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Realizing The Potential:

Global Perspectives on Indigenous Economic Development

MAY 2014



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The Public Policy Forum is an independent, not-for-profit organization dedicated to improving the quality of government in Canada through enhanced dialogue among the public, private and voluntary sectors. The Forum's members, drawn from business, federal, provincial and territorial governments, the voluntary sector and organized labour, share a belief that an efficient and effective public service is important in ensuring Canada's competitiveness abroad and quality of life at home.

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Development of natural resources, including energy, forest products, and minerals and metals holds the promise of making a strong contribution to social and economic advancements for First Nations, Inuit and Métis peoples across Canada. Previous work by the Public Policy Forum demonstrates the desire of Aboriginal communities in Canada for more authentic partnerships with industry and governments and a more active role in these important relationships. This could also form an important element in ensuring the sustainability of the natural resources sector. A number of good practices were profiled in our 2013 publication, *Building Authentic Partnerships: Aboriginal Participation in Major Resource Development Opportunities*.

To build upon our previous work and broaden our understanding of how to enhance economic outcomes through resource development, we have examined good practices in Canada and around the world. These practices were the result of an analysis of 11 Canadian and global cases studies, and provide valuable lessons for future partnerships and economic development initiatives involving Aboriginal communities, the natural resource sector, and governments. This project represents an important part of the ongoing dialogue among leaders from all sectors on this important public policy issue.

I would like to thank our project partners: the Government of Canada, the Government of the Northwest Territories, the Government of Ontario, Cameco, Shell, RBC, New Gold, and Rio Tinto. Thanks as well are owed to the three speakers – Chris Fry of Indigenous Business Australia, John Jurrius of Native American Resource Partners, and Dave Porter of First Nations Energy and Mining Council – who travelled great distances to participate in our March 11, 2014 roundtable meeting in Toronto, and whose comments illuminated our discussions. I also wish to extend a special appreciation to Michael Wernick, Deputy Minister of Aboriginal Affairs and Northern Development Canada, for his leadership on indigenous economic development and the inspiration he has provided for the work of the Public Policy Forum. In addition I would like to thank Stó:lō writer and teacher, Lee Maracle, who graciously provided us with prayers and blessings at our roundtable in Toronto.

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David Mitchell
President and CEO
Public Policy Forum

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RioTinto





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EXECUTIVE SUMMARY

Canada's natural resource sector employs 1.8 million people and generates billions of dollars of tax revenues and royalties annually. Hundreds of resource projects are underway and many more are planned for the near future which, according to the federal government, could represent a total investment of \$650 billion. Responsible resource management has significant implications for all Canadians, with revenues from projects supporting local and regional infrastructure development and social programs.

For communities, the impact of these projects is enormous. Supply chains associated with resource extraction and development hold great potential for local economic diversification and growth, and can lead to engagement with the larger Canadian economy. Many communities where resource development is taking place are primarily Aboriginal; engaging these communities fully will be essential to realizing the potential of these projects. In some cases, this engagement will determine the success or failure of proposed projects.

Although Aboriginal communities acknowledge that natural resource development can bring significant employment and economic opportunities, they are seeking more joint planning, joint decision-making, and shared benefits. Aboriginal leaders have also made it clear that unless they are included as partners, project development

on traditional lands may be limited. Aboriginal communities are looking for a new approach to economic development, one based on authentic partnerships and trusting relationships.

Barriers to advancing indigenous economic development

While Aboriginal communities, industry, and governments are trying to establish more equitable partnerships to facilitate indigenous participation in natural resource development, several barriers remain.

Lack of trust is the easiest way to undermine partnerships. Governments and private companies must engage local communities as early as possible. They should seek to exceed baseline "duty to consult and accommodate" requirements and work on a business-to-business basis with potential indigenous entrepreneurs. Early relationship-building will also help manage expectations around the potential financial outcomes of developments, which can sometimes be unrealistic on the part of Aboriginal communities, particularly in the case of extractive resources. Partnerships should be founded on achieving everyone's objectives – government, industry and community – and these should be well understood and clearly articulated well in advance of formal project proposals.

(L-R) Chief Shane Gottfriedson (Tk'emlúps te Secwépemc), Robert Gallagher, President and CEO of New Gold, Chief Ron Ignace (Skeetchestn Indian Band)



¹ Throughout the report, the terms Aboriginal and indigenous are used interchangeably

² Those Aboriginal rights found under Section 35 of the *Constitution Act of Canada*

Related to trust and enduring partnerships, management and governance of funds by communities can vary. Governments and industry investing in communities and businesses want assurances that funds will be well managed, within well-defined governance arrangements, ideally for long-term sustainability.

Readiness and capacity are ongoing concerns for many Aboriginal communities, although these improve where there is investment in education and basic infrastructure, and with the emergence of business schools and colleges with programs to support the development of entrepreneurial skills. Over the next decade, approximately 300,000 Aboriginal youth will enter the workforce, at the same time that the resource sector is forecasting labour shortages. Today, around 32,000 First Nations, Inuit, and Métis people work in energy, mining and forestry jobs across Canada. If future generations are going to take advantage of resource sector opportunities, significant new investments will be needed in training and education.

Leadership matters. Aboriginal communities that are achieving success in economic development have strong elected male and female leaders at their core. Broad community buy-in is also critical to sustaining business development. Governments should ensure that they have strong links with the broader community, so that residents remain invested in economic development opportunities even when changes occur at the leadership level.

Aboriginal communities need access to a secure financial base if they are to participate in development opportunities. Established financing structures are often inflexible to the specific needs of indigenous-industry partnerships. There is a need to identify and develop more innovative funding approaches and options, such as “patient capital” that doesn’t demand immediate or high levels of return, or government guarantees for loans. For larger projects, public-private partnerships (P3s) could be formed, or industry could consider issuing equity shares to communities.

Canadian and global case studies

Noting these challenges, we considered 11 Canadian and global case studies which are succeeding in promoting indigenous economic development. The purpose of this work was to compare and contrast cases and identify good practices which could be used by communities, industry and governments to inform future partnerships and initiatives. The focus of the case studies was on the natural resource sector, but the identified good practices could be applied in other sectors.

In almost every case study, governance was key to success. Whether it is defining roles and responsibilities, developing a framework around shared decision-making or planning, or holding leadership accountable through checks and balances, sustainable economic development depends on strong governance mechanisms. Similarly, we saw a trend toward Aboriginal communities pursuing economic interests separately from broader social issues or rights-based assertions. This reflects a growing view that achieving long-term economic outcomes can drive other community objectives, and also that developing a business relationship with industry and governments can sometimes facilitate rights-based negotiations.

Education and employment outcomes remain a key focus for communities. We have noted interesting and innovative approaches, including incorporating industry standards into school curricula and developing direct links between community education institutions and employment opportunities. These initiatives are more about entrenching education and long-term employment into community culture, and less about reaching quotas.


Outside of Canada, we found the strongest case studies demonstrating the merits of making financing available for indigenous ventures. These organizations have found that flexible and accessible funding is one of the key enablers of indigenous entrepreneurship and financial participation in the economy, and are finding creative ways to invest, partner or provide loans. We did not find similar Canadian case studies, and consider that this is an issue which could be further explored.

Underpinning each of these case studies is the ongoing importance of strong and mutually beneficial relationships between Aboriginal communities, governments and industry. The cases where indigenous stakeholders believed that the most progress had been made were those that demonstrated strong relationships at their core. We cannot stress enough that respectful and productive partnerships are the foundation of sustainable indigenous economic development.

The case studies are outlined in detail in Appendix 1.

Summary of global good practices

As noted, a number of good practices have been identified through examination of Canadian and global case studies. These practices were chosen due to their consistency across cases. Given the number of cases that were considered, and their varying contexts and approaches, these practices are considered ‘good’ rather than ‘best’. More consultation with communities, industry and governments should be undertaken before determining these practices as ‘best’; however, they provide a firm foundation for ongoing discussions on how to facilitate improved indigenous economic development.

 GOVERNANCE	<ul style="list-style-type: none">• Establish relationships as early as possible• Separate politics and business• Develop and establish good governance arrangements
	<ul style="list-style-type: none">• Make finance accessible and tailored to indigenous entrepreneurship• Establish joint ventures to help build capacity• Leverage partnerships with other indigenous communities
	<ul style="list-style-type: none">• Invest in diversified training and education programs• Create pathways from school to jobs• Develop long-term community plans, including a strategy for royalties

Summary of principles

In addition to examining distinct good practices that may be applicable to other indigenous economic development opportunities, we also sought to identify some key principles that underlie successful development. These are broadly reflective of the case studies and previous work, and are endorsed by project participants. Leaders should be aware of how these principles add value to partnerships.


PRINCIPLES
<ol style="list-style-type: none">1. Establish and maintain productive, mutually respectful relationships.2. Be proactive in driving indigenous economic development as a priority.3. Understand culture, land rights, and historical treaties when considering business opportunities.4. Strive to achieve standards that surpass laws and regulations.5. Understand the potential social and environmental impact of projects.6. Ensure that business opportunities make sense from a commercial perspective and benefit everyone.7. Build long-term sustainability into agreements: focus on the capacity to benefit future generations.

INTRODUCTION: THE IMPORTANCE OF INDIGENOUS ECONOMIC DEVELOPMENT

Canada is a resource-rich nation, and much of our prosperity is owed to this natural wealth. However, development of these resources brings to the fore social and economic issues relating to Canada's Aboriginal peoples, whose traditional territories have provided the raw materials for our resource-based economy since the historic days of the fur trade. Development of natural resources, including oil and gas, forest products, fisheries, and minerals and metals, has the strong potential to enhance the wellbeing of First Nations, Inuit and Métis communities across the country. Aboriginal communities have expressed a strong desire for authentic partnerships on projects and an active role in shaping their development. As the resource sector expands and evolves, the need for human capital with expertise in the local environment will enhance the influence of Aboriginal communities and help ensure the success of projects. Aboriginal perspectives and priorities on sustainable development and environmental practices are therefore paramount.

The need for governments, companies, educational institutions, and non-profit organizations to engage with First Nations, Inuit and Métis on natural resource development is clear. The ability of these projects to contribute to the quality of life and sustainability of these communities is also apparent. The challenge lies in how to foster mutually productive relationships that can help support responsible, sustainable development.

In the past 40 years, we have seen a significant evolution in indigenous participation in the resources sector. Compared with the 1970s, when their involvement was largely restricted to entry-level employment, training opportunities, and environment protection, today's communities are achieving sophisticated buy-in provisions, equity grants and even outright ownership.

The media and the general public often focus on the negative impact of natural resource development; images of angry demonstrators and polluted landscapes have become a staple of modern journalism. However, there are also success stories from the field that can be shared and should be celebrated. As the December 2013 report from the Charrette on Energy, Environment and Aboriginal Issues noted, Aboriginal communities, the resources sector and governments are learning from the past and developing new and innovative partnerships and approaches to help drive indigenous economic development. We need to learn from these successes and build on them if we are going to fully realize the potential of Canada's resource wealth.

Why global perspectives?

The Public Policy Forum's 2012 project, Building Authentic Partnerships: Aboriginal participation in major resource development opportunities, offered several recommendations. These included: the need to focus on partnership development and human capital; enhancement of community control over decision-making; promotion of entrepreneurship; and, increasing community financial participation.

The authentic partnerships report for this project also highlighted the desire of Canadian leaders to continue the dialogue by considering domestic practices with global comparative perspectives. Canada is not the only resource-rich country with an engaged indigenous population. Australia and the US, for example, have strong resource sectors and vocal Aboriginal communities. Emerging economies in South America and elsewhere are also creating new pathways for increased participation in economic development. To understand these new trends and to strengthen Canadian practices, a comparison of global good practices is called for.

Our approach

The Public Policy Forum worked with partners to identify Canadian and international case studies that represent examples of successful indigenous economic development in the natural resource sector. We sought case studies from a variety of industries and indigenous communities. These include the forestry, mining, and oil and gas industries with small and large communities, and sometimes partnerships involving several communities. While these case studies highlight different types of projects and contexts, with varying capacities and approaches, interesting patterns emerged, indicating there are lessons to be learned and applied to future initiatives.



Rio Tinto Alcan Weipa's mid-year intake of local Aboriginal trainees, 2013.

(L-R) Back: Kurtis Gibson, Maurice Burke, Anthony Gibson, Brian Sambo Messa, Leonard Yusia, Carol Yamashita and Rio Tinto Alcan Weipa workplace mentor, William Busch. Front: Shiona Budby, Marion Callope, Selicia Brumby, Barbara Bandicootcha, Charlene Boxer and Romina Pambegan.

The following case studies were selected for consideration:

1. Indigenous Business Australia, Australia (Aboriginal business investment)
2. Rio Tinto, Australia (bauxite mine)
3. Barrick Gold, Australia (gold mine)
4. Native American Resource Partner, US (financial analysis and business support)
5. Anglo-American, Chile (financial support for small and medium enterprises)
6. Taan Forest Products, Canada (Haida-owned fine wood product company)
7. Cameco, Canada (uranium mine)
8. New Gold, New Afton, Canada (copper and gold mine)
9. Rio Tinto, Kitimat, Canada (aluminum smelting)
10. Shell, Step Forward, Canada (education initiative)
11. International Model Forest Network, Sweden and Canada (sustainable forestry)

For each case study, we sought to speak to at least one indigenous, one government, and one industry representative. We reviewed responses concerning four pillars:

- Governance (mechanisms of project governance, community role in decision making, regulatory oversight, government input)
- Broader economic impacts (human capital development, full value-chain economic impacts, community benefits, opportunities created for entrepreneurship)
- Community engagement (how the development engages with the local community, financial participation)
- Gender-based analysis (engaging indigenous women in economic development opportunities)

GOOD PRACTICES: LESSONS TO INFORM FUTURE PARTNERSHIPS

Based on the interviews, we identified a number of proposed good practices. These were shared with interviewees upon completion of our analysis, and represent their views of why they believe their initiatives have achieved a degree of success.



Good practices

- Establish relationships as early as possible
- Separate politics and business
- Develop and establish good governance arrangements
- Make finance accessible and tailored to indigenous entrepreneurship
- Establish joint ventures to build capacity
- Leverage partnerships with other indigenous communities
- Invest in diversified training and education programs
- Create pathways from school to jobs
- Develop long-term community plans, including a strategy for royalties

Many stakeholders are invested in indigenous economic development in Canada and globally. Given the impediments to sustainable change in many communities, the good practices identified below provide valuable strategies for overcoming these barriers, and lessons to inform future partnerships and initiatives.

Governance

Develop and establish good governance arrangements

A partnership or venture is more likely to succeed and be sustainable if the roles and responsibilities of all the parties are well defined and understood. And while governance is often interpreted and related to decision-making, authentic partnerships also mean sharing planning, benefits, and decision-making. The capacity to establish governance mechanisms varies, and the assistance of experts can contribute to the development of community learning and expertise.

Each of the case studies noted that governance arrangements were established to oversee agreements among industry, governments, and communities. More often than not, governance bodies included representation from all stakeholders with responsibility for areas such as business, education, training, and the environment. Governance arrangements made negotiations simpler and more streamlined, established long-term relationships, and provided a framework to discuss important issues.

Governance bodies have provided a space for Aboriginal communities to express what is important to them, and for governments and industry to understand and appreciate their concerns regarding land management and cultural issues.

Separate politics and business

Entrepreneurial Aboriginal communities are increasingly separating business arrangements from historical grievances related to land and resource claims and other community aspirations, such as environmental or educational initiatives. While such aspirations may often be essential to indigenous economic development, communities are more likely to be able to deliver on them (education and training particularly) if business operations are successful and producing long-term sustainable income.

Rights assertions remain a critical component of self-determination, but communities are seeing the merits of pursuing potential economic development opportunities independently of broader rights issues, particularly when present and future business opportunities are not directly connected to past tensions. Communities and industry have also seen instances where progress on economic opportunities has facilitated resolution of rights assertions through an economic lens.

The exception to this occurs when Aboriginal rights are directly related to project development and economic opportunities, in which case they should ideally be reconciled well in advance of project proposal reviews. Industry and governments both have important roles in these instances, and need to understand both the historical context and communities' expectations and grievances.

Taan Forest Products, an Aboriginal-owned company, has worked hard to maximize its economic returns as a fledgling forestry company. Taan is managed by the Haida Enterprises Corporation (HaiCo), a foundation for the economic development of the Haida Nation in British Columbia. HaiCo is overseen by a board of directors that includes industry and indigenous experts, business leaders, and respected elders. While the board reports to the community (its primary shareholders), the Haida Nation keeps HaiCo operations separate from broader community issues. The governance structure is based on the well-known Cornell study out of Harvard University, which recommended that politics and economics be differentiated. The community chose to pursue this arrangement in part due to the foresight of its leadership, but it is also a result of learning from other indigenous companies' failures and successes.

Establish relationships as early as possible

Too often, industry and indigenous communities meet for the first time at a negotiating table. While governments and communities often have long-standing relationships, the industry component is sometimes neglected. The more successful initiatives we observed were attributed to strong relationships established many years before formal negotiations began.

Some cases used protocols to guide relationship-building, but others noted that simply initiating informal but respectful relationships greatly facilitated negotiations when the time came. Indigenous communities have also found it easier to engage potential partners when they can articulate their long-term objectives for resource development at an early stage.

Although formal negotiations were the official means by which the native title owners (the Wiradjuri people) and **Rio Tinto Australia** established their governance arrangements for the Barrick Gold mine in Australia, the genesis of the relationship was much earlier – almost 10 years ahead of formal discussions. Both Barrick and the Wiradjuri attribute the success of their partnership to the work that Barrick did well before exploration began; this being to establish relationships with local indigenous groups, to understand who had

a stake in the mining operation and to share information and planning ideas. Barrick conducted several tours of the land in the preceding years, and although there is no local town or community, Barrick sought out interested communities in the surrounding region. Barrick's consultations were not only with the Aboriginal community, but also with conservationists and farmers, to ensure that all interested parties had access to the same information. This approach meant that the formal Native Title Application to the government to approve the mine was the end of the relationship building process, not the start.

Broader economic impact

Make finance accessible and tailored to indigenous entrepreneurship

Indigenous entrepreneurs have often found the inflexibility of traditional banking institutions challenging and a barrier to opportunities. Access to capital is absolutely critical to community participation in the economy, and some communities are finding that international partners are presenting better options for funding than Canadian institutions.

Organizations are emerging in other countries that are structuring financing options to support indigenous economic development. For example, some institutions are providing loans with longer repayment terms, accepting lower rates of return on investment, and entering into equity arrangements to facilitate indigenous ownership. Some financial institutions are also pursuing co-partnering arrangements, so that financing is provided alongside business development support.

Indigenous Business Australia (IBA), a federal government Crown corporation, has the goal of promoting self-management, self-sufficiency, and economic independence for indigenous partners by building and maintaining sustainable investments. In order to achieve these outcomes, IBA provides financial assistance to partners, tailoring investment structures to suit each individual investment and maximise both financial and indigenous economic development outcomes. For example, funding is provided with a longer timeframe than a private equity firm would demand, and IBA is willing to achieve a lower rate of return. This flexible approach to financial assistance means that the broadest possible groups of indigenous stakeholders can access IBA's services.

Anglo-American, a UK-based multinational mining company, works with communities close to its

operations to foster entrepreneurship and support local growth-oriented companies. In its operation in Chile, Anglo-American faced considerable difficulties in finding financial institutions willing to partner in managing credit portfolios or delivering subsidized loans to community-based entrepreneurs. Anglo-American did not have the capacity to distribute loans, yet its operations were too large to engage in micro-financing. Consequently, it provides five-year credit to qualified entrepreneurs at an interest rate of approximately 10-11%, representing 50-75% less than the market rate.

Establish joint ventures to build capacity

Capacity is one of the biggest factors inhibiting economic growth for many Aboriginal communities. To take advantage of opportunities, some communities are entering into joint venture arrangements with industry or business sector partners. The benefit is two-fold: the community gets access to development opportunities, and industry can achieve its business objectives while supporting indigenous economic development. Further, this is believed to be the best way to transform capacity long-term. Communities can partner and learn for as long as necessary, then either buy out the partnership or pursue other opportunities as sole ventures.

Native American Resource Partner (NARP) is a private equity enterprise specializing in partnering with American Tribal Nations and Canadian First Nations to finance resource development opportunities. In addition to providing capital, NARP helps partners develop capacity and skills.

NARP provides the initial expertise to incubate a resource development project; once the project is secure, it mentors partners with a view toward ownership. NARP grew from work that its founder, John Jurrius, undertook developing natural gas properties on the Southern Ute Indian Reservation in Colorado in 1986, in partnership with the Southern Ute Tribe. Mr. Jurrius became a financial advisor to the Tribal Council in 1996, where he served until 2001. Throughout this period, the tribe's financial resources were significantly expanded. Mr. Jurrius realized that this co-partnering model could be extended to other indigenous groups, to assist them in structuring deals with industry and to participate in the development of natural resources.

Leverage partnerships with other indigenous communities

While some resource development opportunities affect only a single community, many more involve several groups at the same time. Not only does this make negotiations longer and more complex, but communities have also found they can be diluting the potential of partnerships by competing with each other for business opportunities. By developing partnerships among themselves, Aboriginal communities are able to strengthen their negotiating position, and also provide the scale that industry often requires for major resource projects. Companies can benefit from such an approach because they are dealing with a single entity and can channel their economic development efforts more effectively.

In the 1990s, several Athabasca communities in northern Saskatchewan realized they had profited

Members of the Southern Ute Indian Tribe range division in Colorado collaborate on a contract project on the eastern edge of the Pagosa Springs Reservoir.



very little from the almost \$2.5 billion in capital infrastructure invested in the region from 1950 to 1990. They also understood that they would be in a better position to leverage future opportunities as a single entity. **The Athabasca Basin Development (ABD)** company was established as a means for all the communities to work together and benefit from the ongoing operations of the resource sector in the region. With seven communities under one structure, ABD has been able to attract better investment and partnership opportunities. However, it took almost two years to establish an overarching governance structure and agreement on profit distribution. The eventual governance structure – a five-member board, with three from the First Nations and two from the settlements – was a result of working with like-minded Aboriginal groups.

Community engagement

Develop a long-term community plan including a strategy for royalties

Successful Aboriginal communities are making royalty payments work for them. Rather than allocating payments immediately to residents, communities are developing long term investment strategies to ensure intergenerational sustainability. Communities are also pursuing non-resource business opportunities, diversifying their economic portfolios to reduce reliance on a single partner or project.

The Western Cape Communities (WCC) in North Queensland, Australia, is working to ensure the economic viability of its communities lasts beyond the life of mining operations in the region. In 2011, the WCC published its investment strategy, outlining a direction for its trust's royalty investments, which is projecting an estimated \$AUD150 million in retained funds by 2022. The investment strategy is the first of its kind in Australia, and took three years to complete to ensure compliance in legal, tax and governance matters. It demonstrates the communities' focus beyond natural resource developments and on ensuring their sustainability.

Create pathways from school to jobs

Many communities face their greatest challenges in translating education and training into jobs. Communities see the best outcomes when they provide a clear pathway from school to work opportunities. For example, building trade training into high school programs, or tailoring school curricula to meet industry requirements for employment, could provide more career options for students. Relationships between industry and communities are critical to the success of this approach, so that communities can tailor education and training programs to best suit industry needs.

In 2006, Rio Tinto Australia and the high school closest to its Northern Queensland mine operations, Western Cape College, formed a partnership to better nurture and support local talent. Rio was keen to attract more young Aboriginals to its workforce, and the College wanted to develop a clearer pathway from school to work by integrating the company's input into the college curriculum. This partnership resulted in the Building Our Local Talent (BOLT) strategy which links school-based programs with industry requirements. Not only are students (Aboriginal and non-Aboriginal) better placed to meet the mine's entry requirements, but indigenous student participation in the program has increased by 50% since the partnership was established. Rio and the College also provide support in the form of mentoring and counselling for young Aboriginals as they transition into the workforce. Rio, the Queensland Government, the College representatives and local Aboriginal groups sit on a governance board that oversees the school's activities.

Invest in diverse training and education programs

While many employment opportunities have emerged from the natural resources boom, communities and industry have acknowledged that not everyone wants to pursue a career in the sector. A singular focus on equipping Aboriginal youth to pursue natural resource opportunities can undermine a community's capacity to achieve healthy economic diversification. Increasingly, investments are being made in programs to support educational opportunities in other areas. Proponents of this approach have found that diversifying education and training opportunities is helping to create communities with more broadly qualified individuals, which is important to long-term sustainability and decreasing community reliability on a single resource or sector.

The **Wiradjuri Scholarship Program**, supported by Barrick Gold Australia and the Wiradjuri Condobolin Corporation in New South Wales, Australia, has helped 19 young Wiradjuri people to attend university. While the scheme supports education and training that could lead to employment at the Cowal mine, Barrick and the community recognize that not everyone wants to work in the mining sector. The program is therefore designed to support individual aspirations, and has funded education in several fields, including teaching, nursing, exercise science, community service, media and communications, and geriatric care.

Gender

Also, indigenous economic development should be considered from a gender perspective. When economic development fails, the devastating fallout of poverty and violence is disproportionately felt by women. In contrast, it is often women who benefit most from additional opportunities. Natural resource development therefore has a significant impact on indigenous women. As they are increasingly involved in driving community development, women should be engaged as important participants in initiatives seeking to transform communities. Governments, industry and communities need to ensure that indigenous economic development considers the impact on whole populations, to the benefit of women, men, and youth.

PRINCIPLES

In addition to examining distinct best practices that can apply to indigenous economic development opportunities, we sought to discern the key principles that underlie successful development. In 2009, the Canadian federal government released its *Framework for Aboriginal Economic Development*, which included recommendations to strengthen Aboriginal entrepreneurship, develop human capital, and create more effective partnerships with provinces and territories and with the private sector. Industry associations such as the Forest Products Association of Canada and the Prospectors and Developers Association of Canada have also developed principles for engaging communities and contributing to sustainability. The principles listed below are broadly reflective of previous work, and are endorsed by project participants, who note that leaders in indigenous economic development should be more aware of how such principles add value to partnerships.

1. **Establish and maintain productive, mutually respectful relationships.**
2. **Be proactive in driving indigenous economic development as a priority.**
3. **Understand culture, land rights, and historical treaties when considering business opportunities.**
4. **Strive to achieve standards that surpass laws and regulations.**
5. **Understand the potential social and environmental impact of projects.**
6. **Ensure that business opportunities make sense from a commercial perspective and benefit everyone.**
7. **Build long-term sustainability into agreements: focus on the capacity to benefit future generations.**

CONCLUSION

This project, along with previous work by the Public Policy Forum, demonstrates that Aboriginal communities are keen to move beyond their historically dependent relationships with governments. Given the possibilities presented by the natural resource sector, now is the time to begin building new, transformative and sustainable relationships. This will take time, patience, and the acceptance of some limited risk on behalf of stakeholders. However, we are confident that this could also fundamentally and positively impact Canadian indigenous economic development.

Aboriginal communities need to know that they can successfully participate in long-term sustainable business opportunities that will realize benefits for future generations. In order for this to happen, industry and governments must consider longer-term approaches to partnerships and investments. And Aboriginal communities need to acknowledge their responsibility to drive economic opportunities through their own leadership and initiative.

The role of governments should move beyond back-stop and funder to one of helping Aboriginal communities develop their own diversified, sustainable economies, empowering them to move more confidently towards becoming an integral part of the broader Canadian economy and drivers of future prosperity.



APPENDIX 1: CASE STUDY REPORTS

Rio Tinto, Australia – bauxite mine

Good practices

- Acknowledging traditional ownership of the land as the starting point in establishing the partnership.
- Establishing strong governance arrangements for every aspect of the partnership.
 - Each sub-committee has Western Cape Communities Coexistence Agreement (WCCCA) and Rio Tinto representation equating to equal decision making.
- Developing investment strategies for royalty payments, which ensures strategic investments focused on future generations.
- Providing a clear school-to-jobs pathway by linking curricula with industry requirements.
- Establishing excellent environmental management and reclamation practices, ensuring sustainable development.
 - Weipa has a 1:1 policy for its environmental management plan, whereby for every hectare of disturbed land for mine operations, one hectare is fully reclaimed.

Background

This case study provides a realistic history of resource sector engagement with traditional owner groups in Australia in the early to mid-20th century. It also demonstrates what is possible if indigenous groups are fully engaged and able to pursue economic development.

The Weipa mine is located in Weipa, the largest town on the Gulf of Carpentaria coast of the Cape York Peninsula in Queensland, Australia. The town only exists because of the enormous bauxite deposits along the coast. Formerly an Aboriginal reserve, the “*Comalco Act of 1957*” revoked the community’s reserve status, giving the Comalco company 5,760 km² of Aboriginal reserve land on the west coast of the Peninsula and 5,135 square km² on the east coast of Aboriginal-owned (though not reserve) land.

When Comalco’s operations began in the 1960s, it was during a time of particularly repressive Queensland legislation. At this time, the government had the right to confine or expel any person within any reserve or Aboriginal institution, which Comalco used to justify the removal of Weipa Aborigines from the region surrounding the mine. In the ensuing years, traditional owner groups were largely excluded from benefiting from the mines operations or leveraging economic development opportunities. A catalyst for change came in the form of the 1996 Wik decision by the Federal Supreme Court, which determined that the Queensland’s granting of pastoral leases did not constitute exclusive use of the land and therefore did not extinguish native title.

The Western Cape Communities Coexistence Agreement (WCCCA), signed in 2001, marked a significant turning point in relations and gave traditional owners a seat at the table with the mining sector. The WCCCA was 10 years in the making and was also demonstrative of a broader shift in indigenous relationships with the resources sector across Australia. Since then, the community and Rio Tinto have developed a strong working relationship, with traditional owners praising the company’s ‘turnaround’. Rio has made significant progress in its other operations in Australia, including the largest native title land use agreement in Australia’s history in 2011, which involved traditional owner groups affected by the Western Australia Argyle diamond mine.

Governance

Rio Tinto was one of the earliest resource companies to accept native title and to incorporate it into their engagement with the local Aboriginal communities. Rio Tinto Australia has an overarching Reconciliation Plan which outlines the company’s approach to native title and indigenous land use agreements, and this was applied at the mine level in Rio’s approach to negotiating its agreements with Aboriginal communities – the starting point for negotiations is that traditional owners’ have legal right to the land.

Although Native Title determines that local Aboriginal people must have access to the land to which they are legally bound, this is not exclusive use. Native Title also allows that where there is a conflict in the exercise of Aboriginal rights to the land, some native title rights are subordinate to those of other land users. By acknowledging the legal rulings of Native Title in their Reconciliation Action Plan and committing to work with indigenous communities, Rio and the local Aboriginal community have been able to move beyond legal discussion to build a genuine partnership.

The WCCCA is of the largest of three agreements Rio Tinto has with the local Aboriginal community around the mine's operations. It was the most significant in changing the relationship between industry and the traditional owners, as it gave the local Aboriginal people a seat at the table with the mining sector for the first time. The agreement is an Indigenous Land Use Agreement and was registered with the National Native Title Tribunal. The WCCCA is between 11 Traditional Owner Groups, four Shire Councils, Rio Tinto, the Queensland State Government and the Cape York Land Council on behalf of the Native Title Parties.

The agreement recognizes traditional ownership and provides support for Rio Tinto's activities in return for land use, and provides a range of benefits including employment, training, cultural heritage and site protection, cultural awareness, support for ranger programs and educational bursaries, relinquishment of land, and a royalty stream to charitable trusts for community benefit purposes. The agreement also sets out a number of obligations on all parties, particularly the Traditional Owner Groups and Rio Tinto Alcan, and took more than five years to complete.

Governance arrangements have been established for the body overseeing the WCCCA, as well as for working groups which focus on education, training, and the environment. Each of these governance bodies includes representation from Rio Tinto, the relevant traditional owner groups, and the government (state or federal) when relevant. All parties considered that these governance arrangements made negotiations simpler and more streamlined, as they established long-term relationships and provide a framework for discussion of important current and ongoing issues. These governance bodies have provided the space for traditional owners to express what is important, for the government and Rio Tinto to understand and appreciate concerns, and to respond and manage the land appropriately.

Broader Economic Benefits

While negotiations were initially driven by native title, the Agreement is very comprehensive and goes well beyond royalty payments. Improving education outcomes and providing training and employment opportunities are the key areas of focus for the local Aboriginal people and Rio Tinto, and several initiatives are underway to achieve these objectives.

One hundred and thirty-eight local Aboriginal people are currently employed at Weipa, about 13% of the entire workforce; staff turnover is between 11-12%. Rio Tinto has an objective of 17% local Aboriginal employment and 27% total indigenous employment. In an effort to achieve these goals, Rio Tinto runs a local Aboriginal person training program for local Aboriginal residents only. The program has been running for more than 10 years and guarantees a mine job upon successful completion, whether full time or a fixed-term contract. Both Rio Tinto and the traditional owner representative noted that this commitment is critical, and that training is not simply for training's sake. The traineeship program admits on average 35 trainees every year.

In 2006, Rio Tinto and the local high school, Western Cape College, formed a partnership with a view to better support local talent. Rio Tinto was keen to attract more young Aboriginals to their workforce and the Western Cape College wanted to develop a clearer pathway from school to work by integrating the mine's input into its curriculum. This partnership resulted in the Building Our Local Talent (BOLT) strategy which links school-based programmes with industry requirements. Not only are students (both Aboriginal and non-Aboriginal) better placed to meet Weipa's entry requirements, but indigenous student representation has increased by 50% since the partnership was established. Rio and the College also provide support in the form of mentoring and counselling for young Aboriginals as they transition to the workforce. Rio, the Queensland Government, College representatives and local Aboriginal groups sit on a board which oversees the school's activities.

Rio Tinto also runs school-based traineeships and apprenticeships. If a student maintains 85% attendance and C+ average grades, s/he is able to undertake one day a week on the job training with Rio Tinto. Students in this program are also offered the opportunity to work at the mine during their school holidays. About half of the students who take up this opportunity are Aboriginal, and Rio Tinto has seen the interest shift from entry level positions to trade roles, as local Aboriginals gain a better understanding of the range of employment options available.

Beyond activities to boost employment and education outcomes, the WCCCA is also working to ensure the economic viability of its communities beyond the life of mining operations in the region. In 2011, the WCCCA published its investment strategy, outlining a direction for its Trust's Royalty Investments which is projecting an estimated \$150 million in retained funds by 2022. The investment strategy, the first of its kind in Australia, took three years to complete

to ensure compliance in legal, tax and governance matters. It demonstrates the communities' focus beyond Weipa's operations and on ensuring their sustainability.

The Government also has a Regional Partnership Agreement covering the Weipa region, to which Rio, the Government and the Minerals Council of Australia are signatories. The RPA is focused on delivering non-mining related employment and provides assistance to local businesses by providing coordinators, funding mentors, and encouraging local businesses to employ local Aboriginal people. Rio Tinto believes that this program is critical to the communities' long term sustainability as it diversifies the economic base of the region and provides training and employment opportunities outside of the mining sector.

Community Engagement

Rio Tinto has committed to working closely with the traditional owners to protect the environment. At least one to two years before any excavation activities, Rio Tinto archaeology teams work with the traditional owners to understand the cultural values of the land. Through this process, cultural sites of significance are identified and protected. Rio Tinto also has a policy of 1:1, whereby its objective is to close one hectare of land for each hectare that is cleared for new operations. The East Weipa mine will be closed in the coming years, so the local Aboriginal people and Rio Tinto are working together to plan the land's final rehabilitation. The mine keeps baseline data on local flora and fauna, which is used in rehabilitation activities.

All mine employees are required to undertake cultural awareness training, in order to better understand the culture of the Western Cape region. This training includes learning the means through which the local Aboriginals communicate (non-verbally) and about taboo relationships. This training was developed in consultation with the local elders.

Gender

Between 24-26% of Weipa's total employment base is female, but the mine does not specifically keep records of Aboriginal female representations. While Aboriginal women are well represented in negotiations and discussions with industry and government – for example, the head of the WCCCA is a woman – they are less well represented in employment.

When local Aboriginal women do access the training program and are hired by Rio Tinto, in a majority of cases they outperform their male counterparts. This is because they are more likely to have completed their high school education and are more focused on further study. Moreover, of the local Aboriginal employers who have been promoted from entry level positions at Weipa, most are female.



Indigenous Business Australia, Australia – Aboriginal business investment

Good practices

- Making financing accessible to Indigenous communities.
- Always providing business support, such as training and mentoring, in tandem with equity financing.
 - IBA does not provide only loans to businesses; rather, their model requires that the applicant accepts IBA's partnership in their management structure and mentoring and business support over the life of the partnership.
- Tailoring support (financial or otherwise) to the individual cases, there is no 'one size fits all' approach.

Background

Indigenous Business Australia (IBA) was initially established as the Aboriginal and Torres Strait Islander Commercial Development Corporation to assist and enhance indigenous self-management and economic self-sufficiency through a strong indigenous presence in mainstream economic activities. It commenced operations with a capital base of around \$AUD10 million and was subsequently funded across its first four years at \$AUD10 million per year. Following a series of reviews of Aboriginal economic development programs, the organisation's enabling legislation was amended in 2001. The intent of these amendments was to provide a clearer commercial focus, and allow for a closer relationship and better partnership between the public and private sectors. With these changes IBA was able to make housing and business loans and grants, and give guarantees. The powers of IBA were significantly extended, allowing it to determine the terms and conditions of grants and loans where it was satisfied that the loan would further the social, economic or cultural development of Aboriginal people and Torres Strait Islanders.

Governance

When IBA invests in companies, it applies a comprehensive set of governance principles. These principles are similar to the ASX Governance Principles, but are specifically tailored to ensure indigenous economic development outcomes are delivered and that these outcomes are the focus of decision making. Businesses in which IBA invests are required to identify and act upon risks and opportunities facing indigenous people and communities in their area of operations. These businesses must also report on beneficial outcomes generated for indigenous people and where possible promote employment and development opportunities. In partnering with IBA, businesses also agree to establish supply chain partnerships with indigenous businesses and related organisations where opportunities benefiting indigenous people are identified.

Broader Economic Impacts

IBA's goal is to promote self-management, self-sufficiency and economic independence for indigenous partners by building and maintaining sustainable investments. In order to achieve these outcomes, IBA provides a longer timeframe than a private equity firm would and is willing to achieve a lower rate of return. IBA is also able to tailor an investment structure that suits each individual investment and maximise both financial and indigenous economic development outcomes. This flexible approach means that the broadest possible groups of indigenous stakeholders can access IBA's services.

For example, IBA has established a real estate investment trust for indigenous groups or individuals who wish to make an investment to diversify their portfolio or ensure intergenerational benefits from their assets, but are unable to make the kind of significant contribution required to establish their own business. For the real estate investment trust, an individual, family or traditional owner group needs \$AUD500,000 to participate and this investment is placed in the trust across a spread of assets. Investors collectively share the benefit and risk with IBA and investments can be retrieved twice a year. IBA has assessed that there is between \$AUD10-40 billion in assets in indigenous communities across Australia. While most of these groups have the objectives of growing and maintaining their assets to ensure the sustainability of their communities, a majority of the assets are in cash. IBA's investment trust provides a means for indigenous groups to pursue this objective with a partner who supports their community's aspirations.

IBA also seeks to build indigenous capacity through knowledge sharing. The organization recently ran a training day with the CEO of the Commonwealth Bank (one of Australia's largest banks), who is also the Chair of Australia's Future Fund. IBA sponsored seven indigenous organizations to learn about investment principles particularly focused on indigenous

focused less on return on investment and more on ensuring indigenous economic development objectives are achieved. This change in organisational culture means that IBA is more flexible in its partnerships and more willing to pursue alternative funding models.

From Carey Mining's perspective, there were a number of reasons why they chose to partner with IBA. First, IBA and Carey Mining share similar objectives in promoting indigenous employment and economic development opportunities. Further, IBA provides a very different kind of investment to that of a bank. The Convertible Redeemable Indigenous Bond (CRIB) mechanism, through which IBA has invested in Carey Mining, is a new and innovative means by which to facilitate financial and economic development outcomes. In this investment approach, Carey Mining can buy back and redeem the bond within five years if it is able. IBA's objective is to always have the indigenous partner buy out its share of the investment. What sets IBA apart from other private equity firms is that it is always a willing seller of its equity stake and will keenly facilitate an increased share for its indigenous partners, as well as complete divestment by both partners.

Carey Mining hopes to leverage its IBA partnership to pursue opportunities aligned with both organizations' mutual objectives of indigenous economic development. Carey Mining is considering an iron ore mine partnership as its next venture, and as part of this business opportunity would like to establish Australia's first Aboriginal mining academy. Given that IBA is also seeking to achieve Aboriginal employment, training and business outcomes, it would be a logical partner for the academy. This is just one idea, but encapsulates why Carey Mining chose IBA over the traditional banks. Carey Mining considers IBA to be a partner, rather than a funding mechanism, and an organization that it wants to continue working with to support Aboriginal communities and indigenous economic development. This partnership is reflective of the work that IBA does to be the partner of choice for indigenous entrepreneurs.

Barrick Gold, Australia – gold mine

Good practices

- Building genuine partnerships based on mutual respect and common objectives well ahead of plans for exploration.
- Establishing agreements that are driven by employment, training and quality of life objectives for the indigenous community, rather than royalty payments.
- Investing in future generations and having a transition plan to ensure long-term sustainability of the community.
- Pursuing economic opportunities beyond the mining partnership to create a more diverse sustainable economic future.

Background

Barrick is a gold mining company operating mines and advancing exploration and development projects on four continents. Barrick Gold Corporation reached a Native Title Agreement with the Wiradjuri Condobolin Native Title Claim Group in 2003. The Wiradjuri Condobolin Corporation (WCC) was established in 2003 to implement the provisions of the Ancillary Deed on behalf of Native Title Party, and to create a better quality of life for the people of the Wiradjuri Condobolin community.

The Cowal gold mine is located in Central New South Wales, Australia, approximately 32 kms north of West Wyalong and approximately 350 kms west of Sydney. Cowal is an open pit operation, mined by a fleet of dump trucks, excavators and ancillary equipment.

The Wiradjuri people have inhabited the area known as New South Wales for at least 40,000 years. At the time of European colonization, an estimated 3,000 li Wiradjuri lived in the region. Their country extends from the Great Dividing Range in the east, and is bordered by the Macquarie, Lachlan and Murrumbidgee rivers. The Wiradjuri nation is the largest cultural footprint in NSW, and the second-largest geographically in Australia. Condobolin is the home of the Kalarie people, lower Lachlan region, and is considered by other Wiradjuri communities to be the heart of the Wiradjuri nation.

Governance

Although formal native title negotiations was the official means by which the native title owners (the Wiradjuri people) and Rio established their governance arrangements, the genesis of the relationship was much earlier – almost 10 years ahead of formal discussions. Both Barrick and the Wiradjuri attribute the success of their partnership to the work that Barrick did well before exploration began, to establish relationships with local indigenous groups, to understand who had a stake in the mining operation and to share information and planning ideas. Barrick conducted several tours of the land in the preceding years, and although the closest community is 130km away, Barrick sought out interested communities in the surrounding region. Barrick's consultations were inclusive of the Aboriginal community, conservationists and local farmers; the objective was for all interested parties to have access to the same information. All interviewees agree that the Native Title Application between Barrick and the Wiradjuri people was the end of the relationship building process, not the start.

The Native Title Agreement took 18 months to negotiate and contains several provisions relating to employment, cultural heritage management, training and business development. The Wiradjuri people were very clear that they wanted to establish a long-term partnership with Barrick to achieve employment and quality of life outcomes. The indigenous community was not interested in a transactional royalties-based agreement, as they did not believe yearly payments would achieve community development or transformation. They based this approach on lessons learned from other Australian indigenous communities.

The Agreement established the WCC, which represents the Native Title owners and is responsible for the implementation of the agreement. The WCC is 100% indigenous and includes representatives of the local communities. The Aboriginal CEO is not from the Wiradjuri nation, but he has specific skills the community wanted. The Agreement also established two governance committees – one for employment training and business development opportunities, which meets every two months, and one for environmental monitoring. Both of these committees have representation from Barrick and the WCC, and decisions are made jointly.

Broader Economic Impacts

While the WCC has a limited role in day to day operations of the mine, it has a close relationship with Barrick management providing a mechanism for discussions of opportunities and issues, including employment and business development for the local communities. Through this relationship, the Corporation is able to influence Barrick's internal policies. For example, the 2013 local purchasing policy was co-developed so that not only are local vendors prioritized, but indigenous ownership is taken into consideration. The local employee policy has also been developed to ensure that support is provided to local indigenous people through the employment processes. Barrick and the WCC work together to identify potential candidates, assist them in applying, and mentor them through the early period of employment.

Under the Native Title Agreement, the Wiradjuri Scholarship Program has supported 19 young Wiradjuri people to attend university. In 2012, two scholarships were awarded in collaboration with the WCC. Cowal's total investment in the Wiradjuri scholarships to date is almost \$AUD75,000. While the scheme supports education and training that could lead to employment at the Cowal mine, Barrick recognizes that not everyone wants to work in the mining sector. The program is therefore designed to support individual aspirations and has funded education in several fields, including teaching, nursing, exercise science, community service, media and communications, and geriatric care.

In conjunction with this scholarship scheme, and recognizing that not all community members would like to pursue education opportunities through traditional routes such as universities, the WCC, Barrick and Charles Sturt University worked together to develop the concept of a community training centre. In 2011, with the assistance of Barrick funding, the WCC opened the Wiradjuri Study Centre. The Centre is designed to support socio-economic opportunities of the local indigenous people through culturally appropriate employment and training programs. The WCC has ambitious plans for the Centre, including turning it into a school for the mining industry in New South Wales or developing a certified cabinet and furniture industry training program, in partnership with Technical and Further Education (TAFE) or the local high school. The WCC is also working with Charles Sturt University to consider options for registering the centre as a potential tertiary education facility. The centre would therefore be an education and training facility for the wider regional community, and provide potential long term income for the WCC.

The WCC is focused on the potential of its younger generations and is working hard to improve school attendance and high school completion. The WCC is already seeing some success through its school-based traineeship, which since its inception has recruited 100 young indigenous trainees. The program not only provides the opportunity to learn new skills, but also prepares young Aboriginals for the transition from school to employment. This program has been credited for achieving a significant increase in attendance. In 2013, 18 young Aboriginals graduated from high school, and 13 have gone on to attend university, significantly more than previous years. Through the federal government, the WCC has secured funding for three years for an advisor to work with the centre to create other programs to help young indigenous community members complete high school. For those who show promise, the WCC runs a program to bring the youth back to the community to be 'learning directors' on the WCC Board of Directors. This is part of the WCC's efforts to establish a succession plan by equipping the younger generation with the right tools.

While capacity in the region was limited at the outset of the WCC's partnership with Barrick, it has grown considerably in the past ten years and the community is focused on leveraging partnerships to expand the Corporation and to decrease its reliance on the mining sector. The WCC has undertaken several joint ventures with more experienced partners in order to access contract opportunities. For example, the WCC won a major tender for the supply of freight, transport and logistics services to the Cowal Mine site through a partnership with Linfox, a major transport operator. This project will be the first of its kind for any indigenous origination in the country and the WCC hopes to build on this experience to access other transport contracts. The WCC has a similar partnership with the local council for composting services.

The WCC has also pursued its own business ventures and has established a furniture shop. This opportunity grew from local interest in the pine furniture produced by a woodwork and cabinet-making course run by the WCC. The business now sources furniture from across Australia and provides a cost-effective means by which local people can buy furniture and pay it off in installments. All proceeds from the shop are funneled back into the WCC for the eventual benefit of the local community. The WCC has contracts for cleaning and postal services. The WCC is investing in an economic strategy that will make the community sustainable beyond the life of the mine and works closely with Barrick for advice and to leverage business contacts.

Community engagement

The WCC established the Wiradjuri Cultural Heritage Company, which Barrick has engaged to manage Wiradjuri heritage protection activities during the mine's development and operation. The Cultural Heritage Management Plan facilitated the development of a Ground Disturbance Procedure (GDP) for the Cowal mine. This GDP is a comprehensive process that invites Wiradjuri people visiting the site to complete on-the-ground assessments, ensuring no cultural heritage materials are damaged. At the height of mine development activities, more than 60 Wiradjuri cultural heritage field officers, working with qualified archaeologists, were responsible for identifying and preserving many artifacts found at the site. When the mine shuts down, Barrick has committed to work with the Wiradjuri cultural heritage officers and archaeologists to return the artifacts that were removed to culturally-appropriate locations.

Cross-cultural understanding is an important element for encouraging employment opportunities at the mine site but also to foster a culturally-sensitive work environment for indigenous and non-indigenous employees. The Wiradjuri Cultural Heritage Company, owned by the WCC, provides a cultural awareness introduction course for all new Barrick employees and contractors at the Cowal mine. The training is designed to help employees and contractors understand the issues linked to indigenous peoples and assist them in understanding the importance of the partnership with the Wiradjuri people to the Cowal mine's ongoing operations.

Gender

All interviewees consider women the driving force of change in the Wiradjuri community. Of the WCC's 30 employees, 16 are women; of the five WCC board members, three are women. Female indigenous leaders are the most vocal group and are focused on improving community wellbeing. A recent indigenous health, obesity and lifestyle program attracted 45 locals, 35 of which were women. Interviewees considered that women see the need for change and are proactive in achieving it. Women form the majority of university-educated community members, primarily in the teaching and mental health professions.

Native American Resource Partner, US – financial analysis and business support

Good practices

- Make financing available to indigenous communities through an equity interest in a co-partnered company.
- Develop capacity and skills over the life of the co-partnering arrangement so that the indigenous communities are eventually able to achieve economic sovereignty.
- Work with the community to not only increase returns on the investment, but also provide for long-term socio-economic needs.

Background

The Southern Ute Indian Tribe has historically occupied land in Southwest Colorado. The current Southern Ute reservation covers 1,059 square miles in three counties at the edge of the Juan Basin. This land sits on one of the world's richest deposits of methane found in coal seams.

Native American Resource Partner (NARP) is a private equity enterprise specializing in financing resource development opportunities with Native Americans and Canadian First Nations. Its founder, John Jurrius, began developing natural gas properties on the Southern Ute Indian Reservation in 1986 and began to partner with the Tribe to facilitate acquisitions on behalf of the Southern Ute's oil and gas production company. Mr. Jurrius became a financial advisor to the Tribal Council in 1996, where he served until 2001. Throughout this period the Tribe's financial resources were significantly expanded. Mr. Jurrius realized that this co-partnering model could be extended to other indigenous groups, to assist them in structuring deals with industry and to participate in the development of natural resources

Governance

For the past three decades, the Southern Ute Tribe has exercised a high degree of control over the development of its natural resources. In 1974, the Tribal Council made the decision to stop issuing natural gas leases to external developers. This moratorium was motivated by the concern that the tribe was not receiving sufficient compensation for the resource development activities taking place on its lands.

Following an extensive survey of existing and under-utilized natural gas deposits on their reservation, the Council authorized the creation of Red Willow Production Company in 1992. This business purchased old natural gas leases from external developers and increased the production capacity of natural gas wells. Recognizing that Red Willow could benefit from the expertise of a financial advisor, the Southern Ute Tribe sought the help of Mr. Jurrius, who is now the President of Native American Resource Partners (NARP).

This marked the start of a nine-year partnership between the Southern Ute Tribe and Mr. Jurrius. Beginning in 1992, Mr. Jurrius supervised acquisition on behalf of Red Willow. He also facilitated joint ventures between financial investors and the Southern Ute Tribe, allowing the tribe to access new sources of financial capital. In 1996 the Tribal Council appointed Mr. Jurrius as their financial advisor, a position he held until 2001.

In 1999, the Tribal Council adopted a financial plan to separate its business interests from its day-to-day operations and governance structures. This led to the creation of the Southern Ute Indian Tribe Growth Fund in 2000. With guidance from Mr. Jurrius, the Growth Fund began to manage the tribe's growing portfolio of companies and financial investments independently. While the Tribal Council still retains ultimate authority, the managers of Growth Fund now determine how the tribe's revenue should be spent and invested.

Broader economic impacts

The Southern Ute Tribe currently enjoys economic sovereignty and is instigating several initiatives to support future generations. Much of the tribe success stems from the creation of the Southern Ute Indian Growth Fund in 2000. Today the Growth Fund manages a portfolio of ten businesses in areas such as oil and natural gas production, natural gas

transportation, renewable energy, and real estate development. Many operate well beyond the borders of the Southern Ute reserve. The Red Willow Production Company, for example, operates more than 1,800 oil wells in nine states and in the Gulf of Mexico. This regional diversification ensures that the Southern Ute community will continue to prosper long after the natural resources on their lands have been depleted. While the precise value of the Growth Fund has not been made public, it is reported to exceed \$USD4 billion. Distributions of dividends are made to every band member 25 and older.

Community engagement

The creation of a Growth Fund has led to new educational opportunities in the Southern Ute community. For example, the tribe now provides several scholarships to students based on grade point average, and will provide tutor support if required. In partnership with the education department, the tribe has also set up a vocational trade training program, summer training programs and internships. While band members usually receive their portion of the Growth Fund dividends at age 25, as noted above, youth can access the funds earlier if they have completed their high school or GED (General Education Development) diploma. This creates an incentive for young tribe members to complete their secondary education, developing the capacity of Southern Ute residents.

Anglo-American, Chile – financial support for small and medium enterprises

Good practices

- Natural resources development corporations should not only seek legal compliance, but should also obtain and maintain a social license to operate. This could be achieved by:
 - adopting a long term, post-closure vision of its operations; and
 - expanding support to business-unrelated initiatives, such as improving non-mining employment opportunities.
- To build and maintain trust-based relationships with local entrepreneurs, economic enablers should ensure that the mentoring and credit managing components of their programs remain separate.

Background

Anglo American is a UK-based multinational mining company and one of the world's largest producers of platinum group metals, diamonds, copper, nickel, iron ore, and metallurgical and thermal coal. With significant operations on six continents, Anglo American seeks to help host communities become more prosperous by fostering entrepreneurship and providing support to local growth-oriented companies.

In 1989, Anglo American launched its first Enterprise Development program in South Africa. This flagship project is called *Zimele*, a Zulu word meaning “to stand on your own two feet”. It helps develop small and medium enterprises’ (SMEs) operations through a holistic approach combining financial, technical and capacity-building support, including equity investments. Following this work, Anglo American has sought to replicate this scheme in other regions to assess its applicability.

Inspired by *Zimele* but tailored to regional social and economic contexts, the *Emerge* Enterprise Development program was launched in Chile in 2006. *Emerge* is comprised of two projects: a partnership with Fondo Esperanza (Hope Fund), a microfinance institution, to provide loans primarily to women; and *Emerge Promoting Businesses*, a training, mentoring and credit program for local entrepreneurs (since 2007).

Anglo American has gone beyond legal compliance to develop a social strategy to gain the acceptance and trust of the host communities. Anglo American was able to present itself as a developing partner by obtaining and maintaining its social license to operate, and more specifically by implementing the four following objectives:

- Build relationships based on trust with stakeholders (“Engagement”)
- Mitigate social risks and minimize impacts (“Risks and impacts”)
- Ensure that social criteria are adequately considered in decision-making across the company (“Internal alignment”)
- Leave a net positive benefit (“Social development”)

The *Emerge* program is part of this strategy and serves as a catalyst to drive long-term and sustainable economic development.

Governance

In the first phase of *Emerge*, Anglo American worked in partnership with Adolfo Ibañez University in Viña del Mar, Chile, to deliver a training program for local entrepreneurs. Through this program, students had access to a monitoring and credit program managed entirely in-house by Anglo American's Chile team. The internal structure of this early model proved less than ideal as the mentors' dual role as advisors and credit collectors often put the relationships they had built with their mentees at risk. As a result, Anglo American partnered with TechnoServe, an international enterprise development NGO, to facilitate the counsel of mentees, and with GetCash, a professional loan collector, to ease the credit collection process. This new strategy allowed Anglo American to maintain trust-based relationships with the mentees, increase its capacity-building resources, and better adapt its services and support to the mentees' needs.

In addition to early structural challenges, Anglo American faced considerable difficulties finding financial institutions willing to partner in the managing of the credit portfolio and help delivering subsidized loans to local entrepreneurs.

Anglo American's Chile team found itself in a position where it did not have the capacity to distribute loans, yet its operations were too large to engage in micro-financing. Consequently, Anglo American now provides a five-year credit at an interest rate of approximately 10-11%, representing 50-75% less than the market rate.

Community engagement

From 2006 to 2013, the *Emerge* Enterprise Development programme has supported almost 47,000 local entrepreneurs, of which 87% are women. Most have taken advantage of the Fondo Esperanza microenterprise programme, while 492 entrepreneurs (55% women) have received training through *Emerge Promoting Businesses*. Building on this success, recent changes were introduced to increase the program's involvement with more vulnerable populations, including women. Anglo American implemented a third phase of its *Emerge Promoting Businesses* program that significantly relaxed the requirements for enrollment. While the program's previous phases required candidates to hold at least a high school diploma, the new model now allows all entrepreneurs without academic training to enroll in the first two levels. The development of a three-tiered program allows Anglo American and its partners to offer tailored mentoring and individual support to its clients. Anglo American is now assessing new strategies to scale up its operations. It hopes to soon run two annual programs, increasing its overall capacity to 300 entrepreneurs a year.

In addition to promoting local entrepreneurship and skills development, Anglo American's Chile Strategy also focuses on improving the quality of education and improving local infrastructure, such as local water management and housing conditions. For example, Anglo American has recently completed a multi-year commitment to support the local NGO *Un Techo Para Chile* (A Roof for Chile) in eliminating shanty towns in Santiago. The model, which committed \$USD3 million to improve the living conditions for 4,660 families in 63 shanty towns, has been since exported to numerous other countries in South America.

Broader economic impacts

Since its inception in 2006, the *Emerge* Enterprise Development Program has generated considerable positive outcomes for the local communities. It has engaged over 7,000 local entrepreneurs and SMEs, 340 medium-sized businesses with Fondo Esperanza, and helped support 35,534 jobs. Through this continuous support, Anglo American has given host communities the tools to ensure their long-term growth and financial autonomy.

The business training course also promoted positive self-esteem within its participants. Many entrepreneurs reported feeling great pride upon graduating from the program.

Taan Forest Products, Canada – Haida-owned fine wood product company

Good practices

- Investing time and effort in establishing strong governance structures with clear lines of responsibility.
- Hiring the right people to build the capacity of the community.
 - Understand that you may need to go through a learning phase.
- Learning from other similar communities and apply their lessons learnt.
- Having a long term strategy and vision for the community.
- Separating business aspirations from the community politics.
- Diversifying your economic base to ensure you aren't reliant on a single venture.

Background

Taan Forest is a wholly-owned subsidiary of the Haida Enterprises Corporation (HaiCo), all shares of which are held by the Council of the Haida Nation on behalf of the Haida people of British Columbia. Taan Forest was registered in 2010 and began logging and forestry operations in late 2010. All of its operations, except for its custom cutting lumber program, are based on Haida Gwaii. The island's population is about 4,500 people, of which approximately half are Haida. Since 2010, Taan has grown considerably and is now a multi-million dollar business supporting the economic aspirations of the Haida. Sales in 2012 were \$22.5 million, and were forecast to be \$35 million in 2013 from logs and lumber produced. The success of the business is credited to strong governance arrangements and a determination to invest in a sustainable future for the Haida Nation.

Governance

Taan Forest Products is managed by HaiCo, a foundation for the economic development of the Haida Nation established in 2009. HaiCo is overseen by a board of directors appointed by the Council of the Haida Nation. The board of directors is a mix of First Nations and industry experts, business leaders, and respected elders. While the board of directors reports to the community (its primary shareholders), the Haida Nation keeps the operations of HaiCo separate from broader community issues. The governance structure is based on the well-known Cornell study out of Harvard, which recommended that politics and economics be differentiated.

The Haida Nation very openly acknowledges that its capacity to develop a business was limited at the time of establishing Taan Forest Products and the economic corporation. The Haida hired experts who could assist and teach them, thus increasing community capacity. The CEO of the Board is a former forestry industry CEO, and other board members are economists and business executives. The Haida Council has largely given HaiCo free reign to improve the community's financial sustainability. This governance arrangement is in part due to foresight on the part of the Haida Nation, but is also the result of the Haida leadership watching other First Nations and indigenous companies fail or succeed and paying attention to what worked and what didn't.

Broader economic impacts

Taan Forest Products has 18 employees, but also employs around 150 loggers on a seasonal basis and 12 engineers. Both Taan Forest Products and the economic corporation are expanding employment opportunities for the Haida community. While Taan is the biggest company under HaiCo, the corporation also runs several West Coast resorts, tourism operations, and a commercial-scale aquaculture initiative. HaiCo's mandate is to maximize employment before profit; however, all interviewees agreed that in the initial years, the focus has been on growing the businesses to ensure it is sustainable. As such, most profits are reinvested into the ventures.

This determination to grow the Haida businesses is also reflected in the tendering arrangements for contracts. Haida bids are given priority, but only if their quote is competitive and they are fully qualified for the job. Should an external bidder be awarded the contract over a Haida organization, they are required to hire on-island. In this way, employment opportunities for Haida are maximized and Haida businesses benefit from a competitive tendering process. Even accounting for this competitive process, more than 40% of Taan's contractors, based on hours worked, are of Aboriginal descent.

Neither Taan Forests nor HaiCo provides training, but they work closely with the community and their employees to understand training and education needs and then partner with government and other organizations. The government runs or supports several training programs, with a focus on education for younger Haida. A high school program provides opportunities for students to work in the forests and to understand what career options are associated with natural resources on the island. This program has about a 20% success rate in encouraging a career in the natural resource sector. A non-profit, the Haida Gwaii Education society, in partnership with the University of British Columbia, provides 3rd and 4th-year university students with the opportunity to come to the island. By working closely with the community and seeing the practical application of their studies, the students understand where they could work on the island in the future. The program offers 20 places a year, and at the moment one is occupied by a Haida student. The organization hopes to attract more local students in the future.

HaiCo is also focused on building Haida capacity and promoting from within. Taan Forest Products recently hired a temporary general manager. The short-term (12 month) nature of the contract is so that the temporary GM can work with a promising Haida employee who is almost ready to undertake the GM role, but needs more time to build his capacity and business smarts. The temporary GM has been hired not only to run the company, but also to mentor the Haida employee, with a view to him filling the position in the long term. This process is reflective of the Haida's goal to build capacity through knowledge transfer and experience.

Community engagement

Although HaiCo is driving economic development, a letter of expectation between the Council of the Haida Nation and HaiCo outlines the respective roles and responsibilities of each party, and records performance expectations, policy decisions and strategic priorities. The community is therefore intimately involved and consulted in every aspect of the community's economic development and while day to day operations are largely business as usual, there is extensive communications about major projects.

Taan also invests in communications with its owners and stakeholders, including running its own website, making news announcements and giving media interviews. Taan and HaiCo both report quarterly to Haida meetings of shareholders on its activities and plans, and annually on achievements and targets. HaiCo has a quarterly newsletter that is distributed throughout Haida Gwaii and to Haida living off-island.

The Haida Nation has also established a strict regime about how the land is managed, ensuring not only environmental sustainability but respect for cultural sites. Taan Forest Products has been assessed during forest management and certified gold for forest stewardship. This ranking has been maintained since. Interviewees agreed that Taan has one of the strictest environmental management policies in Canada. Environmental licenses for the rest of the island (and other operators) are also decided in consultation with the Haida Nation.

HaiCo recently established a donations policy for the community. Although the corporation wants to stay profitable, it also wants to be a good corporate citizen. The corporation provides \$40,000 a year to positive community causes, with a preference for youth activities.

Gender

All interviewees agreed that gender is not a barrier to economic participation for the Haida Nation. Two of the Haida representatives on the HaiCo board are women, and of Taan's permanent employees, four women are in leadership positions. Interviewees agreed that there has definitely been an improvement in the engagement of women in the past 10 years and are hopeful that this trend will continue. Eighteen of the 20 students in the Haida Gwaii Education society program are women, representative of a shifting trend in the resources sector.

Cameco, Canada – uranium mine

Good practices

- Recognising the importance of community buy-in and establishing an impact management agreement which was far reaching and one of the first resource-community agreements signed in Canada, with preferential support for Athabasca Basin organisations.
- Separating negotiations over land use (including compensation and environmental protection) from business development opportunities.
- Establishing an umbrella company across several indigenous groups to build a greater leverage and provide industry with a single point of negotiation.
- Reinvesting distributions back into the business, rather than immediately paying out community benefits.
- Establishing mutually beneficial partnerships with industry where both parties work together to identify and leverage growth opportunities.
- Implementing long term education, training and employment initiatives which have developed community capacity to better engage with the mining industry.

Background

The Athabasca Basin hosts the world's richest high-grade uranium deposits. The Northern area covers almost a quarter of Saskatchewan and a small portion of Alberta, and currently supplies about 20% of the world's uranium. The region is also the home of seven First Nations communities. The region is the most inaccessible and least developed area of Saskatchewan. Only the southern fringe is accessibly by road, and none of the communities in the area have all-weather road access.

Athabasca Basin Development is owned by the seven communities in the Athabasca area. The company was established to maximize local community participation in the opportunities in the mining industry. The Athabasca Basin Development is an investment company with 10 sub-companies that supply and service the uranium companies operating in the region, including Cameco and Areeva. Founded in 2002, the company has grown to employ over 1,200 people, and recent consolidated revenues exceeded \$100M.

Cameco is one of the world's largest producers of uranium, and has been operating in the Athabasca basin for several decades. Cameco's exploration investment is focused in the basin and the company holds a dominant land position. Cameco has been working with the indigenous communities informally for many years. In 1999, 450 indigenous employees, representing about 45% of the site operations workforce, made Cameco a leading industrial employer. In 2013, the Prospectors and Developers Association of Canada awarded Cameco its Environment and Social Responsibility Award for its efforts to train, educate and recruit in northern communities, and its policy to prioritize northern-owned businesses for procuring goods and services.

Governance

Following a government opportunity in the 1990s to fill a road maintenance contract, the Athabasca communities realised that they were in a better position to bid for the contract as a single entity. They also realized that they had profited very little from the almost \$2.5 billion in capital infrastructure invested in the region from 1950 to 1990. The Athabasca Basin Development (ABD) company was established as a means for all the communities to work together and benefit from the ongoing operations of the resources sector.

With seven communities under one structure, they have been able to attract better investment and partnership opportunities. However, the concept of working as a unified group took time to negotiate. Although the community leadership was committed to the idea, they lacked business acumen. The final governance structure – a five-member board with three residents from the three First Nations and two from the settlements – was a result of working with like-minded indigenous groups to understand what worked and what didn't. However, it took almost two years to confirm the governance arrangements and to agree on distribution percentages between the communities. This structure has been successful for the company over its 10 years of operations, and the ABD provides advice to other communities seeking to establish similar organizations.

At the same time, Cameco and Athabasca Basin were working to establish a relationship which would in 1999, after six years of negotiations, translate into an Impact Management Agreement, one of the first of its kind signed in Canada. This agreement provided the structure for Cameco to not only ensure that the Athabasca people were compensated for the operations on their land, but to also go further to support ABD aspirations through preferential contracting and employment, as well as support for ABD's ventures outside the mining industry. Several working groups were established under the agreement with responsibility for environmental management, employment and training. Each of these committees has two members from the three First Nations and four from the smaller communities. These committees were very effective early in the IMA's life, but both Cameco and ABD agree that the IMA could be updated, in part reflecting how much time has passed, but also to update the governance model and provoke clearer guidance around roles and responsibilities. It is a testament to the strength of the partnership between Cameco and ABD that both groups were happy to renegotiate and update the agreement.

Broader economic impact

Capacity issues were a challenge early in the life of the ABD. While the community leadership had a clear vision of what it wanted to achieve, establishment of the investment company was largely driven by an adviser, which the community was able to fund through a federal government grant. Initially, when bidding for contracts, the company developed joint venture arrangements, partnering with more experienced businesses. Through these partnerships, the ABD leveraged experience and trained up Athabasca staff. Capacity within the company has developed extensively over the 10 years it has been in operation. It has gradually been able to phase out some of the joint ventures, and is taking more of a leadership role in contracts. While some contracts remain partnerships, the ABD has 100% ownership over several security contracts.

The company has also recognised that all its revenue cannot come from Cameco, and is looking at opportunities in other regions. The ABD's decision to reinvest a majority of its profits has allowed it to diversify its economic base. There were no dividends paid to the community shareholders for the first five years of the company's operations, and even now, the distributions are modest. This business model has meant that the ABD can grow the company and consider opportunities outside the Basin, including South Saskatchewan and the Oil Sands. The objective is to ensure that the company survives beyond the life of uranium mining in the region. Cameco considers that the ABD is one of only a few indigenous companies which has gone beyond its local industries to access other opportunities, and is supporting these efforts by providing contact points in other companies and references for ABD's work.

The ABD also decided early in its operations to separate its operations from the community's broader relationship with industry. To be successful, interviewees asserted that you cannot be a chief or councillor, you must be a shareholder. Every decision cannot be made with community consensus, and sometimes the aspirations of the community can be at odds with the business. Similarly, the ABD is staying out of the negotiations for the revised Impact Management Agreement. It provides advice on mining operations and financial issues to the community negotiators, but will not speak for the community's needs or wishes. The ABD has found that by separating these interests, it is able to negotiate with industry from a non-emotive stance.

A lack of skilled tradespeople in the community remains a concern, but Cameco undertakes an annual needs assessment to understand the barriers to employment and identify where training should be focused. All interviewees stressed that there needs to be a job or opportunity at the end of training. Lots of indigenous employees are in entry level positions, but there is a concerted focus on improving trade skills, particular for the next generation. Cameco supports these efforts through several mechanisms. Some contracts are set aside so that Cameco can work with the community to understand what it can undertake. The mining company also has evergreen contracts that need filling year round, such as catering, housekeeping and security, providing consistent revenue and matching community skills. ABD is involved in every evergreen project.

Community engagement

The focus of ABD's board of directors in the early days of the corporation was on maximising returns and diversifying the economic base to ensure sustainability. Due to this direction, ABD has conceded that it did not work as hard to engage the community and communicate the objectives of ABD and the benefit of the corporation. Today ABD is keeping the community better informed about its activities, and has also committed to invest more in community infrastructure by funding investments that advance the community capacity, such as the recent purchase of a cell tower.

Cameco noted that in negotiations for the new IMA, it has become clear that not everyone in the community understands what Cameco or the ABD do. Both have committed to improve their engagement and communications so that the community understands its role as a shareholder, and what benefits are provided through the original IMA. ABD is also taking a more public role in distributing dividends, so the community has a transparent view of its finances.

There has been some investment in traditional culture, and Cameco is developing a program to support language training to preserve traditional languages. Cameco also supports traditional lifestyles with a flexible work schedule, allowing indigenous employees to attend ceremonial events. Cameco also runs a site elders program, employing elders at the mine to provide advice and guidance.

New Gold, Canada – copper and gold mine

Good practices

- Governments and companies should engage indigenous groups in the development of legal framework and agreements.
 - This allows local interest and concerns to be addressed in the early stages of the project development. Shows initiative and good faith on the part of all stakeholders.
- Various communication channels should be established to ensure effective information exchange.
 - Create multiple opportunities for the indigenous community members and leadership to engage with each stakeholder, including at the executive level.
- Corporations should invest in long-term skills development through learning and employment opportunities.
 - A variety of opportunities can equip the indigenous workers with tools allowing them to sustain themselves and the community after the closure of the mine

Background

New Gold Inc. is a multinational mining company with gold, silver, and copper assets in North and South America and Australia. These include the New Afton copper-gold mine in the south-central interior of British Columbia, approximately 10km from Kamloops. This region is part of the traditional territories of the Tk'emlúps and the Skeetchestn First Nations bands. Consultations for the project began in 2007, and New Afton achieved commercial production in the summer of 2012. The site employed 493 people by the end 2012, 74% of whom were recruited from the Kamloops area. Members of the local bands received their first production-based royalty payments in 2012.

Governance

New Gold has made a concerted effort to include local indigenous communities in the development and operation of the New Afton mine. Consultations with the Tk'emlups and Skeetchestn bands, jointly represented by the Stk'emlupsemc te Secwepemc Nation, began five years before the mine opened. Chiefs and councilors from the bands met with government and New Gold representatives to discuss their concerns and expectations. The parties negotiated agreements on air quality monitoring, wildlife conservation, and cultural protection. These were enshrined in the New Afton mining permit, issued in 2007.

New Gold and the Stk'emlupsemc te Secwepemc Nation also signed a Participation Agreement in 2008. This legally binding document established protocols for land management, water quality, post-mining reclamation, and site access. It also guaranteed job creation, skills training, and businesses opportunities for band members. The agreement is overseen by a joint implementation committee that facilitates information sharing. Committee members include executive-level representatives from each band and the mine's First Nations coordinator. These individuals meet on a monthly basis to ensure that any issues are addressed quickly and efficiently.

Community engagement

Prior to the development of the New Afton mine, local communities had limited knowledge of or exposure to the mining industry. New Gold attended community events to address any questions or issues raised by the Tk'emlups and Skeetchestn bands. It also organized information sessions, sponsored workshops, and hosted mine tours. Grievance procedures were established to respond to the concerns of the community throughout the life of the project. For example, a feedback hotline allows community members to voice their comments; complaints receive a response from New Afton's environment and social responsibility manager within one working day.

Opportunities for exchange are particularly prevalent on the issue of environmental protection. According to the terms set out in the mining permit, an environmental monitoring board has been established. This committee provides an arena for New Gold and members of the Stk'emlupsemc te Secwepemc Nation to share information about the site's environmental performance. With the lifespan of the mine estimated at approximately 12 years, New Gold has established a final reclamation plan that will include wildlife considerations and soil management, so it can "leave behind a positive legacy for local bands and local communities."

Broader economic impacts

The New Afton mine has already generated positive financial outcomes for local First Nations communities. Many of these outcomes stem from the Participation Agreement, which granted preferential contract status to band members and businesses. Nearly a quarter of employees at New Afton identify as First Nations, and many are members of the Tk'emlúps and Skeetchestn bands. Local band businesses also provide essential services, including environmental monitoring, catering, and site maintenance, earth-moving, ore-hauling and tree-felling. In 2012 alone, the businesses within the Stk'emlupsemc te Secwepemc Nation generated more than \$14.5 million in revenue through contracts with New Gold.

In addition to generating immediate economic benefits, the New Afton project has supported the long-term wealth of local First Nations communities by providing opportunities for capacity-building. To support the growth of band businesses, New Gold has provided the support and expertise of its finance, human resources, and environmental teams. It has also recently added a First Nations development coordinator position to the mine site, whose role will be to work with band members to help them access economic development opportunities.

New Gold has also worked with the British Columbia Aboriginal Mine Training Association to develop an on-site underground miner training program. This unique eight-week course has graduated over 120 students since its inception, including 40 individuals who identify as First Nations or Aboriginal. New Gold has established scholarships and bursaries to help local band members participate in the underground miner training and other educational opportunities.

Beyond this, New Gold has strived to enrich the local communities by funding various sports, health, and community groups. In 2012, the company made approximately \$150,000 in charitable donations through programs such as the Tk'emlúps Pow-Wow Society, the Skeetchestn Traditional Summer Pow-Wow, and the Nature Conservancy of Canada.

Gender

In 2012, 58 of New Afton's 493 employees were women (11.7%). Attention was paid to recruit Aboriginal women. Motivation was found to be a key factor in increasing the participation of women in the workforce, especially by encouraging them to either return to school or find on the job training.

Rio Tinto, Canada – aluminum smelting

Good practices:

- Establishing a relationship protocol first.
 - Rio and the Haisla First Nation took time to forge a strong, positive relationship by gradually building trust, resulting in the 2010 Agreement.
 - The first meeting cannot be at the negotiating table.
- Agreeing to a long-term relationship – by signing a 30-year agreement, the community has financial security for many years, but also the time to expand and secure the Trust for future generations.
- Making education a priority, recognizing that the benefits will extend beyond the life of the mine

Background

Kitimat is a coastal community in northwestern British Columbia, in the Regional District of Kitimat-Stikine. The town of Kitimat came into existence in the 1950s, after the Government of British Columbia invited Alcan to develop hydroelectric facilities to support one of the most power-intensive of all industries, aluminum smelting. The company built a dam, a 16 km tunnel, a powerhouse, 82 km of transmission line, a deep-sea terminal and a smelter. The company also designed, laid out and assisted with the initial construction of the municipality.

Like most operations of the time, Alcan did not consult local Aboriginal people, and displaced several communities to developing the smelter. Until the late 1990s, the company and the local community had a poor relationship, and it wasn't until the duty to consult decisions that the groups began to work together to understand how the smelter could benefit local indigenous groups. Kitimat covers a large territory, encompassing several First Nations. The Haisla First Nation was the most forward-thinking, and was the first to instigate discussions about realizing economic development opportunities.

Governance

Rio Tinto and the Haisla Nation began to establish a relationship in 2001, following the Delgamuukw decision. At this time, the Haisla began to question the merit of cancelling resource projects in their region, and wondered whether they could work with the sector to realize economic outcomes. At the same time, Rio Tinto, like many resource companies, could no longer ignore the implications of its operations on indigenous communities. Due to the long and fractious history between the resources sector and the First Nations groups in Rio Tinto's area of operations, both groups acknowledged that it was important to establish governance arrangements to support relationship building well before negotiations could begin on a possible economic partnership. In 2001, Rio Tinto and the Haisla First Nation established a relationship protocol as a framework for discussions and a means to support the development of community connections and even personal friendships.

All interviewees stressed that the relationship protocol, together with the patience to build a relationship, was critical to the realization of the formal agreement almost 10 years later in 2010. By taking the time to build trust and strong relationships, the Haisla First Nation and Rio Tinto were able to negotiate a 30-year legacy agreement, which consents to Rio Tinto's operations in return for employment and training initiatives, environmental stewardship, procurement contracts, and compensation payments. The Agreement itself took more than three years to negotiate. The negotiation capacity of the Haisla community at the time was limited, so Rio Tinto funded a legal advisor. Both groups ensured that the same people were at the table for the duration of negotiations as the capacity of the group developed over time. The Agreement is overseen by a joint committee of Haisla and Rio Tinto representatives, with six members and two alternates who meet on a regular basis to monitor activities. The group also attends community meetings on a semi-regular basis. The 30-year agreement was the first of its kind in Canada between an indigenous group and a resource company.

Broader economic impacts

In all business and contracting language, the Haisla sought guidelines around indigenous engagement, including commitments to using Haisla business, training locals, and giving them the first option of employment. 150 Haisla people are now working directly for Rio Tinto and are also working to secure contracts to service the smelter. While some of these contracts are joint ventures, as First Nations capacity increases, they are increasingly owning and bidding on projects themselves.

Rio Tinto has also recently started training management interns, to help more Haisla employees attain management positions. The Haisla and Rio Tinto purchased a school as a joint venture to provide entry- and industry-level skills. Both groups understand that education is critical to economic development, and jointly oversee the school's activities to ensure its courses provide the necessary skills for future employment.

Community engagement

Under the Agreement, Rio Tinto provides payments into a trust fund for social welfare. The fund is managed independently by the Haisla Nation, with clear guidelines and objectives.

In negotiating the agreement, all interviewees agree that relationships went well beyond business. Both the Haisla and Rio Tinto believe that they have a strong partnership and are working towards a common goal, profitability of the smelting operations and sustainability of the community. The Haisla take the lead in community engagement, but Rio Tinto attends every meeting, which is important to show the united nature of the partnership.

Since 2010, Rio Tinto and the Haisla have been working together to develop a cultural sensitivity project. Training is being provided to develop the Haisla's presentation skills.

Gender

The Haisla Nation is a matrilineal band, so women are generally front and centre of economic and political negotiations. When negotiations began on the Haisla legacy agreement, the chief was a man. By the time the agreement was concluded, the chief was a woman, so interviewees contend that gender equity is largely a given for the Haisla.

Shell, Steps Forward, Canada – education initiative

Good practices

- Designing unique education and training programs that fit the niche needs of the community.
- Taking a holistic approach that understands that barriers to education depend on an individual's life experiences
- Combining mainstream education approaches with indigenous practices.

Background

Fort McKay is a hamlet in northern Alberta, Canada, within the Regional Municipality of Wood Buffalo. The economy is centered on the development of the Athabasca oil sands to the immediate south and north of Fort MacKay.

The Fort McKay First Nation (FMMN) is located along the banks of the Athabasca River in the Regional Municipality of Wood Buffalo. The FMMN shares a border with the Fort McKay Métis Community. There are approximately 700 First Nations and Métis living in the Fort McKay area.

Throughout the 1970s, the Athabasca oil sands were developed without the participation of the area's Aboriginal community, and without paying heed to the constitutionally-recognized land treaties between the First Nations and government. But with the collapse of the fur trade in the 1980s, the FMMN was aware that accessing jobs and economic development opportunities presented by the oil industry would be critical to community sustainability.

Employment opportunities for the local community from the oil sands operations were considerable. Major industries were keen for employees, but the FMMN found that its community could to a large extent only fill the lower-level positions, as residents did not have necessary skills or educational qualifications. Despite significant investment in education infrastructure in the community, including a modern, well-equipped school built in 1978, Fort McKay was seeing inconsistent educational attainment across the community. To understand why this was happening, the community developed a study to gather information on the status of educational attainment of the FMMN community and determine the factors contributing to that status. Through its Social Investment Fund, Shell provided funding and staff support to the study.

The "Where are they now?" study interviewed 101 people in the community, ranging in age and gender, who had participated in the education system over the course of 20 years. The participants were asked questions about why they left school, their parents' attitude to education, the effectiveness of the school system, and their issues with drugs and alcohol. The community consolidated and analyzed these findings to better understand cause and effect in community choices around education. The community wanted to look beyond the statistics to understand not what happened, but why. Through this process, they were able to understand that although some community members were suited to existing education structures, some needed more support and guidance to attain their desired education level and achieve their aspirational employment. The outcomes of the study resulted in the Steps Forward Program which has several initiatives, including individual career planning, school mentoring for younger community members, and adult literacy programs.

Governance

The strategic direction of the Steps Forward program is overseen by an advisory committee made up of community representatives, band management, industry representatives (including Shell), provincial government representatives, and mainstream educators. The committee meets once a month and evaluates progress on key initiatives. The program has been flexibly designed to allow staff to redirect efforts to activities with the most impact. The first assessment of the program has just been completed; following these results, the committee developed the first strategic program setting objectives for the short and medium term. Interviewees were very positive about the committee governance structure and its consultative approach.

Broader economic impacts

One of the clear findings of the study was that most community members aspired to find fulfilling employment, but found it challenging to identify a pathway from unemployment to work. The cornerstone program of Steps Forward is an outreach program that works with individuals to understand their basic skills, interests, values, and aptitudes, and then develops plans to help them reach their aspirations. The outreach program is holistic and considers not only the education requirements of the individual, but also family challenges and health and wellbeing. Following the formulation of a career plan, individuals are supported through a variety of academic and life skills activities including individual counseling, workshops, group sessions, seminars, classroom training, mainstream trades and university programs, and on-the-job work experience. Steps Forward has determined that the greatest success is achieved by matching career-related and work-readiness training with the learner's aptitudes, interests, and needs. The number of community members in employment has increased since the inception of Steps Forward, and the band is seeing more competition for jobs.

For Aboriginal youth, the community has also instigated a school outreach program to increase attendance and high school certificate attainment. This program has two streams: a coordinator that acts as a liaison between students, their parents, and Fort McKay high school, and a coordinator who works with at-risk students to identify challenges and prevent them from becoming chronic. The community found that some parents were ill-equipped to support their children, and moreover had a negative view of the mainstream education system. In 2013, only two or three parents attended parent-teacher nights, out of the 25 Aboriginal children at the high school. This year, following efforts to familiarize parents with the high school and teachers, and to emphasize the importance of parental involvement, more than 20 parents turned up. The coordinator has also arranged for the next parent-teacher night to take place in the community, to continue to develop and improve the relationship between the community and the high school. The focus of the school outreach program is to change attitudes to education. Similar to the general outreach for community adults, the students work with the coordinator to understand what education they will need to reach their goals. Steps Forward does not expect to change community attitudes completely, but organizers are seeing some shift in attitudes. In 2014 12 high-achieving Aboriginal students are moving on to attend post-secondary institutions.

Community

Fort McKay First Nation understands the importance of instilling education expectations early in life, so the next phase for Steps Forward will focus on working with young mothers. This program will be less about providing a pathway to work for mothers, and more about improving their education and literacy levels so they can pass on a culture of learning to their children.

Community responses to the program have been largely positive. Community representatives on the advisory committee consult with residents as often as possible, seeking views on any new ideas. There is support for a proposed community school and other opportunities to work collaboratively. One of the key measures of success of Steps Forward has been the positive response to the program from communities outside Fort McKay. Some neighbouring indigenous communities have even sent members to participate in the program.

Steps Forward has ensured that mainstream education tools are used alongside indigenous approaches, such as guiding circles, in outreach and counselling. All community meetings begin with a traditional prayer. Steps Forward is aware that the program will only be successful if indigenous and mainstream practices can coexist harmoniously.

Gender

The first review of Steps Forward found that not only were female community members more likely to seek assistance with their educational aspirations, but were also more committed to the program once they began.

International Model Forest Network, Sweden and Canada – sustainable forestry

Good practices

- Managers should seek community approval at the onset of a project.
 - Taking the time and appropriate measures to inform community leaders about the project might maximize its success.
- Project managers should recognize and respect local Aboriginal cultures and traditions.
 - Communicate using native language to more effectively unlock traditional knowledge within the community.

Background

Learning from our Elders is a four-year, cross-cultural project that focuses on gathering local elders' traditional ecological knowledge about woodland caribou in Saskatchewan and reindeer in Sweden, studying the impact of climate change on herds, and sharing information via a video learning module. This project is led by the Prince Albert Model Forest in partnership with the University of Saskatchewan (UofS) and Umeå University in Sweden. It has received funding from the International Model Forest and Environment Canada's Aboriginal Funding for Species at Risk program. This project has highlighted the importance of intergenerational knowledge transfer and aims to better inform future land use management and planning in the circumboreal forest region.

Governance

During the development of the Canadian project, the research team approached the indigenous community early to communicate its objectives and receive approval. All interviewees stressed the importance of involving community leaders at the onset of the project. Proposal letters were issued to inform the communities' leadership of the project and to request time to deliver presentations at local meetings. Local youth were also closely involved in this communication exercise, and were often encouraged to present the project to community leaders and members.

Throughout the course of this project, the research team regularly reported to the community on research findings. At this time, the final review process has yet to be completed due to a lack of funding.

Broader economic impacts

Learning from Our Elders has helped create employment and contracting opportunities for the communities involved in the project. Beginning in 2010, the Canadian and Swedish research teams developed a series of workshops about interview methodology to provide local youth with the necessary skills to gather traditional knowledge. In Saskatchewan, five Aboriginal youth were trained to conduct interviews with local elders in their communities, and were later compensated for their work. Some interviewees highlighted the long-term benefits of youth skills development not only for increasing the students' future employability, but also to improve their self-esteem.

Other employment opportunities included the contracting of local translators, specialists and trainers to support the methodology development and training of the students. Local residents were also hired to assist with the coordination of community workshops, providing the venue and catering. Although most of these positions were temporary, all interviewees agreed that the resulting business opportunities, skills development, and broader community revival would benefit the local communities for years to come.

In addition to developing new training and employment opportunities, *Learning from Our Elders* aims to help Nordic communities better adapt to current realities affecting resource development and improve resilience to future climate related issues. The Canadian and Swedish research teams are developing a DVD learning module that will disseminate the research results to communities and academic institutions in the circumboreal region. This learning module will allow for the creation of new models for sustainable land management, increase research capacity for resource use and planning, and generate economic benefits as a result of more informed decision making.

Community engagement

Throughout the development and implementation of *Learning from Our Elders*, project managers have taken various steps to encourage the participation of the full community and avoid excluding any of its members. They ensured that the community remained informed on the project's progress by communicating regularly with community leaders and members, as well as by verifying and sharing results with individual project participants. Currently the Canadian research team has successfully involved over 100 people in more than 10 northern communities. The Swedish project involved two Sami communities.

All interviewees agreed that respecting the local cultures and languages was critical to open communication and successful knowledge transfer. As such, research teams mostly hired individuals who were known and respected by the communities. Local language specialists and translators not only helped during interviews, but were also involved in the creation of the interview questionnaire. The format of the interviews was also adapted to the cultural context: Canadian interviewees preferred one-on-one meetings, while Swedish counterparts favoured focus groups.

APPENDIX 2: INTERVIEW GUIDE

Global perspectives on indigenous economic development project

In the spring and summer of 2012, the Public Policy Forum convened *Aboriginal Participation in Major Resources Development*, a six-part roundtable series exploring the means for more effective engagement of Canada's indigenous communities in the development and operation of major natural resources projects. This project highlighted the desire of First Nations, Inuit and Métis for authentic partnerships and an active role in these opportunities. Such relationships could also be an important element in ensuring the sustainability of the natural resources sector as it expands and intensifies.

We are continuing this work with *Global Perspectives on Indigenous Economic Development*. The project will consider 12 case studies from select countries and regions, including Australia, the United States, Sweden and Canada, where governments and industry are partnering with indigenous communities to create, develop and/or improve business opportunities, improve environmental and sustainable development practices, and social mobility with respect to human resources. The objective of this project will be to identify 'good' or 'best' practices and possibly 'principles' in the realm of indigenous economic development and partnership, and to explore whether and how they might be relevant to the Canadian context.

Case study assessment

Each of the 12 case studies will be examined against four criteria: governance; broader economic impacts; community engagement; and, gender. We will assess the cases by asking you a series of questions aligned with the criteria.

Governance

Cases will be examined for issues relating to the mechanisms of project governance, community roles in decision making, regulatory oversight and the role of governments.

Key considerations may include:

- Relevant land claims and settlements in relation to the development
- Adherence to (or establishment of) engagement protocols
- Role of relevant stakeholders in governance mechanisms (i.e., indigenous community, government, private sector)
- Clarification and streamlining of relevant regulations (for all sectors)
- Indigenous institutional capacity development mechanisms and outcomes

Broader Economic Impacts

Cases will be examined for their relevant impacts relating to human capital development, broader value-chain economic impacts (including local community benefits) and opportunities created for entrepreneurship. Key considerations may include:

- Development of relevant indigenous businesses and associated services (incubators, expertise)
- Efforts to share and/or transfer knowledge and business acumen between indigenous groups and the private sector (in both directions)
- Human capital development beyond the core focuses of the development (e.g., other educational opportunities for the broader community, pre- and post-employment training, post-secondary education support)
- Procurement opportunities for indigenous businesses

Community Engagement

Cases will be examined for key points relating to the means through which the local community is engaged in the development of resources and other economic issues. This involves the means through which the developer engages

with the local community and means for community financial participation. Key considerations may include:

- Means through which opportunities for partnerships with indigenous communities are identified
- Process of consultation/relationship building with community leaders and members prior to development
- Cultural knowledge sharing
- Public engagement mechanisms

Gender-based Analysis

The research has a concurrent objective of exploring gender issues through the application of gender-based analysis to projects, as well as specific consideration of the engagement of indigenous women in economic development opportunities – all cases will be examined for this element. Key components:

- Collection and analysis of quantitative and qualitative data to determine whether there are gender differences in relation to development projects, including in governance structures, economic and social impacts, opportunities and outcomes
- Identification of key questions, problems, or issues which may related to specific developments and gender equality
- Inclusion of key gender-based indicators related to specific development projects and their stated objectives

Interview Questions

Please find below the key questions that will be asked during the interview. While the list of participants will be made public, please note that responses will remain confidential and specific comments will not be attributed without permission. These questions are intended to help you think about whether your project was successful in engaging the indigenous community and providing economic development benefits. To make the most of your time, we encourage you to reflect on the questions provided prior to the interview. Your contributions are invaluable to our research.

General

1. When the project was first initiated, what were your expectations of local community engagement and economic development opportunities? What were your expectations based upon? Were your expectations realized?
2. Overall, do you believe that the local community has positively or negatively benefited from the development? Please elaborate.

Governance

1. Were governance mechanisms discussed/established to define the role of each stakeholder – government, indigenous community, private sector? At what stage? Were they established in collaboration with all the stakeholders?
2. Were community engagement and consultation protocols developed before negotiations/discussions began?
3. Do you believe that the local community had a decision-making role in the process/project?
4. Were land claims considered when the project was developed?

Broader economic impacts

1. How prepared, initially, were community businesses/entrepreneurs to take advantage of economic opportunities?
2. Have efforts been made to transfer business knowledge (skill sets) between the stakeholders? If yes, how has this occurred? Was it successful?
3. Has the project provided education and training opportunities for the community? If so, please elaborate.
4. Does the project development prioritize local businesses in sourcing products or services for the project? If so, how has this been implemented? Can you elaborate on how this has impacted the community – both businesses and individuals?
5. What business opportunities have been realized for the indigenous community beyond those immediately provided by the project? Have the business opportunities been sustained over time? Please elaborate.
 - Were there discussions on supporting diversified economic opportunities to take advantage of new transportation and communication; or, exploring ‘post project’ economic opportunities for the community?

Community engagement

1. Has indigenous culture been respected and shared? Has it been integrated into the project in any way? Please elaborate.
2. Were community members consulted before the project was established? At what stage? If not, what efforts have been made to rectify this?
3. Was the community well positioned/supported to engage on the more technical aspects of the project?
 - a. What efforts were made to ensure that the community had the capacity to engage at a meaningful level?
 - b. Were external partners engaged to liaise with or represent Aboriginal communities in areas where there was a need for technical knowledge?
4. What public engagement mechanisms were established and how effective have they been?
5. Were community members consulted on the potential environmental and socio-economic impacts prior to/during the project development phase? What mitigation strategies have been put in place?
6. Have improvements been made to community infrastructure, health systems, or sporting facilities (for example) as a result of community input and the project?

Gender

1. Was the promotion of women (and a broader representation more generally) a consideration when governance mechanisms were established?
 - What members of the community were involved in defining the role of stakeholders, consultations protocols, etc.?
2. Was the equal participation of both women and men a consideration during community consultation? Were efforts made to ensure a diversity of opinions? If yes, how? If not, why not?
3. Are indigenous women involved in project decision-making?
4. What were the obstacles to obtaining the participation of diverse community members? How were these addressed?
 - If there were efforts that specifically targeted women, how successful have they been?

APPENDIX 3: PROJECT PARTICIPANTS

(Case studies and Toronto roundtable, March 11, 2014)

Moderator: David Mitchell

President and CEO
Public Policy Forum

Jill Baker

Vice President
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Jason Bourgeois

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Scott Boyes

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Pearl Casias

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Southern Ute Tribe

Candy-Lea Chickite

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David Collyer

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Scott Davidson

Environment and Social Responsibility Manager
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David de Launay

Deputy Minister
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Don Deranger

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Bruce Falstead

Manager, Aboriginal Initiatives
FortisBC

Ginny Flood

Vice-President Canada
Rio Tinto Canada

Chris Fry

CEO
Indigenous Business Australia

Geoff Gay

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Athabasca Development Corporation

JP Gladu

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Canadian Council for Aboriginal Business

Shane Goodwin

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Glenn Hargrove

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Jeanette Jules

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Tk'emlúps te Secwépemc

John Jurrius

CEO and President
Native American Resource Partners

Roslyn Kunin

Chair
Haida Economic Corporation

Kelly Lendsay

President
Aboriginal Human Resources Development Council of
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Stephen Lindley

Vice President - Aboriginal and Northern Affairs
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Gareth Manderson

General Manager – Weipa Bauxite Operations
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Martha Manuel

First Nations Coordinator
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Lee Maracle

Author and traditional teacher

Andre Morriveau

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Leonard Munt

District Manager, Haida Gwaii Natural Resource District
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Stephanie Sterling

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REALIZING THE POTENTIAL: GLOBAL PERSPECTIVES INDIGNEOUS ON ECONOMIC DEVELOPMENT

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