Are partnerships the key to conserving Africa's biodiversity?

Four partnership case studies between mining companies and conservation NGOs.

Rowena Smuts, Conservation International
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A note about the author:

Conservation International has been engaging the mining sector for the past 10 years in order to minimize the impact of industry on ecosystems and biodiversity and maximize opportunities for companies to contribute to ecosystem and biodiversity conservation. This has principally taken place through our Centre for Environmental Leadership and Business (CELB). CI has collaborated with at least eleven different mining companies during this period and has fostered long term partnerships with a number of these companies. Collaboration has generally involved corporate level engagement in addition to site-specific activities in fourteen different countries across the world. CI has been involved in the development of a variety of tools and initiatives to support the extractive industries in addressing biodiversity and broader conservation issues.

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Acronyms

AOL	Anglo Operations Limited
AZE	Alliance for Zero Extinction
BAP	Biodiversity Action Plan
BATS	Biodiversity Analysis and Technical Support
BCI	Bushmanland Conservation Initiative
BMCA	Black Mountain Conservation Area
BotSoc	Botanical Society of South Africa
CA	Collaboration Agreement
CELB	Centre for Environmental Leadership in Business
CEO	Chief Executive Officer
CEPF	Critical Ecosystem Partnership Fund
China Exim	Export-Import Bank of China
CI	Conservation International
CSI	Corporate Social Investment
CSR	Corporate Social Responsibility
DBCM	De Beers Consolidated Mine
DJSI	Dow Jones Sustainability Index
DME	Department of Minerals and Energy
DTEC	Department of Tourism, Environment and Conservation
EIA	Environmental Impact Assessment
EITI	Extractive Industries Transparency Initiative
EMPR	Environmental Management Program Report
ESIA	Environmental and Social Impact Assessment
FFI	Fauna & Flora International
GEF	Global Environmental Facility
GRI	Global Reporting Initiative
HBWA	High Biodiversity Wilderness Area
IBAP	Initial Biodiversity Assessment and Planning
IBAT	Integrated Biodiversity and Assessment Tool
ICMM	International Council of Mining and Metals
IFC	International Finance Corporation
IPC	Institute for Plant Conservation
IRMA	Initiative for Responsible Mining Assurance

ISO	**International Standardization Organization**
IUCN	**International Union for the Conservation of Nature**
KBAs	**Key Biodiversity Areas**
LEAP	**Living Edge of Africa Project**
MAC	**Mining Watch Canada**
MIGA	**Multilateral Investment Guarantee Agency**
MoA	**Memorandum of Agreement**
MoU	**Memorandum of Understanding**
NGO	**Non Governmental Organization**
NRI	**Namaqualand Restoration Initiative**
NWI	**Namaqualand Wilderness Initiative**
OECD	**Organization for Economic Cooperation and Development**
OPIC	**Overseas Private Investment Corporation**
PDAC	**Prospectors and Developers Association of Canada**
plc	**public listed company**
PWYP	**Publish What you Pay**
QMM	**QIT-Fér Mineraux de Madagascar**
RAP	**Rapid Assessment Program**
RJC	**Responsible Jewelry Council**
SA	**South Africa**
SANBI	**South African National Botanical Institute**
SANParks	**South African National Parks**
SAPM	**System of Protected Areas of Madagascar**
SKEP	**Succulent Karoo Ecosystem Program**
SMME	**Small, Medium and Micro Enterprise**
UN	**United Nations**
UNEP FI	**United Nations Environment Program Finance Initiative**
UNEP-WCMC	**United Nations Environmental Program World Conservation Monitoring Centre**
USA	**United States of America**
USAID	**United States Agency for International Development**
WWF	**World Wildlife Fund**

1. Introduction

The idea of a non-governmental organization (NGO) partnering with a mining company to accomplish biodiversity conservation objectives would have been considered preposterous fifteen to twenty years ago. NGOs have historically adopted a confrontational approach to corporate engagement in an attempt to force companies to place greater emphasis on environmental and social issues. Images of large crowds of NGO employees holding banners and blockading mining equipment in order to prevent a project from proceeding, has lead to the widely held view amongst developers, financiers, consultants and governments that NGOs are irrational, emotional opponents of mining who would be prepared to do anything in their power to derail a project.

This perspective has shifted considerably over the past decade as more and more mining companies and NGOs have come to recognize potentially mutual benefits in engaging in cross-sectoral partnerships. Hoffman (2009) emphasizes that while some environmental NGOs have retained a confrontational stance (e.g. Greenpeace USA and Friends of the Earth), numerous NGOs have shifted their approach to working within the system to solve environmental problems. This is particularly applicable within the sub-sector of conservation NGOs. Rio Tinto has partnered with Earthwatch Institute, Conservation International and Fauna & Flora International in different parts of the world. Anglo American established a partnership with Fauna & Flora International. Conservation International has collaborated with various mining companies in areas where they have geographically overlapping areas of interest. Although the mining and environment/conservation sectors are clearly motivated by very different drivers, recent collaborations suggest that working together may lead to innovative solutions to complex environmental problems. This has been demonstrated specifically in relation to avoiding and managing risks to biodiversity. While industry-NGO partnerships have their detractors on both sides and are not the only potential mode for delivering on conservation objectives, they specifically are the subject of this paper.

A considerable body of literature exists on cross-sectoral partnerships, much of which has been well summarized in Hamann et al. (2009). Furthermore, while many examples exist of apparent partnerships between NGOs and the extractive industries, the majority of them are either insufficiently formalized, have not persisted for long enough to achieve their objectives, have been poorly documented, or have had no discernible outcomes. Analyses of conservation NGO[1]-industry partnerships are especially sparse. While a few papers have described case studies *demonstrating* partnerships between mining companies and conservation NGOs (e.g. International Union for the Conservation of Nature (IUCN) & International Council on Mining and Metals (ICMM), 2004), few of these studies have investigated *why* the partnerships were successful and what key factors contributed to their success.

This paper will illustrate, based on the lessons learned from four case studies in Africa, how collaboration and innovative thinking through partnerships between mining companies and conservation NGOs can contribute to significant conservation outcomes without obstructing mineral extraction processes.

The goal of the paper is to inform future, similar partnership establishment by providing conservation NGOs and mining companies with guidelines on the steps required to ensure a successful partnership.

The paper also aims to facilitate a more strategic approach to achieving biodiversity conservation objectives in Africa and safeguarding the continent's unique natural assets, by enabling the replication and scaling-up of successful partnership models across the continent. There is no time to lose: collaboration, not

1 A *conservation* NGO in this paper refers to an NGO of which the primary objective is the conservation of biodiversity. An environmental NGO would be any NGO with any environmental objectives, such as conserving natural habitats, reducing pollution, improving the environmental conditions of urban environments, achieving environmental justice for communities, etc. Conservation NGOs are a specific sub-set of environmental NGOs.

competition, between all sectors is required.

The paper is particularly applicable to partnerships for biodiversity conservation in Africa, but some generic factors for success may be extrapolated to NGO-extractive industry partnerships worldwide. The paper makes no attempt to cover all NGO-corporate/extractive industry partnerships. While it shall be shown that collaboration with additional NGOs, government representatives and community stakeholders are all imperative to ensuring the success of conservation NGO-mining partnerships, these other aspects are not the focus of this paper. This paper directs its attention to the relationship between the primary partners: the mining company and conservation NGO.

The paper starts out by exploring factors motivating partnerships between conservation NGOs and mining companies, both from the mining company and conservation NGO perspectives. Four partnership case studies from Africa are then presented, which involve three large international mining companies (Anglo Base Metals, De Beers and Rio Tinto) and three conservation NGOs (Botanical Society of South Africa, Conservation International and Fauna & Flora International). Finally, the critical success factors, potential obstacles and future opportunities to accomplishing conservation outcomes across Africa through partnerships are discussed.

A limited number of potential case studies in Africa, with sufficient track record, documentation and outcomes for examination, were available. The four case studies thus selected had sufficient history and depth to support the identification of 'lessons learnt'. This was done by means of the author reviewing any available partnership documentation and interviewing key players in the relevant partnership. The findings thus reflect the collective analysis of the parties involved in the research process, they are not the output of a scientific methodology.

2. Motivation for Partnerships between Conservation NGOs and Mining Companies

2.1 DEVELOPMENT OF INTERNATIONAL GUIDELINES AND STANDARDS FOR ENVIRONMENTALLY AND SOCIALLY RESPONSIBLE DEVELOPMENT

It is widely accepted that the activities of companies exploring for and developing mineral resources may have a negative impact on the natural environment (including biodiversity) and human well-being. These same companies may, on the other hand, also be a positive force for environmental protection, biodiversity conservation and sustainable livelihoods.

Over the past decade, the major OECD-based oil and mining companies, along with multilateral and bilateral development agencies, OECD donors and international advocacy NGOs have been applying a new model for resource extraction (Shankelman, 2009; Pact, 2008). This model is built primarily around the application of international guidelines for mitigating negative local environmental and social impacts, spending on community projects, and addressing the risks of corruption and mismanagement of government revenues from oil and mining through transparency and public disclosure of these revenue flows (Shankelman, 2009). The principle reasons for developing this new model were operational problems in many developing countries in which companies had made large investments, pressure from non-governmental organizations campaigning about the damaging impacts of extractive industry operations in countries with poor governance and weak institutions, and a growing public (as shareholders and other stakeholders) and business interest in corporate social responsibility (Shankelman, 2009).

Principles for global corporate responsibility, developed by the Benchmarks Foundation in 1999, aim to provide a benchmark for mining and other industries to aspire to and improve performance as corporate citizens. Corporate social responsibility, or CSR, has become one of the most important issues facing the exploration and mining industry (Hamann, 2004a). Exploration and mining companies are expected to adhere to the tenets of CSR and to recognize that they have a duty of care to all their stakeholders, including employees, customers, local communities, and shareholders. The history of CSR is strongly intertwined with the emergence over the past forty years of the environment as a worldwide concern and the eventual transformation of the term into *sustainable development*, which incorporates social issues alongside environmental and development ones (Hamann 2004, 2004a).

Hamann (2004) provides a synopsis of private sector initiatives that have incorporated the principles of sustainable development, corporate social responsibility and corporate citizenship into business practices. Initiatives pertaining specifically to the mining sector include:

- IUCN-ICMM Dialogue, launched in 2002 at the World Summit on Sustainable Development, and ICMM's *Good Practice Guidance for Mining and Biodiversity* (ICMM, 2006), both of which aim to improve the mining industry's performance on biodiversity conservation;
- The Global Reporting Initiative (GRI[2]), which encourages private sector companies to report on environmental and social performance in terms of a set of agreed environmental indicators;
- The Equator Principles, which oblige signatory lending institutions to enforce compliance amongst their clients with international environmental and social standards;
- The Responsible Jewellery Council (RJC) certification process[3] is the first such standard to apply to the diamond and gold beneficiation pipeline and is anticipated to establish a new benchmark for externally verified performance in this

2 The Global Reporting Initiative is a long-term, multi-stakeholder, international process whose mission is to develop and disseminate globally applicable Sustainability Reporting Guidelines for voluntary use by organizations for reporting on economic, environmental and social dimensions of their activities, products and services (*http://www.globalreporting.org*).

3 The Responsible Jewellery Council (RJC) (*http://www.responsiblejewellery.com*), which is in the final stages of developing a comprehensive certification scheme based on compliance to a series of clearly defined commitments on ethics, human rights, labor, social and environmental performance.

industry. The Kimberley Certification Process was established to counter the trade in illegal rough diamonds (*http://www.kimberleyprocess.com*).

- The Initiative for Responsible Mining Assurance (IRMA) is a multi-sector effort, launched in Vancouver, Canada, on June 7-9 2006, to develop and establish a voluntary system to independently verify compliance with environmental, human rights and social standards for mining operations. Participants include mining companies, jewelry retailers, NGOs and trade associations. (*http://responsiblemining.net*)

Corporate social responsibility guidelines have also been incorporated specifically into the exploration sector, through such initiatives as that of the Prospectors and Developers Association of Canada (PDAC). In 2007 PDAC developed a special publication that summarizes 36 national and international CSR codes, standards and tools. In March 2009, the PDAC launched *e3 Plus: A Framework for Responsible Exploration* to help exploration companies continuously improve their social, environmental, and health and safety performance and to integrate these three aspects into all of their exploration programs. This program follows on from the association's flagship *e3 Environmental Excellence in Exploration*. The designation e3 today stands for excellence in social responsibility, excellence in environmental stewardship, and excellence in health and safety; the 'plus' demonstrates the new program's significant expansion from its environment-only predecessor[4].

Increasingly guidelines are being transformed into binding standards, most notably those of the International Standardization Organization (ISO). The ISO 14000 series focuses on corporate environmental management systems, promoting continual improvement without being prescriptive on technical measures of/standards for ambient environmental quality performance (Hamann, 2004).

Transparency aspects of this 'new' extractive industry model have been addressed through specific initiatives. The Revenue Watch Institute, European Bank for Reconstruction and Development, asset managers and sovereign and quasi-sovereign debt issuers have worked to persuade investment rating agencies to factor transparency indicators, like membership in the EITI (see bullet below), into their risk assessment of economies that are highly dependent upon revenues from resource extraction, and thus to establish a direct link between governance and the cost of capital (Soros Foundations Network Report, 2007). The most prominent of these initiatives have been:

- The Revenue Watch Institute[5]'s Publish What You Pay (PWYP[6]) initiative, which focuses on companies' adoption of transparency regarding payments made to resource-rich countries;
- The Extractive Industries Transparency Initiative (EITI[7]), which requires public disclosure of all

4 *http://www.pdac.ca/pdac/advocacy/csr/index.html*

5 The Revenue Watch Institute's mission is to help introduce and strengthen transparency and accountability in resource-rich countries around the globe. The institute helps provide citizens with the information, training, networks and funding they need to become more effective monitors of government revenues and expenditures. The Revenue Watch Institute works with and engages not only civil society but also government officials, parliaments, and private sector in producing and consuming countries around the world, as well as international financial institutions (Soros Foundations Network Report, 2007).

6 PWYP involves an international reporting standard for payments companies in the extractive industries make to governments. The standard requires companies to report payments to governments on a country-by-country basis rather than a lump-sum basis. Once promulgated the standard will become law in almost 50 countries, excluding, however the United States and Canada. (Soros Foundations Network Report, 2007).

7 Of the 28 countries who have achieved EITI Candidate status 21 are African, while only Azerbaijan and Liberia are EITI compliant. 42 of the world's largest oil, gas and mining companies support and actively participate in the EITI process through their country operations in implementing countries, international-level

revenues collected from natural resource companies for the extraction of oil, gas and minerals and has an external verification process included in it.

These initiatives have individually and collectively contributed towards a stronger focus on the environmental and social issues associated with mining.

commitments, and industry associations (November 2009, *www.eiti.org*). Neither the government of China, nor any Chinese oil or mining companies, are active within EITI except where Chinese companies operate in countries that implement transparency systems (Shankelman, 2009).

2.2 AFRICA'S UNIQUE BIODIVERSITY AND MINERAL WEALTH: THE CASE FOR PARTNERSHIPS

Africa is recognized as home to incredible biodiversity[8] while also holding – at a continental scale – the largest share[9] of the world's remaining mineral resources (Carter 2008). As the scramble for Africa's mineral resources continues, prospecting and mining activities have extended into more remote and often unexplored areas, some of which are currently protected for their natural values or are candidates for protected status (Carter, 2008). As demand continues to increase so pressure on the environment and Africa's unique biodiversity resources will too.

One way of dealing with the conundrum posed by areas of high mineral wealth coinciding with refugia for unique biodiversity is to partner with a conservation NGO to implement sustainable solutions. Cross-sector partnerships involve some form of structured collaboration between organizations from business, government and civil society on the basis of converging interests and focused on achieving joint objectives (Hamann et al., 2009). Furthermore while partnerships generally exist on different scales and take different forms, they have in common the expectation that the participants can achieve their objectives more effectively and efficiently through strategic alliances with others, rather than acting independently (Hamann et al., 2009). This 'collaborative advantage' (Huxham and Vangen, 2005) is attained by pooling complementary resources and sharing risks and rewards in the joint undertaking (Warner and Sullivan, 2004).

Pact (2008) describes five models of civil society-industry engagement, including philanthropy, service provision, partnerships, activism and thought leadership[10] and highlights the strengths and risks of each of these options. Any one of these engagement models may need to be applied depending on the situation in question. There are alternative ways to influence the mining sector, including working with national government, financial institutions, development banks, industry sponsored associations/organizations etc. (These are explored to some extent in Section 5 (*The Way Forward*) of this report).

Before entering into a partnership an assessment needs to be made as to whether this is the appropriate model once a good understanding of the shared goal and company in question is obtained. Partnerships are labor intensive, time consuming and costly, due to the demands of maintaining the critical relationships involved. There are only so many partnerships a conservation NGO can engage in before it needs to expand its staff complement.

Partnerships, according to Pact, are characterized by the following defining criteria:

- They are based on a **common issue / interest** in overlapping geographic areas (unless the partnership pertains to general/global issues that are not spatially specific) even if there are different objectives for each partner.
- They result in **mutual benefits** to each participating party although the benefits may be different for each partner[11].

8 Nine of the world's 34 biodiversity hotspots (26%) are found in Africa, two of the five High Biodiversity Wilderness Areas (HBWA) (40%) as well as numerous Alliance for Zero Extinction (AZE) sites. One in five of the world's species are unique to Africa, including no less than 650 mammals, birds and amphibians threatened with extinction (*http://www.conservation.org*).

9 Africa holds 30% of the world's mineral resources including 40% of gold, 60% of cobalt, 90% of platinum, 30% of manganese, 30% of titanium, 72% of chromium, 44% of vanadium, 19% of zircon and most of the world's diamonds. As well, waiting to be developed in Africa is 10% of the world's coal, 10% of its uranium, and 8% of its nickel and specialist, sought-after minerals such as casseterite (Carter, 2008).

10 This involves the provision of new and innovative ideas and approaches as well as creating a space for actors to come together to discuss important issues. Thought leadership can build on themes presented in advocacy campaigns but differs as it attempts to influence companies through active participation and dialogue between all stakeholders.

11 From the NGO's perspective the partnership needs to result in a meaningful difference in terms of biodiversity conservation (to avoid the risk of 'green-washing' a particular mining company). This could be accomplished by demonstrating real change in the way business is done, adding value to business

- They are based on a **relationship of trust and respect** between the partners even if the partners don't always agree on all issues.
- They should allow for partners to **challenge** each other while recognizing the mission of each partner ('mining' versus 'conservation') and not compromise each other's independence.
- They are **long-term** and have a **lasting effect,** often beyond mine boundaries and after the end of life of mine even if the partnership is successfully concluded.

Partnerships and/or collaborations can include a number of different components such as:

- Financial support, although this may not always be directly between two partnering organizations
- Technical advising
- Logistic support / access to property
- Data / information sharing
- Strategy development
- Review / benchmarking / assurance
- Convening stakeholders

A partnership can involve a short or long term relationship and does not necessarily involve a transfer of funds; it can involve completely independent perspectives and one partner may publicly disagree with the other.

The motivation for partnerships between mining companies and NGOs are dealt with below, and some of the risks are outlined. In some instances both parties perceive similar benefits. However a number of the perceived benefits are non-overlapping and in some instances the perceived drivers for such partnerships are not agreed upon by both parties.

and/or demonstrating public leadership with regards to how the company addresses biodiversity related issues.

2.3 MOTIVATIONS FOR NGO - MINING COMPANY PARTNERSHIPS

2.3.1 NGO motivations for partnering

This section describes the perceived benefits of partnering with mining companies from the conservation NGO's perspective, based on discussions with representatives[12] of Conservation International's (CI) Africa country programs, the Botanical Society of South Africa (BotSoc) and World Wildlife Fund-SA (WWF-SA).

While broader environmental issues and human welfare concerns form an important part of NGO-corporate partnerships, conservation NGOs are interested in partnering with mining companies fundamentally in order to specifically accomplish biodiversity conservation objectives and advance positive biodiversity conservation outcomes in their overlapping geographic areas of interest.

It is worth noting that NGOs can be brought into mine planning by other stakeholders: governments who recognize their expertise and/or communities with whom they may have developed a relationship of trust.

The following aspects all potentially contribute towards advancing conservation outcomes:

- **Mining companies may function as rapid change agents**
  Many conservation NGOs operate on the philosophy of ensuring conservation of biodiversity through the establishment of partnerships with communities, governments, the private sector and other NGOs. Since mining companies have large consumer bases and shareholders and are highly competitive, the impact of a change in their business practices can be brought about rapidly on the ground and may have widespread ripple effects in the market. Clear corporate goals, educated, well-informed personnel, commercial competition and the profit motive combine to create conditions for relatively rapid decision-making in a company. This contrasts with working alongside community and individual stakeholders on the ground who may have very different agendas and interests, where the process of shifting behavior patterns may be lengthy and the effects will most likely remain quite localized.
- **More efficacious source of funding for conservation**
  Some NGOs perceive the mining sector as a funding source for major conservation projects in specific threatened ecosystems. Although this funding might not compare in capital value with that from major donors, the potential advantage of mining funding is that it can persist over the long life of a mine, 25+ years. This may allow the NGO to make a real difference in comparison with the short-term funding cycle of donors, which typically span two to three years, maximum five. Mining companies may also provide funds or support for conservation initiatives directly (not via NGOs) through the purchase of land or management of conservation areas. The benefits of sustained funding have to be evaluated against potential reputational risks to the NGO (public perceptions are strong that 'he who pays the piper calls the tune'), loss of independence and objectivity, and so on.
- **Influence company policy**
  By working with a reputable mining company to strengthen the focus on environmental and biodiversity issues in company policy, there is the potential to influence the whole company's mining operations globally (as opposed to only working with mining representatives at a particular site). There are also opportunities to scale up this influence to whole industry sectors, a subject which is discussed in detail in the concluding chapter to this report.

12 Who had personal experience collaborating with mining companies.

- **Leverage government support for conservation via ties to the mining sector**
  Mining companies offer governments far greater benefits, including revenue generation, job creation and capacity building, than conservation NGOs would ever be able to do. Generally speaking governments are more likely to be influenced by the mining sector than conservation NGOs. By influencing a particular mining company which is a leader in its sector and also possibly a powerful stakeholder in a particular country's economy, this could have ripple effects on the acceptable practices of other mining companies in a particular country.

2.3.2 Risks to NGOs of partnering with the mining sector

Since conservation NGOs are not-for-profit and depend primarily on donor funding, they need to avoid reputational risks by partnering with reputable companies that do not threaten other funding sources. Partnerships with disreputable companies could jeopardize partnerships with other NGOs, communities and governments. It is also the case that NGO-mining company partnerships are perceived as 'greenwashing' by organizations/individuals who are in principle averse to NGOs engaging business.

Reputational risks are generally considered to be greater if an NGO receives funding directly from a mining company, since this can be viewed as a conflict of interest. Even without funding, reputational risks can accrue because some other stakeholders may assume that the NGO is simply 'guilty by association' and is therefore complicit in the mining company's activities.

This issue presents a dilemma in that many mining companies seeking out such partnerships require assistance due to the fact that their practices have been publicly criticized, so that refusal to engage with such companies could be seen to be counter-productive.

The NGO has to be able to speak with an independent voice, even criticizing its partner when the situation demands it; and this aspect of the partnership should not be compromised in any way. The relationships and reputations of the NGO partners involve some complex interactions within a social context, and are not simply bilateral with the business partner. The partnerships inevitably involve links - even if they are not formalized – to multiple parties including community stakeholders and government representatives with roles and interests in the outcomes; and failure to maintain these links may cause failure of the partnership.

2.3.3 Motivation for mining companies to partner with NGOs

Mining projects generally involve long term investments (spanning 20-30 years and sometimes longer) and the projects are not portable. Once an investment has been sunk into a country the company cannot easily relocate assets and production somewhere else, in addition to the considerable capital exposure associated with such actions. Companies need to take a long-term view on their investments which makes securing their 'social license to operate' a critical issue for mining companies. This in turn requires ensuring good relations with all their in-country stakeholders, from government to affected communities and NGOs. In recent decades the need to exercise environmental stewardship has become part of this license to operate. In this context, the benefits to mining companies of partnering have been elegantly expressed in the De Beers' family of companies *Report to Society* 2008:

"Partnerships with conservation organizations are a key part of our strategy. They enable us to leverage our knowledge and expertise, to be recognized for our biodiversity leadership and to demonstrate the potential synergies shared by conservation and mining. Working more closely with respected conservation

organizations strengthens our strategic contribution towards biodiversity conservation".

Such partnerships are perceived to be beneficial because they can:

- **Avoid duplication of effort and expertise**: Mining companies are businesses which need to be efficient in their use of resources. Many NGO-mining company partnerships have been initiated because a mine is planned for an area where an NGO is already active/present, or is recognized as having expertise that the company does not have in-house. This is particularly relevant where the mine is planned in a highly sensitive environment/area recognized as having biodiversity of global importance.
- **Enhance alignment with global trends and international good practice**: Mining companies may welcome the advice/support provided by NGO experts who are engaging with global environmental initiatives on a regular basis. Sometimes NGOs are recruited to assist in interpreting/deciphering vague global standards and guidelines for application on the ground.
- **Build global shareholder confidence via the credibility afforded by association with the NGO 'brand':** The NGO is perceived to be associated with good science & planning, and to have public/ civic credibility. Institutions such as the Multilateral Investment Guarantee Agency (MIGA) and the Overseas Private Investment Corporation (OPIC) sometimes insist on NGO partnerships.
- **Facilitate access to land and resources:** NGOs may facilitate compliance with regulatory requirements through their ability to deliver 'license to operate' from the local communities and their credibility with some regulatory authorities.
- **Provide technical support:** By filling the gap of technical capability and know-how to deal with environmental and biodiversity issues, the mining company has a greater chance of obtaining a license to operate. NGOs are recognized as having knowledge and expertise on environmental (and in some instances the social aspects) in the region/country/site where the mining company plans to operate.
- **Enhance public relations benefits of a company's environmental achievements:** While mining companies risk bad publicity from NGOs that speak out publicly against their activities, NGOs acting as external reviewers where their findings support the company's contentions, can be a valuable aspect of public disclosure messages put out by the company.
- **Information sharing:** Sharing of biodiversity information, expertise and tools to enhance biodiversity knowledge in areas where the mining company operates.
- **Conservation planning:** Assist with conservation planning by providing accurate spatial information in areas of existing and/or potential mining operations and description of impacts to accurately reflect mining pressures on biodiversity.
- **Biodiversity research and training:** NGOs can facilitate the development of regional research expertise and innovative, scientifically rigorous research techniques which can result in professional researchers and improved data gathering in countries where the mine operates.

2.3.4 Risks to the mining sector of partnering with NGOs

Mining companies also perceive risks in partnering:

- With an NGO that is not regarded as credible and does not have a good reputation.

- With NGOs that do not understand their business, resulting in conflicting opinions which hinder the ability to work together.
- With NGOs that historically have campaigned prominently against mining activities. Within some companies there is still a widely held belief that this is the only role that conservation NGOs are capable of playing.
- Due to the possibility of the NGO's publicly exposing poor practices or malpractice after being made aware of such practices within the company – leading to reputational damage – rather than assisting to avoid or solve such problems.

There is also a risk or a management challenge in that NGOs and companies work to different systems and management styles, reporting and budget keeping, whereas business partners would be more likely to be aligned to the mining company's business practices. The partners therefore may have to make considerable adjustments and adaptations to make the partnership work, as it may not be a 'natural' fit.

2.3.5 NGO perceptions of mining companies' motivation

It is interesting to consider NGO perceptions regarding mining company motivations as they emerged from the author's discussions with conservation NGO representatives. In some instances these perceived benefits have been refuted by mining company representatives.

- Biodiversity risk avoidance and risk management through the provision of current scientific knowledge and expertise (based on experience) on various issues[13] which fall outside the core competencies of mining companies. Through the use of tools such as the Integrated Biodiversity and Assessment Tool (IBAT) and the Initial Biodiversity Assessment and Planning (IBAP) approaches, biodiversity issues can be taken into consideration early on in the planning process and measures to avoid, minimize and or mitigate potential impacts can be incorporated into project planning.
- Public credibility – good reputation, ethics – increases sales by influencing consumers and shareholders and obtaining access to finance from Equator Banks. NGOs can assist companies who have a real interest in environmental leadership becoming established as industry leaders on specific topics (e.g. sourcing, best practice, site management) that can open up opportunities in terms of consumer and shareholder support and access to new markets or regions.
- Conservation NGOs can provide independent objectivity by being an 'honest broker' for the environment.
- NGOs can play a facilitator role between civil society, governments, communities, other NGOs and mining companies.

13 Issues such as biodiversity, ecosystem services, climate change and how these interface with communities and governments and mainstreaming poverty-environmental linkages into development planning.

2.4 CONCLUSIONS: OUTCOMES OF SUCCESSFUL CONSERVATION NGO - MINING COMPANY PARTNERSHIPS

The following positive outcomes are anticipated from a successful partnership between a mining company and conservation NGO:

- Improved **biodiversity conservation outcomes/ impact** through land holdings, management, research, education, training;
- Improved **dialogue** between mining and conservation organizations;
- Improved **stakeholder relations** and 'license to operate' on the one hand, and increased credibility of biodiversity management/conservation on the other;
- Positive **communication** (such as press releases, brochures etc.) leading to improved **reputation** and;
- Consumer confidence in mined products, thereby benefiting/adding value for mining business *and* conservation organisations.

3. Case Studies

3.1 APPROACH

This section describes four case studies from South Africa, Madagascar and Guinea. In order to find four case studies for this paper numerous telephonic discussions were held with conservation NGOs and mining company representatives. In most instances, although partnerships had been initiated, there were negligible demonstrated conservation outcomes due to the fact the partnership was still in its infancy and/or had not been formalized between the parties.

The four formalized partnerships finally selected all involved sites located in CI's internationally recognized Biodiversity Hotspots, namely the Succulent Karoo hotspot, the Upper Guinean Forest hotspot and the Madagascar hotspot. Each of the mining companies included in these four case studies (Anglo Base Metals plc, De Beers and Rio Tinto) are large, multinational mining corporations with an extensive shareholder base. Two of the NGOs involved, Conservation International (CI) and Flora & Fauna International (FFI), are large, international conservation NGOs, while the third, Botanical Society of South Africa, is one of the oldest and largest, national conservation NGOs in the country. These case studies thus represent a sub-sample of the types of partnerships that could be entered into, and are representative only of sub-sectors of the mining sector and NGO community, and even of the conservation NGO sector. The findings and views expressed herein thus do not pretend to be applicable to all mining companies and all conservation NGOs.

Once the four case studies had been identified, the author summarized information from documentation provided, then supplemented this with informal interviews with the NGO point person(s) who had actively engaged in the partnership. In the case of Madagascar, the point person had left FFI, so other sources were consulted. The information was then verified by a representative of the mining company who had knowledge of the project. Where dissenting perspectives emerged from the NGO and mining company regarding historical events, a third party was consulted i.e. SANParks in the case of the Namaqualand case study.

Each case study includes a description of the drivers for conservation action, the development, establishment and formalization of the partnership, activities undertaken in terms of the partnership, conservation outcomes, and lessons learnt (partnership successes and challenges/factors that hindered the partnership/areas for improvement). The lessons learnt are extrapolated and generalized for application to all such partnerships in section 4 of this report.

3.2 CONTRIBUTING TOWARDS PROTECTED AREA ESTABLISHMENT IN THE SUCCULENT KAROO HOTSPOT IN SOUTH AFRICA

Conservation International and De Beers

Country	South Africa	**Contact Person(s)**
Company	De Beers	Johan Kruger Manager, Ecology Division. *Johan.Kruger@debeersgroup.com*
NGO	Conservation International (CI)	Sarah Frazee Director South Africa Hotspots *sfrazee@conservation.org*
Government	South African National Parks (SANParks)	Michael Knight General Manager, Planning & Development *M.Knight@nmmu.ac.za*

Fig 3.2.1: Location of case study within biodiversity hotspot.

3.2.1 Background: drivers for conservation action

South Africa is one of the world's mega-diverse countries, particularly botanically, and its 25,000 plant species make up more than 10% of the world's known species. Conservation International's (CI's) South Africa Hotspots Program focuses on the three biodiversity hotspots in the country, one of which, the Succulent Karoo hotspot, intersects with De Beers' mining operations in Namaqualand in the northern Cape Province of South Africa.

South Africa's Succulent Karoo boasts the richest variety of succulent plants in the world, with nearly one-third of its floral species found nowhere else. In addition to its floral diversity, this region is a center of endemism for reptiles and many groups of invertebrates. The Succulent Karoo is under extreme pressure from overgrazing, mining, illegal collection of fauna and flora, and climate change.

CI and De Beers were working with some of the same communities in Namaqualand and the baseline research which De Beers was undertaking in the area had value to CI, while CI had credibility with local government and communities, and had access to international funding and knowledge networks that De Beers could tap into in due course. CI has been engaging De Beers in its conservation endeavors in this region since 2001 and the two organizations have collaborated in South Africa on a number of similar initiatives. The partnership is ongoing.

3.2.2 Chronology of events

Due to the very long and complex history of the Succulent Karoo hotspot program and the partnership that developed out of it, this chronology is summarized in tabular form below.

3.2.2.1 Informal engagement: 1986-2008

Year	CI	Third Party	De Beers
1986		SANParks proposed to De Beers that the company conserves the area of its Namaqualand Mine properties between the Groen and Spoeg Rivers inland and along the west coast.	Mark Berry, De Beers Director, made informal proposals within the company to consider a contractual park arrangement with SANParks. De Beers proposals for control of the Admiralty reserve were not successful, hindering this initiative.
1991		Richtersveld National Park proclaimed. SANParks acquired the Augrabieswes & Kleinduine properties from De Beers as part of the Richtersveld National Park.	
2000	CI assisted in development of GEF proposal.	5-year Global Environmental Facility (GEF) grant awarded to SANParks for the development and proclamation of a Namaqua National Park and conservation of its Succulent Karoo biodiversity. World Bank is implementing agent of the GEF Project to extend Namaqua National Park.	
2001		Namaqua National Park proclaimed with Skilpad Flower Reserve as its core. Skilpad was then under contract management by WWF-SA. 38,000 ha additional land was purchased from De Beers thanks to a donation from the Leslie Hill Succulent Karoo Trust.	
2001-2002	CI facilitates the development and compilation of the 20-year Succulent Karoo Ecosystem Program (SKEP), involving 60 scientists and over 400 local stakeholders.	SANParks in negotiations with De Beers Namaqualand Mine to retire mining and prospecting rights within the Groen-Spoeg zone.	De Beers Namaqualand Mine staff and corporate environmental staff participated in the planning and served as regional advisors for the Namaqualand portfolio of SKEP during its first five years.
	CI facilitated access to funding support for some of SKEP's activities from the Critical Ecosystem Partnership Fund (CEPF), an international fund established by CI to support the conservation of biodiversity hotspots.		

	CI and SANParks host a reconnaissance trip to the area to support the integration of the SKEP-CEPF efforts with the GEF-SANParks effort. Representatives of the Global Conservation Fund (GCF), De Beers Environmental Services, Namaqualand Mines, and World Bank participated.		De Beers representative encouraged CI to help SANParks secure intervening properties and confirmed that if the adjacent property was purchased, De Beers could seriously consider handing over the coastal strip.
2003-2006	CI assisted SANParks in the formulation of funding proposals to secure property purchases in the Namaqua Wilderness Corridor to link the Namaqua National Park and De Beers' coastal properties.	GCF invested $0.8 million (that was matched by National Parks Trust of South Africa and SANParks) to purchase these properties (*see* Fig 3.2.2).	
2004	CI begins to attend meetings, along with the University of Cape Town's Namaqualand Restoration Initiative (*see* details in 3.2.2.2), dealing with environmental and social aspects of the Namaqualand Mine's closure strategy.		De Beers plan to close Namaqualand Mine. The transition of the Groen-Spoeg lands to SANParks remains a key part of that strategy.
2005	The shared conservation vision is expanded to include the communal areas in the catchment areas of the adjacent Kamiesberg Mountains. The expanded initiative subsequently becomes known as the Namaqualand Wilderness Initiative (NWI).		
2006	CI's Chairman & CEO and the Director of CI's South African Hotspots Program meets with De Beers Chairman Nicky Oppenheimer to brief him on the goals of and potential for collaboration with CI around the NWI.	Commitments secured between SANParks and De Beers ensured the creation of the large, regional national park extending from the mountains to the sea.	
2007			New mine contact person appointed (Johan Kruger) which assisted in shifting the initiative forward.
2008			De Beers 'donates', on a 99-year lease to SANParks, the strip of coastline which abutts the Namaqua National Park. This gives it formal 'contractual park' status under SA's Protected Areas Act of 2005.

3.2.2.2 Formalization of partnership: 2006 - present

Year	CI	De Beers	Result
2006	CI holds a tourism 'charrette' to identify tourism initiatives to support the creation of sustainable livelihood options, particularly along the coast where mining retrenchments were occurring.	Retrenchments of miners have been ongoing since 2003. De Beers participates in the tourism 'charrette'.	CI and De Beers' relationship strengthens as both parties recognize the need to create sustainable, alternative livelihood options in order to ensure conservation and retain jobs on the coast to prevent the labor force moving to the already stressed commonage landscape in the upland regions of the NWI.
2006-2007	CI and De Beers Consolidated Mine (DBCM) investigate the potential to develop the Living Edge of Africa Project (LEAP). The goal of LEAP is to provide a new carbon neutral, sustainable economy, job creation engine and model mine closure strategy for Namaqualand along a 40 km stretch of the Kamiesberg Municipality coastline. CI conceived of LEAP (initially referred to as 'Arid Eden') as the result of a Kamiesberg–wide sustainable development planning charrette in 2006 and initiated the planning process for LEAP with a fully-CI funded charrette in September 2007.		
2007	CI's Southern Africa Wilderness Program Manager approached De Beers newly appointed Head of Corporate Citizenship (for the family of companies) to explore possibilities for scaling up collaboration to a more 'global' level. A Collaboration Agreement (CA) between CI and De Beers was developed and signed in December 2007. CA intended to scale up the CI-De Beers Namaqualand Mine collaboration to a global partnership. The CA outlined the geographic scope of the engagement, the point persons for communication and specific activities. The vision for the engagement was to develop an environmental and biodiversity management strategy including policies, guidance documents and tools that would incorporate biodiversity considerations into De Beers's existing management systems and operating practices through-out all stages of the mine life cycle.		

<table>
<tr><td>2008</td><td></td><td>DBCM contributed to the production of a LEAP business case.</td><td rowspan="5">The Corporate Collaboration Agreement resulted in:
• CI undertaking a review and benchmarking of De Beers' Group Environment Policy (and all business unit policies) against the leading three mining companies as listed on the Dow Jones Sustainability Index (DJSI), the Global Reporting Initiative (GRI), the International Finance Corporation (IFC) Performance Standards and ICMM's guidelines. Following this review by CI, De Beers revised its Environmental Policy and strenghthened its commitment to biodiversity conservation.
• CI's participation in a major review of De Beers' Environmental Framework, practices, standards, and guidance surrounding exploration, EIA, operations, and closure.
• De Beers overlaying all its mining and prospecting sites with the Integrated Biodiversity and Assessment Tool (IBAT) as part of its biodiversity risk assessment procedure. This assessment has assisted the company in scoping and prioritising further biodiversity research as well as guiding strategic conservation interventions across the group's global prospecting and mining activities.
• CI contributing to the development of Universal Standards for the De Beers Group.
• CI being invited to participate in and be part of a panel discussion at De Beers' Environmental and Community Workshops in 2007 (Gaborone, Botswana) and 2008 (Johannesburg, South Africa).
• CI participating in De Beers' internal Biodiversity and Environmental Peer Group Meetings held quarterly (2008 and 2009).</td></tr>
<tr><td>2009</td><td colspan="2">CI and DBCM jointly fund a second LEAP charrette in February 2009.</td></tr>
<tr><td rowspan="3"></td><td colspan="2">A Prefeasibility Report for LEAP, dated July 2009, spells out the rationale for this redevelopment of the mined landscapes of the Koingnaas and Mitchell's Bay Mine areas, recommends institutional, business, and technical areas for development and a financing strategy.</td></tr>
<tr><td>A separate Collaboration Agreement was entered into between CI and De Beers in order to develop LEAP's Feasibility Assessment as the blueprint for operationalizing LEAP. This was fully funded by DBCM.</td><td></td></tr>
<tr><td colspan="2"></td></tr>
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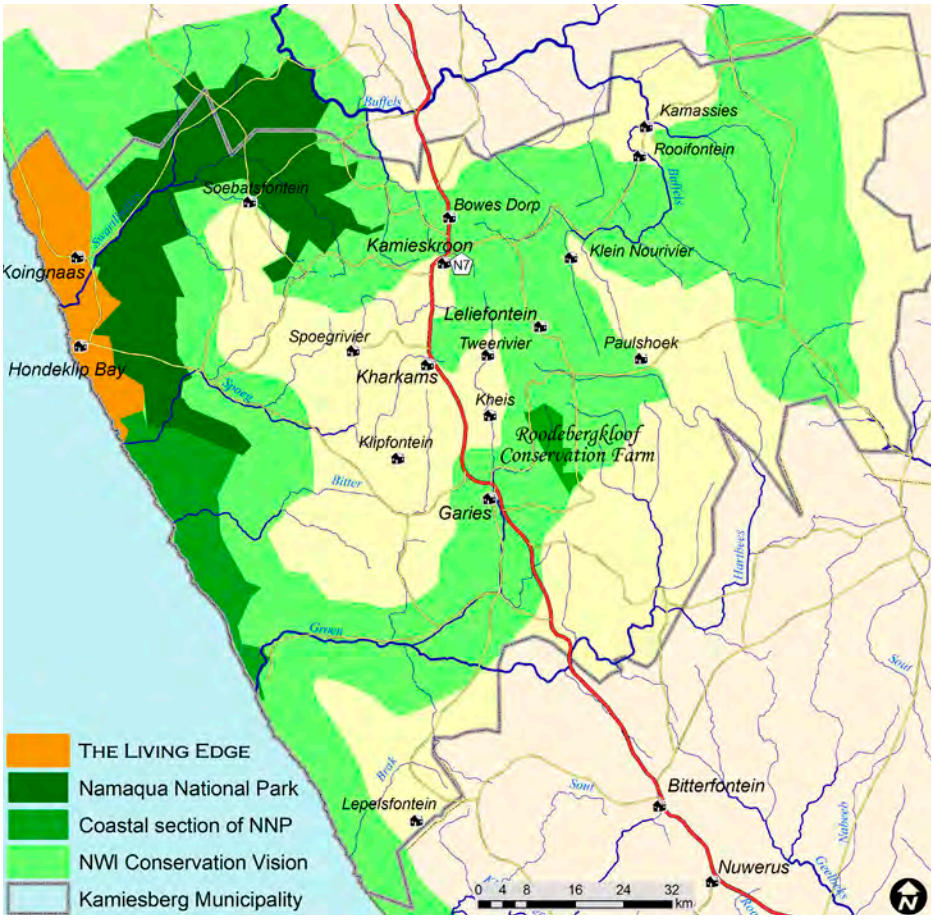

Fig 3.2.2: Map showing the Namaqualand Wilderness Initiative on the west coast of South Africa.

3.2.2.3 Related conservation/environmental partnerships

In **2002**, the University of Cape Town's Institute for Plant Conservation (IPC) developed a significant research programme, the Namaqualand Restoration Initiative (NRI), using funds obtained from CEPF[14]. This initiative focused on piloting a biodiversity standard for mine restoration for the Namaqualand region, where a number of diamond mining companies operate, and became nationally recognized as a leading initiative in the mining sector on rehabilitation in arid landscapes to a specified biodiversity standard. NRI was able to demonstrate restoration of biodiversity, stability of ground cover and ecological integrity without having to undertake major earth-moving (which in turn resulted in cost savings to the mine) throughout the Namaqualand coastal zone.

Several of NRI's key sites were located on the De Beers Namaqualand Mine. At the time De Beers were exploring various different restoration options and required advice regarding restoration of ecological integrity for eventual signoff by the DME. De Beers subsequently contracted NRI directly for a three-year period and have been and continue to apply these restoration techniques - developed using CEPF funds secured with CI's assistance - to their mine site rehabilitation and closure planning. The NRI has based itself on site and collaborates closely with CI.

In 2004 CI and NRI were invited to participate in numerous committee meetings related to the social and environmental aspects of closure of the Namaqualand Mine. Engagement with De Beers took place with the Namaqualand Mine Manager and the De Beers investment arm for SMME development, Matlafalang. CI initiated a more direct collaboration with SANParks to continue to support the roll-out of the Groen-Spoeg park, while also facilitating the development of low-carbon activities (e.g. renewable

14 The Critical Ecosystem Partnership Fund (CEPF) is a joint biodiversity conservation funding program of l'Agence Française de Développement, Conservation International, the Global Environment Facility, the Government of Japan, the MacArthur Foundation and the World Bank.

energy and ecotourism) to replace mining as the economic drivers on De Beers land post-mining.

3.2.3 Conservation Outcomes

- A significant contribution was made towards conservation planning in an internationally recognized biodiversity priority area (namely the Succulent Karoo hotspot).
- Realization of a conservation vision through the creation of 160,000 ha Park linking a marine protected area through collaboration between government, conservation NGOs, the mining company and local stakeholders.
- Secured protection of an entire globally unique terrestrial ecosystem, namely the Riethuis quartz fields and subsequent achievement of the conservation targets for two other irreplaceable habitats: Namaqualand Sandveld dunes and Namaqualand White sand plains.
- The initiative catalyzed opportunities for linkages and partnerships with the private sector (for example, linking to the 150 000 ha of diamond mine exclusion zone that borders the park) that could be extended into other initiatives elsewhere in the Succulent Karoo and southern Africa.
- The new park has avoided the immediate threats to biodiversity from mining, while the mine area restoration and closure process built capacity and created employment and alternative livelihoods for local people.
- CI's Collaboration Agreement with De Beers means that a conservation NGO will significantly influence, on an ongoing basis, the policies and practices of a major mining company with respect to biodiversity.

3.2.4 Lessons learnt: Informal period

3.2.4.1 Partnership Successes

- The conservation objectives for this initiative were aligned with greater conservation objectives for the biodiversity hotspot and the region. Integration of the visions of NRI, De Beers and SanParks to include restoration, conservation, and mine labor links to the upland communities contributed towards the project's success.
- Although the notion of a park had been discussed prior to CI's involvement, CI and NRI were instrumental in expanding the vision of the Park to greater conservation outcomes on De Beers land. The regional conservation outcomes of the NWI were accomplished through the collaboration of a scientific academic institution (IPC), the parastatal conservation agency (SANParks), a conservation NGO and the mining company.
- The participation of the future conservation managers and recipients of the land (namely SANParks) in the negotiations, as well as their considerable conservation planning skills, strengthened the business case for the sustainability of setting aside the land for conservation.
- A multi-pronged approach to the partnership, which assisted in rehabilitation, job creation and protected area establishment, assisted in realizing the conservation vision. CI engaged the local and provincial government authorities in tandem to engaging the mining company. CI also engaged mine management at the site level as well as senior leadership within the mining company to facilitate buy-in to the conservation vision. These partnerships need to adopt a top-down and bottom-up approach simultaneously in order to ensure objectives are accomplished.
- CI acted as a catalyst in raising funding (through CEPF) for certain land purchases. It demonstrated that an NGO can be a source of funding and

is able to leverage matched funding from other sources to accomplish conservation objectives.

- The partnership demonstrated the advisory role that a conservation NGO can play with regards to environmental and social aspects of mine closure (specifically for mines located in areas of conservation importance).
- CI and De Beers were able to work together to develop an alternative exit strategy for a mine that was nearing the end of mine life.
- The fact that the restoration techniques were supported by NRI's rigorous scientific methodology and systematic implementation strengthened the business case to adopt these restoration techniques.
- While the DME was not amenable to discussions with an environmental NGO, it did pay attention to the recommendations of local government. Thus CI's relations with local government contributed towards the mine obtaining DME approval of Namaqualand Mine's mine closure requirements.

3.2.4.2 Challenges

- Misaligned statements between CI and De Beers to the press caused a lot of internal strain and were considered to be difficult for the relationship and agreements between De Beers and SANParks.
- Since the interaction took place over an extended time period CI had to engage four different mine managers and each time the relationship needed to be re-established from scratch.

3.2.5 Lessons learnt: formal period

3.2.5.1 Partnership Successes

- The highly professional approach adopted by the De Beers' Group Environmental Principal who functioned as the contact point with CI on the Collaboration Agreement. This was further supported by the strong mutual respect which quickly developed between the CI and De Beers point persons on the collaboration agree ment.
- The open attitude of De Beers to include CI in internal discussions (Peer Group Review meetings, internal environmental and social conferences) and take cognizance and be prepared to incorporate the input that CI provided during these discussions.
- Through the CA a relationship of trust between the two parties was established.
- Regular communication between the point persons on the CA assisting in effecting changes speedily.
- De Beers was flexible in its approach to incorporating CI's recommendations and appeared to value the input CI was providing. However, it did make it clear that CI was not in a position to drive processes entirely and was only one of a number of NGOs (WWF-SA and Endangered Wildlife Trust are others) with whom De Beers consulted regularly and obtained advice.
- The results of the collaboration between CI and De Beers were publicly reported on in the De Beers 2008 *Report to Society*.

3.2.5.2 Challenges

- Dealing with atrophying of funding during economic downturns: Objectives on all the projects could not be achieved due to the cutting of budgets and temporary closure of some mines.

3.3. BIODIVERSITY RESEARCH - INITIAL BIODIVERSITY ASSESSMENT AND PLANNING IN THE GUINEAN FOREST HOTSPOT

Conservation International and Rio Tinto

Country	Guinea	**Contact Person(s)**
Company	Rio Tinto	John Merry General Manager, Environment and Communities, Simandou Project, Rio Tinto Iron Ore Atlantic *john.merry@riotinto.com*
NGO	Conservation International	Marielle Canter Senior Manager, Business Policies & Practices, Center for Environmental Leadership in Business *mcanter@conservation.org*

Fig 3.3.1: Location of case study within biodiversity hotspot.

3.3.1 Background: Drivers for conservation action

Guineé Forestière, the forested south-eastern region of Guinea, forms part of the Upper Guinean biodiversity hotspot[15] (Mittermeier et al., 2004) considered to be one of the most important biodiversity hotspots in Africa (Brooks et al., 2001). At the time the Rio Tinto-CI partnership was developing (2001 onwards) these forests were poorly understood from a global perspective and large tracts of forest in Guinea had yet to be surveyed and described. The last major biological surveys undertaken in Guinea had taken place in 1953.

In December 1999, CI organized a West African hotspot conservation priority-setting workshop in Ghana attended by over 150 scientists, government representatives and local NGOs. The workshop provided a scientific understanding of the region's biodiversity and threats as a basis for strategically planning conservation activities in the region and monitoring the impact of activities threatening the survival of the region's unique biodiversity.

The workshop identified the forests of the Pic de Fon in the Simandou massif in south-eastern Guinea as an area of very high conservation priority and in need of more scientific information, habitat restoration, new protected area establishment, improved management of protected areas, and training. In

15 Guinean Forest of West Africa hotspot: The lowland forests of West Africa are home to more than a quarter of Africa's mammals, including more than 20 species of primates. Logging, mining, hunting and human population growth are placing extreme stress on the forests, however, threatening species such as the Jentink's duiker, pygmy hippopotamus, and scattered populations of western chimpanzees. Five Endemic Bird Areas lie partly or entirely within the hotspot. This Hotspot contains 18,000 endemic plant species, 31 threatened bird species, 35 threatened mammal species and 49 threatened Amphibian species. Only 15% of the original forest habitat remains. (*http://www.biodiversityhotspots.org/xp/hotspots/west_africa/Pages/default.aspx*).

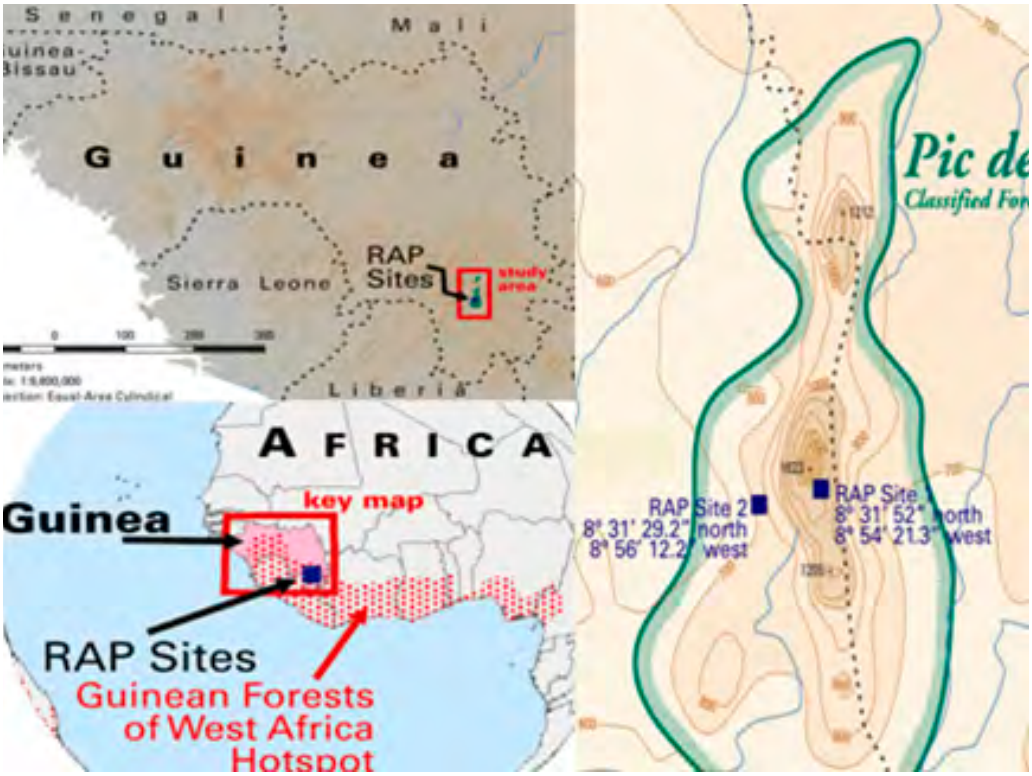

Fig 3.3.2: Map showing location of study sites and Pic de Fon in Guinea.

particular, the Pic de Fon area was highlighted as an extremely high priority for mammals (including the pygmy hippopotamus and the endangered subspecies of chimpanzee, *Pan troglydytes verus*) and a very high priority for reptiles, amphibians, and plants (Bakkar et al., 2001). Part of the Pic de Fon had some protection status as a *forêt classée*, but this protected forest designation is not a particularly strong status compared with, for instance, a national park or 'strict' nature reserve (the Nimba massif 80 km away has such a status, as well as being a declared World Heritage Site).

Rio Tinto was introduced to the Simandou range's iron ore deposits by Guinea's Minister for Mines in 1996 and acquired the applicable prospecting rights to the deposits. To determine the feasibility of iron ore mining in the area, Rio Tinto began exploring four contiguous exploration licenses within the range, including a site in the Pic de Fon.

Rio Tinto's approach to this project was influenced by the company's new approach to sustainability. Prior to drilling any holes at Pic de Fon various social and environmental assessments were conducted in 1997. Although country legislation allowed for mining within the *forêt classée*, the assessments indicated that the project would require a sustainable development strategy. This needed to be responsive to local community needs in order to preserve and promote the forest's biodiversity, which was at the same time being degraded by the logging, hunting and slash-and-burn agriculture practiced by the increasing population in surrounding areas (Rio Tinto, 2005). Refugees from Liberia's civil war had flooded into south-eastern Guinea along with migrants from Ivory Coast and other denser regions of Guinea.

3.3.2 Chronology of events

3.3.2.1 Partnership establishment

Contact between CI and Rio Tinto was initiated when CI was requested to review an environmental and social impact assessment (ESIA) report for QIT-Fér Mineraux de Madagascar (QMM) in Madagascar in November 2001 (see case study 4). This resulted in discussions being initiated regarding Rio Tinto Exploration's proposed exploration activities in the Simandou Range of Guinea. The two organizations were exploring opportunities for collaborative projects and Rio Tinto recommended that Simandou be considered as a first test case (Rio Tinto, 2005). CI's active presence and close partnerships in West Africa, including Guinea, and strong programs in biological assessment, community consultation, threats assessment and work with the private sector made CI an

excellent candidate for collaboration in Rio Tinto's sustainability programs.

3.3.2.2 Formalization of Partnership

In recognition of their shared interests in the area and the need for more biophysical data and understanding of the Simandou Range, Rio Tinto Exploration and CI's Center for Environmental Leadership in Business (CELB) established a partnership in 2002, after about six months of discussion.

A memorandum of agreement (MoA) was signed in September 2002. The MoA outlined shared and individual objectives, specific activities to be undertaken through the agreement, obligations of each party in addition to legal conditions. The overall goal of the collaboration was to initiate a participatory process to build local capacity for the design and implementation of a regional landscape strategy, which would promote biodiversity conservation of Guinée Forestière and minimize adverse impacts on biodiversity in the Simandou Range.

Initially CI's key contribution to the partnership was to conduct biodiversity research relevant to the areas potentially affected by exploration and mining, and which would inform conservation and mine planning. The assessments were designed to contribute both to a preliminary biodiversity action plan (BAP) for the Simandou region and to Rio Tinto's initial prefeasibility ESIA studies and any future detailed ESIA that might be conducted should the project proceed beyond the exploration phase.

The initial biodiversity assessment and planning process proposed by CI for the Pic de Fon area consisted of two main activities:

(1) a rapid assessment program (RAP) biodiversity survey of the Pic de Fon, undertaken by an international team of 13 scientists and conservation experts and accompanied by officials of two Guinean government departments[16] and Guinée Ecologie (the only national environmental NGO in Guinea); and

(2) a threats and opportunities assessment, conducted in the form of a workshop in the capital, Conakry, to explore the socio-economic dynamics affecting biodiversity conservation in the region. Thirty-three individuals from 17 organizations, including national government, multilateral and bilateral donors, NGOs, scientific research centers and Rio Tinto, participated in the workshop.

The output of these activities was a series of solutions and recommendations for a biodiversity action plan for the Simandou region. The findings helped to focus the baseline data collection for the ESIA process, directing it to taxonomic groups and species that were highlighted in the IBAP as of greatest conservation significance and under most pressure.

In 2003 and 2004 USAID joined the CI and Rio Tinto alliance to improve the natural resource management in Guinée Forestiere through the design and implementation of an innovative regional landscape approach. A MoA was developed and discussed amongst the parties over a two-year period and involved matched funding towards the activities from each party for a total investment of approximately US$ 2 million. The alliance aimed to improve natural resource management in the Guinée Forestiere region, address threats to biodiversity, promote sound production practices and develop sustainable income alternatives for communities. Unfortunately, due to changes in USAID funding priorities this tripartite initiative never materialized, but CI-Rio Tinto research and planning activities continued.

The first part of this alliance was a second RAP expedition in the region, scheduled for November/December 2003. The second RAP included a biological assessment of three additional forest reserves (Déré, Diécké and Mt. Béro) to place the biodiversity found within the Pic de Fon within a regional context. The potential impacts of mining to the unique biodiversity also needed to be considered within the context of additional threats such as the community's

16 The Direction Nationale des Eaux et Forets (Centre Forestier N'Zéré Koré) and the Centre de Gestion de l'Environnement des Monts Nimba (CEGEN).

own slash and burn agricultural practices. This involved further studies to quantify the degradation.

In June 2007 CI developed a global relationship agreement with Rio Tinto corporate with the intention of developing opportunities to collaborate and coordinate efforts to minimize and mitigate biodiversity risks, as well as to conserve and enhance biodiversity at or around Rio Tinto sites. The global partnership has focused on two key objectives:

- Sharing biodiversity information and scientific and technical expertise to assess biodiversity resources, identify biodiversity priority areas and implement site and landscape scale conservation planning methodologies such as the IBAP approach and biodiversity offsets;
- Informing Rio Tinto policies and practices with a view to Rio Tinto integrating biodiversity conservation with its environmental policies, operating standards, and management systems at both the corporate level and at key business units.

3.3.3 Conservation outcomes

- The collaboration advanced scientific knowledge of Guinean forests, assisted in elevating the level of biodiversity knowledge within Guinea and enabled the definition of key biodiversity areas (KBAs). The public disclosure of the two RAP reports[17] ensured the dissemination of this valuable information.
- The studies resulted in considerable in-country capacity building, as some of the local scientists were subsequently employed by government; and this increased institutional/government capacity in-country.
- Based on the results of the RAP survey and the threats and opportunities assessment, the biodiversity action plan was able to make specific recommendations for detailed studies in further phases of the environmental and social impact assessment, and for strategies to conserve the area's biodiversity through integrated sustainable development.

3.3.4 Lessons learnt

3.3.4.1 Partnership Successes

- Obtaining resources from the mining company assisted in leveraging additional resources for conservation efforts in the region.
- The partnership lead to an expanded influence over decision-making regarding resource use in Guinea.
- CI's involvement was instrumental in broadening company thinking beyond simply mitigating the impacts of their own mining activities.
- CI's scientific network in the region enabled Rio Tinto to access a network of world-renowned scientists who were recognized specialists in West African forests, as opposed to the generalist ecologists who would have been involved through standard consulting companies.
- CI had a two-pronged approach to the engagement, since it was working at the corporate level of its mining partner as well as at the specific mining project level. This enabled it to influence decisions at different levels in the company.
- The partnership between Rio Tinto and CI was initiated by individuals who had a prior, established working relationship. This reinforces the observation that partnerships require trust and

17 A Rapid Biological Assessment of the Forêt Classée du Pic de Fon, Simandou Range, South-eastern Republic of Guinea. *Rapid Assessment Program Bulletin of Biological Assessment No 35*. (McCullough, J., 2004).
A Rapid Biological Assessment of Three Classified Forests in Southeastern Guinea. *Rapid Assessment Program Bulletin of Biological Assessment No 40*. (Wright et al., 2006).

understanding and a willingness for two individuals to work together.

3.3.4.2 Challenges

- Partnerships do not take place in a political vacuum. An attempted assassination plot during CI's work in the country disrupted progress.
- A number of changes in government over the period of the partnership also meant that established relationships with government officials did not last for the duration of the work and had to be redeveloped with new people.
- The study area experienced a general shortage of funding to support conservation management due to pressure on resources from communities.
- The isolated geographic location of the site, which is situated 900 km from the country's capital, Conakry, led to minimal government funding being allocated to support conservation work. This prevented implementation of some of the recommendations following the IBAP.
- CI had difficulty with the fact that Rio Tinto was more familiar with dealing with consultants than conservation NGOs. The mining company became frustrated that the NGO was not delivering according to the time frames that normally accompanied their engagement with consultants. This was exacerbated by the fact that at times CI felt that it was being treated as a subsidiary of the environmental consultant and was not able to access the mining company directly. In response to these difficulties, CI adopted an approach that involved shifting away from purely scientific description to presenting more interpretive, strategic arguments, which could advise decision-makers. CI also developed more user-friendly information packages for communities and the government.
- Differences in institutional culture are cited as a challenge to the partnership model and can lead to frustration and disagreement on processes, timelines and priorities (Pact 2008).

3.4. ESTABLISHMENT OF PROTECTED AREA (BUSHMANLAND CONSERVATION INITIATIVE) IN THE SUCCULENT KAROO HOTSPOT IN SOUTH AFRICA

Botanical Society of South Africa and Anglo Base Metals

Country	South Africa	**Contact Person**
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Fig 3.4.1: Location of case study within biodiversity hotspot.

3.4.1 Background: Drivers for conservation action

The Bushmanland inselbergs are located on the north-eastern margin of the Succulent Karoo hotspot, just south of the Orange River and the border between Namibia and South Africa. Isolated mountains and rocky outcrops (the inselbergs) that dominate the landscape are home to a rich and unique complement of succulent and geophytic plants of over 400 plant species, of which more than 10% are endemic to the sub-region and 20% are threatened species; this is an extraordinary diversity for a semi-arid flora. The area was the only priority conservation area identified in the Critical Ecosystems Program Fund (CEPF)-supported Succulent Karoo Ecosystem Program (SKEP) that had no land under formal conservation status. *See* also case study 1, section 3.1.

In 1999 Anglo American plc's Base Metals division proposed opening the Gamsberg Zinc Project in Bushmanland, a large open pit mine on the Gamsberg quartzite inselberg in a SKEP conservation priority area. In **2000** the Botanical Society of South Africa (BotSoc) approached Anglo Base Metals to discuss the implications of this mining project on conservation initiatives in the region. The discussion, initiated by BotSoc, was intended to minimize potential damage to the biodiversity value of the Gamsberg, and to assess what opportunities could be realized for conservation efforts in the region. The environmental and social impact assessment (ESIA) of the proposed Gamsberg Zinc Project was underway by this stage.

Although processes to develop SKEP were underway at this time, the programme had not yet been fully defined and conservation plans for the region concluded. The SKEP 20-year conservation strategy to protect the unique biodiversity of the Succulent

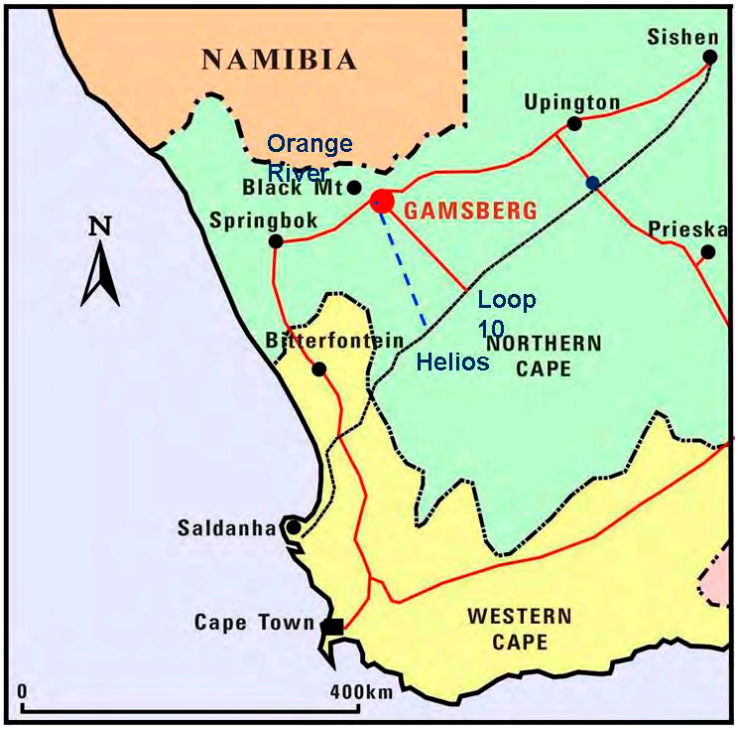

Fig 3.4.2: Bushmanland, highlighting Gamsberg, where Anglo Base Metals originally proposed an open-pit zinc mine.

Karoo was derived directly from interactions with the people living throughout the hotspot and was confirmed and augmented by the scientific community and national and regional SKEP stakeholders in 2003 (*http://www.cepf.net*). Conservation International's (CI's) involvement in this case study comes via its participation as a collaborator in and important facilitator of securing CEPF funding for SKEP.

3.4.2 Chronology of events

3.4.2.1 Partnership establishment

Following the initiation of contact in 2000, BotSoc proposed to Anglo Base Metals that they set aside for conservation the land on their Gamsberg property not required for the development of the mine and associated infrastructure. By doing so this land would contribute towards the regional conservation initiative being funded by CEPF. BotSoc simultaneously engaged the CEO of Anglo Base Metals and participated in the ESIA process in a technical capacity (flora and fauna surveys) to influence the mine design to minimize its impact on the unique biodiversity of the site.

Zinc prices fell in the early stages of the discussion between BotSoc and Anglo (in 2001) and the project was placed on hold. During this period discussions between the two parties however continued. BotSoc also expended considerable effort at this time in engaging appropriate national and regional government agencies.

BotSoc engaged Anglo Base Metals over a seven-year period. Although the initial interaction commenced in June 2000, a more formal collaboration was established only three years later, in August 2003, with the issuing of a formal letter from Simon R. Thompson (CEO of Anglo Base Metals at the time) officially stating the company's support for the Bushmanland Conservation Initiative (BCI). The letter included statements to the effect that:

- The company supported a multi-stakeholder approach to sustainable development and considered the SKEP project an excellent vehicle which embraced multiple land uses while simultaneously preserving the unique fauna and flora in the region.
- The company would be involved in the development of conservation projects in an area that included land holdings for Black Mountain mine and the Gamsberg project.
- The company was committed to minimizing the impact on biodiversity from current and future mining activities in these two areas and to adopting best practice management policies (developed in collaboration with BotSoc) for biodiversity on land holdings that would not be affected by mining activities.

- It was committed to fund a variety of *in situ* and *ex situ* conservation measures conditional to the construction of the Gamsberg open pit proceeding.
- It agreed to host a mine-employed biodiversity conservation coordinator on-site.

The outcome of this was the formalisation of the BCI, the locally supported project that focused on conserving the unique biodiversity of Bushmanland by establishing a network of protected areas under multiple ownership and common management principles. BCI comprised part of SKEP, funded by the CEPF, with co-funding obtained later from Anglo Base Metals, through its Black Mountain Mine. BotSoc was requested by the Bushmanland Community to be responsible for managing the BCI.

3.4.2.2 Formalisation of partnership

In October 2005 both BotSoc and Anglo Base Metals identified some constraints to the BCI. In 2006 a memorandum of agreement (MoA) was developed and signed between BotSoc and Anglo Operations Limited (AOL[18]) to formalize arrangements between the two organizations with regards to the BCI, and in an attempt to address some of these constraints. The purpose of the MoA was to ensure that there was an independent auditor to monitor compliance on biodiversity related issues within the Anglo-managed concession area, as well as to provide technical support and mentoring to Black Mountain and the Department of Tourism, Environment and Conservation (DTEC) personnel.

The MoA set out the objectives of the agreement, the areas of collaboration, specific actions to be undertaken by each party and jointly, the ambit of responsibilities of each party and limitations to and exclusions from the agreement.

Key areas of collaboration under the MoA included:

- Providing and/or sharing technical expertise and data, in order to facilitate decision making and planning;
- Developing and implementing the Black Mountain Biodiversity Action Plan (BAP);
- Establishing a conservation area (Black Mountain Conservation Area, BMCA[19]) on the AOL properties;
- Developing a management plan for the BMCA to promote long-term conservation of biodiversity and explore options for long-term sustainability of the BMCA post-mine closure;
- Developing biodiversity awareness in Bushmanland; and
- Working with stakeholders, including local, provincial and national authorities, to participate in establishing policies regarding mining and biodiversity, such as exploration in privately owned protected areas.

BotSoc's contributions to the partnership were focused on providing technical biodiversity expertise to develop BAPs and management plans (e.g. a fine scale vegetation map and biodiversity priority maps), making inputs to closure plans, and providing mentorship and capacity development for BMCA staff. BotSoc was also managing the implementation of the BCI.

Specific areas of responsibility and contributions from AOL included:

- the provision of legal services;
- participation in the BCI Forum;

18 AOL was acting through its Black Mountain operation (Black Mountain) and Anglo Base Metals division.

19 Black Mountain Conservation Area (BMCA) - Portion(s) of the land under company charge that are set aside and managed for the primary objective of promoting biodiversity conservation, during the life of the mine. Prospecting and/or mining are not necessarily excluded from these areas but must be undertaken in accordance with strict guidelines.

- developing and implementing a BAP linked to its ISO 14001 environmental management system;
- releasing appropriate resources;
- assigning personnel to implement these plans and programmes;
- and developing, in consultation with all stakeholders, appropriate closure plans.

In 2007, with global zinc demand increasing, a new conceptual and pre-feasibility study for Gamberg was launched, including additional baseline work to update the approved Environmental Management Program Report (EMPR). The mining company recognized that there were considerable biodiversity risks associated with pursuing mining of the site and agreed to include a specialist study of the offset possibilities in the new scope of work if deemed appropriate by the ESIA consultants.

Since completion of the CEPF-funded project, key project personnel have left both BotSoc and AOL. However, in their desire to maintain the conservation gains of the project, as well as the relationship fostered between the mining house and biodiversity NGOs, a new memorandum of understanding is being developed between Anglo, WWF-SA (to which key BotSoc personnel have moved) and CI to ensure that the persons associated with this project from the outset continue to remain involved in implementation to achieve agreed conservation outcomes.

3.4.3 Conservation outcomes

The achievements summarized below were extracted from the CEPF final project completion report:

- The project purpose of ensuring the conservation of globally unique, arid land biodiversity in a multi-owned protected area that boosts local conservation capacity and alternative livelihood opportunities was accomplished.
- Discussions with local and district municipalities influenced decisions regarding property acquisition and land reform and paved the way to ensure that this initiative be incorporated into spatial development frameworks and integrated development plans in the region.
- The project was not able to accomplish its ambitious objectives in terms of direct job creation and development of conservation-linked livelihood opportunities within the project time frame.

3.4.4 Lessons Learned

3.4.4.1 Partnership successes

Although this particular case study is a great success story, it involved 6 years of negotiations and these were in turn complemented by a further longer term agreement, which remained in effect for as long as the mine continued to own the property in question. It was also assisted by the *a priori* decision of the mining company to designate and classify land on the mine footprint not used for mining activities for conservation purposes.

Factors that contributed to the success of the BCI partnership:

- Clear conservation objectives were identified and agreed upon early in the collaboration process. BotSoc was of the opinion, however, that it was not possible to accomplish all conservation objectives within the allocated timeframe. It is important to be realistic so as not to raise expectations that lead to frustrations for those involved in delivery.
- The added conservation value of the proposed initiative was clearly articulated and contributed to a broader conservation planning initiative in the region and the Succulent Karoo hotspot.
- Anglo Base Metals realized the value of partnering with an NGO. The mining company recognized that BotSoc could provide real technical expertise on biodiversity issues to ensure

alignment with the mining company's existing environmental and reporting standards.

- A multi-pronged approach was adopted to engaging the mining company which involved communication with the mine's environmental liaison officer and other company representatives on site as well as senior leadership within the company.
- Financial issues such as who would pay for the proposed conservation activities (mining partner/ NGO partner/ government/ additional external funds), seeking additional co-funding for the proposed activities, budgeting and reporting on expenditure etc. need to be articulated and agreed upon and formally documented.
- Meetings, reporting requirements, communication protocols, confidentiality issues etc. all need to be clearly defined and formally documented.
- Roles and responsibilities for each party were clearly defined in the MoA. The development of a Logframe which clearly outlined indicators of success was imperative in establishing whether conservation objectives were accomplished. The Logframe should address what the project aims to accomplish, when, how and who is responsible for the accomplishments. The Logframe also needs to take into consideration monitoring and evaluation beyond the engagement of the NGO with the mining company.
- The collaborative approach adopted on this project included partnerships amongst a number of NGOs (BotSoc, CI – CEPF, SKEP, SANBI) which provided a strong case for this conservation intervention. Communication also included engaging environmental consultants, representatives from the mining company and government agencies.
- The fact that the conservation activities were funded by an external source (namely CEPF) and the mine did not need to pay for this work directly contributed to the appeal of this intervention and enabled the NGOs to claim distance and objectivity.
- BCI was considered successful in advancing the policy and technical aspects of mining and biodiversity, and contributed significantly to the ongoing dialogue in the Succulent Karoo and South Africa. BCI was ultimately successful in raising the profile of, and investment in, the unique biodiversity of the region from Anglo and DTEC. Both institutional partners committed staff and included Bushmanland conservation in their strategic plans.
- Information sharing and common understanding between the two parties is imperative to accomplishing the intended objectives of the partnership. This was accomplished through BotSoc's provision of technical support and mentoring to the mining company (Black Mountain) and government (DTEC) personnel and monitoring and compliance.
- A successful partnership between a mining company and an NGO comprises only a small piece of the puzzle. Buy-in from government and local stakeholders is imperative to ensuring success.

3.4.4.2 Challenges

- Lack of capacity within the mining company to implement conservation objectives as well as lack of capacity within the government agencies to provide the necessary support can hinder the progress of a conservation initiative.
- Creating solid local buy-in to the vision of a more biodiversity-based future for Bushmanland was not as easy as anticipated by the project developers. The process of obtaining wide stakeholder buy-in from the mine, community, government

and all other stakeholders is a very resource-consuming and protracted process. The budget and time requirements associated with this consultation process need to be budgeted for during planning.

- Where the project involves the acquisition of land for conservation purposes from communal and private landowners in addition to the land in possession of the mining company, the concepts of conservation stewardship may need to be disseminated by champions in the community. These may not exist and need to be developed.
- The cyclical nature of commodity prices affects the mining company's participation in non-core activities. Falling commodity prices may curtail the mining company's ability to engage in biodiversity initiatives. Although in this case, the company did continue to give biodiversity issues priority despite the fact that the project was put on hold while zinc prices recovered.

3.5. WORKING TOWARDS CONSERVATION OF INTACT LITTORAL FOREST IN SOUTH EASTERN MADAGASCAR

Fauna & Flora International and Rio Tinto

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Fig 3.5.1: Location of case study within biodiversity hotspot.

3.5.1 Background: drivers for conservation action

Madagascar is one of the world's 34 biodiversity hotspots and exhibits an astounding range of biodiversity with extremely high levels of endemism. Eight entire plant families (90% of its vascular plant species are endemic), four bird families, and five primate families are found nowhere else on earth.

Contemporary Madagascar continues to face a range of challenging threats to its biodiversity. Agricultural methods imported by the migrants who colonized the islands between 2,000 and 1,500 years ago, such as rice cultivation, slash-and-burn agriculture and cattle grazing, were inappropriate for the island's infertile, lateritic soils and proved devastating to the fragile ecosystems. Only about 17% of the original forest vegetation of Madagascar remains. The country has a population growth rate of more than 3%, one of the world's highest. This burgeoning population places tremendous pressures on remaining areas of biodiversity, including over-fishing, burning, hunting, timber extraction, and mining (*http://www.biodiversityhotspots.org/xp/Hotspots/madagascar/Pages/biodiversity.aspx*).

QIT Madagascar Minerals (QMM) operate the Rio Tinto Group-owned ilmenite mine site, which is located in the Anosy region of south-east Madagascar. The mine will consist of three separate, sequential mine extraction sites which will be exploited over a period of 60 years. It represents the single largest development project in the country's history and has been in the planning stages for over 20 years. Construction of associated infrastructure developments began in 2005 and extractive mining operations began in early 2009.

It rapidly emerged in the environmental impact

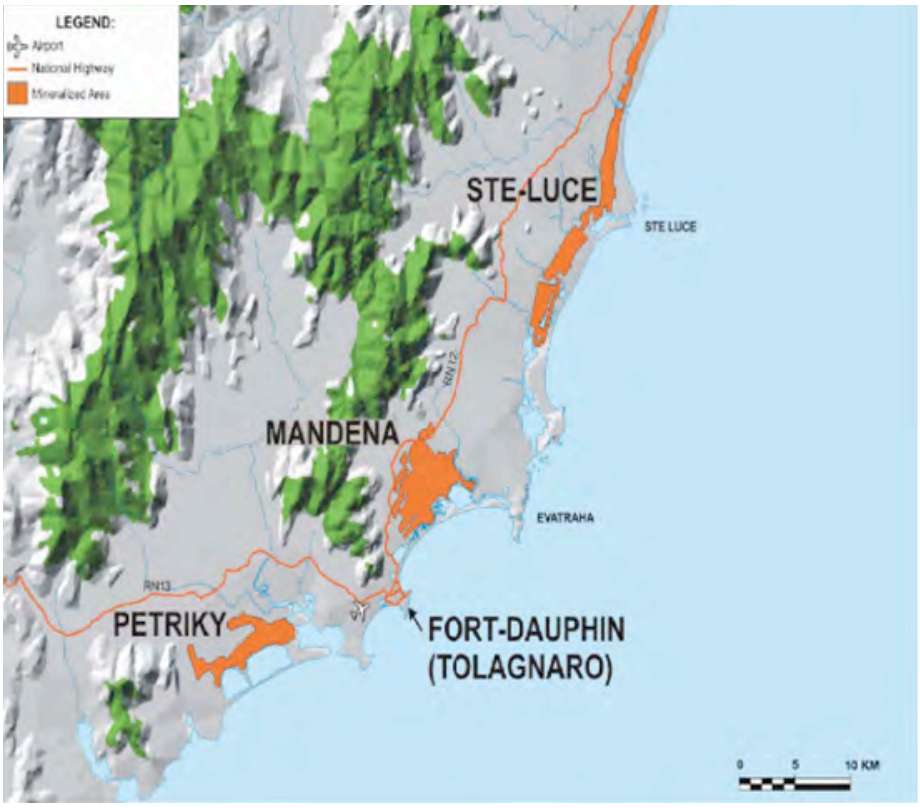

Fig 3.5.2: Location of QIT Madagascar Minerals Ilmenite Project in the Anosy region of South East Madagascar.

assessment process that the primary impact of mining operations on biodiversity would be habitat loss from the footprint of the three extraction zones. Littoral forest, a rare and valuable forest type of Madagascar located on sandy, wet, coastal soils and characterised by high flora and fauna species diversity, is found in remnant patches of varying quality in all three extraction sites. These littoral forest patches were already under significant pressure and the background rate of biodiversity loss was very high due to unsustainable forest resource use.

QMM's response to these problems was to develop a comprehensive Environmental Management Plan covering all planning, construction, operation, decommissioning and rehabilitation phases of the mine's life span.

Fauna & Flora International (FFI) had various conservation projects in Madagascar and started working, during the mine planning phases, with QMM and several other Rio Tinto biodiversity partners, including Missouri Botanical Gardens, BirdLife International, Royal Botanical Gardens Kew and Michigan University, to secure the long-term, sustainable future of habitats (e.g. littoral forest fragments) and threatened species in the Anosy area.

3.5.2 Chronology of events

3.5.2.1 A corporate partnership

A global/corporate partnership between Rio Tinto and FFI was established in 1999, with the primary objective of developing innovative approaches to biodiversity leadership, governance and management that were conducive to sustainable development. Shared expertise and resources were used to integrate biodiversity planning into mine site management and provide the foundation for wider strategic support for biodiversity conservation in countries where Rio Tinto and FFI operate. Over the past five years FFI has assisted Rio Tinto with the following:

- Development and implementation of Rio Tinto's corporate biodiversity strategy;
- Monitoring and adaptive management of biodiversity at mine sites through the development and implementation of biodiversity action plans (BAPs);
- Advising on policy development;
- Raising awareness of conservation perspectives at the corporate level;
- Facilitating the development of sustainable

development and biodiversity conservation projects using in-country delivery partners supported by Rio Tinto.

3.5.2.2 The RT-FFI partnership in Madagascar

FFI's involvement in the Anosy mining project resulted from the well-established RT-FFI partnership. It was recognised early on in the partnership that Madagascar was an area of mutual interest to both organizations. QMM set up a Biodiversity Committee to provide independent advice to QMM and Rio Tinto on issues of biodiversity conservation importance related to the mineral sands mining project. Set up in 2001 in recognition of the impacts of the ilmenite mine and the extremely sensitive operational environment, the Biodiversity Committee presently comprises six independent committee members who have extensive knowledge of and expertise in Madagascar. Besides QMM and Rio Tinto, partner organisations including FFI and BirdLife International also attend and contribute to committee meetings. The Committee meets every nine months to discuss progress on biodiversity related issues and provide recommendations to mine management.

FFI, with financial and logistical support from Rio Tinto, has also been working with local partner NGO Madagasikara Voakajy on the conservation of Madagascar's endemic fruit bat species in the Anosy region. They are not protected by Malagasy wildlife law and are threatened by over-harvesting and habitat loss in Madagascar. The partnership project is primarily a research program designed to gather vital information on population numbers and hunting levels in order to provide more informed advice to communities on sustainable levels and methods of harvest. Arising out of this, FFI, Madagasikara Voakajy and QMM specialists also developed recommendations to protect the endemic amphibian and reptile fauna assemblages in the region.

3.5.3 Conservation outcomes

- The establishment of three conservation zones totaling 624 ha within the mine lease area. All three conservation zones are now listed as protected areas in Madagascar national law as part of a new protected area network called the System of Protected Areas of Madagascar (SAPM).
- Offset contributions in larger contiguous forest tracts including the establishment of a 1,054 ha conservation zone in Ambatotsirongorongo and a 40,000 ha conservation zone in Tsitongambarika.
- A reforestation programme has been designed to decrease pressures on the area's remaining natural forests: 1,100 ha of fast growing, non-native plantations have already been established in collaboration with rural communities.
- Two main nurseries at Mandena and in Fort Dauphin have been established (the latter with the regional Forest department) to propagate exotic species for reforestation and rehabilitation following the mining operations. The Mandena nursery also propagates indigenous species for the forest restoration program.
- Extensive research into ecosystem restoration of wetlands and littoral forest, the results of which will be implemented as mining is completed in each area.
- As a result of the partnership research project, numerous new plant species were described as well as two species of reptile included in the IUCN Red List of threatened species.

3.5.4 Lessons learnt

3.5.4.1 Partnership successes

- The key success of the partnerships established by Rio Tinto and QMM with international and

local NGOs has been the willingness of QMM not only to accept and facilitate specialist advice, but act on recommendations even where there would be significant costs involved. From FFI's perspective, if the organization had not seen such a robust implementation of recommendations, it would have made meaningful engagement with QMM and Rio Tinto in Madagascar, given the country's extreme importance for biodiversity conservation, much more difficult.

- The Biodiversity Committee was able to identify, discuss and prioritize key sensitivities and issues in mine planning and management, within an open forum, which QMM management subsequently acted upon, demonstrating genuine commitment to achieving the best possible environmental result (refer to the example below).
- Mutual trust and respect between the organizations involved has been fostered and built up over the years, as an understanding of the complex issues that needed to be addressed was developed.
- Knowledge sharing and exchange between local team and partners (Biodiversity committee, FFI etc.) has contributed significantly to the improvement of a strategic and operational approach to biodiversity conservation and the decision-making processes.
- Solutions to the lack of integration between social and environmental responsibilities and initiatives were developed through the Biodiversity Committee. QMM integrated its social and environmental spheres of operation under one management unit.

3.5.4.2 Challenges

- The key obstacle that initially hindered the success not only of the partnerships established between QMM/Rio Tinto and the suite of NGOs, but also limited the effectiveness of management, was the lack of integration between social and environmental responsibilities. For instance, early on in the planning phase it emerged that there was conflict between the conservation prerogatives determined necessary to ensure the viability of forest remnants and the ability of communities to continue accessing and harvesting natural resources (e.g. bush meat and timber/ charcoal).
- More coordination of action is needed to have a net positive impact on the population affected by the project. The operational team (FFI and QMM) needs to contribute more to affecting behaviour changes in local communities relating to the natural resources-development link. The local people living in Mahabo are not really aware of the link between the development being undertaken by Rio Tinto and the biodiversity net positive impact goal. At the international level, Rio Tinto is very aware of the importance of the collaboration FFI-RT for biodiversity, but is perhaps less focused on issues pertaining to local communities.

Communication between the Business Unit team and FFI operational teams needs improvement. This will perhaps help to improve the conviction of the operational team that collaboration between Rio Tinto and FFI will contribute to the improvement of local people's livelihoods.

COMMON SUCCESS FACTORS TO PARTNERSHIPS

While factors that could have improved the collaboration appear to be specific to each case study, a number of generic factors contributed to the success of the four partnership case studies described. These common success factors have been summarized below:

- The partnership contributed towards a **broader conservation planning initiative**; formed part of a regional conservation strategy for the biodiversity hotspot and raised awareness beyond the site under consideration to the country regional scale.
- In each case the mining company contributed **funds** towards the partnership although this did not necessarily take place in the early stages of collaboration. Additional match funding was raised to accomplish conservation outcomes (e.g. Namaqualand Mine) and in some instances the partnership contributed towards leveraging additional funding for conservation efforts beyond the partnership (e.g. Guinea).
- **Broad collaboration** with additional NGOs (aside from the conservation NGO engaged in the partnership/collaboration agreement with the mining company) as well as with local and national government representatives (including department of mines and energy), local community stakeholders and environmental consultants was necessary to ensuring the success of the initiative.
- A **common vision** was shared between the mining company and the conservation NGO.
- **Clear conservation objectives** were established in the collaboration process.
- The conservation NGO engaged both mine site *and* senior leadership/corporate representatives of the mining company.
- The partnership enabled access to specialist biodiversity expertise (e.g. Guinea) and in some cases this contributed towards the advancement of scientific knowledge in the country in question and set new benchmarks for scientific studies accompanying developments.
- **Rigorous scientific methodology** was utilized to support and refine the business case for biodiversity conservation.
- The partnership assisted the mining company **meet a specific regulatory requirement** (i.e. closure at Namaqualand Mine, offsetting biodiversity impacts at Black Mountain Mine, biodiversity baseline studies at Simandou).
- **A relationship of mutual trust and respect** between the two collaborating parties was established and specifically between the point persons involved in the collaboration.
- The mining company was **willing to adopt recommendations**/alternative solutions and **implement changes** at its operations.
- **Public communication** of scientific results and/ or conservation outcomes of the partnership took place.
- **Stakeholder negotiations** and ensuring that the **value of biodiversity to local communities** was

taken into consideration comprised a large part of the studies undertaken (e.g. Guinea).

- Mining companies demonstrated that they can function as **proponents of biodiversity conservation**.
- The partnership is ongoing and the conservation NGO continues to play an **advisory and monitoring role on biodiversity** issues to the mining company.
- The **partnerships extended over a long time frame** (6 years BCI, 9 years Namaqualand Mine).
- A **formal agreement** was established which included clearly defined roles and responsibilities of each party, financial contributions, communication protocols, meetings, reporting requirements, deliverables, timeframes and addressed issues around confidentiality, freedom to comment and public release of information.

4. Findings and Conclusions

This paper argues that partnerships between mining companies and conservation NGOs can contribute towards conserving Africa's unique biodiversity. Furthermore the four case studies described herein illustrate that certain key factors are common to successful partnerships. The findings of this study strongly corroborate the partnership success factors described in literature reviews and the findings of Hamann et al. (2009).

Partnerships, however, may not always be the most appropriate model for engagement amongst stakeholders, as well argued by Pact (2008). In some instances mining AND conservation objectives are simply impossible to accomplish whether through partnerships with the best performing mining companies or unilaterally. Additionally, although the case studies discussed in this paper demonstrate the benefits of partnerships for both conservation and parties engaged in the partnership, many potential partnerships never actually materialize and many partnerships are unable to reach their potential.

While this document focuses on partnerships between mining companies and conservation NGOs, each of the partnership case studies have clearly demonstrated that success hinges on multiple stakeholder engagement. It was noted in the Introduction that other relevant NGOs, community stakeholders and government agencies need to be involved in the initiative from its conceptualization to acceptance of the outcome results, but the discussion below concentrates on the relationship between the two principal parties engaged in the partnership, namely the mining company and conservation NGO.

Critical actions that will assist in facilitating successful partnerships are discussed hereunder.

4.1 ACTIONS REQUIRED TO FACILITATE SUCCESSFUL PARTNERSHIPS

The actions/process described hereunder do not necessarily constitute a linear sequence of events. Some of these activities may be undertaken simultaneously by different representatives in an organization while others may emerge through simultaneous actions i.e. by engaging the appropriate point person the objectives/outcomes may be more easily identified.

4.1.1 Assess risks associated with partnership

Prior to entering into any partnership it is necessary to assess potential risks and opportunities associated with a potential collaboration. One way of doing this is to undertake a systematic review of the potential collaborator. While each party should ideally undertake this activity the recommendations contained draw on conservation NGO experience when deciding whether to engage with a particular corporate. NGOs need to develop specific criteria which guide their decisions around whether to partner with a particular mining company or not. CI has developed a Policy on Corporate Associations which ensures that corporate engagement activities that may pose a risk to the organization are reviewed at Board meetings. CI has additionally specified some of the attributes it seeks in corporate partners. These include, but are not limited to, a genuine commitment to improving environmental performance, demonstrated leadership by the company on issues related to corporate social responsibility and a demonstrated, genuine commitment to biodiversity conservation. Conservation NGOs run the risk of partnering with a company that is not serious about the NGO's conservation mission and/or may have a bad public reputation with regards to environmental and social performance. The NGO needs to weigh up whether the potential to have a major conservation outcome is worth the association with a company with a bad reputation. Potential risks to both parties have been outlined in sections 2.3.2 and 2.3.4.

The review needs to take into consideration the company's activities at a global scale since it is possible that a company's reputation in one region may be better than the reputation of the same company elsewhere. Through this research the NGO can acquire a better understanding of the company's motivation for the partnership, the value that the NGO can provide, as well as the identification of new opportunities and initiatives that could potentially increase the conservation value of the partnership. The level of research and hence detail of the due diligence needs to be in proportion to perceived (and actual) risk. In analyzing a company's track record it is also useful to have a benchmark for comparison.
The review should:

- Assess whether the company is recognized as a leader or alternatively seeks to become a leader in its sector with regards to environmental performance and seeks NGO assistance to accomplish this objective. The company needs to demonstrate that it takes environmental and social issues seriously i.e. a Corporate Social Responsibility division exists within the company and/or the company has sufficient staff to act in an environmental advisory role and/or function as environmental point persons within the company.
- Investigate the mining company's motivation for partnering with a conservation NGO.
- Check whether the company has a history of engaging NGOs and/or philanthropy and whether there have been any connections to the company's board. Whether the company is private or public should also be taken into consideration.
- Evaluate the feasibility of the partnership through research into the company's financial performance indicators, evaluate direct and indirect contributions to biodiversity that could result from the engagement, assess the company's market share and reputation in the industry and whether successful results could be replicated within the sector.

- Evaluate risks such as whether the company is active in conservation priority areas. Has it demonstrated publicly a commitment to solving environmental problems and/or contributing to biodiversity conservation? Does it have a formal environmental policy? Has the company been associated with any major controversy? Is the company a target for advocacy campaigns and/or likely to draw substantial criticism from local and international stakeholders?

The NGO also needs to be clear as to when it should avoid partnering with a particular mining company based on conflicts of interest, reputation risk, no shared geographic interests etc. Directing resources to an area which has minimal conservation benefit means that other areas which have a greater/more urgent conservation need are not addressed. There is thus an opportunity cost to entering into a 'bad' partnership. The development of a corporate engagement policy can assist in guiding NGOs in when to steer away from a particular partnership.

4.1.2 Ensure appropriate point persons engaged

Issues around biodiversity and conservation generally comprise a relatively small aspect of a mining company's operations within the overall environmental/sustainability portfolio. Although large multinational, publicly-listed companies do place considerable emphasis on CSI and CSR issues and usually have a person responsible for addressing these issues at the corporate level, this person may be under-resourced, particularly if the company has thousands of employees and its operations are spread across the globe. This person may not be the appropriate person to engage in the NGO partnership due to their extensive commitments across the company's operations. If an NGO is to effect real change and ensure that its conservation objectives are met, it is important to ensure that communication takes place with the appropriate level of personnel within a mining company. Ideally the senior leadership within the company (CEO, member of the Board of Directors or Executive Committee i.e. decision-makers within the company) needs to be engaged, as well as someone who is proficient with environmental issues (e.g. Environmental Principal, Environmental Policy Advisor, Head of Corporate Citizenship etc.). If personnel from the mine site are also being engaged then all parties need to be kept up to date by the point person who is linking with the NGO on the partnership. The point person with the NGO preferably needs to be someone who understands the operations of the group at a global scale, as opposed to only at the particular site and has respect and support from senior leadership within the company to effect changes. Where this is not the case then senior leadership may also need to be engaged simultaneously and in addition to the environmental point person. In many instances, the day to day implementation of the partnership often involves a dedicated partnership manager or coordinator (Hamann et al., 2009). Vangen and Huxham (2003) suggest that such partnership managers have to balance their facilitative roles including the enrolment, encouragement and empowerment of members, on one hand, with more directive or even manipulative activities focused on moving the initiative forward, on the other.

4.1.3 Understand each other's business

This can be accomplished to some extent through literature research. However there is definitely value in the collaborating individuals having some working knowledge of how the other party operates and some interest in the other party's activities. From the NGO's side the point person needs to understand mining terminology and preferably have had some experience working with the mining sector in order to ensure a common ground/understanding of the mining business. Hamann et al. (2009) noted from the 75 cross sector partnerships which they investigated that too

little time and attention was devoted at the outset to understanding and accommodating the various parties' underlying interests, objectives and operational culture. In numerous instances this countered the creation of trust between the partners and it contributed to tensions between and within consortium members, especially with regards to the role of the NGO.

4.1.4 Establish a relationship of mutual trust and respect

Two aspects of relationship development between the collaborating parties are considered imperative. These are open communication and mutual trust and respect. The two organizations should capitalize on existing relationships of trust between individuals in the organization where possible. From the initial discussion between two parties (unknown to each other) it can regularly take up to a year (or even longer) to formalize a partnership. An initial face to face meeting to brainstorm issues assists in catalyzing the communication process. One way of possibly fast-tracking this process is to initiate high level peer to peer relationships with the CEO, Managing Director, or Chairman within each organization; an initial face-to-face meeting will subsequently enable them to pick up the phone to each other and encourage the rest of the organization to adopt the partnership philosophy. Clear communication protocol needs to be established to avoid various people in the NGO interacting with various representatives of the mining company in an uncoordinated way. Relationship establishment requires a considerable amount of time and resources and the identification of shared interests/objectives. Haman et al. (2009) also cites the need to build and maintain trust between participants in a partnership as a key theme in most contributions; particularly since partners will need to take risks when relying on other partners to fulfill their part of explicit agreements or implicit expectations. Vangen and Huxham (2003) argue that building and maintaining trust is a cyclical process: 'Each time an outcome meets expectations, trusting attitudes are reinforced… increasing the chance that partners will have positive expectations about joint actions in the future'. Some partnership analyses (e.g. Business Partners for Development, 2002) propose an evolutionary or life-cycle approach to partnerships, suggesting that successive stages entail different requirements of effort and corresponding skill sets. During the early stages, a vital role is played by champions within partnering organisations in identifying the potential and purpose of the partnership and in building concomitant support from their organisations' leadership (Business Partners for Development, 2002; Hudson and Hardy, 2002). In subsequent phases, it is argued, 'significant time needs to be allocated to building mutual respect and consensus' (Business Partners for Development, 2002).

Vangen and Huxham (2003) and others emphasise the need for transparent communication and managing power imbalances as important for building and maintaining trust. Many critiques of cross-sector partnerships have focused on inherent power differentials between business and civil society, in particular, and the problematic assumption that these groups have shared objectives (Hamann and Acutt, 2003). In response, Covey and Brown (2001) propose the term 'critical cooperation' to argue that "the possibilities of productive engagement between civil society and business are greatly expanded as we learn more about how to manage not just cooperation or conflict, but cooperation AND conflict in the same relationship" (original emphasis). This is particularly relevant for the partnerships discussed in this paper, where there needs to be the possibility for the partners to challenge each other in their thinking and the ability to speak (sometimes publicly) where agreement cannot be reached. Hamann et al. (2009) highlighted the potential power of dialogue to effect change in some partnerships. In one of their case studies the CEO and secretariat were credited with

cultivating a culture of open and frank exchange of views and information and a willingness to engage in a search for innovative win-win solutions. It is important to note that these solutions were not based on an avoidance of conflict but instead premised on a proactive approach to resolving conflicts creatively.

4.1.5 Partnership establishment in relation to project development stages

Decisions regarding where a mine should be located are made once a whole process of exploration (including area selection, target generation, target testing and deposit delineation, IUCN, 2004) has been completed and the financial feasibility of the mineral resource has been established. Ideally partnerships between mining companies and conservation NGOs need to be established prior to these decisions being made i.e. at the exploration stage of a project. The ability to influence the outcome of a project decreases with time. That said, some partnerships need to span over longer periods and since mining is such a long term process (sometimes spanning over decades), the partnership may be required at various stages of the mining lifecycle through to closure.

Ensuring that the partnership extends over a considerable time will enable the partnership to include sufficient time for implementation, monitoring and evaluation of the partnership activities and a relationship of trust to develop between the two parties.

4.1.6 Defining measurable purpose and objectives of partnership

Both the NGO and the mining company need to define the objectives/desired outcome of the partnership and ensure that they are working towards a similar end goal. Conservation NGOs need to ensure that conservation outcomes remain the primary objective of the partnership. Although this may involve the provision of a variety of services, the NGOs should not take on the role of environmental consultant/service provider. The partnership should aim to contribute towards a broader conservation planning initiative at the regional and/or national scale. The two organizations would presumably have geographically overlapping areas of interest. To maximize the impact of the partnership it should be mission driven and consistent with the values and ethics of the organizations involved. This will also assist in avoiding partnerships which are not related to corporate/NGO mission and core competencies and therefore detract from other more appropriate partnerships. The trust-building loop described in the paragraph above ought to be initiated by aiming for realistic and initially modest outcomes, and this is also in line with recurring calls for partnerships to aim for 'small' or 'quick' wins (Hudson and Hardy, 2002). Negotiating and reaching agreement on the partnership objectives and governance structures may require the contributions of a skilled facilitator, who is able to help participants identify and build upon converging interests even if there are other areas of potential conflict (Fisher and Ury, 1981). Hamann et al. (2009) separated the partnerships they investigated into two clusters. Implementation partnerships involve well defined, tangible objectives and financing and managing action usually under a binding legal agreement. Innovation and dialogue partnerships are characterized by more intangible objectives and informal institutional forms; their purpose is open ended and emergent, in that the outcome (and sometimes even the problem to be addressed) are not clearly defined at the outset. The partnerships described in this paper generally fall into the implementation category even though they often include innovation and dialogue.

4.1.7 Formalizing partnership: drawing up agreements

In order for an NGO and mining company to move forward with a partnership the terms of that partnership need to be formalized. Lack of these formal

partnership agreements can lead to prolonged dialogues with minimal outcomes. The search for the four case studies described in this paper uncovered a number of collaborations which involved discussions between conservation NGOs and mining companies, in some instances these had been taking place over numerous years, however nothing concrete had been accomplished in the absence of a formalized agreement. Partnerships can involve formal legal agreements which commit both parties to specified deliverables etc. They may comprise non-legally-binding agreements characterized by a memorandum of understanding (MoU) or a memorandum of agreement (MoA); or they may be more formal, with an agreed purpose, and be legally binding, such as a collaboration agreement. The agreement should cover the following issues (as a minimum): confidentiality of information, freedom to comment, communication protocol, roles and responsibilities, geographic scope of collaboration (site specific/ regional/ global), term, objectives and budget allocation (if the collaboration involves a direct transfer of funds). It should be noted that real change is not easy to effect in the short term and partnership agreements would generally need to extend over a number of years. Ideally, the MoU/ MoA/Partnership/Collaboration Agreement should be long term and global in scope to ensure that all the mining company's prospecting and mining sites are taking biodiversity considerations into account in project planning and decision-making processes. Business Partners for Development (2002) state that partners ought to negotiate and agree on governance structures, including decision-making processes, and formalising such agreements in a memorandum of understanding is likely to make it easier to resolve difficulties or to 'scale up' the partnership's activities.

4.1.8 Stakeholder identification and engagement

In addition to the mining company-conservation NGO partnership other key stakeholders will also need to be addressed. These might include government (local, national, and the home country government of companies involved); local and international civil society; international financial institutions; multilateral organizations such as the World Bank or other regional development banks; and academic institutions (Pact, 2008).

4.1.9 Planning for funding over longer-term

Even if the partnership does not involve a direct exchange of funds between the two parties involved, resources are still required which in addition to financial could include time and energy of key personnel to participate in meetings, phone calls, general discussions etc. If an NGO does not obtain finance directly from the mining company for this engagement, resources will still need to be sourced to cover the associated costs of the engagement.

4.1.10 Planning an exit strategy

The duration of the partnership needs to be specified and both parties need to plan for an exit strategy. There is the risk that individuals involved in the collaboration will change jobs/affiliates and thus the entire knowledge base needs to be spread amongst more than two point people. Since mines often change ownership this needs to be factored into long term planning around the conservation initiative. Ideally the government agency and/or long-term implementer and/or management agency needs to be included in all the discussions from the conceptualization of the initiative. Any legal agreements need to take into consideration the fact that commitments may only apply to existing owners. If the mining project changes hands, then the commitments may not be perpetuated by the new owner. The same applies to changes in government, which could impact on promises that have been made at the national scale. All of these aspects need to be taken into consideration in the formalization of the partnership.

4.1.11 Communicating outcomes and/or results

Funds should be set aside to ensure that outcomes are publicly communicated since this has multiple benefits for all parties involved in the initiative.

4.1.12 Evaluating the partnership

Hamann et al. (2009) identified two overarching criteria to evaluate partnerships, namely effectiveness and accountability. Effectiveness is defined as an instrumental measure for assessing whether partnerships achieve what they were established to achieve and whether they do so in a cost effective manner. Furthermore it takes into consideration the opportunity costs, that is, comparing the effectiveness of the partnership with the effectiveness of achieving its objectives by alternative means and any ancillary or unintended consequences. By contrast, accountability is a political and procedural measure for ensuring that partnerships are fair, inclusive and legitimate. Partnerships need to be accountable to those affected by them, particularly the poorest and most vulnerable. It has also been argued that accountability is an instrumental requirement of effectiveness.

4.2 ADDITIONAL PARTNERSHIP SUCCESS FACTORS

Covey and Brown (2001) identify four conditions for successful partnerships based on Fisher and Ury (1981)'s work:

- The first is 'balancing power asymmetries' linked to the recognition that each of the parties has an influence on each other's well-being. Crucially, 'the parties do not have to be equal in power – but they do have to recognize each other as capable of imposing significant costs or providing valuable benefits' (Covey and Brown, 2001).
- The second condition is 'acknowledging critical rights', which include legal and normative frameworks, as well as procedural structures within the partnership.
- Thirdly, participants need to negotiate both converging and conflicting interests, because the former are vital to identify 'options for mutual gain' and the latter enable the effective management of conflict.
- Fourthly, participants will need to manage relations with their stakeholder constituencies, especially if the partnership enjoys disparate levels of support among these constituencies.

Partnerships often confront significant managerial and leadership challenges in fulfilling their potential (e.g. Vangen and Huxham, 2003). This is despite numerous efforts to provide 'best practice' guidelines or frameworks for partnerships, both in the scholarly literature and in policy circles. In the UK government of Tony Blair, for instance, it was stated, 'There is a sufficiently robust body of research to enable the success criteria for effective partnerships to be identified' (UK Department of Health, quoted in Hudson and Hardy, 2002). These criteria were distilled into six principles in a Partnership Assessment Tool, which is meant to provide guidance for partnership development, as well as a diagnostic framework. The principles emphasise requirements related to 1) recognising and accepting the need for partnership; 2) developing clarity and realism of purpose; 3) ensuring commitment and ownership; 4) developing and maintaining trust; 5) creating clear and robust partnership arrangements; and 6) monitoring, measuring and learning (Hudson and Hardy, 2002).

Finally, a recurring set of themes identified by Hamann et al. (2009) relates to adaptation and learning. One of the strengths of partnerships is meant to be their flexibility and ability to adapt to changing circumstances, so the governance structures and processes of a successful partnership will need to support this flexibility, with an important role for monitoring and evaluation (Business Partners for Development, 2002; Hudson and Hardy, 2002). Furthermore, given that partnering organizations are frequently not accustomed to working together, it is argued that special measures need to be put in place to help partners build capacity to, for instance, 'understand the different work styles, cultures, and time frames of the other partners' (Business Partners for Development, 2002).

5. The Way Forward

Successful partnerships in themselves may not be able to save Africa's unique biodiversity. A number of issues may obstruct conservation efforts through partnerships. These potential obstacles need to be addressed simultaneously to ensure conservation outcomes of partnerships, even though they might not be able to be tackled within the partnership agreement.

This section highlights additional collaborative efforts and/or actions that need to be pursued in tandem to partnerships between conservation NGOs and mining companies in order to secure Africa's biodiversity.

Partnerships need to shift from engaging only western companies to including eastern protagonists, in particular Chinese mining developers and financiers. Opportunities for scaling up initiatives need to be explored through the engagement of industry sector associations, financial institutions and bi- and multilateral development agencies. This section also touches on some issues which may influence future partnership initiatives, such as the current economic crisis, the limited capacity within companies to deal with environmental issues and the necessity to address community and social issues as part of this process. Cross-sectoral interactions and communication need to be encouraged as does the engagement of national governments.

5.1 POTENTIAL OBSTACLES TO CONSERVATION OUTCOMES THROUGH PARTNERSHIPS IN AFRICA

5.1.1 Engaging Chinese companies in Africa

This information emanates from desktop research and discussions with Sean Gilbert who heads the Global Reporting Initiative's China program.

China's involvement in Africa over the past decade has grown rapidly to make it the biggest destination for mineral resources from Africa, the biggest foreign investor in infrastructure in Africa and possibly the biggest peddler of its interests into the public sector on the continent. It has consolidated its pre-eminent position by its strategy of swopping aid, building infrastructure and contributions to state coffers and amenities, for access to and acquisition of resources and preferential trade pacts (Alden, 2008; Boyd, 2009).

Investments by Chinese companies in Africa and Chinese-constructed infrastructure projects have been dogged by controversies regarding low labor and environmental standards. The Export-Import Bank of China (China Exim), a government-owned institution which is primarily responsible for expansion of Chinese business in Africa through providing finance for export credit and international loans for overseas construction and investment, has been criticized for its lax approach to environmental and social standards (Alden, 2008).

There is a widely held view amongst NGOs and other sustainable development stakeholders in Africa that Chinese companies involved in the extractive industries sector do not take environmental/social/biodiversity issues into consideration (Alden, 2008; Shankelman, 2009). Partnerships between conservation NGOs and Chinese companies that are investing in mining projects or developing mines in Africa are patently absent.

Reasons for lack of partnerships:
Some of the high level barriers to their participation in partnerships with conservation NGOs and apparent lack of engagement in social and environmental issues are perceived to include – but are not limited to - the following:

- **Policy of non-interference and respect for sovereignty**: Chinese companies note that they follow local law and argue that they should not bring in their own standards or otherwise question the legitimate authority of foreign governments, that is, the company needs to follow only the government's conditions of approval.
- **Limited history of partnerships with civil society**: Partnerships between Chinese companies and NGOs are largely absent in China, let alone in sensitive overseas environments. As such, there is little experience in how to manage such partnerships and skepticism as to the value of such relationships.
- **Decentralized management**: Many Chinese companies treat environmental and social management as a site-level issue rather than an issue managed at corporate level. As Chinese companies globalize, they are likely to increase their internal governance controls as a matter of necessity.
- **Different conceptualisation and culture of Corporate Social Responsibililty:** Many Chinese companies believe that CSR is ingrained into the fabric of their organization and will argue that their commitment to CSR is deeper than that of western companies. However, often their notions of CSR and modes of explaining their relationship to society are quite different from that of western companies. Therefore, there is commonly a substantial communication gap when NGOs seek to present their ideas about CSR and the value proposition surrounding engagements. Even the term 'stakeholder' has no direct or natural translation into Chinese.

Since 2005, Chinese corporations in all sectors including oil and mining have been pressed to be

socially and environmentally responsible as well as profitable (Shankelman, 2009). Some progress has been made by the Chinese government regarding the creation of guidelines for overseas investment. There has been promotion of the Equator Principles in the banking system with the active support of the Chinese Banking Regulatory Commission and one Chinese bank has signed the Equator Principles. In China, the IFC is partnering with the Government and banks such as the China Export-Import Bank, to introduce good environmental and social standards and practices, and support the transformation of the Chinese financial sector toward sustainability (IFC, 2009). Major Chinese companies publish CSR reports (Shankelman, 2009) but those related to Africa generally have no quantitative data and appear to focus on good public relations. Many companies have substantial philanthropic programs and around 100 companies have joined the UN Global Compact. Most large mining companies have in-house environmental and safety departments; however few, if any, have social or community relations specialists (Shankelman, 2009).

While some of the lessons learned from the four case studies described in this paper may assist in nurturing similar partnerships with Chinese mining companies, the initial contact still needs to be made. Although NGOs are eager to engage Chinese developers/financiers operating in Africa, they remain unclear on exactly how to approach such engagements (i.e. whether from the China end or at their African operations, or both depending on the particular situation).

Possible strategy for initiating partnerships:
An NGO approach to initiating discussions with Chinese companies might include:

- **Engaging Chinese embassies** in African countries of interest to bring the sector's concerns to the attention of the Chinese government;
- **Engaging with Chinese banks** doing project finance in Africa particularly those already in partnership activities supported by the World Bank Group;
- **Engaging African governments** directly on the subject. China has demonstrated it is responsive to signals from African governmental partners as a demonstration that they are 'true' partners to African countries in helping them develop resources and generate wealth in the way that Africans themselves want. [On the other hand, this approach may be counter-productive in countries where the government is not particularly open to civil sector engagements. National government may be circumvented where engaging provincial/regional governments in mining regions exist that are more supportive of environmental standards. Such provincial governments might be willing to arrange for Chinese mining company participation in technical meetings to discuss environmental assessments and other interventions, such as partnerships and public reporting.];
- Initiating engagement by providing **written feedback on African operations** reported on in the CSR reports of the few Chinese companies that have started reporting. The feedback would be orientated to providing constructive suggestions on how to strengthen the environmental and social detail in the report and would express an interest in meeting to assist them in these aspects of their operations;
- **Prioritizing the employment of staff in NGOs who speak Mandarin**, understand Chinese culture and can serve as a bridge between eastern and western approaches to problem-solving. It would also signal to Chinese stakeholders that the NGO sector is serious in its willingness to work with Chinese players in Africa. Equally, it would present opportunities to present workshops to explore the advantages and track record of NGO-mining industry partnerships in Africa;

- **Translating applicable documents into Mandarin** in order to share findings from engagements with western companies and inviting Chinese companies to industry sector association annual meetings (e.g. PDAC, ICMM, Mining Indaba etc.). The ICMM launched the Chinese version of Minerals and Metals Management 2020 (*www.icmm.org*, accessed in November 2009).

As with any partnerships, the core challenge lies in developing shared recognition and definition of a problem. It also requires the shared perception that NGO-Chinese mining sector partnerships may assist in solving mining related biodiversity concerns.

5.1.2 Economic downturn – implications for partnerships

Extractive industries have been hard hit by the global economic downturn; this is particularly true for platinum, ferrochrome and diamonds (Bridge, 2009). Those hardest hit by the economic crisis (some lost 80% in their share value, sales of some commodities dropped by over 80% over a period of about a year) are in 'survival mode' and are having to redefine themselves. This situation is predicted to endure until at least the end of 2010.

At such times, developing significant new partnerships which may require the application of considerable money and effort on issues which are not considered core business and which comprise a minute portion of the company's business operations, is unlikely. In situations where partnership relationships have already been established, streamlining may be achieved if conservation NGOs integrate their activities with those of the environmental sector as a whole. This may in turn build and solidify further relationships to enable more substantial conservation initiatives to be spearheaded once economic growth resumes. Conservation NGO partners can also demonstrate their commitment to cost-cutting by prioritizing and limited their interactions with their mining partners, e.g., by having only senior staff holding discussions with senior mining staff at a strategic level. Conservation NGOs may need to simultaneously develop partnerships through multilateral development agencies, governments agencies and mining associations (see further discussion on this topic below in 5.2)

The counter to this gloomy picture is the international acceptance of the urgent need to address climate change. Besides the direct implications for the private sector of the negotiations at Copenhagen, climate change has forced a realization on political and business leaders that addressing environmental issues cannot be deferred and action must continue now. Conservation NGOs amongst all players in the environmental sector can capitalize on this fertile ground for facilitating change.

5.1.3 Limited capacity to deal with environmental and social issues

One of the problems with the partnership model is the fact that there are often only a limited number of staff to address these issues within a mining company, despite the fact that the company may employ thousands of people and may have offices around the globe. The environmental staff may not be considered as important and thus may not obtain sufficient time from their superiors to effect change within their organization or the resources to do this when compared with staff who ensure that the financial aspects of the business are in order. This needs to be addressed by the companies in question.

5.2 OPPORTUNITIES FOR EXPANDING CONSERVATION OUTCOMES THROUGH PARTNERSHIPS

5.2.1 Scaling up engagement with the mining sector

Each partnership between a mining company and conservation NGO requires considerable time, capacity and most likely financial investment. Conservation planning often takes place at a national/regional/continental scale and engaging the mining sector may also require a broader strategic approach, rather than collaboration on a project-by-project or company-by-company basis. By using a global compilation of national datasets such as IBAT[20] this broader scale planning can be undertaken. IBAT enables the early identification of conservation priorities and areas where mining companies and other extractive industries' activities pose risks to biodiversity. In some instances this may require collaboration across political boundaries and/or collaboration amongst NGOs and mining companies working in close proximity. For larger NGOs, development agencies or companies this is often best at the broadest regional or continental scales, whereas for many governments, national NGOs and companies a consideration of impacts and risk across a country or even broader regions is most useful. Consideration of a project-by-project scale can lead to missed opportunities for strategic synergy between stakeholders or even lack of consideration of cumulative or indirect impacts. In order to try to scale up the number of partnerships required to accomplish regional conservation objectives, it may be necessary to engage government, financial institutions and industry associations. These are discussed in further detail below.

5.2.2 Extending the reach of mining sector engagement to industry associations

A number of associations exist which connect companies and other stakeholders across the mining sector. By engaging with the industry as a whole, as opposed to one company, the changes effected could be systemic and more widely and quickly adopted within the sector. When engaging at the company level the ripple effect into other companies will be much slower and may not occur at all when the company engaged is not an industry leader.

Engagement with conservation sector organizations has been initiated by some industry associations themselves, notably the International Council on Mining and Minerals (ICMM; *www.icmm.org*). ICMM is a CEO-led organization representing many of the world's leading mining and metals companies as well as regional, national and commodity associations. Through the IUCN-ICMM dialogue a number of publications have been developed which have focused on improving the mining industry's performance on biodiversity conservation.

NGOs also need to engage national mining associations (eg Chamber of Mines in South Africa) and exploration associations, such as the previously-mentioned PDAC (*www.pdac.ca*), to ensure that biodiversity issues are taken into consideration early in the mine planning process.

One pitfall to engaging the mining sector via this route is that companies that do not belong to any industry associations would not be covered. Coordination amongst NGOs who are pursuing similar engagements may be necessary.

20 The Integrated Biodiversity Assessment Tool (IBAT) was developed in response to a business need for easy access to site-scale conservation data to support the implementation of environmental policies and safeguards and regional planning initiatives. The tool was developed through a partnership of four conservation NGOs namely BirdLife International, Conservation International, UNEP-WCMC and IUCN who combined their respective global conservation datasets. The tool, IBAT for business (*www.ibatforbusiness.org*), was launched in October 2008. The application of the tool includes screening potential investments, siting an operation in a given region, developing action plans to manage for biodiversity impacts, assessing risks associated with potential sourcing regions and assisting with reporting on corporate biodiversity performance. IBAT for business is a key tool in developing the capacity for smaller, particularly national or regional businesses, to access critical biodiversity information previously available only to larger companies through direct engagement with NGOs.

5.2.3 Influence through financial sector and development agencies

Working with the financial institutions and multilateral development agencies who provide mine project financing is an alternative way of influencing mining companies that are developing projects in environmentally sensitive areas.

CI has been working with IFC to tailor IBAT to meet the needs of environmental and social specialists. This is being undertaken to support the practical application of IFC's Performance Standard (PS) 6 on Biodiversity Conservation and Sustainable Natural Resource Management, which forms part of the IFC's environmental and social review process. Since Equator Principles signatory banks must use IFC Performance Standards, if IFC incorporates the use of IBAT into the application of PS6, this largely NGO-developed tool will drive the mainstreaming of biodiversity issues into the early stages of planning for mine developments.

The development of the IFC IBAT tool will allow extraction industries to align their planning with IFC requirements at an early stage, however, since the IFC only directly[21] funds a small segment of mining projects in Africa, CI is exploring similar initiatives/partnerships with other financial institutions and multilateral and bilateral development agencies. This route of engagement also provides potential opportunities to engage Chinese financiers, hence mining developers. These initiatives may also indirectly influence other lending agencies and associations to follow suite, but they may have an effect only on the section of the mining industry that requires project financing.

However, due to the labour and time intensive nature of partnerships, the cost effectiveness of partnering with financial institutions is open to debate, since this is an indirect route to influencing the mining sector. The business of banking is conservative by nature and it should be noted that trying to effect changes to banking policy can be a lengthy process.

21 Its indirect reach is far greater via the Equator Banks who also require lenders to adopt the IFC performance standards.

5.2.4 Ensuring that partnerships address community/social issues

Big international NGOs have come under fire for excluding indigenous peoples and communities from global conservation initiatives, not emphasizing community/social needs sufficiently and in some instances giving biodiversity conservation preference over the needs of communities (Dowie, 2009). While the conservation NGOs included in the case studies described herein generally have a strong focus on social issues[22]; their primary focus is still biodiversity conservation and ensuring that the other 6 million

22 **CI's mission**: Building upon a strong foundation of science, partnership and field demonstration, CI **empowers societies to responsibly and sustainably care for nature for the well-being of humanity.** (*www.conservation.org*, accessed November 2009)
WWF's mission: is the conservation of nature. Using the best available scientific knowledge and advancing that knowledge where we can, we work to preserve the diversity and abundance of life on Earth and the health of ecological systems by protecting natural areas and wild populations of plants and animals, including endangered species; promoting sustainable approaches to the use of renewable natural resources; and promoting more efficient use of resources and energy and the maximum reduction of pollution. We are committed to reversing the degradation of our planet's natural environment and to **building a future in which human needs are met in harmony with nature.** We recognize the critical relevance of human numbers, poverty and consumption patterns to meeting these goals. (*http://www.worldwildlife.org*)
The Botanical Society of South Africa's mission: "Mindful of the role of the **people of South Africa as custodians of the world's richest floral heritage**, it is our mission to win the hearts and minds and material support of individuals and organizations wherever they may be for the conservation, cultivation, study and wise use of the indigenous flora and vegetation of southern Africa." (*http://www.botanicalsociety.org.za*, accessed November 2009)
Fauna & Flora International's mission: Fauna & Flora International is conserving the planet's threatened species and ecosystems – with the people and communities who depend on them. (*http://www.flora-fauna.org*, accessed November 2009)

species or so which inhabit the planet are not lost through anthropogenic activities.

The conservation NGO-mining sector partnerships need to include collaboration with organizations that focus on social/civil society issues within the mining sector (e.g. Human Rights Watch, Global Witness, Greenpeace, Mining Watch Canada, MAC: Mines and communities, Publish What You Pay), and with both international and grassroots social NGOs. NGOs such as Pact, which focuses on sustainable social development, human rights, local governance and transparency in revenue flows, can assist companies by facilitating community participation. Through their corporate community engagement program Pact builds bridges between communities and companies, linking with government and other development and civil society partners to find appropriate, sustainable ways to generate social benefits from commercial enterprises (*http://www.pactworld.org*). The capacity building required within communities to enable them to pose informed questions and make informed decisions as well as obtain skills to enable the collective management of resources, falls outside the scope of most conservation NGOs.

5.2.5 The necessity to engage smaller mining companies and artisanal miners

The partnerships described in this paper have all involved large, international mining companies. This paper did not deal with the myriad smaller and so-called 'junior' mining and prospecting/exploration companies, which do not necessarily follow either in-country legislation or international good practice, and which cannot afford or do not aspire to be good sustainable corporate citizens. Some of them are set up simply to develop mineral resources to the status of a 'project', which can then be sold to a large mining house, after which the originating company disappears. Such entities may be difficult for NGOs to engage with constructively and collaboratively.

Barriers to partnerships with and incentives for poor practice by smaller companies are:

- Leaner profit margins with little room for flexible spending on issues outside of core operations;
- Costs of engagement with NGOs are high and not truly scalable (i.e. it would cost the same in terms of resources and time to engage NGOs for big or small companies);
- Governments often protect/subsidize smaller companies, whereas big international companies may need to meet both national and international standards to get the same access to resources; and
- National shareholders, investors and markets - the most likely to support or depend on smaller companies - may be less environmentally aware or active than international shareholders, investors or markets, which force larger international companies to consider both local and international concerns.

To overcome these issues, NGOs should explore ways to:

- Decrease the costs of engagement by engaging through associations of small companies;
- Develop stand-alone tools and resources which can support good practice without requiring smaller companies to partner with NGOs directly (e.g. the web-based approach of IBAT);
- Engage national shareholders, investors and markets to increase awareness of conservation issues and place pressure on smaller companies; and
- Engage governments to provide necessary tools and policies that align national standards and practices with international ones.

Such efforts benefit greatly from support from multinational companies, industry associations and regional and international development agencies in 'leveling the playing fields' for environmental compliance and good practice. There are initiatives that exist to engage these issues: *http://www.communitymining.*

org/ or the World Bank led CASM initiative *http://www.artisanalmining.org/*.

5.2.6 Encouraging cross-sector interactions/communication

Since partnerships are essentially between individuals (who represent different organizations), more needs to be done to encourage different sectors to interact in order to encourage relationships to develop between the different sectors. The UNEP FI (Financing Change, Changing Finance) conference held in Cape Town in October 2009 was successful in encouraging individuals from different sectors to interact (e.g. finance, development, government, NGO). Conferences very often only involve participants from the same sector, yet large initiatives often require many parties to agree on a way forward. In order for this to happen the representatives of the different sectors effectively need to be able to 'speak each other's language'. This is only possible through exposure to 'the other parties' activities in order to develop a better understanding of their business and what drives their decisions and motivates them to take action. The conservation NGOs and civil society organizations should make an effort to include extractive industry representatives at their workshops, conferences and discussions that pertain to issues of global environmental importance to further encourage 'cross-pollination' between these sectors.

5.2.7 Engaging national government

Good partnerships between mining companies and conservation NGOs will not in themselves ensure that Africa's unique and irreplaceable biodiversity is conserved. Collaboration with national governments and participation in regional intergovernmental discussions will no doubt also be necessary. Any conservation intervention usually requires an enabling environment in order for it to succeed. This may require partnerships with the government in order to boost capacity particularly with regards to environmental and social issues and implementation of country legislation and monitoring. Appropriate policy and legislation may also be lacking.

Africa's current generation of visionary leaders recognizes the need for sound stewardship of natural resources: This has been demonstrated by some of the recent decisions taken by Marc Ravalomana of Madagascar, Ellen Sirleaf Johnson of Liberia and Ian Khama of Botswana. It suggests that current and future African leaders at least in some countries are no longer prepared to sacrifice future stability and natural wealth for short term security.

A good model may be adopted by neighboring countries who realize the benefits of good environmental and social practices through a process of sharing lessons learned at the regional scale.

One of the benefits of engaging government on extractive industry issues is that by changing national environmental policy there is the potential to influence the entire sector operating in a particular country to adopt good environmental and social practices simultaneously. There are however a number of obstacles to accomplishing this, including the necessity for good relations with government representatives which may require the establishment of offices in-country. Effecting policy changes is an extremely lengthy process and may be coupled with lack of government capacity to enforce the new legislation once promulgated. Government leadership may change, negating good relationships which have been established and the government may additionally not welcome interference by an NGO.

Collaboration with government representatives needs to be complemented by sustainable livelihood creation for communities on the ground in the vicinity of partnerships described herein. Such a collaborative effort would most likely also include partnerships amongst various NGOs who would be able to work towards ensuring that Africa continues to be one of the world's great centers of biodiversity and a model for sustainable development.

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