed socially as discrimination, denigration and humiliation of women, violence against women and sexual objectification of women.

Feminism

A range of theories and political agendas that aim to eliminate all forms of discrimination against women due to sex and gender, as well as class, race, ethnicity, ability, sexual orientation, geographic location, nationality or other forms of social exclusion. Feminism as a political agenda has evolved over the centuries, shaped by the politics of each historical moment. For example, many early feminists (in the 1700s and 1800s) were involved in abolitionist movements and made the linkages between women's bondage and slavery. Since the turn of the 20th century, the different historical surges of feminist political organizing have been referred to as "waves," defined primarily by feminists in the Americas. The first wave of feminists focused on the legal rights, such as the suffragettes' struggle for the right to votes in the early 1900s; second-wave feminism focused on a broader range of forms of subordination in the private realm, including violence against women, reproductive rights, women's roles in the family. Third-wave feminism, more heavily influenced by feminist movements around the world and post-structuralist thinking, recognizes that there are multiple feminisms operating and emphasizes diversity in theory and practice, demanding greater space and recognition of the feminisms shaped by different generations, ethnic and sexual groups, and different classes, among many other elements.

Women human rights defenders[15]

Women human rights defenders are broadly defined as women who defend the human rights of all, or individuals of all genders who defend the rights of women.

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14   Unless stated otherwise, definitions are taken from the 'Feminist movement builder's dictionary' by Just Associates, second edition, February 2013

15   Taken from the website of Global Fund for Women, accessed on 14 September 2020