

the University of Queensland

Cross sector collaborations

How partnerships between non-government organisations (NGOs) and mining companies contribute to community development



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Abstract

Mining companies and non-governmental organisations (NGOs) are increasingly called to collaborate in the community development space. This is reflective of the overall shift in approaches to corporate social responsibility, and community development being one way a company can contribute positively to its communities of impact. Using nine case studies, as well as interviews with practitioners experienced in cross sector partnerships, the current study investigated the forms of engagement between mining companies and NGOs. Important drivers included contextual factors such as the inability for each sector to address development issues separately. Whilst there was still space for advocacy and advisory NGOs, most relationships fell into the “philanthropic partnership” category, and in other cases the partnership activities had been integrated into the core business of each of the partners. Despite the impetus for collaboration, common challenges were identified including reputational risk, differences in values and perspective, power imbalances and sustainability. Factors enabling success included relationship building, effective planning, strong leadership support, and strong community participation. Overall, the research calls for increased collaboration between partners to attain community development outcomes through leveraging shared resources.

Introduction

In recent years, the mining industry has come under increased scrutiny for its ability to manage its social and environmental performance in communities (Brereton, 2002).

In a context of globalisation, the social conscience of government, civil society and communities around the world is strengthened by enhanced access to communications (Breuer & Farrell, 2001). Investors also have a more global perspective than in the past, and the competitive advantage of a business depends on the ability to effectively manage its reputation, by regarding the social, environmental and political risks of its operations (Breuer & Farrell, 2001).

As such, the very role of business has changed in the world, as industry is held to account for its social and environmental performance (Hamann, 2003) and private actors are increasingly expected to address social issues. Corporate social responsibility (CSR) is a hot topic in contemporary literature, and underlies the private sector's embrace of community development as an effective way to manage its social and environmental impacts. It is a balance of maximising the positive and minimising the negative impacts, whilst maintaining profitability of operations (Hamann, 2003).

Impacts common across communities affected by mining are diverse and long lasting. They include impacts on the natural environment, the local, regional and national economy, infrastructure and service provision, industry and businesses, human rights, society and culture, and sustainability of livelihoods (Oxfam, 2013; World Bank, 2013). Indeed, in many developing nations, mining is the single largest, or only source of economic development.

The impacts of mining are greater "at the coal face" – that is within communities in close geographical proximity to the operations. A company wishing to secure tenure, land access and a sustainable future in any community is concerned about the perceptions of community, and stakeholders more broadly, towards its activities. As such, a company's social licence to operate depends on the ability to manage relationships with neighbouring communities and government, engage inclusively with neighbours and have a positive impact on the social life, economy and environment of proximate communities. When the mining sector is a dominant economic driver in a community or region, this responsibility becomes ever more important (Devonshire Initiative, 2010; Hamann, 2003).

Securing a social licence

One criticism of mining developments is that despite the revenue taxes generated by governments, communities on the ground most impacted by operations often experience minimal positive development outcomes (e.g. Boele, Fabig & Wheeler, 2001). This is linked to the resource curse, corruption and lack of transparency in agreements between governments and companies (Lillywhite, 2012).

Acknowledging the interconnected nature of societal and economic profits, and the ability to create shared value is fundamental to the survival of business in today's evolving world (Porter & Kramer, 2010). By enhancing opportunities through employment, business development and engagement in a regional economy, a mining company can address the underlying social and economic determinants of poverty, corruption and violence in the communities in which it operates (World Bank, 2013).

The ability to work alongside governments, communities and civil society organisations and contribute to development that is equitable, sustainable, and encourages active participation of involved stakeholders, results in fewer risks impinging on its core business of resource extraction, less conflict and opposition to its operations, and is a more viable business model for sustainability (Hamann,

2003). Consequently, there is an intrinsic link between societal and shareholder value, captured in the term “social licence to operate”.

The development and formalisation of international guidelines in this area indicates a progressive commitment of mining companies to sustainable community development in regions affected by their operations. Such guidelines for stakeholder engagement, community development and mitigating environmental impacts by the mining industry (and associated stakeholders) are detailed in appendix A. Whilst these guidelines are a positive step in the right direction, constraints have been highlighted. These include the difficulty of translating rules into practice, holding companies to account for their commitments, and despite good intentions, lack of clarity about exactly how the guidelines benefit people on the ground (Devonshire Initiative, 2010).

Evolution of community development

The way the developmental impact of mining is managed at a community level is critical to the extent to which the benefits for communities can be maximised, whilst negative risks minimised. Here, development relates to economic, social, political and environmental development and for the purposes of this study, all of these are couched within the term “community development”.

In line with the international guidelines described above, approaches to local and regional development have changed over the last 10 years, with attention shifting from dealing with the symptoms of unsustainable and uneven development, to tackling the determinants and underlying causes of poverty and underdevelopment.

With the mining sector increasingly recognised as bearing some responsibility for the socio-economic development of impacted communities, sustainable development principles have increasingly permeated mining companies’ approach to community relations (Kemp, 2009), an approach which is increasingly strategic and acknowledges the long term nature of impact management.

Building positive relationships and development of communities is a prominent feature in many companies’ approach to corporate social responsibility (Hamann & Kapelus, 2004). To reflect these goals, the mining industry’s peak organisation, the International Council for Mining and Metals (ICMM) has defined community development as:

“The process of increasing the strength and effectiveness of communities, improving people’s quality of life and enabling people to participate in decision making to achieve greater long term control over their lives. [In this way], sustainable community development programs are those that contribute to the community’s long-term needs and priorities and ensure a fairer distribution of the costs, benefits, risks and responsibilities associated with mining activities” (ICMM, 2003).

In the past, traditional mining company approaches to CSR have taken the form of philanthropic donations or corporate sponsorships which enable the company brand to gain recognition for a dollar value given. In this approach, the community may benefit, however only temporarily. These sponsorships do not address long term impacts or community capacity, and have been criticised as often leaving the community worse off and dependent on the company, and even in some cases replacing the responsibility of government (Zandvliet & Anderson, 2009).

Recognising the short sightedness of this approach, the mining sector is now moving towards promoting sustainable community development (Zandvliet & Anderson, 2009). This shift is shown in figure 1 below.

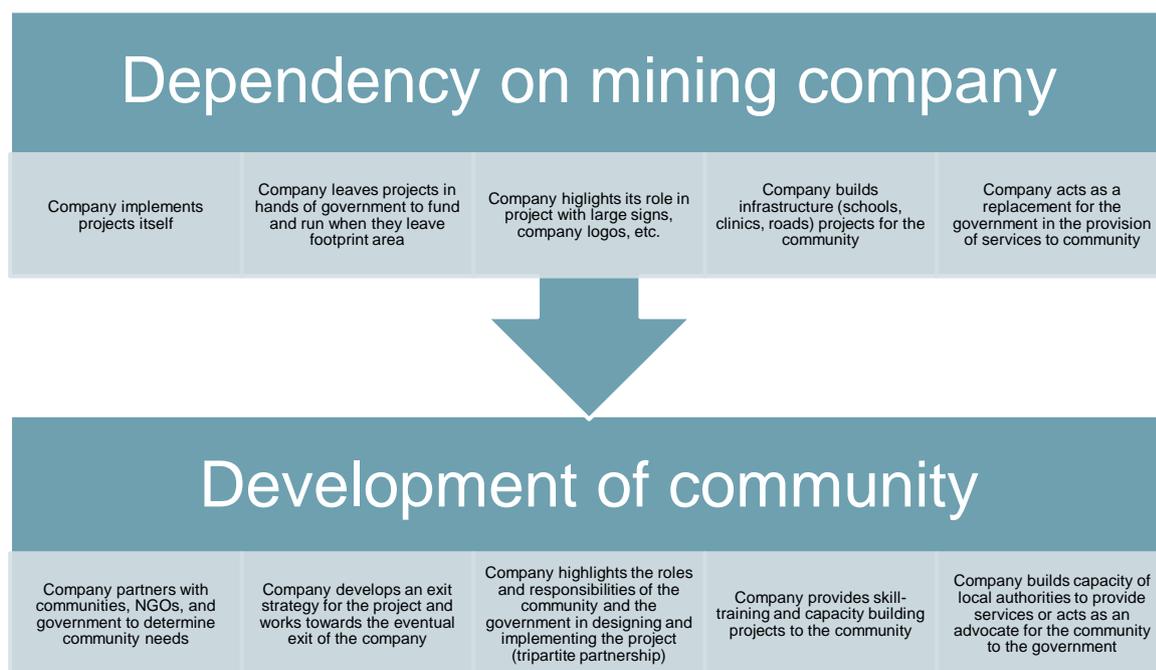


Figure 1. From dependency to development (Zandvliet & Anderson, 2009, p265).

Having looked at the mining industry’s transforming approach to managing impacts and proactive community development, it is interesting to note a similar (albeit earlier) evolution in the development sector. Korten (1987) writes about the three generations of NGOs, an evolution which began in the 1970’s, and has been driven by persistent poverty despite worldwide efforts to eradicate it. The three stages, from short term relief and welfare to long term, sustainable systems development are shown in the table below, and include lobbying and influence as important mechanisms to attain development outcomes.

Table 1. Three generations of NGO development program strategies (Korten, 1987, p.148).

	<i>Generation</i>		
	First	Second	Third
<i>Defining features</i>	Relief and welfare	Small scale self-reliant local development	Sustainable systems development
Problem definition	Shortage of goods and services	Local inertia	Institutional and policy constraints
Time frame	Immediate	Project life	Indefinite long term
Spatial scope	Individual or family	Neighbourhood or village	Region or nation
Chief actors	NGO	NGO and beneficiary organisations	All public and private institutions that define the relevant system
Development education	Starving children	Community self-help initiatives	Failures in inter-dependent systems
Management orientation	Logistics management	Project management	Strategic management

Korten acknowledged that no one generation is absolutely correct, and sometimes the situation may require short term investment (although this is not a panacea and the evolution is important if longer term outcomes are to be realised). Also, as development evolves so does the inclusion of all developmental actors (including NGO and business). Thus it can be seen that there has been a real

change in approach from each sector towards development, with the realisation that a long term, strategic approach which promotes partnerships and capacity rather than dependence is more beneficial and sustainable than earlier (philanthropic) efforts.

Mining companies and NGOs

Alongside these evolving notions of development, there has also been a shift away from the traditionally separate developmental roles of the private sector, civil society and government towards collective action to achieve common objectives. According to the Devonshire Initiative, an organisation established to encourage collaboration between Canadian mining companies and on-the-ground development NGOs, there is a shared recognition by a range of stakeholders including the mining industry, NGO and government sectors, that cross sector partnerships can contribute, and indeed are necessary, to sustainable community development (Devonshire Initiative, 2010).

Historically, the NGO and mining sectors have operated independently, and there have been few examples of partnership between them (Devonshire Initiative, 2010). From a mining company perspective, international NGOs were stakeholders who exhibit high levels of opposition to mining developments (Breuer & Farrell, 2001); acting more as oppositional, obstructive activists than as allies (Smuts, 2010, Zandvliet & Anderson, 2009).

Mining companies on the other hand have been perceived by NGOs as ruthless and cynical in their behaviour, existing solely for profit regardless of the social and environmental costs, and have thus attracted negative attention and calls to be more accountable in their relationships with communities (Zandvliet & Anderson, 2009). Conflicting motives, and differences in the way each conceptualise issues, have also been identified as barriers to collaboration (Breuer & Farrell, 2001).

Despite these challenges, the International Institute on Environment and Development (IIED) stated that success in sustainable development and eradicating poverty will require capacity and performance of NGOs, communities, industry, and all other players in the minerals sector (IIED, 2002). In the same year, the World Summit on Sustainable Development in Johannesburg began the rhetoric of “partnerships for development”, asserting that cross sector partnerships can be used to address global development challenges and assist in achieving the Millennium Development Goals (as cited in Kolk, Tulder & Kostwinder, 2008).

As a result of the Johannesburg discussion, an Intergovernmental Forum (IGF) on Mining, Minerals, Metals and Sustainable Development was established, to focus specifically on the contribution mining can make to sustainable development. This forum identified priority areas for sustainability from mining projects, including addressing impacts, enhancing the participation of stakeholders, and fostering sustainable mining practices through the provision of capacity building initiatives (IGF, 2010).

The increased contact between the sectors is also driven by an inability by each in isolation to address poverty and development issues. The following factors describe why anti-poverty efforts have been unsuccessful (Kolk et al., 2008):

- failure of governments, and dependency on foreign aid,
- market failure of companies in their CSR strategies and stakeholder engagement, and
- failure of non-profit organisations due to limited efficiency, financial insecurity and “do-good” mentality.

In addition, development-oriented NGOs are facing increased uncertainty and reductions in financial flows from international donors and national governments, whilst demand for services is increasing

(Ashman, 2001). Whilst the role of governments and the NGO sector in achieving poverty alleviation and development has always been acknowledged; the private sector has been uncomfortable in this space.

However, with increasingly common rhetoric adopted about development and poverty reduction by international organisations, companies and NGOs, and the importance of shared action to address these issues, dialogue is opening the door to more cooperative relationships. Mining companies are seeking more strategic, long term community development approaches (Hamann, 2003), and see cross sector engagement as important in furthering this agenda.

Companies are moving “beyond philanthropy” (Hamann, 2003), considering how profits are made, and embracing economic, environmental and social aspects of sustainability in a holistic manner. Importantly to the current study, research shows a change in the confrontational mind set of companies, to one of constructive engagement with other sectors, including NGOs. Civil society's views of the corporate sector, likewise, have also begun to shift to constructive engagement. This evolution is illustrated in the figure below.

 Increasing involvement and benefits	Business perspective		Civil society perspective
	NGOs seen as partners for social development	Social partnership	Business seen as partner for social development
	Involvement of communities and NGOs	Community investment and eco-efficiency	Business seen as source of funding, but still mistrusted
	NGOs seen as irrelevant or even threatening	Philanthropy and impact mitigation	Business seen as opposition to social partnership

Figure 2. The evolving CSR agenda from philanthropy and impact mitigation to social partnership. (Source: Hamann, 2003, p.239).

Figure 2 describes the process (involvement) undertaken and benefits (outcomes) achieved in a relationship between a company and an NGO for community development. A link to the three generations of NGOs, from relief and welfare to sustainable systems management (Korten, 1987) is made here, and it is suggested reflects the similar trend of increased opportunities associated with social partnership, and increased participation of communities within a development system (Hamann, 2003). The extent to which this progression is evident in the context of mining companies and NGOs, and how community development outcomes are achieved, is an important question when looking at the viability of partnerships.

Motivations and mutual benefits

Despite increased rhetoric, the extent to which partnerships contribute to community development is relatively unexplored in research, as are the specific motivations of mining companies and NGOs who do enter into partnership. By examining motivations, we can begin to understand the drivers and expectations of each partner, and how a partnership will enable better outcomes than if each worked in isolation.

In an attempt to understand how collaborative partnerships between mining companies and NGOs can contribute to significant conservation outcomes, Smuts (2010) looked at examples of partnerships between four multinational mining companies and conservation NGOs in Africa. This work explored the motivations for entering into partnership; including the risks and opportunities.

The study gave examples of NGOs who have recognised the importance of forming partnerships with mining companies to achieve conservation objectives and advance positive biodiversity outcomes. Table 2 details the four motivating factors from the NGO perspective.

Table 2. NGO motivations (as per Smuts, 2010)

Factor	Detail
Mining companies may function as rapid change agents	Mining companies have large consumer bases and shareholders are highly competitive, change on the ground and in decision making is potentially rapid when compared to working alongside community and stakeholders on the ground, where behaviour shifts may take a long time.
More efficacious source of funding for conservation	Potential funding to last for length of mine life (often 25+ years). Might also pay for conservation initiatives directly through purchase of land or management of conservation areas.
Influence company policy	Potential exists to influence a company's mining operations around the world with input into environment and conservation policy.
Leverage government support for conservation via ties to mining sector	Mining companies provide additional benefits to governments including revenue generation, job creation and capacity building, and governments are more likely to be influenced by mining than the NGO sector. If the company is a leader in the sector then possible ripple effects on practices of other mining companies in region.

In the community development context, NGOs recognise that (social and economic) development of industry is inevitable, and needs to be managed effectively to avoid, minimise or mitigate any potentially destructive impacts on communities and the environment. By engaging with mining companies, NGOs have a greater ability to influence this process, and capitalise on the opportunities presented by mining developments, including employment, environmental impact management and community development processes, amongst others. Leveraging resources is also be a key motivating factor for development focussed NGOs (Zandvliet & Anderson, 2009), which are becoming more difficult to raise from other sources such as government and international donors (Ashman, 2001).

In the Smuts study, mining company motivations to collaborate with NGOs were different, and outnumbered their counterparts'. They are detailed in table 3.

Table 3. Mining company motivations (as per Smuts, 2010)

Factor	Detail
Avoiding duplication of effort and expertise	NGOs have expertise which companies may not carry in-house, or NGOs have undertaken existing work in the area.
Enhance alignment with global trends and international good practice	NGOs may be experts on global environmental initiatives and might assist interpreting guidelines or standards on the ground.
Build global shareholder confidence via the credibility afforded by association with the NGO "brand"	NGOs might be perceived to be associated with good science and planning, and have credibility, lending these qualities to the partnership.
Facilitate access to land and resources	NGOs may have the ability to assist mining companies achieve compliance with regulatory requirements, and deliver licence to operate from

	local communities and regulators.
Provide technical support	NGOs provide technical capacity to deal with environmental issues to assist mining companies with their licence to operate.
Enhance public relations benefits of a company's environmental achievements	NGOs can act as (independent) external reviewers and support public disclosure messages to community.
Information sharing	Sharing of information, tools and expertise relating to biodiversity can enhance knowledge of both sides in the area of operation.
Conservation planning	NGOs can assist with conservation planning by describing impacts and providing information.
Biodiversity research and training	NGOs can provide input into scientific processes around research, resulting in professional researchers and improved data gathering in countries where the mine operates.

The above motivations for the mining sector's engagement in conservation partnerships with NGOs give insight into motivations for community development partnerships. As we know, mining projects often last over 25 years, and therefore a long term approach to securing licence to operate is important, including establishing good community relations and demonstrating environmental stewardship.

The ability to achieve community development outcomes is enhanced through engagement with a high capacity NGO (Breuer & Farrell, 2001). The expertise of NGOs in community development and stakeholder engagement, as well as information sharing and research can be leveraged to avoid duplication of resources and reduce costs. Further, association and endorsement by a credible NGO means positive public relations benefits and reputational enhancement, and positive perceptions of shareholders and external stakeholders.

Looking at the converse challenges, Smuts (2010) also acknowledged the risks from each perspective. For NGOs these were reputational risks of partnering with a disreputable company, or being seen to endorse a company's performance and losing the ability to be critical of their actions.

A reputational risk also exists from the mining company perspective, although to a lesser extent, if an NGO has a poor track record or is not credible, and does not have a strong relationship with the community (Zandvliet & Anderson, 2009). Further, a company may be seen to try and "greenwash" their reputation, or be vulnerable to public exposure of information shared about their practice. For both, the differences in systems, management styles reporting and budget keeping is also highlighted (Smuts, 2010).

Smuts (2010) selected partnerships related to conservation in Africa, including large multinational companies and international conservation NGOs. As there has been minimal exploration about the drivers for community development initiatives, the current study proposes to use a similar approach to examine community development partnerships.

In sum, ideas about the potential role of various sectors in development have changed as have the traditionally oppositional relationships between sectors, so that there is an increased disposition to join forces as partners for development. A recognition that mutually beneficial outcomes can be driven more effectively in partnership than in isolation is a key motivating factor for organisations who have not always seen eye to eye. Whilst the challenges need to be acknowledged, and risks managed, partnerships are increasingly seen as a viable strategy for promoting sustainable development (Devonshire Initiative, 2010; Kolk et al., 2008).

Collaborative partnerships

The previous section traced the evolution of CSR from philanthropy to community development and social partnership and looked at the drivers of increasing cross sector partnerships between the mining and NGO sectors. This section examines the way cross sector partnerships have been analysed in terms of process and structure, as well as enabling factors to creating shared value.

To better understand what partnerships between NGOs and mining companies look like, the broader literature on collaborative partnerships has been examined. Whilst evidence is not necessarily situated in the context of NGO and mining companies, it is useful to consider existing empirical studies of collaborative frameworks, and the implications for community development partnerships.

A number of writers have analysed the various forms that collaboration can take, and some conceived of a form of collaboration continuum (e.g. Austin, 2000, Himmelman, 2001, Ashman, 2001), related to the one put forward by Hamann (2003), where relationships progress along a continuum to more involvement and benefits to both partners.

Austin (2000) portrayed partnerships as evolving through three phases: philanthropic (charitable donor and recipient), transactional (resource exchanges focused on specific activities) and integrative (“partners missions, people and activities begin to merge into more collective action and organisational integration”), enabling increased complementarity of resources, congruency of mission and values and enhanced outcomes.

The author also refers to the idea of core competencies exchange,

“[using] each institution’s distinct capabilities to generate benefits to the partner and the collaboration. These flows have greater potential value creation because each organisation is leveraging special competencies and providing proprietary or somewhat special resources.” (Austin, 2000, p.78).

Himmelman (2001), too, emphasised the sharing or exchange of resources as characterising more collaborative partnerships. Identifying four different kinds of relationships along a developmental continuum, from networking, to coordinating, cooperating and finally collaborating, this author asserted higher level relationships involve increased sharing of risks and resources towards attainment of a common goal.

Here, the term “collaborative advantage” is applicable as a strategy to pooling complementary resources and sharing risks and rewards, and implementing activities that could not have been undertaken by any actor on their own (Vangen & Huxham, 2003). The strategic use of resources as a source of value is emphasised, and relates to the assertion by Kolk et al. (2008), as a key driver for cross sector partnerships.

In response to the idea of collaboration as a strategy to promote sustainable development, Ashman (2001) explored whether increased levels of NGO and business cooperation would contribute to sustainable development in three developing countries. This researcher defined a strategic partnership as integrating core business activities of both partners, and “win-win” relationships based on mutual gain, whereas in philanthropic partnerships, the donor-implementer roles were more clearly defined; companies provided funds and materials, and NGOs provided expertise, knowledge and diverse engagement reach.

Overall, Ashman’s results showed strategic partnerships were no more effective than other kinds of partnerships in attaining sustainable development outcomes, and indeed business philanthropy was a viable model for success. This finding challenges previous work asserting increased strategy in a partnership results in enhanced complementarity of resources and outcomes (Austin, 2000) and increased benefits attained (Hamann, 2003).

This work leads us to discuss the meaning of “strategic”, and the characteristics of partnerships as they evolve. It is suggested here that partnerships are strategic when goals are established, and partners work together and share resources and dialogue for outcomes which are mutually beneficial over an extended period of time. Less strategic are those with a once-off commitment, and where outcomes are realised on a short term basis.

The key questions to ask are: is there a “best fit” for company and NGO partnerships, and how does this relate to outcomes in community development? A summary of the research evidence on the evolution of partnerships and community development examined in the above review is provided in table 6 below for ease of reference.

Challenges and success factors in cross sector collaborations

Having established the different forms of partnerships, it is equally important to consider the challenges and success factors of partnerships. Factors acknowledged as posing a challenge to partnerships are reputational risks (Smuts, 2010), misalignment of motivations and goals (Smuts, 2010) and potential power imbalances (Ashman, 2001; Huxham & Vangen, 2005) and difficulties in measuring outcomes (Ansari, Phillips and Hammick, 2001).

To better understand how these challenges can be addressed, and the potential enabling factors of successful cross sector collaboration, a review of the broader literature on cross sector partnerships has been conducted. Common factors important to success of collaboration are detailed in the table below, with a reflection on the implications for mining company – NGO relationships in community development provided in the third column.

Table 4. Enabling factors for successful relationships between NGOs and mining companies

Common factors	Details from the literature	Potential in community development partnerships (current study)
Building systems	<p>The importance of agreeing on a problem definition, recognised self-interest, and acknowledging interdependence (Bryson et al., 2006).</p> <p>Taking time to plan and articulate mission, goals, objectives, roles responsibilities of the partners, and forging agreements to set these in motion (Bryson et al., 2006).</p> <p>Use rigor and professionalism applied to other company transactions (Zandvliet & Anderson, 2009). A solid agreement (e.g. Memorandum of understanding) can assist.</p>	<p>Articulate mission, goals and objectives of the partnership, what assets each party will contribute and what the responsibilities are of each, and having an agreement at the outset.</p>
Having leadership and adequate resources	<p>Contributing leadership, including sponsors (setting up the motive and committing adequate resources), and champions (to keep the collaboration going with momentum to achieve goals) (Bryson et al., 2006).</p>	<p>Importance of leadership endorsement from both mining company and NGO sides, and relationship managers committed with sufficient resources to implement effectively.</p>

	Partnership managers play a critical role in the success of partnerships (Vangen and Huxham, 2003).	
Relationship building	<p>Building legitimacy and trust, by sharing information, knowledge, and cross cultural and sectoral understanding (Bryson et al., 2006).</p> <p>Manage power relations, facilitate communication and handle differences of opinion by allowing all members to have a voice and seeking consensus as to the collaborative agenda (Vangen & Huxham, 2003).</p> <p>Developing networks and relationship building (Ashman, 2001).</p>	Building trust between two entities who have traditionally had an uneasy relationship, taking time to understand the other's perspective, and sound communication mechanisms.
Flexibility and continuous learning	Adaptation and learning, as well as flexibility and ability to adapt to change are also important to this approach (Vangen & Huxham, 2003).	Willingness to learn and adapt, as well as be flexible.
Conflict management	<p>The need to address differences such structures, processes of each organisation is also important (Smuts, 2010).</p> <p>Managing conflict, brought about by different aims, expectations, strategies, and power issues related to influence and resource control.</p> <p>Research has shown that power imbalances can be a source of mistrust and a threat to effective and sustainable collaboration (Ashman, 2001; Huxham & Vangen, 2003).</p>	<p>Understanding differences in structures upfront and agreeing on a structure from outset.</p> <p>Ability to manage conflict by having appropriate grievance mechanisms and understanding of the potential for power imbalances.</p> <p>Having a clear sustainability strategy.</p>

Moving towards sustainable community development

The above regards the internal structures and processes of cross sector partnerships. Turning our attention externally, however, brings about important factors to take into consideration. Establishing and building an effective relationship is the first step. The ability to affect intended outcomes on the ground, and to measure these outcomes, is the next.

Ansari et al. (2001) argue that there is a need for greater focus on the evidence about collaboration, and to demonstrate that actions can achieve outcomes. Differing perspectives on success, short versus long term and individual versus community level effects, and difficulties in measuring the outcomes are challenges partnerships face. The ability therefore to establish a set of effective measurement indicators upfront is vital to any cross sector partnership.

Indicators found to be important in successful mining community projects by Zandvliet and Anderson (2009) include community feedback that government is more responsive and their quality of life is enhanced, projects are sustainable after a finite period of time without the need for continuous company support, evidence of increased collaboration across sectors, communities investing in their own resources (money, labour) in projects, and less conflict between and within communities about access to social investment projects. Whilst each project is different, it is highly important for a company and an NGO to agree on a sustainability plan, and how success will be measured during and at the end of the project.

Improved community development outcomes have also been linked with best practice community engagement practices, such as community involvement in government decision making (Kettering Foundation, 2009). Based on the principles put forward by the International Association for Public Participation (IAP2), these practices increasingly involve people affected by decisions in the decision making process (IAP2, 2006).

The IAP2 stakeholder engagement spectrum provides a tool to analyse stakeholder engagement of mining companies (IAP2, 2006). It encourages an approach to development that focusses on participation, is socially inclusive, involves communities in the decisions affecting them (such as community development projects), and developing partnerships between civil society, NGOs, government and other industry players.

The spectrum of public participation is shown in table 5, and details the goals and promises made to the public by an engaging organisation.

Table 5. IAP2 Public participation spectrum (Source: IAP2, 2006).

	Increasing level of public impact →				
	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
Public participation goal	To provide balanced an objective information to assist in understanding	To obtain feedback on analysis, alternatives and decisions	To work with the public throughout the process to ensure issues are understood and considered	To partner with the public in each aspect of the decision including development of alternatives and identification of solution	To place final decision making in the hands of the public
Promise to the public	Keep public informed	Keep public informed, listen and acknowledge concerns and provide feedback	Work with public to ensure issues are directly reflected in alternatives developed and provide feedback	Look for advice and innovation in formulating solutions and incorporate advice into decisions as much as possible	Implement what public decides.

The literature demonstrates that over the past 30 years, multiple shifts have been occurring concurrently, including in approaches to CSR, community development and cross sector partnerships. Table 6 summarises this evolution, summarised overall as three relationship stages pertaining to the current research study: (1) sponsorships and donations, (2) donor-implementer, and (3) integrative partnerships.

Table 6. Evolution in approach to CSR, partnerships and development.

	Approach to corporate social responsibility, partnerships and development				
Author	1		2		3
Korten (1987)	Relief and Welfare		Small-scale, self-reliant local development		Sustainable systems development
Hamann (2003)	Philanthropy and impact mitigation		Community investment and eco-efficiency		Social Partnership
Austin (2000)	Philanthropic Partnerships		Transactional Partnerships		Integrative Partnerships
Himmelman (2001)	Networking	Coordinating	Cooperating	Collaborating	
Zandvliet & Anderson (2009)	Dependency (brand, replace government)			Development (strategic partnerships, capacity building)	
Ashman (2001)	Philanthropic			Strategic	
Community engagement approach (IAP2)	Inform	Consult	Involve	Collaborate	Empower
Characteristics					
Timelines	Ad-hoc, short term		Variable, depending on situation, goals and funding		Long term, sustainable
Mining company's main role	Benefactor		Donor		Collaborator
NGO's main role	Recipient		Implementer		Collaborator
Current study: relationships between NGOs and mining companies	Sponsorships and donations: short term, philanthropic sponsorships or donations from company to NGO recipient to achieve positive benefits for community		Donor – implementer: once off or multiple philanthropic capital transfer from company to NGO to implement projects and attain community development outcomes		Integrative: long term partnership where activities involve core business of both partners to attain community development outcomes

Key questions

As outlined above, the literature provides convincing evidence that partnerships can achieve positive community development outcomes and provides some indications of challenges as well as benefits for both mining companies and NGOs in forming and maintaining cross sector partnerships. However it also highlights the limits to understanding.

In particular, the effectiveness of partnerships and factors that facilitate attainment of community development outcomes are relatively unexplored. As a result of the above literature review, the following key questions have been generated as the foci of the current empirical analysis of nine community development partnerships between mining companies and NGOs.

Question 1: What are the drivers of community development partnerships in mining-affected locales?

Which alliance drivers are influential in partnerships for community development between mining companies and development NGOs?

Question 2: What forms do these partnerships take?

Using a three-stage developmental continuum from philanthropic relationships to integrative partnerships in table 6, where do these partnerships sit more comfortably?

Question 3: What are the common challenges and enabling factors of successful community development partnerships?

What are the key challenges experienced in NGO and mining company partnerships for community development, and what are the opportunities for success?

Question 4: How does the partnership contribute to community development?

Finally, whilst it is important to look internally and examine structures and processes, it is equally important to turn our attention externally to the impact of partnerships on community development, and in achieving external objectives of each partner. What evidence is there of the effectiveness of the partnership, and the overall contribution to successful community development outcomes locally, regionally, and internationally?

Methodology

The method employed for this study was an interview narrative methodology based on case study design similar to that utilised in the studies reviewed above (e.g. by Austin, 2000; Ashman, 2001; Kolk et al., 2008; Smuts, 2001). Case studies are an important source of information, as they allow for examination of real life experience and are framed in a specific discourse (LeCompte & Schensul, 1999). They also allow consideration of people in their natural setting, and provide a mechanism for documenting processes, dynamics, and the characteristics of and interaction within an organisation or groups of people, in this case two different organisational types.

Adoption of a multiple case-study design allows for comparisons across contexts, whilst identifying the common factors and learnings from each. Case studies also lend themselves to diversity of data collection methods. In the current study, confidential interviews, personal observation and public domain data including organisational websites and annual reports were used.

Criteria used to identify case studies include 1) a relationship between an NGO and a mining company, and 2) activities were undertaken within a partnership in order to achieve community development outcomes in a communities impacted by mining operations. The partnership could be of any magnitude and resource investment, local, regional or international, and existing for any period of time. For each partnership, the researcher summarised information from publically available sources, as well as reports from these networks.

Interviews with those involved were a key source of additional information and an 'insider' perspective. Interviews are a valuable tool to elicit information (Quinn-Paton, 2005) because they enable detailed information to emerge about a person's experience and insight they have gained from that experience. For each partnership both an NGO and mining company representative were included in the sampling since the questions required consideration of both perspectives of the partnership of focus.

After the key questions were established, potential interviewees were identified through an internet search and the researcher's networks. Where possible, telephone interviews were held with a representative of both a mining company and an NGO who were involved in partnership implementation. Consultants who had been involved in partnerships between NGOs and mining

companies were also interviewed for their reflections on experience, although specific partnerships were not identified due to privacy and confidentiality reasons.

Each interviewee was asked the drivers for the project, the risks and enabling factors, the form the partnership took, how value was articulated for each partner, the contributions from each side, the community development principles employed, and their thoughts on sustainability. Any barriers and success factors were also discussed.

Interviews were transcribed and data about the partnership cases was qualitatively analysed (Bryman & Burgess, 1993) using concepts derived from the CSR and collaboration literature. Open coding was used to review the data, followed by a sorting process where common themes were identified, and interesting subjects explored in further detail.

A list of interviewees and their related partnerships is provided in appendix B.

Results

Question 1: What are the drivers of community development partnerships in mining-affected locales?

Convergence about ideas on community development – evidence of shift

A review of the literature confirmed that there has been a dynamic shift in the way community development has been approached by both the development sector (Korten, 1987) and the mining sector (Hamann, 2003; Zandvliet & Anderson, 2009). In the current study, several case studies also demonstrated this move away from one-off, temporary impact management approaches to more sustainable development approaches.

Common objectives were aimed at addressing key quality of life indicators, including health, education, economic development, psychosocial wellbeing, cultural celebration, safety and security, and gender equity. This involved managing the impacts of mining on community infrastructure and services as well as introducing improvements to community development.

Both NGOs and miners saw the importance of mining company involvement in community development, beyond impact management. As explained by a community development manager in a mining company,

“I think the common interest is there, and what sets mining companies apart from other donors that NGOs might interact with, is that we have a real stake in the communities and their development and their satisfaction. Whereas another donor that sits further away from those communities doesn’t have the same skin in the game. So I think there’s a real asset, advantage to NGOs and mining companies working together in that space.”

This convergence of objectives, was identified as a key driver for partnerships as a more viable model than independent action.

Governance gap and service delivery: the contextual motivators

Previous cross sector action has been driven by a failure of governments and dependency on foreign aid, ineffective company CSR strategies, and limited efficiency and financial insecurity of NGOs to address developmental issues (Kolk et al., 2008).

Results of the current study indicate that in most case studies, political, economic and social issues, including those attributed to mining impacts, and the inability of previous efforts to address these

issues, culminated in both mining companies and NGOs being motivated to become involved in cross sector community development partnerships.

One of the strongest contextual drivers was the governance gap and resultant social issues in the communities of impact. Despite laws governing royalty and equitable resource distribution, respondents reported that often this income is not translated into resources for communities most impacted by mining. As articulated by one NGO representative working in South Africa:

“Here and now, it’s not tenable for the mines to say they don’t play a role. It’s getting worse...and it’s not necessarily the fault of the extractives industries. But I think there is a contribution, and I understand workers concerns when they see mining executives getting very high salaries, they see resources leaving the country, they don’t necessarily see how tax revenues generated by extractives support them... because the system is blocked somewhere. ”

A community’s sense of inequity and dissatisfaction with benefits was identified as a threat to local community development, including mining. To both sides, this signalled the failure of conventional ways of managing development in local communities (especially by governments). When asked about the drivers of a small and medium enterprise development project, an NGO representative responded:

“We have a huge middle class, people who just came out of poverty, but who struggle to pay for education for children and access to healthcare. More than 60% of the population live under \$10 a day, which is ...the line of vulnerability. This is a source of a lot of social tension, of protests, and concern that are damaging the business and political environment of our country. You have several mining projects that have been put on standby and people want a more inclusive market economy. They want big mining companies to share their value creation with the community and the local environment”.

The risks to both NGO and mining sector are significant if tension and protests persist, or indeed escalate as a result of mining. In the current study, calls for innovative approaches to development from all sectors were made, particularly in developing countries where government services aren’t well established. As described by an NGO worker in South Africa,

“In the past 22 years, this is the most tense I’ve ever experienced this country. Everything is so quick to come down to violence, and partly because the government not having the right kinds of ways in which to engage with poor people and communities. There is frustration and people not feeling like they’re being heard... so it’s not surprising that [violence] continues to be the primary discourse. I’m so afraid for the future of this country if we can’t find ways to bring actors together, to create a better shared understanding and to act on it. I feel in South Africa, we have a rapidly closing window, and so we have to get it right, and working in different ways to what we have been working... the ways in which we’ve been working haven’t brought about the change we want to see... there’s a role for agencies like [our NGO] in supporting or partnering in ways that enable shared value.”

Sector specific drivers

The above examples provide evidence for mutual objectives driving community development partnerships. However, results also indicated that sometimes, motivations may be different. Understanding these differing perspectives is important when examining the dynamics of partnerships.

The literature argues that mining specific motivations included impact management, leveraging expertise and resources, gaining endorsement, as well as enhancing social licence to operate (Breuer & Farrell, 2003; Smuts, 2010; Zandvliet & Anderson, 2010). In the current study, results show that mining companies have realised the potential to achieve these outcomes is enhanced in partnership, and NGOs fit the bill for a few reasons.

Mining company motivations are framed in terms of corporate social responsibility outcomes relating to their specific operations, including stakeholder engagement, community development and reputational enhancement.

From the point of view of mining companies, community development was not just about the most socially disadvantaged, but about building strong and lasting relationships with all groups who are impacted by operations, and seeking to improve their neighbouring communities.

“In Chile people are mostly upper middle class. Most have access to running water, good access to nutrition, basic access to healthcare. But the income disparity is not minimised. Our operations exist in the wealthiest and poorest communities. So there are differences, but we use the same tools. Social investment and community development is not just about the poor, everyone wants to know what’s happening. Everyone wants something better for their community”. – NGO representative.

The ability to build relationships with host communities is enhanced when a company can include organisations and community members in their operations, to build buy in, foster understanding and contribute to its development. A partnership model is particularly attractive when a company has intentions of operating in a host community or country for an extended period of time, and when development impacts need to be sustainably managed.

“We believe in the partnership model to implement our social investment projects. Our strategy is well articulated in Chile, as we have so many operations, we foresee our operations in this country for a long time, [so] we take a medium to long term approach with NGOs.” – mining company Community Manager.

Supplementing stakeholder engagement expertise, results showed mining companies acknowledged NGO’s specified expertise across various community development areas, particularly as their mandates pertain to specific forms of development. Alongside this, the ability to receive endorsement from an NGO for good practice was also a strong motivator.

When looking at NGO specific motivations, the literature suggests influencing company practice, obtaining funding for core activities, and leveraging support from other sources (Smuts, 2010; Zandvliet & Anderson, 2010). Results from the current study reaffirm these motives, and show that while some coincided with mining companies’, there were important differences.

Besides the aligned objectives of developing communities and filling governance gaps, and the aim of obtaining funding for their programs, NGOs had two main motives for partnering with mining companies. On the one hand they wished to influence corporate practices, and on the other hand they wished to give affected communities a voice in the community programs of corporations.

“An important part of our work is to engage with individual companies. We do this because we believe if we engage in a positive way that we can influence the way companies think about different issues, and hopefully influence their practice for the benefit of local communities. [Our aim is] to push the industry as far as possible and [through this project] we saw an opportunity to do that.”

Another opportunity for NGOs was to influence how development was carried out, by building knowledge and capacity of mining company personnel, through to input into design of projects and flow-on effects on sustainable development. The extent to which NGOs embrace this position differs across the sector as one person, who has worked in senior positions both in the NGO sector and the mining sector illustrated,

“Increasingly mining companies are pressured to do the right thing, and some mining companies take that on as their own initiative and want to be engaged in that space. Others are being forced into it, and as a result, regardless of their motivation, there is a need for skill development. There’s a real

opportunity in that relationship for NGOs to support skill development, but also credibility for mining companies”.

A change in mindset from one of advocacy and criticism to that of breaking down barriers and improving practice, and endorsing positive behaviour was evident in many of the responses. A former employee of an NGO describes the range of performance among companies and the motivation for NGOs take a stand and influence in the worst cases,

“[The NGO] has been working in Mozambique with smaller mining companies, including an Indian mining company, whose track record has been quite appalling. They see a real value in working with some of the bigger miners to improve these standards, that will hopefully trickle down. Also... there’s almost an argument to work with the companies that have a really bad due diligence and track record, to try and change what they’re doing and get positive outcomes as a result.”

By engaging with mining companies, NGOs have the ability to influence how development happens, and access to resources to affect structural changes in society in line with their core mandates, as well as change internal company culture to be more socially responsible.

“[The mining company] has given us money to enable us to make very deep and structural changes to how development happens in South Africa. And I think in terms of serving our mission, it is incredibly important. [Our ability] to influence corporate behaviour in terms of how people understand their roles, and providing the tools to do their roles, the relationships to help fulfil that role in a way that benefits more poor people.” – NGO manager.

A second reason NGOs are motivated to partner with mining companies, particularly in regions where mining has large impacts on relatively under-developed communities, is that they see this as a way to ensure that communities have a voice in the way development happens. An understanding of the community context, including social and cultural dynamics, and how these play out in a development context was an important capability NGOs bring to the table,

“First and foremost making sure that the community has a voice, and that they are playing a role in deciding what they need... Understanding the community is not monolithic. What are the different communities that need to have a voice, what are the tribes that are represented, genders, and ethnicities, what other interests are there? Who are the leaders within that and then how do you develop your priorities for development? [Getting] a dialogue or conversation going, with the mines and with the communities.” – NGO manager.

Further, NGOs also recognised the good work that mining companies had achieved in cross sector collaboration and corporate social responsibility, and how they were an attractive partner for community development projects when compared to other corporations geographically removed from communities.

“Here’s something I’ve found interesting in past couple of years working with corporations in the international development space. When I look across the spectrum of the different industries and their thoughts about community engagement we are talking about a spectrum of very developed and less developed in this area. I’d say the extractives sector is the most developed out of all of them in this, or closer to it, because they’re literally on the ground and in the ground, with the communities.”

Increasingly, it seems mining companies are becoming partner of choice.

Pooling complementary resources

Overall, both mining companies and NGOs reported the desire to “partner in ways that enable shared value”. The results indicated that the most prominent driver for both NGO and mining company

respondents was the collaborative advantage of complementary pooling of resources to obtain strategic objectives, which could not be achieved in isolation.

A partnership approach was effective in countering the corruption often described as a challenge in mining development contexts. In such situations, establishing structures whereby there is more governmental accountability for economic development and where communities are involved in the process through effective engagement mechanisms were important steps to improve development outcomes.

“The mining company wants to make sure that their investments are being used for the purposes that they’re paying the royalties for. There are a number of instances where the royalties are paid to the national government but the local communities never see the benefits of that. Or royalties are paid to the local government, and the people still don’t have roads or access to water. So in some instances the companies have come to us and attempt to make sure the community is driving the decision making, but also taking on the responsibility for maintenance and operation of [development].” – NGO representative.

In this instance, the ability for the NGO to ensure that communities have a voice in the way development is undertaken is important to both the company in terms of community relations, as well as the NGO, in terms of ensuring effective stakeholder engagement. Their capacities are complementary where mining companies are able to stimulate economic activity, and NGOs are able to elicit community involvement and guide an inclusive development process.

“We believe in win-win partnerships. The main objective of [the mining company] is to renew and maintain its social licence to operate, to have the ability to demonstrate that [they] are an actor in [an] inclusive development process in the community. You first find the alignment of objectives. We both want the communities to be developed.”

NGOs brought development sector specific expertise to the table recognised as important to mining companies who wish to invest in a broad spectrum of development initiatives.

“Focus on education, entrepreneurship, sustainable communities, recognising clearly we are not the experts in the area, but it’s our model to look for strong partners to work with, to design the programs together and implement them together. While we have expertise around stakeholder engagement and identifying strategy on how we want to utilise our funds, we don’t have the sector specific expertise in all the areas we want to invest. So we see the NGO as the key partner that can be implementing body that has the expertise in that space.” – Mining company community development manager.

Mining companies on the other hand had other assets to contribute, including capital investment, economic and political influence, and relationships with stakeholders at different levels. These assets could be leveraged by NGOs, enabling them to achieve more effective outcomes than if they had worked alone. Partnering with a high profile partner enabled greater networks and strategic resource capacities to become aligned,

“These connections have provided us with better access to senior level political figures in South Africa and Mozambique. So meetings with ministers of health and social development have been very useful in getting engagement there at the national level and working with the Chairman’s office. With the districts as well, we’ve used some of the connections with some of the operations and some of the CSI staff, to understand more of the community-based organisations working there, and use that as a tool for also building our engagement with [on-the-ground] NGOs.” – NGO manager.

In another case study, assets brought to the table by the company included capital for social investment, purchasing power to influence economic processes, and its relationships with different groups of stakeholders. Without the involvement of the mining company, substantial changes in local economic development would not have taken place.

“The mining company has been incredibly supportive ...they want to demonstrate to the government that they are where possible using local resources. So the mining is really pushing the [contracting partner] to say we want you to buy local, we’re supporting local, so their foundation is providing a grant to [our NGO] to develop a model and provide training to the producers and a local fund with [donated] money. So through CSI foundation money, there’s support to [our NGO]. This is one way the company is expressing its interests, pushing for some procurement reform on the side of the mine. But they have to meet certain standards”.

Respondents also reported that companies also brought business skills to the table, including management systems and procedures, rigorous assessment methodologies, and anticorruption and financial expertise. This was important both in terms of applying strategic thinking to the design of the partnership, as well as bringing a business mentality to the operational activities of the partnership.

As can be seen from the results, both sides acknowledged increasing motivations to partner with the other sector and the ability to obtain collaborative advantage through partnership. Convergence of ideas in community development and gaps in governance and service delivery were important contextual drivers. For miners, the driver of enhancing relationship building in communities of impact, eliciting NGO expertise in engagement and community development and gaining endorsement were specific drivers, whilst NGO motives were the ability to influence company practice, ensure inclusive community development and obtain capital funding.

Importantly, results indicated that the strategic use of resources was fundamental to effective partnership outcomes. This leads into the second question of the current study, looking at the forms that partnerships between NGOs and mining companies take to enable complementary resource exchange to occur.

Question 2: What forms do these partnerships take?

A review of the literature showed a shift in approaches to community development, corporate social responsibility and stakeholder engagement, and as such a continuum was developed incorporating these themes, as shown in table 6. In the current study, each partnership case study was analysed in terms of its location on the continuum from short term, ad-hoc engagement or investment, through to more cooperative, collaborative and strategic social partnerships. The drivers, roles and assets are summarised in table 7.

Table 7. Phases of partnerships and characteristics of NGOs and mining companies.

	Approach to corporate social responsibility, partnerships and development		
Current study	Stage 1	Stage 2	Stage 3
Relationships between NGOs and mining companies	Sponsorships and donations: short term, philanthropic sponsorships or donations from company to NGO recipient to achieve positive benefits for community	Donor – implementer: once off or multiple philanthropic capital transfer from company to NGO to implement projects and attain community development outcomes	Integrative: long term partnership where activities involve core business of both partners to attain community development outcomes
Characteristics			
Timelines	Ad-hoc, short term	Variable, depending on situation, goals and funding	Long term, sustainable
Mining company drivers	Reputation enhancement, tokenism	Facilitate positive development outcomes of mutual benefit	Demonstrate positive and enduring development benefit
NGO drivers	Capital to achieve	Ability to influence	Ability to influence

	short term gain	company practice and implement community development projects	company practice and operational activities for positive community development outcomes
Mining company's main role	Benefactor	Donor	Collaborator
NGO's main role	Recipient	Implementer	Collaborator
Mining company assets	Capital (monetary or in-kind)	Capital, stakeholder engagement, economic development stimulus, business expertise	Capital, stakeholder engagement, economic development stimulus, business expertise and mining operation activities
NGO assets	Stakeholder engagement expertise, limited community development ability	Stakeholder engagement expertise, community development implementation expertise	Stakeholder engagement, community development implementation ability, influence to utilise mining operation activities for sustained community benefit

The results showed that there were a range of relationships between mining companies and NGOs. Many of those interviewed described interdependent relationships that involved mining companies and NGOs working together in a “partnership”. Whilst these are the ones this current study focusses on, responses did indicate a variation in the degree of involvement between partners, and more independent, even oppositional relationships between the sectors were also important to development outcomes.

Advocacy and advisory relationships were not located on the continuum, particularly NGOs averse to using the term “partnership” to explain their interactions with mining companies. Some NGOs see themselves as strong advocates for community development, but in no way an actor in implementing that development. From this perspective, it is the mining company's role to ensure development is effectively managed to deliver positive impacts for community.

“We don't undertake community development for mining companies, we don't want to. We're not here to do the job of the mining sector. Our role is very much advocacy focussed, so to deliver a project in the community with a company's money really conflicts with what we do.” – NGO representative.

The role of NGO as “advocate” aligns with Korten's assertion that strategic lobbying and influence can be used as mechanisms for change (Korten, 1987). Other NGO respondents acknowledged the importance of different engagement strategies with mining companies, including advocating for mining companies to take responsibility for their impacts, and to address inequality and human rights in areas of their operations.

“[Advocacy NGOs] don't engage in these kinds of [partnership] relationships, and I think that's ok. I do think there's a role for organisations that chain themselves to global headquarters, or institute legal action against mining companies – I think that's an important thing. So my vision isn't of everybody having a cosy relationship because there's something important about that kind of pressure that enables the quest for different solutions. They are making corporations think differently about their

role in society, and I think that's incredibly important, and that will always be there." – Community development NGO representative.

In some projects, NGOs functioned as an advisor to the process. This role is appropriately captured by Himmelman (2001)'s networking and cooperating, where information is shared for mutual benefit, often for a common purpose. This form of engagement was misaligned with descriptive words such as "philanthropy" (Hamann, 2003; Austin, 2000) and "branding" (Zandvliet & Anderson, 2009) because the parties are still essentially independent. At this level, NGOs were not as adversarial as advocates, and acted as an advisor to mining companies on their corporate social responsibility performance.

Another example of an advisory level partnership was discussed by two NGO respondents, where senior representatives from NGOs engage with senior leadership of a mining company on their corporate responsibilities. This enables a dialogue to occur at a high level across the organisations and for each side to understand the objectives, perceptions and perspectives on issues such as community development, sustainability and environmental conservation. Again, whilst each party maintains its independence in activities, this level of engagement is highly strategic and requires both parties to recognise a common outcome in working together for change.

Whilst the position adopted by the NGO in the above interactions was independent, separate and thus not as integrative as the other partnerships, at the same time, these relationships were strategic. In the advocacy situation, the long term goal of the NGO was to influence and lobby for change by the mining company. In the advisory relationship, the long term goal of the NGO was also to influence change, and for the mining company to receive strategic advice and even endorsement by the NGO. This suggests that even though partners are not necessarily aligned on their core values, they nevertheless believe that engagement in cross sector forums are an important opportunity to achieve mutually beneficial outcomes.

Moving closer to collaboration, NGO representatives spoke about how their relationships with mining companies were evolving, and that an adversarial approach was not always effective in achieving their aims. This provides further evidence for a shift in the way engagement happens between the two sectors, to more open dialogue across different "types" of NGOs. An NGO working in an advocacy role with mining companies explains,

"If we go back to five years or before, we had a different model of operating. At that time we [used] an exercise in naming and shaming companies, and so our relationship with individual companies and the sector more broadly wasn't a constructive one. [When] we did a review of the program, we decided it was time to change the way we worked, from mining ombudsman to engaging constructively whilst being open to publically criticising companies when we felt it was useful. So that shift has been an interesting one, and so our relationships with mining companies have changed as a result. Companies now see us as an NGO they can talk to, they may come to us for advice, and may not be fearful of doing so".

As the key focus of the current study was community development partnerships, many of the projects directly working in the development of communities impacted by mining fit the philanthropic donor-implementer partnership definition, or stage 2 in table 7. There were no projects which satisfied stage 1 of one way sponsorships and donations, which represent once off or multiple capital transfers from mining company to NGO for short term gain.

In stage 2, the mining company was still the principal "donor" of funds, whilst the NGO had the knowledge and expertise to implement community development projects on the ground. Stage 2 is characterised by sharing resources for a common purpose, had a longer term orientation, and the common driver was community development outcomes in a community of impact (see table 7 for details).

In the other partnerships in stage 2, NGOs undertook implementation of education, health and other capacity building projects, whilst mining companies brought business knowledge and discipline to the strategy, and stakeholder engagement with government. One example was between a high capacity NGO and a multinational mining company to develop small and medium enterprises (SMEs). This partnership is shown in figure 3 below.

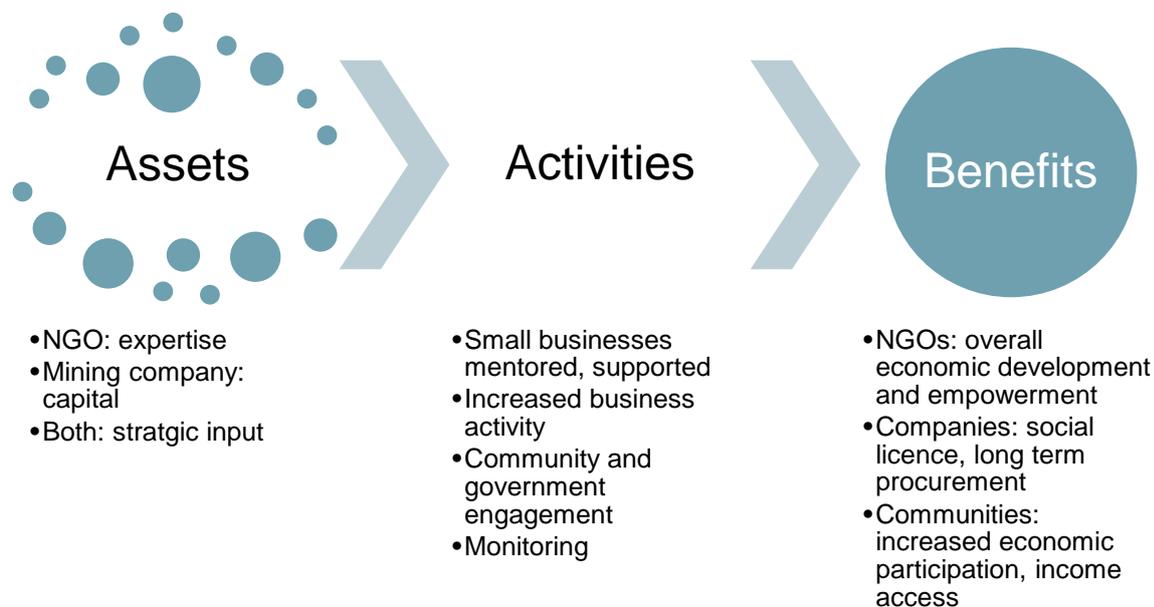


Figure 3. Complementary asset exchange in a stage 2 partnership.

In this interaction, the NGO partner was responsible for undertaking the development activities, and brought the sector-specific expertise to the table, whilst the company brought its status, capital contribution and strategic outlook. Outcomes derived from this partnership were threefold. For the NGO, to be able to execute their core business of local SME development. For the mining company; to minimise risk and build a social licence by investing in small businesses and supporting local economic development, and ultimately be able to support local procurement in long term. Overall, for the community, the benefits were increased economic participation, development opportunities and access to income.

As mining companies often need to address multiple areas of community development, working with sector-specific NGOs was an attractive model for investment, as described in earlier. At the same time, some partnerships worked at multiple levels of engagement, particularly when the partners were multinational organisations, and used their international presence to create change in communities across the world.

Partnerships in stage 2 show that when the mission, values, resources and outcomes become more aligned, and assets are brought together to become complementary, so the partnership progresses along the development continuum and a collaborative advantage is achieved.

Importantly, partnerships often evolved into different forms over time, as relationships grew stronger, and outcomes changed.

“The relationship with [a mining company] has been so interesting because [we’ve] been working on that relationship for 10 years, and the last 2 years we are getting some real traction ... so there are multiple strategies for engagement. It started out [as philanthropy], the [mining company] wanted to

give [our NGO] money for water projects in our impacted areas. And so, we do project work, using this money, in ways that benefit our impact groups, people whose lives we want to see changed. Through that, [the mining company] came to realise there was more opportunities, and so we became involved in developing the social and environmental assessment tools". – NGO partner.

The third stage of the continuum is different from the previous stage as it moves beyond the donor-implementer relationship, to a more integrative relationship where decision making power and sense of ownership are more equal, and the strategic use of resources is optimised. Results from the current study showed that partnerships became collaborative when both company and NGO were able to conduct their core businesses as part of the activities of the partnership.

Partnerships at stage 3 included the integration of an Indigenous capacity building project into a company's procurement and employment strategy, and a women's empowerment program incorporated into a company's community engagement strategy (see figure 4). Here, the objectives were almost completely aligned, and the roles each party played were integral to the outcomes of the partnership, such that a power balance was achieved. Success depended on each party upholding their commitments, and risks, resources and rewards being shared.

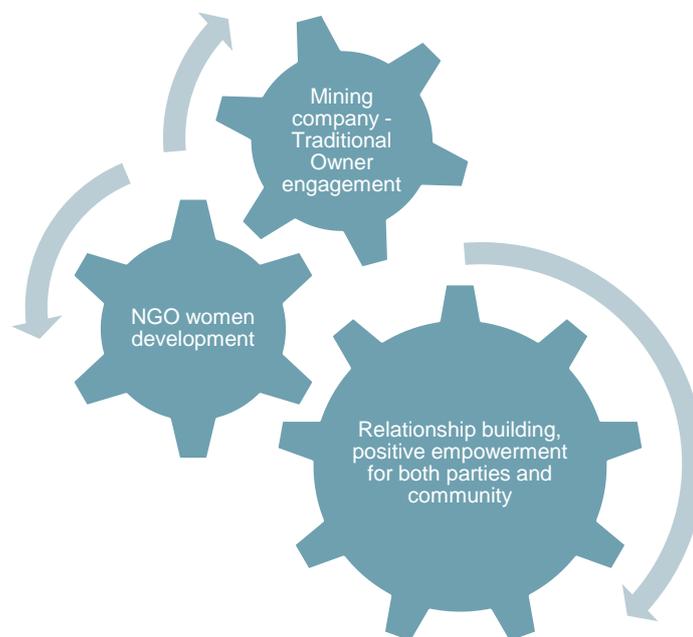


Figure 4. Example of an integrative partnership at stage 3.

It is interesting to note that whilst all representatives spoke about challenges of working in their particular partnerships, stage 3 was characterised by lengthy lead in times for establishing the goals, structures and activities of the partnership, and intense conflict resolution discussions around how power balance can be achieved. Because roles and responsibilities were less defined, taking time to build relationship through these stages was critical to the effectiveness of the project long term.

Overall, results demonstrated a range of strategic relationships between mining companies and NGOs, from advocacy and advisory, to more philanthropic implementation of community development projects and finally integrative, where the core business of each became the central activities of the community development. The level of engagement really depended on the desired outcome the assets brought to the table, and the roles and responsibilities of each partner. We now look at the common challenges and enabling factors to making these partnerships work.

Question 3: What are the common challenges and success factors of partnerships?

The literature shows there are many challenges to cross sector relationships, and include reputational risks (Smuts, 2010), misalignment of motivations and goals (Smuts, 2010), potential power imbalances (Ashman, 2001; Huxham & Vangen, 2005) and difficulties in measuring outcomes of collaboration (Ansari et al., 2001). The current study found that many of these challenges did materialise in the case studies of focus.

Despite willingness from all organisations represented to engage with the other sector, the reality is that sometimes conditions are not conducive to partnership. For NGOs, there were situations when differing objectives could not be reconciled, for example when a public relations focus took precedence over the long term outcomes of a project. For mining companies, it was not always possible to engage in a collaborative fashion with NGOs who take an adversarial approach, and therefore sought more reactive, defensive responses to engage.

Results from the interviews show that the most prominent risk from the NGO perspective when considering cross sector engagement was concern about reputation, and taking money from (and inadvertently endorsing) a mining company who may have a disreputable human rights record.

“...Whenever we’re looking to engage with a particular company on a particular piece of sustained work, we do need to think carefully about the risks. Is the project just a “PR” exercise of the company? Would we be seen to endorse the project or the company? The last thing we want is our name next to something that is a PR exercise or is attached to a company that has an appalling record, because we are then opened up to all sorts of criticism... I think there are definitely times when a partnership is not appropriate. ... We need to think very carefully, be pragmatic.” – NGO representative.

Another tension faced by both parties was around priorities, and the risk of having different perspectives and ideas on how to achieve development outcomes in a “community” of focus. For mining companies, they want to target communities impacted by operations or where their employees live, and invest in countries where there is a business interest. “Local” means proximate geographical communities, not necessarily lower socio-demographic. NGOs, on the other hand want to target poverty in communities of low socio-economic status, and don’t always see mining communities as experiencing poverty.

Another challenge was the perception by some NGO representatives that the partnership was vulnerable to external market conditions. Seen as “non-operational expenditure” by some mining company personnel, NGO and mining company representatives related experiences of community investments withdrawn during a market downturn. Complexities of working across organisations was also highlighted as a challenge in the partnerships involving large multinational companies.

Success factors for partnerships put forward in previous research include effective planning and agreement making (Bryson et al., 2006, Zandvliet & Anderson, 2009), the importance of being upfront and honest and building trust (Bryson et al., 2005), ensuring balanced control and decision making ability (Himmelman, 2001), and having the ability to grow and learn together (Vangen & Huxham, 2003).

Results from the current study showed many of these enablers were present in the case studies examined, including good communication, relationships based on trust, planning, conflict management and monitoring and evaluation.

Communication and building trust

Successful partnership brokers talked about good communication, transparency about expectations, having empathy and being willing to engage in dialogue upfront.

“Again, communication is key. Within that, being very transparent and upfront about expectations. Thinking back to my experience and our initial discussions with a mining company, it was very clear what a mining company sees as success is very different to what an NGO sees as success.” – former NGO representative.

Respondents spoke about undertaking thorough due diligence processes and dialogue to understand each other’s motivations, and how they might align. Often this was a lengthy, challenging process because of the differences in values from each perspective as outlined earlier.

“A lot of it has come about through discussions about what are the values that the corporation has around health, the environment, the communities in which they work. So there was really a learning process of what it is that [the mining company] wants, what they are looking for this project to do, and also thinking critically what is it that we want to do, and making sure that we have the space to do the quality type of program important to our mission and our reputation.” – NGO representative.

Planning

Once the two parties have come to terms with the perspective of one another, and established an agreed set of objectives to be achieved in partnership, the next step was to set up a working structure with roles and responsibilities. Depending on the location of the partnership on the development continuum, the roles and responsibilities differed. For example, stage 3 required more time, trust and resources from the partners because of the complexities of aligning core business with partnership activities, and ensuring equitable power distribution.

Designing a project based on tangible, reliable evidence of assets and need in the community was also critical to ensuring adequate use of resources, and ability to measure impact.

In planning an effective approach to take, a “logic framework methodology” was proposed by one respondent as a mechanism to facilitate and agree strategy, partnership structure and activities. In this approach, the partners discussed the strategy for achieving agreed outcomes. Then, a plan of action is put together, which details the inputs, actions (including responsibilities of each actor), outputs, short term outcomes and long term impacts of the collaborative action.

Important to this plan are clear mechanisms used to measure success, agreed on upfront by all parties,

“So it’s around the discussion and the communication to bring each party as close as possible to agreement. I think the opportunity moving forward is to move past the donor implementer relationship, and more to a more two-way partnership, where both parties are benefiting from the expertise each has to offer, and that collectively the partnership results in benefits to communities. I see more opportunity for us to learn from our NGO partners but also for them to benefit from the skills, policies and frameworks that utilise to improve their business as well.” – Mining company representative.

Building the relationship doesn’t stop at planning. It is a constant process that evolves and grows as the partnership does. Differing perspectives can still arise as challenges and partners spoke about the need to continually take time to build relationships in order to be successful. Examples included having formal and informal means of communication, as well as the ability to demonstrate and celebrate success together.

Leadership

Another key enabling factor found across all partnership case studies was the contribution of specific committed individuals and having the right people with their right capabilities working together. Successful partnerships did demonstrate support from leadership in both organisations, and the willingness to contribute the required resources to make the partnership work. As the reliance on

relationships between individuals can also represent a challenge from a sustainability perspective, reflects the need to ensure skillsets and capabilities are captured in systems during the planning phase.

Respondents related that as partnerships matured, so relationships grew and changed. Having supportive leadership who are willing to think differently, and consider strategic action to build cross sector understanding and relationships was another key enabling factors to successful partnerships.

“It’s about taking the time to build the relationship, and trying to, as much as possible, understand where companies are coming from... And from my side it’s something as simple as my country directors who have mining companies in the countries or who are working on mining funded projects, we encourage them to read mining news, so we stay up to date with what’s happening in that industry for example copper, gold, oil and gas, etc. because that’s going to directly affect what’s happening with the projects, either who is coming on line, or who are currently [operational]. So it’s really getting inside the company’s head as well as working on understanding more how they understand social responsibility and community engagement.” – NGO representative.

Flexibility and continuous learning

Sometimes, in difficult circumstances, respondents spoke of a need for partners to work together to evolve to a changing environment. The ability to adapt to and transform challenging situations into opportunities for growth was a key enabler, and took time, relationship building and innovation from both sides of the partnership. An example of this was the challenge of multiple levels of communication across two large multinationals.

“It’s been a learning process from both perspectives. From our perspective, part of the learning process has been to try and get a better understanding of different levels of stakeholders in [the mining company], as we’re establishing our footprint and activities in-country. Getting to know the stakeholders within [the mining company], the chairman’s office, the assets, and the operations. So it’s been a learning curve for us. It has been more intensive than originally anticipated. It’s been a challenge, but ultimately it’s made for a stronger relationship.”

Based on ongoing monitoring and evaluation mechanisms established in systems, flexibility and continuous learning were key enablers which the more collaborative partnerships did demonstrate. The willingness for mining companies to allow the NGO to make important decisions in the way the project was carried out, whilst maintaining open channels of communication, was vital to facilitate positive outcomes.

“...they gave us the money, but they also gave the possibility to sit down with local government and local stakeholders to say this is what we’ve been funded to do, this is the approach, however we can adapt this to your local needs... it has come from the flexibility and clarity of role that we’ve had with [the mining company] that ultimately has been very effective.”

In partnerships that were in the process of being implemented, being able to monitor and evaluate, and be flexible in the outcomes and strategies to achieving these outcomes, allowed the partnership to be sustainable and continue to provide value.

“Another important thing is that we learnt a lot. [The mining company] actually ran the program five years before we joined, so we learned a lot from them. We didn’t just arrive with [them] and tell them how to do it. In terms of methodology, it’s a win-win partnership also. You make mistakes, we make mistakes, and it was an interesting conversation on how to improve the program with a big contribution from both, and we find a lot of alignment.”

The study confirms that all partnerships are faced with challenges at each stage of the process, with the major stumbling blocks being reputational risk, misalignment of objectives, communication levels,

and external conditions. The case studies showed that these problems were surmountable, but require considerable internal attention to building communication and strong relationships, planning structures and systems, having strong leadership, and willingness to be innovative and adapt and grow together.

Question 4: How does the partnership contribute to community development?

To answer the final question, we turn our attention externally, and look at the overall contribution to community development in areas of mining operations.

The literature showed that indicators of effective community development projects included enhanced quality of life of communities, increased government involvement and less community conflict (Zandvliet & Anderson, 2009). Increased involvement and ownership of communities in the development process, and progression along the IAP2 spectrum of engagement was also a sign of positive development outcomes (IAP2, 2006). Finally, establishing outcome indicators upfront (Ansari et al., 2001) were critical to ensure progress can be measured and celebrated.

Enhanced quality of life outcomes

All participants spoke about outcomes that had been achieved through their experiences with partnership. In the case of a women and children's health initiative, outcomes included increased access to services and improved positive parenting behaviour by young mothers. In a cultural education project, the ability for young Aboriginal people to learn and re-engage with their culture, and for the community overall to achieve greater education outcomes and reduced truancy and antisocial behaviour was achieved over an extended period of time. Success is what drove the partnerships forward.

Community participation and ownership

Overall, respondents spoke about the increased attention from different stakeholders on mining companies to be accountable for managing impacts and contributing to development that is equitable and inclusive. However, there were diverse ideas of development. An important theme communicated was to ensure that planning partnership activities took into account the community's aspirations of what "development" means to them,

... It's not about what mining's got to do with it, it's about the way they see themselves. A community will feel more sustainable if they've got the water they need to survive in the desert. In the future, they'll feel sustainable if there are young people living there and not moving away. They'll feel sustainable if they can get to town on a regular basis and the cost of fuel is manageable to get to town. So I see sustainability in this context as much more about people's lives continuing in a way they'd like to see their lives continue, to meet their aspirations, rather than being about the environment. Sustainable is more about continuation and improvement on the ground." – Person involved in cross sector partnerships.

Consultation and involvement (IAP2) were important mechanisms in this approach. In terms of sustainability, this opened doors for community to be involved in the design of projects that would affect them. Most of the partnerships acknowledged the critical importance of having community involved at each stage of the process, taking ownership and driving the development.

"It's not just been us, it's been the community. The community are the ones that are doing it, we're just been lucky enough to get in there and give the impetus for it, and you can feel it, you know. When you walk around the community, they say the community feels so much more empowered, women feel safer, they're not scared to walk down the street anymore." – Mining company representative.

Projects which were able to facilitate community involvement and participation, higher levels along the IAP2 engagement spectrum, also demonstrated positive outcomes in the areas of focus. One example of this was a business development project where the aim was develop capacity of small and medium enterprises, and stimulate economic development. The key message in this was that the project cannot be designed independently by one of the partners, and needed to incorporate the community's voice.

"This is a lesson shared among [the partners]. We focus on supporting initiatives from the community. So part of the work is to go to the community and look for leaders who have ideas and help them develop those ideas. That's the focus of the program, work with community to develop their businesses, not our business ideas." - NGO representative.

In terms of the development continuum, projects in stage 2 and 3 needed to ensure community involvement in the implementation phase on the ground. In the more integrative (stage 3) partnerships there were opportunities for communities to become more involved in the actual developmental activities of the mine, and the mine to use this engagement to further their objectives. This reflects collaboration and empowerment strategies along the IAP2 spectrum.

An example of a stage 3 partnership was incorporation of a local employment and procurement into a company's business strategy. The partnership included bringing Aboriginal community members into the operational process through employment and procurement opportunities. This increased their involvement, capacity, and ultimately the company's relationship with its neighbouring communities.

"I think [the partners] need to have some sort of plan and how things will work. You talk about partnership. They want to try actually get involved in the process, ownership. This is an ideal opportunity for the company to step up and make it possible. It's not easy, but it is possible to do that. If [the community's] got ownership in something, you're more likely to make it happen, instead of standing back and collecting a few cents from every dollar. It doesn't have any meaning [otherwise]." - Mining company representative.

Community development outcomes included building the capacity of the community to be empowered and make informed decisions. Part of this was the ability to engage with mining companies on their level, and be respected in the process. Both mining companies and NGOs have an interest in their communities being empowered and sustainable, and having a say in the way development is undertaken. To achieve this in partnership is possible when it is a goal for both parties.

"So [the community's] ability to engage, about understanding their rights, and having their ability to take advantage of their rights, and the willingness to take responsibility for those rights, because with rights come responsibility, it's about having the language and the knowledge to develop agreements, to participate effectively at the table, to utilise that knowledge and those consultation mechanisms while still respecting a local traditional decision making framework. Having the financial resources to effectively participate in discussions and at meetings, to have financial resources to do due diligence of a mining company coming in and to identify what their concerns are of that company. So a whole range of things fit into that capacity bag." - NGO representative.

Sustainability factors

The higher the level of engagement and involvement of the community in the decision making and implementation of the community development projects, the more successful they were in attaining positive community development outcomes. Whilst stage one partnerships were not observed in the current study, it is suggested that one off donations or corporate sponsorships are less likely to have enhanced community engagement and longer term outcomes.

The challenge of sustainability was discussed by a number of both mining company and NGO representatives, particularly in stage 2, where the mining company provided the funding for the

activities undertaken by the NGO. One NGO respondent provided a strategic response to this challenge, by taking a different view of sustainability. The key enabling factors of innovation, flexibility and continuous learning in partnership are clearly demonstrated here.

“As long as both partners meet their objectives, the program is sustainable. If [the mining company] feels the program is allowing them to sustain their licence to operate, there will be always money to keep investing in these kinds of programs... You can see this in two ways. You don't always want to invest in the same thing... every year in the same entrepreneur, and in that sense the program is well designed so you intervene one time in one person, and that person is able to sustain their business in the long run. That's one dimension of sustainability. I will argue that in the foreseeable future, you will have to help your community to keep developing, and the program to do [that] may be different in your terms, and if at some point you find the community is very well developed and there are no social issues well then you're done. And we accomplish our mission, and they will accomplish their mission, too. So that's how I see it.”

Ultimately, the success of a partnership relied on it achieving its aims, linking to the sustainability of impact after the partnership, and partners being able to walk away having achieved their outcomes. Partners successful in attaining longer lasting impacts spoke about strategic objectives, and working on building existing structures and assets in the community to address needs, so that the community retains the capacity after the partnership is completed.

“Sustainability has been one of the issues that we have been in discussions with the [mining company] about. Ensuring there is sustainability in the design of the project. It's not built into the funding agreement beyond the fact that we're addressing it in the way we've designed the project. We have built it into the project by building on the existing structures in the community, existing policies, filling in some of the gaps in existing initiatives in country... it really has become part of the local district's the local stakeholders to continue doing those activities. Instead of us saying right we're going to come in and build a lot of new structures, or we're going to build a lot of new policies or activities, what we're doing are trying to refine the existing tools, the existing structures, policies, in conjunction with the local stakeholders so they can continue that on at the end of project.” – NGO representative.

Finally, one of the most important aspects of sustainability in community development outcomes identified in the results was considering the development project within the broader economic and political context, and aligning the efforts with that of regional and national development efforts. An example of this was ensuring the approach of an education project on the ground in Chile was congruent with the government's broader approach to education,

“We've been working on it. We've been supporting them with the Ministry of Education which is very important because alignment with government approach. Also, having us associated with them gives them a good reputation which opens doors to other donors such as government. They've been able to engage the government and get significant funding from the Ministry of Education. This is positive that we've been able to have the same conversation with them.” – NGO representative.

Overall, results show that community development outcomes were reportedly achieved in all partnerships, and included positive quality of life outcomes in the specific area of interest. Important indicators included involvement and ownership of community in the development process, and higher levels of engagement along the IAP2 spectrum were associated with enhanced community development outcomes. Building on existing community assets, and situating the activities within a broader development context were also critical to sustainability of community development outcomes.

Discussion

Mining company operations present unprecedented opportunities for regional economic development and community development in communities, but the reality is that often communities most impacted by operational development don't reap the benefits. Gaps in service delivery, corruption and ineffective management of development create an environment where negative social and environmental outcomes result, leaving communities worse off than before.

Finding a convergence in desired outcomes, NGOs and mining companies are increasingly working for innovative alternatives to address poverty, inequality and the impacts of mining. Many have come to realise their independent efforts have been ineffective in achieving outcomes, and recognise the collaborative advantage to be attained in leveraging complementary resources. For NGOs, mining companies bring about large scale economic development opportunities. For mining companies, NGOs have the skills and expertise to manage community development effectively and inclusively.

Despite the impetus for partnerships, the parties speak very different languages, and forging an equitable relationship can be a complex process. Historically the two sectors have had different values, and adversarial styles of interaction were the norm. Whilst there continue to be differences of perspectives, and sometimes conflicting motivations, relationships are evolving, and the way they engage today really depends on where they are coming from, and what they are trying to achieve.

The traditional model of an NGO advocating for behaviour change of a large mining company continues to be a viable model for some NGOs, and indeed important in improving overall social and environmental performance by the industry. Companies are increasingly engaging NGOs to advise on their performance, including managing negative impacts and building a stronger social licence to operate. As a form of engagement, this is less adversarial, but both parties maintain their independence. They are not really "partnerships" but more strategic relationships.

The primary focus of the current study was philanthropic partnerships in community development. The donor-implementer model is attractive because it allows a company to invest in a community project and leverage the expertise of an NGO. In turn, the NGO has access to the financial capital required to undertake development activities, as well as influence company practice on how development is undertaken.

This model is very useful in situations requiring community development outcomes in areas such as health and education. Provision of these services is not the core business of the company, but is important to a viable and vibrant community. This model represents collaborative advantage that each player would not have been able to achieve in isolation.

Integrative partnerships are slightly more advanced than donor-implementer, and are possible when the core business of both parties becomes the activities of the partnership. Whilst both parties would undertake these activities independently, by coming together and developing a partnership model, resources can be leveraged and efforts aligned. This model is viable in situations such as procurement targeting local businesses, or incorporating a project into the engagement strategy during negotiations.

A relationship between and NGO and a mining company is dynamic, and to be successful, requires some key relationship building strategies. Working hard to bridge the divide, including up front due diligence and dialogue to understand the perspectives of each is important. Planning systems, including being clear about objectives, the roles of each party, and how assets will be contributed to leverage shared value are critical. Strong leadership, and continuous learning are also key success factors.

Whilst theoretically it may be compelling for a partnership to be developed, it is also critical that it adds value to the community of focus, otherwise the intense effort it takes to address internal challenges is not worth the time. Being clear about what the partnership wants to achieve, and how success will be measured is also fundamental to this. Partners should work together to develop monitoring and evaluation systems, and wherever possible incorporate community in each stage of the process.

In terms of community development outcomes, factors identified as important in delivering outcomes on the ground included understanding the community's aspirations, developing community buy-in and ownership of the development process, and empowering communities with the skills they need to be a significant player in the mining development process.

Furthermore, approaches which enhance existing community structures and assets, and aligns with broader regional economic development, including involvement by stakeholders such as government, were also critically important factors to sustainability of outcomes post partnership. Incorporating this thinking into the initial scoping phases is essential.

The findings of the current study are useful in situating relationships between NGOs and mining companies along an evolving spectrum, and gives insight into the factors necessary for setting the parties up for success. To further validate the positive benefits, communities need to be asked about their perceptions on partnerships and the outcomes that were achieved. What difference did the projects make in the communities' lives? This is an avenue for future research.

Another factor to consider is the role of government in the equation. Many of the drivers of partnerships were attributed to lack of governance in regional and community areas. Communities are increasingly demanding that they reap positive benefits from development, and corruption and ineffective service delivery results in the need for NGOs to fill the gap, and mining companies stepping up to the plate. Whilst this was not the focus of the current study, this is an important issue of inquiry, and requires further attention.

NGOs acknowledge that the mining industry's performance in the corporate social responsibility space is continuously improving, and this work is so important because they operate on the ground, in the ground, and indeed are a part of the community. If it can be demonstrated that partnerships have enabled communities to generate positive outcomes from resource extraction, and as a result communities and countries benefit from the resource wealth in their soil, then there is a case that partnerships are a viable model for community development.

Appendices

Appendix A: International guidelines

Organisation	Principles and community relations
ICMM Sustainable Development Principles (ICMM, 2003).	Corporate governance, health and safety, risk management, human rights, environmental performance, social, economic and institutional development, and effective and transparent engagement. Accordingly, member companies shall: "Contribute to the social, economic and institutional development of the communities in which they operate ... from project development through closure in collaboration with host communities and their representatives ... and enhance social and economic development by seeking opportunities to address poverty..." (ICMM, 2003).
Minerals Council of Australia (MCA, 2005).	The Enduring Values Framework operationalizes the Australian Minerals Industry's commitment to Sustainable Development by utilising ICMM principles. Requires public reporting of site-level performance by member companies.
International Finance Corporation (IFC, 2007).	Good Practice Handbook provides guidance for companies doing business in emerging markets. The Sustainability Framework provides principles relating to labour and working conditions, management of social and environmental risks, resource efficiency, health and safety, involuntary resettlement, natural resources, indigenous peoples and cultural heritage. All companies which apply for lending are required to demonstrate environmental and social practices in line with these principles. It also encourages companies to take a proactive, long term, inclusive approach to stakeholder engagement, embracing openness and transparency.
Equator Principles Association (2011).	Based on IFC's Corporate Performance Standards on social and environmental sustainability, as well as the World Bank Group's Environmental, Health and Safety guidelines, 78 financial institutions 32 countries have adopted the principles for due diligence processes, and as a platform for engagement with stakeholders, amongst them, NGOs. It is also used by multi-sector stakeholders to manage environmental and social risk in project finance transactions, and to scrutinise mineral investments in emerging markets.
Extractives Industry Transparency Initiative (EITI, 2012)	A global standard that promotes revenue transparency, including that of companies and governments. It works on the premise that if companies and governments are transparent and "publish what they pay", governance will become stronger, corruption more difficult to conceal, and there will be an increased chance for communities impacted by operations to share in the wealth and development generated by mining. NGOs utilise this as a mechanism to encourage transparency, and mining companies and governments have signed this accord.
International Association for Public Participation (IAP2, 2006)	The IAP2 stakeholder engagement spectrum provides a tool to analyse stakeholder engagement of mining companies. It encourages an approach to development that is participatory, socially inclusive, involves communities in the decisions affecting their reality, and develops partnerships between civil society, NGOs, government and other industry players. The toolbox is used by mining companies in their approach to stakeholder engagement.

Resource Endowment Toolkit	The ICMM, World Bank, and the United Nations Conference on Trade and Development (UNCTAD), instigated a joint initiative in an attempt to understand how mining activities can enhance the socio-economic development in low and middle income countries (ICMM, 2006). The Resource Endowment Toolkit was designed to document the policy frameworks, operational practices, and partnership arrangements that enhance the effectiveness and sustainability of development generated by mining operations.
Natural Resources Charter (2012).	The Natural Resources Charter provides a set of principles for governments and societies on how mining can be used as a mechanism for sustainable development.

Appendix B: Interview and partnership details

Name	Partners	Where	Timeline	Aims	Activities	Interviews
Economic Development Partnership	Groote Eylandt Mining Company (GEMCO), Anindilyakwa Land Council (ALC)	Groote Eylandt, Northern Territory Australia	2004, MOU signed between two partners, ongoing	Increasing the number of job opportunities for local Aboriginal people	Identification of GEMCO contracts for tenders, provision of assistance in the tender processes, training, work experience and induction to employment related issues such as drug and alcohol, safety knowledge, and compliance with mining standards	Ross McDonald (ALC), John Hansen (GEMCO)
Women's Empowerment Project	Rio Tinto and Local Aboriginal community organisation	Roeburne Western Australia	2009 - ongoing	Eliminating barriers to women working, bringing together women from community and diverse sectors	A forum held in the community, and a dinner which all women can attend; Identifying career assistance services, challenges to career pathways, and networking and services to address these challenges, so women can begin to work towards attaining employment in their communities; Cultural awareness and information to all groups; and education, training and mentoring.	Tracey Heimburger (Rio Tinto)
Ka Wul Partnership	Rio Tinto, Local teachers from regional high	Singleton, Hunter Valley, New South	2009 - ongoing	Enhance successful outcomes for a	Dance, storytelling, animation, indigenous events, mentoring cultural awareness, and education.	Cate Sims (Rio Tinto), Dave Newham (Aboriginal corporation)

	schools, and Wonnaruah nation lands council.	Wales, Australia		group of indigenous students within a high school, reduced truancy, increase school retention into higher grades, increase engagement in cultural activities and events such as NAIDOC week		
Local Economic Development Project	Anglo American and Technoserve	Santiago, Chile	2010-ongoing	Inclusive economic development in the region of AA operations, increase growth of SMEs, poverty reduction	Training, business model development, marketing, operational and funding strategy development, capacity building, building relationships, careers development skills, education.	Juan Thomas (Techoserve), Allison Coppel (Anglo American)
Gender Guide	Rio Tinto, CSR and Oxfam (amongst others)	International Case Studies (compiled in Australia)	2009	To provide guidelines for integration of gender considerations into employment practices and community relations work	Through case study narratives, profiling sites working to integrate gender into CR practice.	Christina Hill (Oxfam)
Business development in Lesotho	CARE South Africa and mining company	Lesotho	2011	Developing local chicken farming businesses to supply mining company with eggs	Business development education, training, mentoring.	Leah Berkowitz (CARE South Africa)
Social Emotional	Upper Hunter Drug & Alcohol	Muswellbrook, New South	2012-2014	To address drug and alcohol	Funding of Aboriginal SEWB worker at UHDAS, increasing reach of service to	Libby George (UHDAS), Sarah Knoll (BHP)

Wellbeing Project	Service (UHDAS), BHP Billiton, Rio Tinto	Wales, Australia		issues in communities; to support Aboriginal community in accessing services.	disadvantage communities, training and education.	Billiton – observational analysis)
Restoring Justice initiative	Porgera Law & Order Committee, Barrick Gold (among others including government)	Porgera Valley, Papua New Guinea	2012 - ongoing	Improving policing, public safety and crime prevention services; bringing peace to the valley.	Working with police to ensure they have the equipment to carry out their duties effectively. Establishing partnerships with government, community and businesses to work together to restore law and order. Community engagement process and plan to address law and order issues.	Julian Whayman (Barrick Gold)
Windows of opportunity project	BHP Billiton – PATH USA	South Africa/ Mozambique	2011 - ongoing	Improving child and maternal health in communities impacted by mining	Health	Scott Gordon, Director PATH USA
Steve Fischer	Community Works NGO (consultant	Various	Various	Community development	Various	General discussion about work involving NGOs and mining companies
Michelle Raftus	Community Development Manager, BHP Billiton	Various	Various	Community development	Various	General discussion about work involving NGOs and mining companies
Teri Blandon	Vice President Institutional Advancement, Global Communities	Various	Various	Community development	Various	General discussion about strategic partnerships involving Global Communities NGO and mining companies

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About the author

A dual South African-Australian citizen, Sarah Knoll has a passionate interest in corporate social responsibility in the resources sector, and believes in the immense opportunities for the mining industry to affect change on sustainable development and empower communities around the world.

In 2003, Sarah moved to Brisbane with her family and went on to study a Bachelor of Psychological Science (Hons.) at the University of Queensland. This current research project is her submission thesis for the Masters of Community Relations in the Resources Sector (2013).

Sarah is currently based in the Hunter Valley of New South Wales (Australia) in the Community and External Affairs team for BHP Billiton's Coal division. Her role includes engagement with diverse stakeholder groups, developing and executing community development partnerships, and managing relationships between the mining company and communities. Before her time in Coal, Sarah worked for BHP Billiton in the Manganese division, including Groote Eylandt in the Northern Territory of Australia (GEMCO), a project at Bell Bay Tasmania (TEMCO), and on secondment at Samancor Gabon in west Central Africa and Mozal Aluminium Smelter in Mozambique.

If you are interested in discussing Sarah's research, or would like to connect with her, her contact details are sarah.knoll@bhpbilliton.com.

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Front cover: photos of Sarah working on Groote Eylandt with local Anindilyakwa women (left), consultation for a Human Rights Risk Assessment in Gabon (centre) and engagement during a community education project in Muswellbrook (right).