

# Achieving Natural Resource Justice

Oxfam International  
Extractive Industries Global Program  
Strategic Plan 2016-2019

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EXTERNAL

## ACKNOWLEDGEMENTS

This plan is the product of a year-long process led by Keith Slack, Global Program Manager for Extractive Industries at Oxfam America, and guided by a global Steering Group comprised of staff from across the Oxfam confederation (see box below). The process was facilitated by David Fairman and Toby Berkman of the Consensus Building Institute. The planning process included broad consultation and input from Oxfam confederation staff and regional in-person consultations with staff and partners in Latin America, Africa, and Asia. In addition, stakeholder interviews were conducted with more than sixty external experts from academia, donors, non-governmental organizations, international financial institutions and corporations. In addition, various planning documents were produced during the process including a framing paper and original research pieces commissioned from academic experts on gender and climate change.

The Steering Group would like to thank all Oxfam staff and external stakeholders who participated in the planning process.

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Cover photo: George Osodi / Panos for Oxfam America

A reflection of youths as they examine oil pollution on their farmland in Rumuekpe Rivers State in Niger Delta area of Nigeria June 2015.

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# 1. CONTEXT



## FOREWORD

For nearly 20 years, Oxfam has worked to right one of the world's biggest wrongs: Countries that are rich in natural resources are often poor and suffer from high rates of inequality, corruption, human rights abuse, and environmental degradation. The tremendous wealth generated by the extraction of gold, diamonds, copper, oil, and other natural resources should help lift people out of poverty. But the revenue is often lost to corruption, tax evasion, and waste.

This “resource curse” is not inevitable. Under the right conditions, responsible management of natural resources—which in some cases means not extracting them—could alleviate poverty and support a host of social programs. These include the delivery of education and health services, the protection and promotion of women's and community rights, and investment in small scale agriculture and renewable energy. How to make this happen is the defining challenge of Oxfam International's Extractive Industries Global Program.

Much progress has been made in recent years with the establishment of global standards on extractive industries transparency and the protection of the human rights of affected communities. The discourse of major oil and mining companies, international financial institutions, and some governments has changed dramatically in the past decade. Rhetorical support for transparency and prior consent is now commonplace, and included in the formal policies of many companies. By conducting groundbreaking research, campaigning to reform US government, corporate and international financial institution policies, and providing financial and strategic support to local partners, Oxfam has played a global leadership role in achieving this progress. We, and our partners and allies in civil society around the world, now stand at a critical inflection point in our efforts to reform extractive industries. The progress we and our partners have made in changing the debate and the legal and policy frameworks around EI must now be translated into even more meaningful

change in the lives of people in resource-dependent countries.

In this sense, the hard work is just beginning. Work that will:

- continue to lead us to directly challenge entrenched political interests that prevent EI revenues from being used to fight poverty;
- cause us to challenge the very business models of some EI companies;
- put even greater emphasis on gender justice;
- promote pathways to more sustainable and climate-friendly economic activity;
- empower communities, especially women and indigenous peoples, to demand respect for their rights to consent, compensation, and benefit sharing; and
- defend civil society space to demand accountability of national governments and regional and international bodies

Meeting these challenges will be difficult, but if we are serious about our desire to transform one of the most powerful economic sectors in the world, we have no choice but to face them head-on.

***The progress we and our partners have made in changing the debate and the legal and policy frameworks around EI must now be translated into even more meaningful change in the lives of people in resource-dependent countries.***

We aren't embarking on this path alone. Through our work over the years, we have built strong alliances with civil society organizations around the globe, with

research institutions, with government officials and even with some EI companies. We know that many of them view Oxfam's work as essential in this area. Oxfam has the experience, credibility and global reach to help push forward the changes we and our global allies want to see.

Oxfam International's vision for global social change is the "power of people against poverty." The Extractive Industries Global Program fully embodies that vision. We believe that active citizens, empowered with information, ways to effectively communicate their message, and access to decision-makers can drive change. We have seen it happen. Our intention is for it to keep happening until we and our partners and allies have fundamentally changed the role that natural resource extraction plays in development. This is the vision of natural resource justice that drives our Extractive Industries Global Program Strategic Plan to 2019.

We look forward to working with our many partners and allies in civil society, the public and private sectors, and the donor community in implementing this vision.



Winnie Byanyima  
Executive Director  
Oxfam International

## WHY THIS PLAN NOW?

The confederation of 17 independent Oxfam organizations is striving to more deeply integrate our work. Integration will allow the organization to become an even more powerful and efficient global force for progressive social change. The Oxfam International Extractive Industries Global Program Strategic Plan 2016-2019 is fully aligned with the “Oxfam 20/20” vision for program integration, and will drive the global integration of Oxfam’s work on extractive industries (EI).

For the first time we will unify Oxfam’s work on extractive industries across the confederation under a common set of goals and objectives. We believe greater integration will enable us to share our expertise on key issues more readily, respond more quickly to influencing opportunities, and increase learning across countries and regions where we work.

*We believe that active citizens who are equipped with information, a method to effectively communicate their message, and access to decision makers can drive change.*

This plan creates an Oxfam International (OI)-wide framework to achieve this integration and enhance impact. In particular, the plan seeks to integrate Oxfam’s work on EI with other Oxfam programs and campaigns. Notable among these are the confederation’s work on climate change, land rights and small-scale agriculture (via the GROW Campaign) and its emerging work on inequality and tax (though the Even It Up Campaign). As a global non-governmental organization, Oxfam is most effective when we bring our collective resources to

bear in a focused way to support our allies, create a powerful collective voice, and coordinate our strategies to maximize our influence. Because so many development challenges that the organization engages on, including climate change and inequality, are tied to natural resource management issues, we believe there are important opportunities to lend our EI experience to work on these issues and thus increase the confederation’s impact.

Externally, the global extractive sectors are experiencing major disruptions. The commodities “super cycle” of the past 10 years, driven by Chinese demand for minerals, has ended. EI companies are scaling back, and some resource-dependent economies are facing dramatically reduced levels of EI revenues. Moreover, the momentum to decarbonize the global economy will have significant implications for countries that depend on fossil fuel exports.

The Oxfam International Extractive Industries Global Program Strategic Plan 2016-2019 responds to this scenario by linking our traditional areas of work on transparency and human rights—even more relevant in a time of scarcer revenues and industry pressures to cut costs—to broader global debates about transitions to more sustainable forms of energy and economic development.

## ACHIEVING NATURAL RESOURCE JUSTICE

### Identifying the Problems

Dramatic progress has been made in the past 15 years in changing the global policy framework around extractive industries. Governments, including the US, Canada and the European Union, and financial institutions, such as the World Bank, have adopted mandatory disclosure laws and policies that require oil and mining companies to disclose the payments they make to governments in countries where they operate. Similarly, the World Bank, the International



Council on Mining and Metals (ICMM), and some major mining companies have adopted policies endorsing the right of free, prior and informed consent (FPIC) of indigenous peoples, that is, the right to say yes or no to mining, oil and gas projects on their lands. Further, in December 2015 the OECD issued its *Guidance on Meaningful Stakeholder Engagement and Due Diligence in the Extractives Sector*, which includes FPIC. These changes would have been almost unimaginable 20 years ago and are the direct result of civil society pressure (including by Oxfam) on governments, corporations, and international financial institutions. The challenge now is to ensure that these policy and legal changes improve the lives of communities affected by extractive industries.

Human rights violations remain a serious problem in the extractive sector. According to a recent UN analysis, the EI sector leads all other sectors by far in the number and severity of alleged corporate-related human rights violations. This is particularly true in situations that are prone to conflict and corruption and in which communities are displaced by EI projects. Resettlement initiatives often leave communities worse off, and most initiatives lack adequate mechanisms to address grievances. Women's rights are also particularly at risk in EI contexts, with women facing systematic discrimination and gender bias, as well as disproportionately bearing the brunt of the social and environmental impacts of EI operations.



**Members of WoMin Women descended on Bulawayo, Zimbabwe, to participate in a parallel People Summit during the SADC Heads of State Summit in 2014. Oxfam Southern Africa**

Governments in EI-dependent countries often lack capacity and political will to effectively regulate EI operations and ensure that the benefits produced are distributed equitably. In many countries, there is simply no accountability for government officials who steal or mismanage EI revenues. Legislatures lack capacity or are dominated by the executive branch. Economic elites tied to EI interests may have excessive influence on governmental decision making (a situation known as “state capture”). Lack of transparency of payments and contracts contributes to this problem. When citizens don't know how much EI companies have paid to governments—or should have paid according to the terms of the contract between the company and the government—they can't hold their governments accountable for the use of EI revenue. Corporations often engage in tax avoidance, where they shift profits out of the country, thus denying significant income to countries that could be spent on anti-poverty purposes. Often companies are abetted in this by lax government tax policies or tax concessions.

In matters of taxes, resettlement, and waste management, EI companies produce negative impacts in communities where they operate. Engaging directly with EI companies to expose irresponsible corporate practice and advocating for policy and practice reform must be an essential component of an overall EI sector reform strategy.

Civil society organizations (CSOs) in EI-dependent countries are a powerful voice for change. However, they need more resources and technical capacity to further strengthen their engagement on issues like contracts between companies and governments, social and environmental impact assessments, and taxation. They need access to high-level decision makers in corporations, home country governments, and international financial institutions. And they need protection from threats. This is particularly true in countries where civil society space is narrow or shrinking.



In many EI-dependent countries, governments lack vision and political motivation to evaluate alternatives to EI dependence, or to start a transition to more sustainable forms of economic activity. Fiscal crises caused by a drop in commodity revenue often lead to even more desperate measures to attract EI investment. This problem will become even more serious as the impacts of climate change intensify and global momentum grows for a phase-out of fossil fuels. Further, when impacted by a downturn in commodity prices, companies often scale back their investment in community engagement and social and environmental due diligence.

## Identifying the Solutions

To drive governmental accountability for EI revenue management, CSOs must now find ways to use EI payment disclosure and budget data effectively. This may include national campaigning to demand transparent public accounting for how revenue has been spent. It also may mean engaging in national and local budgeting processes.



**Ghanaian activists participating in radio interviews to encourage activism by diaspora groups in the United States. Oxfam America**

Governments should not be the only targets of accountability campaigning. Companies must fully disclose all payments on a project-by-project basis, whether they are legally required to or not. All corporate entities should be included by this reporting in order to trace payments made to tax havens. They

must also disclose the underlying contracts on which those payments are based as well as other data such as production costs and volumes and sales price. This is the only way for citizens to know not only how much companies paid, but how much they *should have paid*. Additionally, corporations must stop using aggressive tax planning to unfairly avoid paying taxes in developing countries where they operate. Such practices, while legal, are immoral and directly undermine the development of countries where they take place.

Corporations must also significantly improve their human rights practices, in particular those practices related to resettlement and the rights of women and indigenous people. Companies must use comprehensive gender impact assessments to inform decision-making and mitigate potential violations of women's rights. They must submit themselves to independent oversight involving civil society. They must also establish effective grievance mechanisms based on international standards and fully disclose human rights impact assessments.

Legislative oversight of EI operations in developing countries must be strengthened. This includes increasing governments' authority and capacity to review and analyze contracts, budget allocations, social and environmental impact data, and revenue payments. Civil society must play a role in demanding better functioning of these formal accountability mechanisms by documenting how they are failing and identifying steps needed to improve them. Civil society can also identify how EI revenue distribution is being manipulated for political purposes. Governments must protect the ability of CSOs to operate freely.

The home country governments of EI companies have a particular obligation to ensure that companies based in their countries are respecting international laws and global best practices. Home country governments need to look beyond their national economic interests and ensure that their corporate ambassadors are acting responsibly. This includes

### **Oxfam's EI Influencing in Action: Areva/ Niger contract negotiations**

In 2013 Oxfam France, in partnership with local partner organization ROTAB and the global Publish What You Pay (PWYP) campaign, and with financial support from Oxfam America, carried out research on the tax practices in Niger of the French uranium mining company Areva. The company's role in Niger is particularly sensitive since one-third of France's uranium comes from Niger (70 percent of France's energy is produced by nuclear power and the French government is the principal shareholder of Areva). Uranium accounts for 70 percent of Niger's export revenues.

Oxfam France's research found that Areva was paying significantly less in taxes to the government of Niger than it should have been paying according to Niger's 2006 mining law. In November 2013, Oxfam was informed by partners in Niger that the government was negotiating a new long-term contract with Areva that would lock in the lower tax rate. In response, Oxfam launched its research report and a campaign in France and Niger (in partnership with ROTAB) to pressure Areva and the French government to comply with the terms of the mining law. The campaign featured extensive use of traditional and social media in France and Niger and direct pressure on the respective governments, including President Francois Hollande and President Mahamadou Issoufou, who were asked by French journalists to respond to Oxfam's report.

In May 2014, Areva announced a new agreement with Niger in which it said it would respect the terms of the 2006 mining law, which meant the end of the tax privileges that the campaign had put a spotlight on. The campaign is an example of how Oxfam and local partners can work to identify a problem and then respond quickly to a disruptive moment with national and global advocacy to influence an important global actor.

companies based in Brazil, China, and India. Governments must also reform their tax laws to eliminate tax havens and other accounting tricks that deny tax benefits to host country governments.

International financial institutions, including IFIs based in the BRIC countries, must strengthen their oversight of EI and related infrastructure projects and ensure compliance with their own policies on revenue payment and contract disclosure, gender, and community consent. They must also do more to ensure that the money they provide to financial intermediaries<sup>1</sup> is monitored and invested in projects that are compliant with these policies.

As a large international NGO, Oxfam can help our local partners engage on EI issues and gain access to donors. We can also help strengthen the capacity of local partners to influence the decision making of

corporate actors. Oxfam can strengthen connections among civil society and national and global research institutions to develop analyses and proposals for diversifying their countries away from dependence on EI and towards more sustainable and equitable economies. We can strengthen the capacity of women's rights organizations to engage in these processes and build gender analysis capacity of other CSOs. We will be agile and responsive in deciding when we stand visibly in solidarity with partners and allies and when we can be most effective by staying behind the scenes.

## **OPPORTUNITIES TO ACHIEVE THE VISION**

Important opportunities exist now for Oxfam to make a significant contribution to achieving our vision of natural resource justice. More countries are seeking to develop their natural resources, driven by demand from China and India and the depletion of deposits in developed countries. Analysts expect this trend to continue despite the current downturn in China's economy and global minerals prices. Consequently,

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<sup>1</sup> Financial intermediaries in this context are banks or other financial institutions that receive financing from international financial institutions (IFIs), such as the World Bank, and then lend that money to corporate clients, including in some cases oil and mining companies.

the demand from civil society in EI countries is expected to grow. Using our Extractive Industries Knowledge Hub, Oxfam can lend our experience and expertise to countries with emerging EI sectors. In particular, we can build the capacity of local CSOs to engage more quickly and effectively on EI issues. Using Oxfam's worldwide influencing network (WIN), Oxfam can advocate for transparency and accountability in established and emerging EI countries.

Given our extensive organizational experience and capacity for engaging with the private sector, corporations are increasingly looking to Oxfam globally as a key interlocutor on EI and development issues. This is true of some governments, as well. Oxfam has built a reputation as a credible organization that, although critical at times, offers concrete and practical recommendations. We can leverage our reputation, private sector experience, and networks to push for further reforms in the sector, including via shareholder advocacy and our activist stock fund which holds shares in targeted companies. Where we have credible corporate and government counterparts, we can collaborate to address such issues as local government capacity and political dynamics. Such opportunities will, of course, need to be handled carefully to ensure our work remains independent, rights-based and community-focused.

With our global brand identity and in-country presence in many key EI countries, Oxfam is well-positioned to broker engagements on EI issues by a range of actors and stakeholders (such as academics, faith groups, traditional authorities and the private sector) that might not otherwise engage with each other. This can even be true of governmental line ministries that don't necessarily share information with each other. By providing evidence and recommendations on EI issues, we can prompt them to deal with gaps in government policies and stop inconsistent government actions that undermine rights and benefits.

There is increasing awareness among actors in the EI sector of the necessity to address gender justice and women's rights issues to ensure better outcomes from EI investments. The evidence base demonstrating gender inequality within the sector in terms of women's access to the benefits of EI and the gender-differentiated impacts of EI is expansive and growing. Some EI companies have begun to demonstrate greater awareness and recognition of these impacts. These conditions, as well as the global confirmation of gender equality as essential to sustainable development present important opportunities for implementing an EI reform strategy that places gender justice at the forefront.



**Community leader Melchora Surco in front of the Tintaya Copper Mine in Espinar, Peru. Photo: Percy Ramirez/Oxfam America**

At the global level, the tax justice movement has gained increasing momentum in recent years, most recently through the Base Erosion and Profit Shifting (BEPS) process and the Financing for Development global conference held in Addis Ababa, Ethiopia, in July 2015. EI plays a central role in national and global discussions about tax justice. We can combine the current momentum on tax justice with our long-term expertise on EI to advocate for tax reforms in global venues. Similarly, the Sustainable Development Goals (all of which are relevant to EI, and which for the first time name better governance as a top development goal) offer another global framework and set of entry points to support our EI reform agenda.

Investors are also an increasingly important constituency for change in the EI sector. There is rising concern among both socially responsible investment firms and mainstream investors about the impacts of EI operations on companies' reputations and bottom lines. Investors can, thus, be an important force for change in industry policy and practices, as, indeed, they have already been on EI revenue transparency.

The Extractive Industries Transparency Initiative (EITI) is a voluntary transparency initiative for governments now operating in 49 countries, including over 20 countries where there is established or emerging Oxfam EI programming. EITI offers important opportunities to push for global and national progress on transparency, but it is a constantly contested space because of its multi-stakeholder nature. At the global level, EITI sets global transparency standards on a range of issues we care about, such as payment, license, contract transparency, and beneficial ownership transparency. It also includes a Civil Society Protocol meant to protect the rights of CSOs to advocate for transparency and accountability in the EI sector. Oxfam and its partners have engaged in EITI at the global level to influence and protect the EITI Standard, and at the national level, to ensure that the EITI commitments are upheld and that government and industry are held accountable for revenue decisions.

Funders, including bilateral donors and American foundations, are increasingly engaging in the EI space. It will be critically important for Oxfam to maintain our independence, and therefore we will maintain our policy of not accepting funding from companies in the oil, gas, and mining sectors.

Finally, at the global level Oxfam advances a holistic vision of *EI and development* at global and local levels. Oxfam's vision and work begins with a focus on human rights, recognizes the reality and potential of EI, looks at the impacts of EI across the entire

value chain. For example, we consider EI's links to other economic and social sectors, such as small-scale agriculture, and health and education. Our vision incorporates climate change, connects affected communities to global actors, focuses on poverty reduction, prioritizes gender justice, and moves beyond technocratic solutions to engage in the messier and more difficult political dynamics of EI-related decision making.

We have an opportunity now to marry this vision with Oxfam's more than 15 years of experience, independent voice, private sector expertise, resources and presence in key EI countries. Oxfam's global comparative advantage in EI work can be a powerful force for change.

## Challenges to the Vision

While there are important opportunities now to achieve our vision, there are also significant challenges that shouldn't be underestimated. Most importantly, while important progress has been made in changing EI-related policy and legal frameworks, this may not be enough to overcome political interests that can block the application of these frameworks. If governments simply don't care about the will of their citizens, providing citizens with information, no matter how insightful, will not be enough to ensure accountability. Academic literature is mixed on the value of transparency initiatives for promoting equitable development. Clearly, information alone is not sufficient. Rather, we need to help communities and CSOs use that information to build political voice and influence and ultimately drive change.

Any policy or legal reform can be reversed. This is potentially true, as well, of the recent gains made on EI revenue disclosure and FPIC. If the use of the information causes embarrassment to politically connected officials, or corporations or governments experience difficulties in implementing FPIC, there could be a negative backlash against the reforms in these areas.



Addressing dysfunctions in state accountability mechanisms, such as legislatures, legal systems, and regulatory agencies, is notoriously difficult. The annals of development practice are filled with failed experiments in attempting to fix these problems. Yet, the path to true reform of the extractive industries runs through these mechanisms, importantly supplemented by more informal mechanisms of social accountability. Transparency and accountability interventions in this sector may ultimately be unable to overcome this binding constraint. Similarly, while advances have been made in corporate policies in some key areas, implementation of these policies is voluntary and often difficult to independently verify.

Truly achieving gender justice within the context of extractive industries will mean addressing deeply entrenched gender biases and challenging patriarchy. This will require difficult work to promote transformational change in gender norms, attitudes, and behaviors. It will also require supporting women to overcome structural barriers to participation in EI processes and decision-making. These barriers include women's lower access to education and time constraints they face due to women's heavy and unequal responsibility for unpaid care work.



**Advocates for Salvadoran water rights protesting at the World Bank in Washington, DC. Kate Stanley / Oxfam America, 2015**

Key new actors in the EI space, such as Brazil, India, and China, often have different conceptions about the importance of human rights and corporate social responsibility. Despite this, some important progress has been made in recent years (on policy if not

### Extractive Industries Knowledge Hub

In response to growing demand for support on EI work from Oxfam country programs, Oxfam America and Oxfam Australia joined forces in 2013 to create the Extractive Industries Knowledge Hub (KH). The objectives of the hub are to provide strategic advice and information to Oxfam country programs, assist with fundraising, and support local to global advocacy and influencing opportunities.

The KH is now supporting EI work in 30 countries in Latin America, Africa, and Asia, with a particular focus on eastern and southern Africa. Since its inception, the KH has provided small grants to country programs to support scoping studies, cross-country learning opportunities, and technical assistance projects. In 2015, the KH coordinated a series of regional consultations with Oxfam staff and partners that have informed the development of this strategic plan.

The KH has recently added dedicated staff capacity on knowledge and information dissemination, gender justice, and monitoring, learning, and evaluation. The KH has helped create a new model for implementing Oxfam's concept of a global flat network that prioritizes the nimble dissemination of knowledge and resources and the building of linkages across country programs.

necessarily implementation), including the adoption by the China Chamber of Commerce of Metals, Minerals and Chemical Importers (CCCMI) of social responsibility principles, including transparency and FPIC.

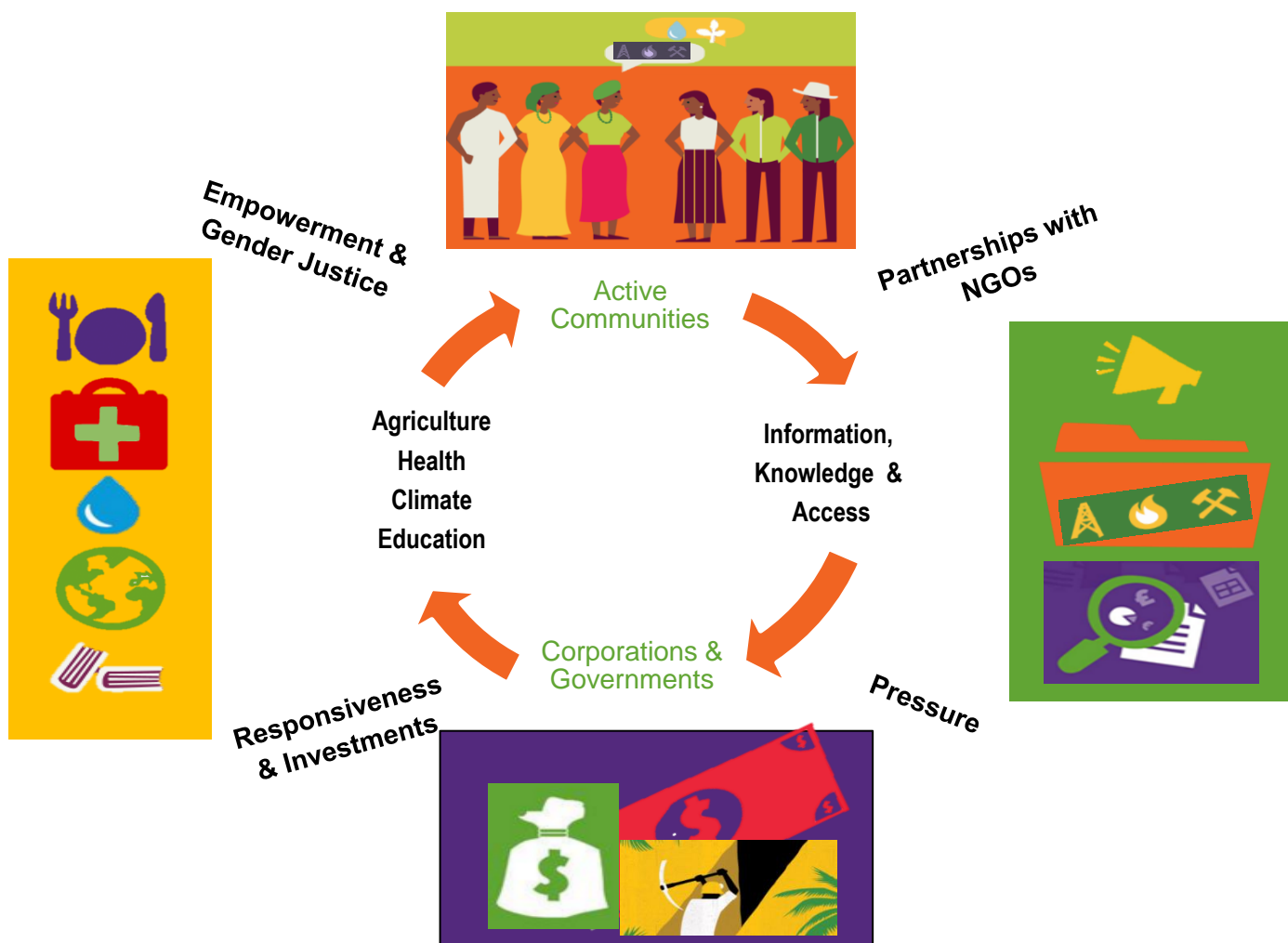
Along with these emerging EI actors and their new challenges, there are many longstanding problems of impact and accountability for Western governments and multinationals. Governments have made limited progress in developing accountability mechanisms to ensure that Western multinationals live up to their stated corporate social responsibility commitments and their legal and financial obligations in both home and host countries. Private equity companies and hedge funds with low transparency or accountability to regulators are increasingly important investors in the oil and gas sector and are looking to invest more in the mining sector. Civil society organizations like

Oxfam have little experience in engaging with private equity funds. Gaining access to and influence over private capital funds and companies is, thus, a major emerging challenge in the EI sector.

Civil society space in many developing countries is currently under threat via restrictive laws and harassment from pro-government media. Because they are challenging powerful economic and political interests, civil society activists working on EI are often under pressure and threats. This kind of pressure will intensify if CSOs demand more accountability from elite political interests that dictate EI decision-making in many countries. Oxfam needs to address this issue and determine how it can be vocal on such threats while not putting our staff at risk.

## OUR THEORY OF CHANGE

By supporting citizens most directly impacted by EI operations, such as women and indigenous peoples, Oxfam and partners seek to create the conditions for those citizens to hold governments and corporations accountable for respecting human rights. This empowerment of citizens includes the ability to influence decisions on whether and how EI activity should proceed, and to ensure the benefits produced by EI contribute to poverty reduction and sustainable development.



Implementing this theory of change requires us to focus primarily on influencing the political actors and incentives that drive EI decision-making. Women and indigenous peoples, communities impacted by extractive industries, and CSOs working with them are the key actors we seek to support. We help them get, understand and use EI information, gain access to decision-makers, and engage in effective advocacy to protect their rights and advance their interests. We advocate directly for change at the local, national and global levels with multilaterals, governments, corporations and international financial institutions to ensure greater accountability to citizens and fulfillment of obligations under international human rights law.

Achieving gender justice is a central component of our change process: we can't make progress in addressing human rights in the EI sector without tackling directly gender bias and discrimination against women in the sector, both of which result in the negative impacts of EI on women and their marginalization from EI-related decision-making.

The primary agents of change in our theory are citizens, particularly women and indigenous peoples, of communities impacted by extractive industries and civil society organizations that support and amplify their voices. The lived experiences of these individuals illustrate why change is needed. Their claiming and exercising of their fundamental human rights provides the moral imperative for that change.

Influencing the private sector is critical to our change process. Private sector actors, including companies and investors, can be obstacles to change but in some circumstances may also help advance it. Engaging effectively with the private sector is a hallmark of Oxfam's global advocacy work and we seek to build on and leverage that experience in the implementation of the EI Global Program.

Central to our theory of change is using Oxfam's brand and reputation as a global thought-leader to lend, as appropriate and as requested, solidarity and credibility to the efforts of our partners and allies. We

use traditional and social media to frame debates and generate pressure on local, national and global actors. We use public campaigning – in all its aspects, including national and international advocacy, grassroots organizing, and impact research – to drive change.

We also know that change can happen quietly, sometimes as a result of trusted relationships built over many years. This is why our on-the-ground presence in the countries where we work is essential as it allows us to build these relationships and develop deep understanding of local political, socio-cultural, and gender dynamics. We also value relationships with key NGO, government and industry counterparts at the global level, and use these relationships for both constructive dialogue and for leverage at key moments.

While we are increasingly focusing on global and national level policy change, monitoring and engaging on emblematic EI projects and their local impacts remains a key part of our overall strategy. Problems with individual projects demonstrate why policy change is needed. Individual projects also serve as testing grounds for implementation of policy changes. Thus working with partners to monitor and advocate on individual EI projects directly with EI companies will remain an important component of our theory of change.

## 7 GOALS FOR ACHIEVING NATURAL RESOURCE JUSTICE

To achieve our vision of more just and equitable extractive industries, we are setting out 7 goals to guide our work over the period of this strategic plan. The goals are divided into two types: Focus Goals (financial transparency, expenditure accountability and tax justice; community consent; human rights; gender justice) where we will build on and intensify our long-standing work in these areas in order to increase on-the-ground impact, and Engagement Goals (climate change; economic diversification; artisanal and small-scale mining), in emerging areas

of work where developing our engagement is important for realizing our vision. The Focus Goals represent the top priorities for the EI Global Program and are where we will invest the greatest time and financial resources. The Engagement Goals have a greater internal orientation that reflects our need to learn, experiment and hone our contributions in these areas over the period of this plan. Our work on these goals will be more limited, but will help inform the future growth and evolution of the program.



Listening to the voices of resettled women in Mozambique to make way for the Benga Coal mine. Community leader (left) and the Dorica Amosse Nota, President Tete Provincial Farmers Union. Photo: Serena Lillywhite / Oxfam Australia, 2014

***The Focus Goals represent the top priorities for the EI Global Program and are where we will invest the greatest time and financial resources. The Engagement Goals have a greater internal orientation that reflects our need to learn, experiment and hone our contributions in these areas over the period of this plan.***

Each goal is accompanied by a set of specific actions we propose to take to achieve the goals. *We will establish measureable indicators for each goal within a monitoring, evaluation and learning framework (MEL) for the overall plan.* Each Oxfam team engaging on EI work at the country, regional or global level will also create annual operating plans. We will hold ourselves accountable for achieving measureable and meaningful progress against these goals and report on this progress to our stakeholders, including partners and donors. Our intention is not simply to carry out a series of well-intended activities, but to achieve real progress in these priority areas.

In setting these goals, we are seeking both to maintain a focus that has served us well throughout the life of the program and to enhance our impact by connecting aspects of our EI work to a broader set of related issues. Our agenda is necessarily ambitious given the scale of the problems we are seeking to address. We also believe that it is achievable, if we remain strategically focused, tactically opportunistic and institutionally agile in pursuit of our goals.

These goals are informed by our vision of Oxfam's organizational value-added in the EI reform space:

- globally networked
- deeply experienced
- independent
- advocacy-focused
- field-based
- willing to take on difficult socio-political issues.

To maintain and grow this added-value, we are also setting out three Operational Goals on internal capacity-building, program development, and monitoring, learning and evaluation. These are accompanied by a statement of principles on our Ways of Working that will guide how we achieve the goals set out in the strategic plan.



Our plan is rooted in Oxfam International's Strategic Plan for 2013-2019, in particular Goals 1 (right to be heard), Goal 2 (advancing gender justice), Goal 5 (fair sharing of natural resources, Goal 6 (financing for development and essential services) and Operational Goal 1 (Creating a worldwide influencing network). It is also reflects priorities set out in Oxfam Country Strategies and Oxfam's Extractive Industries Private Sector Strategy 2013-2019.

## 2. Focus Goals



Photo: George Osodi / Panos for Oxfam America

A girl walks along a street, while an Oshie gas flare belonging to Agip oil company burns in the Rivers State community of Akaraolu, in Nigeria's Niger Delta area.

## FOCUS GOALS

### Goal 1:

Governments and companies increase financial transparency and pro-poor accountability for EI revenue generation and expenditure

While important gains have been made in recent years on EI revenue transparency, the “transparency revolution” remains unfinished. US legislation is, as yet, unimplemented. Key EI jurisdictions, such as Australia and South Africa, still lack mandatory disclosure laws. Oxfam will continue to push for the adoption and implementation of such laws and regulations.

We will also maintain our active involvement as a stakeholder in the Extractive Industries Transparency Initiative (EITI) to ensure EITI demonstrates global leadership in key areas, like project-level payment, contract, beneficial ownership, and environmental data transparency. Oxfam will also work to ensure EITI processes in select countries comply with the global EITI Standard for reporting and for civil society participation. We will directly participate in some national EITI bodies (such as USEITI) and support partners’ participation in others. We will review and use global and national EITI data in our advocacy campaigns. We will support CSO efforts, particularly those of the Publish What You Pay coalition and its national chapters, to expand EITI’s reporting standards to include transparency of contracts, beneficial ownership, and environmental information.

Even more important for the global EI transparency movement is to begin using the information that will start to be disclosed in 2016 under existing payment disclosure regulations, including in Canada, the EU and (eventually) the US. Oxfam will work with partners and allies to identify opportunities to use disclosed data to support advocacy at the local and

national levels on budget allocations, tax reform, and other issues. We will seek to use data to improve accountability and increase pro-poor, gender-equitable investment in sectors such as health, education, small-scale agriculture, and renewable energy. We will partner with organizations that have expertise in gender budgeting and seek opportunities to strengthen the capacity of women’s rights organizations to engage in these processes and to use EI data for advancing their policy agendas. We will draw greater public scrutiny to budgets, expenditures and public finance issues more generally as we have done in Ghana and elsewhere. In doing this work, we will draw on the vast experience of organizations that focus on budgeting and develop new partnerships that can leverage that experience together with our own on EI expertise.

*While important gains have been made in recent years on EI revenue transparency, the “transparency revolution” remains unfinished.*

Developing countries lose billions of dollars per year due to aggressive tax avoidance. In Africa, natural resources sectors are particularly prone to illicit financial flows.<sup>2</sup> Legally permissible, but ethically dubious tax practices constitute a top priority agenda for the global movement for EI fiscal governance reform. The use of tax havens, transfer pricing, and the nondisclosure of the beneficial ownership of corporations are all practices that must end if countries are to retain their fair share of natural resource revenues.

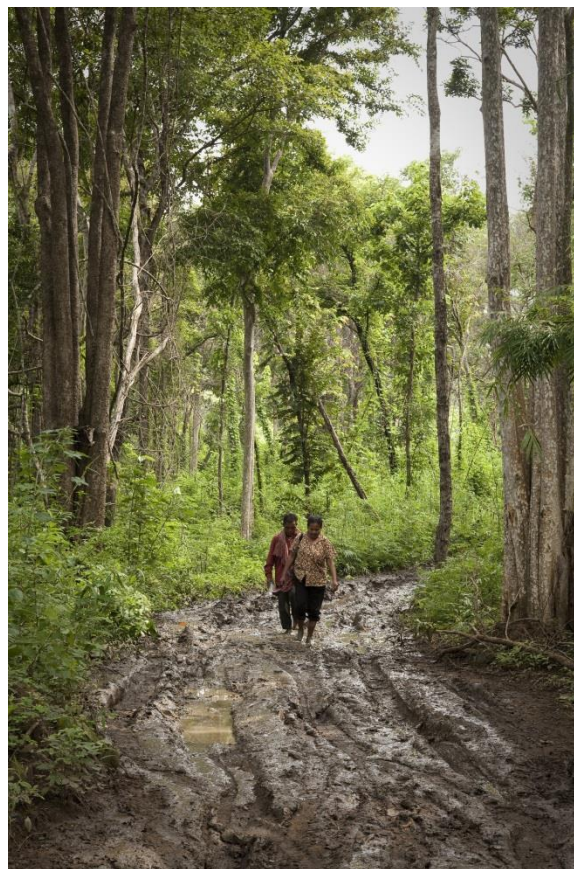
<sup>2</sup> “Track It, Stop It, Get It: Illicit Financial Flows”, High Level Panel on Illicit Financial Flows from Africa, 2015.



Oxfam will engage with home country governments, including the EU, US, Australia, and Canada, and with EI companies and their shareholders to push for reform of abusive tax practices. We will also work at the national level in developing countries to raise awareness of tax abuse and strengthen civil society's ability to push for governments to hold companies accountable for tax justice. We will work to better understand the role of private entities, such as hedge funds, in financing EI companies and their role in influencing corporate behavior on transparency and tax issues.

### Achieving the goal

- Advocate for stronger global standards and host and home country laws on beneficial ownership, payment disclosure, contract, and environmental impact transparency;
- Strengthen CSO capacity to understand EI taxation and revenue collection laws and rules, and to track revenue collection and expenditures at national and local levels;
- Support CSO partners in advocating for host country governments to reform contract and taxation laws and policies;
- Support CSO partners in advocating for more pro-poor use of EI revenues, through expenditures on essential services, women's economic empowerment, small-scale agriculture and pro-poor renewable energy;
- Support the strengthening of revenue authorities' capacities for tax administration and revenue collection; and
- Advocate for governments to abolish EI tax havens and unnecessary tax incentives, and influence EI companies and investors to stop abusive tax avoidance practice.



Near the community of Ka Chok in Cambodia, villagers are concerned about a mining concession granted to a Vietnamese company. Local farmers were not consulted about the concession. Patrick Brown/ Oxfam America

**Goal 2:**  
Governments and companies adopt and implement laws and policies respecting free, prior and informed consent (FPIC)

FPIC is fundamental right for indigenous communities and a key tool for safeguarding the rights of all affected communities, including their rights to a clean environment and to food. It also ensures the equal participation of women and men in consultative processes and dialogues, recognizing that special attention must be paid to the rights and needs of women, the elderly, youth, children, and persons with disabilities. Without FPIC, communities will continue



to suffer and protests and conflicts will break out at project sites, halting or stopping projects and reducing government revenue from the sector.

As with revenue transparency, important gains have been made on legal and policy frameworks on community consultation and consent. The recently-adopted policy of the International Council on Mining and Metals (ICMM) on indigenous peoples endorses FPIC, as does a similar policy of the International Finance Corporation, the private sector arm of the World Bank, and the OECD. Fourteen major mining companies have also adopted policies respecting FPIC for indigenous peoples as has the Chinese Chamber of Commerce on Metals, Minerals and Chemicals Importers and Exporters.



**Christina Hill, Oxfam Extractives Adviser supports local communities in PNG with training on Free Prior and Informed Consent. Land and livelihoods are at risk as a result of large scale development, such as mining. Oxfam Australia, 2012**

Despite this progress, more work remains to be done to persuade more EI companies and governments to support FPIC and to accept a definition of the concept that respects communities' right to say no. At present, few major oil companies endorse the principle of FPIC, nor have the vast majority of "junior" or non-western companies. Recognition of FPIC as a right for nonindigenous communities remains very limited. Few governments have adopted FPIC in laws or regulations. To address these shortcomings, Oxfam will continue to push for FPIC policy adoption by companies, governments and regional institutions

***More work remains to be done to persuade more EI companies and governments to support FPIC and to accept a definition of the concept that respects communities' right to say no.***

such as ECOWAS and the African Union, building on our work on the Community Consent Index.

In parallel with our continued policy and legal reform efforts, we will engage even more directly on FPIC implementation. At present, there are relatively few positive examples of governments or companies implementing FPIC at project sites. We want to contribute to the identification, monitoring, and documentation of such cases, and to analyze how they address gender inequality and women's empowerment. In addition, we will work to strengthen civil society's ability to advocate for and monitor implementation of FPIC by governments.

At the community level, we aim to strengthen communities' ability to successfully negotiate effective agreements, or to say "no" to EI projects. While our long-term goal is to gain full legal recognition and respect for FPIC as a right for all communities, the strategies and messaging we employ to promote FPIC will vary by local and national context. In some contexts, communities' interests may be best served by using consultation as a means of reaching agreements, without accepting the principle of consultation as a substitute for consent.

Access to reliable environmental impact data is an essential part of the "informed" part of FPIC. If communities are to make informed decisions about whether to accept extractive projects, they must have access to information about past, current and future impacts of EI operations on land, water and air quality, among other issues, and what these impacts imply for communities' livelihoods, food security, and

gender roles and responsibilities. Building the capacity of CSOs and communities to understand and act on environmental data is crucial for achieving greater accountability from governments and companies.



**Workers in the sector of minor mining/stone quarrying face severe problems regarding health, livelihoods, environment and access to basic services. Stuart Highton / Oxfam Australia, 2008**

Our overall strategy is designed to be flexible and adaptable to local realities, but always based in the principle that communities have a right to say yes or no to EI activity and that companies and governments must recognize and respect this right.

### Achieving the goal

- Engage with companies, investors, industry associations and IFIs to advocate for increased industry uptake of FPIC policies, especially those identified in the Community Consent Index, and to integrate FPIC requirements into companies' full value chains;
- Engage with regional bodies to adopt policies supporting FPIC;
- Support national partners' advocacy for FPIC implementation by their governments;
- Promote sharing of information on FPIC processes among affected communities;
- Provide technical assistance to communities and CSOs engaging in consultation and FPIC processes with governments and companies around emblematic projects;

- Develop tools and resources to support community negotiation and advocacy strategies; and
- Engage with companies to increase disclosure of environmental data and establish participatory environmental monitoring processes involving affected communities.

### Goal 3:

Companies respect and governments protect civil society space and the human rights of communities impacted by EI operations

Both EI companies and the governments that work with them continue to violate the human rights of communities around the world. The use of environmental and social impact assessments to identify and address human rights and environmental risks of projects are often inadequate. Human rights concerns are particularly serious when communities must be resettled to make way for EI projects. Such situations often leave communities worse off, denying fulfillment of their basic rights to livelihoods, cultural integrity, shelter, and water. Within communities, women and youth are often hardest hit. And the extent to which resettlement can ever be truly voluntary is questionable, given the huge power and information asymmetries between companies and communities. Resettlement is a complex and disruptive process and is more complicated than simply relocation. Companies and governments have a strong duty of care for those impacted and their human rights.

Further, resettlement planning, monitoring, and oversight is often not commensurate with the known risks of human rights impacts. Comprehensive risk mitigation is required. Competing land access interests, contested and sometimes non-existent land

tenure, and weak regulatory environments further disadvantage communities impacted by resettlement. Most major EI companies and the institutions that finance them have resettlement policies that are intended to prevent the worst abuses. These policies tend to be poorly implemented and lack effective grievance mechanisms for holding companies accountable. They also fail to include gender and women's rights considerations. Additionally, civil society's capacity to monitor resettlement processes or to support communities in accessing grievance mechanisms—where they exist—is often very limited.

Even when they are not resettled, very few communities that face the direct economic, environmental, and social impacts of EI operations gain benefits that fully compensate for those impacts. Benefits go disproportionately to the EI companies, national governments, and political elites; very little trickles down to the impacted communities. EI companies and governments must be held accountable for equitable benefit sharing. Governments must implement economic development plans that ensure impacted communities receive a fair share of EI revenue and exercise adequate community voice and agency in determining how to invest that revenue.

More broadly, recent efforts by governments to repress civil society, through onerous NGO laws and other means, represent an existential threat to the work of the EI program. CSOs engaging on EI often feel the effects of these measures most acutely. Protecting space for CSOs is crucial for promoting reform of the EI sector. The recent global downturn in mineral prices may serve to increase pressure on NGOs as governments become even more desperate to push EI projects forward and reduce perceived obstacles, such as social and environmental regulations.

***Protecting space for CSOs is crucial for promoting reform of the EI sector.***



The Tolukuma Gold Mine operated in a mountainous region of Papua New Guinea, 100 kilometers north of Port Moresby. Waste tailings from the gold extraction process at the mine are discharged into the Auga-Angabanga river system. Stanta Martin/Oxfam AUS

Formal government human rights institutions, such as ombudsman offices and parliamentary human rights committees, can be important allies for the protection aspects of our EI work. The Commission on Human Rights and Administrative Justice (CHRAJ) in Ghana, for example, has investigated human rights abuses at mining sites in the country. Strengthening the knowledge and capacity of these institutions is important for promoting greater accountability in the EI sector. Oxfam will engage with selected companies and governments to monitor their resettlement programs and evaluate their effectiveness. We will build on Oxfam's work in Mozambique that assessed the resettlement process carried out by Rio Tinto and its impacts. Work in this area has important implications for our work on FPIC, given that

resettlement processes should be subject to FPIC but often are not in practice. We will seek ways to strengthen the capacity of human rights institutions and civil society's ability to engage

companies, governments, and international financial institutions on resettlement issues and other serious violations of human rights. And we will advocate forcefully with governments and donors to ensure that civil society space is protected in resource-rich countries where that space is coming under threat.

## Achieving the goal

- Influence companies and governments to adopt and implement voluntary resettlement policies that strengthen human rights and gender justice;
- Monitor IFI policies on resettlement, drawing on evidence from extractive industry resettlement successes and failures to influence reform;
- Advocate with companies to implement comprehensive and participatory ESIA's (including assessment of human rights and gender impacts) and effective grievance mechanisms to address human rights violations consistent with the UN Guiding Principles on Business and Human Rights;
- Utilize the Community-Based Human Rights Assessment tool and Oxfam's Activist Fund to engage with companies on human rights practices;
- Strengthen civil society organizations' capacity to monitor company practices, including due diligence and risk assessment processes, and engage with grievance mechanisms; and
- Pressure governments and donors to take actions to protect civil society space where it is under threat.

### Goal 4:

Gender justice becomes a central issue in global EI reform efforts; and women's rights are more progressively realized within the EI sector

Since the inception of our EI work nearly 20 years ago, Oxfam has invested in promoting gender justice and women's rights within the sector. Despite gains in awareness of gender inequality within EI, persistent and structural gender inequality continues to

undermine women's rights and the potential development benefits of the industry. Women still face discrimination in all phases of an EI project cycle and along the EI value chain.

Entrenched gender-bias prevents women from engaging and accessing the economic benefits of EI. Gender-blind policies and practices in community consultation and decision-making processes give rise to the systematic exclusion of women and the silencing of women's voices and interests.

The land that is expropriated for EI projects often includes family farms that women manage. Unpaid care work tends to increase for women and girls with the introduction of an EI project, as men are less available and vital resources like water and wood become scarcer. Environmental pollution can have devastating effects on women's reproductive health, and risks of HIV/AIDs and sexual and gender-based violence escalate with the influx of transient workers, the transition to a cash economy, and the emergence of new socio-economic stresses.

The gendered impacts of EI are experienced differently depending on other factors, such as an individual's socio-economic class, ethnicity, marital status, and physical ability.

As Oxfam's Community Consent Index demonstrates, very few EI companies have adopted gender policies. Attention to the gender dimensions and impacts of EI projects on women's rights are also largely absent from regional and national policies and regulatory frameworks. Financial institutions that support EI projects, such as the World Bank Group, also need to do more to ensure that gender justice concerns are incorporated into the design of projects they support and that governments and companies are held accountable to these criteria.

Revenue transparency initiatives have been for the most part silent on gender, despite the potential for EI revenues to advance women's rights and promote gender equality. Initial research indicates that social accountability initiatives relating to the extractive



sectors can have an inherent gender bias, given barriers to women's participation in such efforts, including lower education levels and the heavy and unequal responsibility of women for unpaid care work, which creates a high opportunity cost for their participation. Addressing this bias will be critical for ensuring that "transparency to accountability" works in this sector contributes to better outcomes for sustainable development and greater social justice overall.



**Jemimah John, 21 and her 9-month-old daughter, stand next to their river. Local women like Jemimah are concerned chemicals from a tailings dam upstream will overflow into their water supply. Photo: Lara McKinley/OxfamAUS, 2009**

Tackling gender inequality within EI demands a fundamental shift in how the industry is conceptualized, organized, and governed. To help catalyze this change, we will build stronger links between EI-focused organizations and women's rights/feminist organizations and networks. We will also help strengthen the capacities of these institutions to use EI data to promote women's rights agendas. And we will capitalize on our successful experiences and lessons learned in Ghana, El Salvador, and Guatemala, to continue to support women's leadership and access to the skills and resources they need to engage in EI processes. As with FPIC, emblematic cases will be vehicles for Oxfam to elevate women's and men's voices and to determine our gender policy agenda.

We will seek to engage both women and men in efforts to advance gender justice and women's rights in EI. Locally, we will focus on promoting the equal and equitable participation of women and men in EI

consultation and decision-making processes.

Nationally and globally, we will continue to amplify women's voices and agendas in relevant arenas and will explore opportunities to identify specific EI and gender policy change objectives. Ultimately, Oxfam, in close collaboration with partners and allies, will seek to play a global leadership role on gender and EI issues, which we will use to help drive policy and practice change across the sector.

## Achieving the goal

- Influence EI companies to promote gender equality in their community engagement policies and practices to avoid the negative gender impacts of EI projects and ensure that women have access to the potential economic benefits of EI;
- Advocate with governments and regional governance bodies to integrate gender issues into regional and national EI policies and legal frameworks;
- Strengthen and build alliances with women's rights organizations to enhance their impact in EI advocacy work, including transparency-to-accountability initiatives and gender-responsive budgeting;
- Build women's leadership capacity and access to resources by drawing on Oxfam's knowledge and tools in other areas of gender justice, particularly around transformative leadership for women's rights, care work, and efforts to prevent gender-based violence; ;
- Advocate for governments, companies, and communities to conduct gender impact assessments using Oxfam's gender impact assessment tool;
- Develop new tools for assessing, monitoring and reporting EI-gender impacts;
- Carry out research to further Oxfam's thought leadership, by identifying ways to address gender bias in EI-related social accountability initiatives; and
- Continue to help build partner capacity on gender justice and EI issues.



### 3. Engagement Goals



Photo: Patrick Brown/ Oxfam America



## ENGAGEMENT GOALS

As noted above, our focus goals aim to deepen our impact in areas where Oxfam has been working on EI issues for a number of years. The engagement goals that follow aim to link our EI work more directly with work on related global issues. The engagement goals reflect our need to learn and develop our capacities in making these linkages, as well as our aspirations for direct impact.

### Engagement Goal 1:

Global initiatives to fight climate change and phase out fossil fuels reflect equity concerns of EI-dependent communities and countries.

Efforts to decarbonize the global economy are gaining momentum. Climate activists are pushing in particular for a coal phase-out and divestment from fossil fuel companies as the first major steps in this direction. Transitioning away from the use of fossil fuels is necessary to prevent the worst impacts of climate change. In December 2015 at the COP21 in Paris, negotiators agreed to targets for reducing carbon emissions that mean dramatically reducing new fossil fuel projects. Yet, this transition carries equity implications for developing countries that depend economically on fossil fuels. More work needs to be done to develop a framework for a just transition in which the absolute need to decarbonize as quickly as possible is recognized and balanced with an approach that allows people living in poverty in developing countries to benefit from their fossil fuel reserves within allowable carbon limits as they also transition to lower carbon forms of energy.

*Transitioning from fossil fuels carries equity implications for developing countries that depend on them economically.*

As an organization concerned with global equity and poverty as well as climate change, Oxfam is uniquely positioned to influence the global debate over whether some countries should have the right to be the last to extract fossil fuels, and if so, which countries should have this right. More research and analysis needs to be done to establish an Oxfam view, strategy and voice on this debate.



Fisherman Steven Bathesd Arthur mends his nets in Abuesi, Ghana. Jane Hahn / Oxfam America. 2014

EI revenues are a potential source of substantial funding for investment in renewable energy in developing countries. EI transparency advocates have given relatively little attention thus far to this possible connection. Additional research and analysis is also needed in this area to determine how civil society could make this linkage and where investments in renewable energy should fall among the priorities for EI revenue expenditure. Oxfam can use its interaction with corporations, governments and

CSOs to promote a shift towards renewable energies and different business models.

Internally, Oxfam's work on EI and climate change has not yet been linked in a holistic and strategic way. It is increasingly important that these two streams of work be brought together to ensure policy coherence and increase impact.

## Achieving the goal

- Produce research analyzing a framework for a carbon phase-out that addresses equity concerns and proposes equitable ways for EI revenues to support renewable energy development; and
- Adopt a coal phase-out position that reflects equity concerns, including through an increase in international climate finance and other support, and calls for a phased transition process and EI revenue investment in sustainable energy.

### Engagement Goal 2: Countries reduce EI dependence through pro-poor economic diversification

Closely related to concerns about climate change is the need for EI-dependent developing countries to diversify their economies. Even without the urgent need for de-carbonization, fossil fuel and other EI industries are by definition unsustainable; eventually the resources will be depleted and a country may be left with nothing to replace them economically. Economists have demonstrated that dependence on EI is associated with a wide range of socio-economic problems, including corruption, impaired economic planning, and major economic distortions due to boom/bust commodity cycles, environmental damage, and higher levels of societal inequality.

Latin American civil society organizations in particular have begun to look at the theme of “post-extractivism,” i.e., what comes after the non-renewable natural resources are gone. Work done in this area, although still at a nascent stage, could be broadened to other regions and linked more directly to global institutions that support EI development, including the international financial institutions and donor governments.

National dialogues on the implementation of the UN Sustainable Development Goals (SDGs) are a potential venue for engaging in this area. Institutions such as the UN Development Program are analyzing how EI can contribute to achieving the SDGs. Some EI companies have begun to tout their contributions to the SDGs. The importance of countries transitioning away from EI dependence in the interests of sustainability needs more attention in this debate, and countries should be pressed to commit to making these transitions.

Further research in this area is needed in order to allow civil society to engage effectively and make practicable recommendations on ways countries can diversify economically. Oxfam, through its research capacity and global thought leadership on EI-related issues, can make an important contribution.

Recognizing the huge scope of the EI dependence issue, our intention is not to solve the problem. Rather, we will seek to contribute to global dialogue on the issue and strive to ensure that the broader EI program work is informed by the need for countries and communities to identify and develop strategies for economic diversification that reduce dependence while recognizing the rights and interests of EI-dependent communities.

## Achieving the goal

- Produce action-oriented research on steps needed to enable EI-dependent countries to diversify their economies away from EI dependence; and



- Support development of a strategy for linking SDG implementation with economic diversification in EI-dependent countries.

### Engagement Goal 3: Increased understanding of artisanal and small-scale mining's role in sustainable development (ASM)

Artisanal and small-scale mining are prevalent across the developing world and are often found in the same areas as large-scale mining projects. Some communities and civil society organizations see ASM as a more sustainable alternative to large-scale mining, one that creates more employment and direct benefits to local communities. It can also be tremendously damaging to the environment and human health due to toxic chemicals often used in the mining process and the often total lack of regulation or oversight of ASM operations. Women are particularly affected as they make up the majority of small-scale miners in some countries and are exposed to hazardous conditions and gender-based violence. ASM operations are often not formally taxed, which represents a substantial loss of government revenue.

The World Bank and other institutions have invested significant resources in recent years to support formalization and regulation of ASM in certain countries and to teach safer mining techniques. The results of these initiatives have been mixed. Violent conflict has occurred in some countries between small-scale miners that occupy land owned by large mining firms and local security forces that are called in to evict them. In many cases, small-scale miners are agricultural producers who have been displaced by large scale operations and have turned to small-scale mining as a way to restore their lost livelihoods.

ASM has not traditionally been a part of Oxfam's EI program, which has instead focused on large-scale operators, governments, and international financial institutions. And as an organization, we currently lack expertise on ASM issues. There is, however, interest among Oxfam program staff and partners to become engaged on ASM given its prevalence in many EI countries. ASM has in some contexts, such as West Africa, become an unavoidable issue when engaging on EI issues. And the link between ASM and rural agricultural livelihoods in many communities where Oxfam works also makes it a relevant issue. One potential area to explore is how to reduce conflict between large scale mining operations and ASM operators. This is an under-analyzed area to which Oxfam could make a contribution.

*Even without the urgent need for de-carbonization, fossil fuel and other EI industries are by definition unsustainable; eventually the resources will be depleted and a country may be left with nothing to replace them economically.*

### Achieving the goal

- Survey work in the ASM field to identify areas where Oxfam can add value;
- Support research on the role of ASM in local development and ways to reduce conflict between ASM and large-scale operations;
- Develop an Oxfam view on the appropriate role of ASM in development and on necessary policy reforms, including taxation issues;
- Support research on linkages between climate change, agricultural livelihood development, and ASM; and
- Establish gender justice as a core component for our recommendations on ASM.



## 4. Operational Goals





## OPERATIONAL GOALS

Oxfam's greatest strength is our committed and experienced staff. This is true of the EI Global Program, which includes a diverse group of policy, campaigning, programing, and evaluation experts. The EI Program has been in the vanguard of Oxfam's strategic focus on influencing work. Influencing is inherent in everything we do, as is making local-to-global linkages—the heart of Oxfam's Worldwide Influencing (WIN) strategy. Our field-based staff, with their deep knowledge of local politics and processes, are our biggest asset. Yet, they need training, information, and strategic support to achieve maximum effectiveness.

Oxfam country programs engaging on EI need resources to achieve their goals. This includes resources to support staff and partners in EI countries and in other geographies that are essential for EI influencing, such as Johannesburg, Addis Ababa, Beijing, New Delhi, Brasilia, Ottawa, Melbourne and Washington (as the priorities and resources of the affiliates with presence in these cities allow). We will work to increase capacity in each of these locations. The EI Knowledge Hub will be an essential component of this support network.

### Operational Goal 1:

Increased EI program staff capacity to engage on technical issues, including taxation, budget monitoring, FPIC implementation, gender, private sector engagement, and MEL

EI work is highly technical and requires specialized knowledge of issues such as contracts, international law, development economics, gender analysis, international financial institutions, and legislative processes. EI work is also centered on human rights

issues and closely linked with governance issues. It also requires an eye for strategic opportunities.

To nurture these skills and knowledge, Oxfam will formalize a staff training program through our EI Knowledge Hub, capitalizing on existing organizational expertise in private sector engagement, MEL, gender justice, program development, and policy advocacy. We will partner with a global network of technical experts, some of whom have worked inside the industry, and universities in the north and south to ensure our staff have the skills and information it needs to be effective. We will share these trainings with partners and (where appropriate) staff of other organizations.

Where appropriate, we will take advantage of relevant training programs offered by ally organizations. We will design exposure programs that will bring country-based staff to Washington, Melbourne, and other global hubs for EI influencing work and conversely send northern-based staff to spend extended periods with country staff, sharing learning, and gaining better understanding of local contexts and influencing opportunities.

An important component of our capacity-building will be on the use of information and communications technologies (ICT) for influencing work. This is a fast-evolving field and we want our staff to have access to state-of-the-art technologies and a capacity to implement them in pursuit of our strategic objectives. We will track the development of ICT as it relates to influencing, and design trainings that will enable program staff to integrate ICT effectively into strategies and project designs.

### Achieving the goal

- Develop EI program staff thematic training programs through the EI Knowledge Hub
- Monitor ICT developments and design trainings for staff to use ICTs for influencing

## Operational Goal 2:

Coordinate and expand resources for EI work at the global level and in country programs in Latin America, Africa, and Asia

The EI Global Program requires funding to make grants to partners, execute campaigns, carry out research, support travel, and hire staff. At present, funder interest in EI work is relatively high among bilateral donors and US foundations. We anticipate this trend will continue through the period of this strategic plan. Oxfam seeks to leverage this interest to ensure that our national EI influencing strategies are fully resourced.

To be effective our national strategies must be supported with resources at the global level. Our global policy and campaigning capacity directly supports national level strategies, whether targeting a major transnational corporation, northern government, or an international financial institution. Having adequate resources along the entire local-to-global influencing chain can help ensure that the global program maximizes its national and local impact.

Oxfam has made a significant investment in the EI Knowledge Hub over the past three years. The investment has helped expand the program and set the stage for high-impact influencing work in nearly 30 countries. A critical task under this strategic plan will be to clarify our medium-term vision for the growth and evolution of the Knowledge Hub. We will work with program staff, partners, allies, and funders to map out this vision for the next five years.



Watering riverside gardens in Taveng village, northern Cambodia; January. Brett Eloff, 2007

## Achieving the goal

- Support finding and securing resourcing of each Oxfam country program EI strategy
- Develop policy and campaign capacity at the regional and global levels to support country strategies
- Develop a medium-term growth and development strategy for the EI Knowledge Hub
- Ensure adequate and sustained resourcing for gender justice within each Oxfam country program



### Operational Goal 3: Strengthened program monitoring, evaluation and learning (MEL)

For the program to achieve impact, we need to hold ourselves accountable for monitoring our progress against our goals, evaluating the effectiveness of our work, and learning from the results. To achieve this, we will prioritize development of MEL capacity for the program. We will have at least one dedicated EI Global Program MEL advisor who will help us strengthen systems for continually assessing our effectiveness and learning from our efforts. To this end we will produce a comprehensive MEL framework for the strategic plan, integrate indicators into our reporting and progress reviews, and conduct a mid-term and final assessment of our progress against its goals in alignment with [OI's Common Approach to MEL and Social Accountability \(CAMSA\)](#) requirements. The results of this monitoring and evaluation system, coupled with a robust learning agenda, will help inform adjustments we may need to make throughout the period of the plan and beyond, as well as continue to build Oxfam's knowledge base.

Moreover, since CAMSA addresses overall program quality throughout all program and project cycles (identification, design, implementation, evaluation, and exit/ transition) and recognizes the design phase as critical for developing useful MEL frameworks, the EI Global Program will ensure that partners, beneficiaries, and allies are engaged in all phases of the program/project cycle. It will also ensure that good analyses (e.g., of context, gender, power, and risk) are completed and integrated into planning and theory of change development and that exit, hand over, spin-off, or transition strategies are discussed and integrated from the beginning. This will be done through the support of the EI Knowledge Hub in

conjunction with other relevant confederation, affiliate, or country-level CAMSA competency capacity building initiatives in progress.

Oxfam's work on EI over the years has produced much valuable learning for the program and for other Oxfam issue areas. Nonetheless, the dissemination and uptake of this learning could be more comprehensive. As a further component of the learning agenda linked to this plan, we will work to gather learning from throughout the program's history and synthesize it into global "lessons learned" documents to inform the implementation of this and future plans. We will also share the learning documents with external stakeholders.

Because of the EI Program's focus on advocacy and influencing, we are well positioned to contribute to further development of evaluation methodologies in this area. Our breadth and depth of experience provides a rich base for thought leadership on ways to gauge the impact and effectiveness of influencing work. To help us reflect and share our insights with others, we will connect with global dialogues and research institutes committed to MEL on advocacy and influencing.

Additionally, with the EI Program's focus on gender justice, we are well positioned to contribute to the development, application, and utilization of OI's recommended feminist Monitoring, Evaluation, Accountability and Learning (MEAL) principles outlined in Oxfam's guide, *Transformative Leadership for Women's Rights*. In this way, we will provide thought leadership and tangible examples to the confederation and beyond on applying feminist MEAL principles to gender mainstreamed programs.

### Achieving the goal

- Develop a comprehensive MEL framework for the plan, including mid-term and final evaluations, that incorporates feminist MEAL principles;
- Provide support to EI programs/projects at regional and country-levels to adhere to

CAMSA requirements and link to the EI global MEL framework;

- Produce synthesis of lessons learned through the history of the program and dissemination/utilization plan for the synthesis;
- Collect data on influencing and programmatic work that can be used for research and thought leadership purposes, and enter dialogue with other institutions focused on evaluating the impact of influencing work; and
- Contribute lessons learned to development of advocacy and influencing MEL methodologies.



Youth in Tete - Listening to the voices of resettled youth in Mozambique to make way for the Benga coal mine. The isolated location has impacted on their capacity to attend school and find work. Photo: Serena Lillywhite / Oxfam Australia, 2014



# 5. Ways of Working



Photo: Chris Hufstader for Oxfam America



## WAYS OF WORKING

As we pursue the goals in this strategic plan, it is essential to have a common understanding of *how* we work as a global program. This includes the management structure of the program, understanding the limits of our reach and where we must partner with others to achieve our goals, evaluating and managing risk, and ensuring that our work is informed by the latest and best thinking in the academic world and elsewhere. The ways of working principles set out below are intended to inform that common understanding.

### Positioning

Oxfam is in principle neither for nor against extractive industries development. We accept it as a reality in many countries and thus we direct our efforts at trying to promote better development outcomes from investments in these sectors, using transparency, accountability, and respect for human rights as our guiding principles. We believe, however, that there are situations in which the potential negative impacts from EI on local livelihoods and human rights are so significant that the best outcome for communities would be to not proceed with EI development. Therefore, we may support local CSOs that have taken a position against EI projects in particular contexts. Our work in EI Salvador is one example. We also support the right of communities to say “no” to EI as an essential component of their right to free, prior and informed consent.

### Program Management

To be effective, Oxfam’s EI Global Program will need a lean and efficient program management structure. Within the period of this strategic plan, the Global Program staff will work to develop a program structure that builds on current elements, allows for flexibility, and promotes consistency of approach and messaging. The regional EI leads will play an increasingly important role in supporting program

development and advocacy work. They will report to Oxfam International regional directors but remain connected to and supported by the Knowledge Hub. Policy staff in Washington, Melbourne, Paris and other affiliate headquarters will engage directly with the regional leads and with Oxfam country staff and partners in executing WIN strategies.

***We believe, however, that there are situations in which the potential negative impacts from EI on local livelihoods and human rights are so significant that the best outcome for communities would be to not proceed with EI development.***

Oxfam country programs will have flexibility to implement EI work within the framework of this strategic plan and other guiding OI documents, including their Oxfam Country Strategies, the OI EI Common Approach Paper, the OI Private Sector Strategy and the OI Strategic Plan. Work on EI may be embedded in other Oxfam program themes, such as governance, responsible and sustainable private sector investment, natural resource management and active citizenship. Community and partner priorities will also determine the emphasis that country programs place on particular goals within this plan. For example, in some contexts communities are strongly opposed to EI activity and thus not concerned about effective revenue management. Our strategy is designed to allow flexibility to support communities in such situations as well as those that see EI activity as a potential benefit.

The EI Global Program will seek to support as many Oxfam country programs as possible that are interested in engaging on EI. Prioritization of support will be based on a set of criteria including availability



of resources, opportunities for impacts, and local-to-global linkages. The program currently supports work in 30 Oxfam country programs. Based on the new Oxfam Country Strategies (OCS) and discussions with country teams, we do not anticipate a significant increase in country programs beyond that number. The EI Knowledge Hub will continue to play a central role in providing financial, technical, and communications support to EI country programs, within the constraints of available staff, expertise, and financial resources. Wherever possible, we will partner to leverage additional external resources to complement what we can offer internally. That leverage may come from global and regional partner organizations and their staff, and from identifying funding sources that EI country programs can pursue and advising or partnering in pursuit of those resources. Program staff will maintain continuous communication and coordination with other Oxfam campaigns and programs to ensure consistency of messaging, enhance responsiveness to political opportunities at the global and regional levels and ultimately to increase impact.

## Integration with Other Oxfam Programs and Campaigns

A top priority for work under this plan is to ensure effective integration with other Oxfam program and campaign areas, in particular climate change, land rights, and inequality. To ensure this integration, EI Program staff will collaborate with relevant Oxfam campaign and program teams on research, strategic planning, and policy development. The EI program will designate staff members as liaison points for each Oxfam program and campaign. Collaboration is already happening now, in particular with regard to confederation planning on tax justice work and on regional research on inequality issues in Latin America. More broadly, there is an increasing convergence among Oxfam campaign themes, all of which relate to EI in some way. Strong coordination and collaboration will be essential for ensuring messaging consistency and maximizing impact.

We also see a range of opportunities for collaboration between the EI Knowledge Hub and other Oxfam knowledge hubs, including the Governance and Active Citizenship and Violence Against Women (VAW) hubs. We are currently collaborating with the former to disseminate learning from our recent successful work in Ghana promoting active citizenship engagement on the IMF's bailout package to the government of Ghana. Our efforts to strengthen gender integration across the EI program are informed by the work of the VAW hub.

## Partnerships and Alliances

The EI Global Program will focus on its strengths in the EI realm (knowledge of the sector, advocacy, campaigning, and program design) and partner with other organizations with complementary skills and knowledge in other related areas. We will continue to work with key allies such as the global Publish What You Pay coalition, Global Witness, Natural Resource Governance Institute, and the One Campaign.

One area in particular where we will rely on the expertise of allies is budget monitoring. Tracking EI revenue expenditure necessarily involves engagement in budgeting. Global organizations, such as the International Budget Project, and national organizations, such as Propuesta Ciudadana in Peru, have developed deep expertise in this area. Thus, rather than attempting to create our own expertise in this area, we will seek partnerships with these organizations that can help us advance our common agendas.

Tax justice is another key issue where we will seek to further build alliances with organizations like Tax Justice Network. Gender justice is an area where strengthening existing and building new relationships with women's rights and feminist organizations can be an efficient and cost-effective way to increase our impact. In some contexts, such as Cambodia, youth movements are particularly important social actors for promoting reform of the EI sector. Our experience in engaging with youth in the EI context is relatively limited, but we believe that it is a stakeholder group

that has considerable potential to drive change in many contexts.

Donors, too, are key strategic partners for the EI Global Program. We have benefitted from the support of foundations such as Hewlett, Gates, Ford, MacArthur, and Open Society and of bilateral donors, such as the Norwegian Agency for Development Cooperation (NORAD) and the Australia's Department for Foreign Affairs and Trade (DFAT). We hope to deepen these relationships and develop new ones with other donors active in the EI space, including the UK's Department for International Development (DFID) and the Swedish International Development Agency (SIDA).

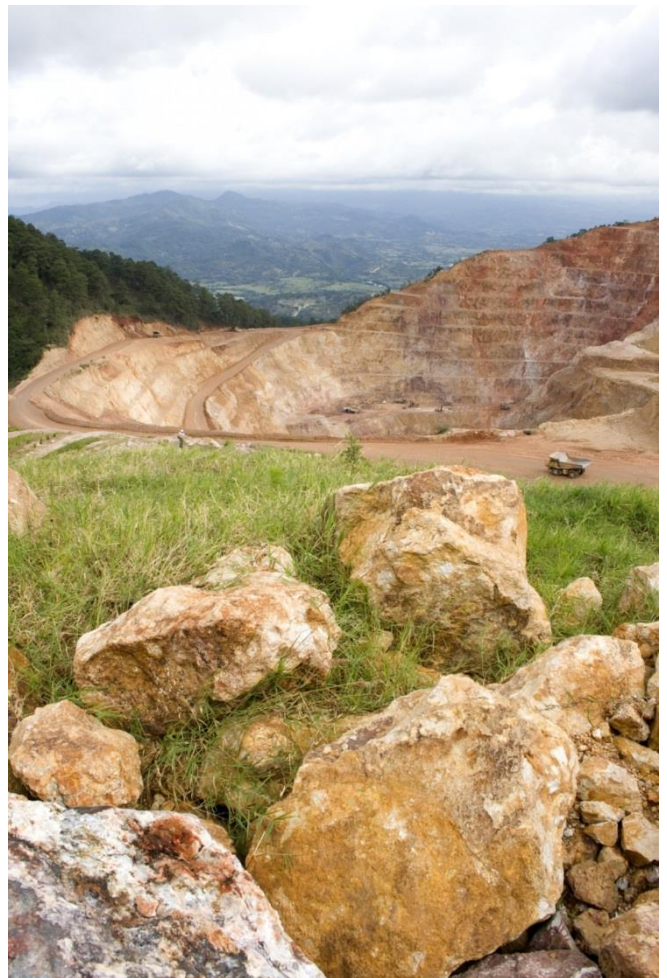
## Managing Risk

EI work can be risky. We are challenging some of the world's most powerful global actors, and this has and will continue to provoke reaction. To ensure that we are managing risk effectively, the program, via the Knowledge Hub, will develop risk management protocols. As part of these protocols, we will develop a risk assessment framework that new country programs can use to assess risks of EI work in their countries. We will also develop a rapid response to capacity to engage relevant authorities when potential threats arise. We will also explore the application of information and communications technology in this area.

## Research

High-impact research has been a hallmark of Oxfam's EI program since it began. We will continue this tradition by developing research initiatives that seek to fill gaps in strategic knowledge and that can support advocacy objectives. To produce this research, we will enhance our own program capacity and work in partnership with academic institutions, think tanks, and expert consultants. We will work to build local-level capacity to do action-oriented research by partnering with local university and researchers. We will apply innovative social media

and other communications technologies to disseminate and leverage our research for impact.



San Andres gold mine in Honduras. Edgar Orellana / Oxfam America





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