Major Research Portfolio by Andrijana Djokic
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A Snapshot of Socio-Economic Dynamics Influencing Indigenous Canada

by

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Table of Contents

Table of Contents **i.**
Acknowledgments **ii.**
Abstract **iii.**
Introduction – Synthesis Paper **1**
Submission I **5**
"Business and Reconciliation: How can investors evaluate the efforts of Canadian public companies?"
Submission II **28**
"Reassessing the State of First Nations Business in Canada: 2011 Profile of the First Nation Self-Employed Workforce"
Submission III **140**
"A Community Approach to Business – A Snapshot of KCDLP's Corporate and Governance Structures"
Works Cited **147**
Appendix A – Yukon Scientist and Explorers Act License **148**
Appendix B – Letter of Support, Chief and Council **151**
Appendix C – Sample of Introduction Letter and Informed Consent Form **153**
Appendix D – Interview Questions **157**
Appendix E – Submitted POS and Research Proposal **158**

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This project was funded through the Social Sciences and Humanities Research Council, the Northern Scientific Training Program, and York University whose support allowed for truly engaging with communities and allowing the opportunity to learn from grassroots educators.

Kwǎnǎschis to Kluane First Nation as my research partners, Mussi Cho to the Ta'an Kwäch'än Council and Kwanlin Dün First Nation for hosting me on your Traditional Territory, and Másį to the First Nation of Na-Cho Nyäk Dun for continuing to let me grow through the work we do alongside each other.

Foreword

The Plan of Study I designed as a component to complete a Masters of Environmental Studies was titled "Indigenous Economies and Community Planning". This Major Research Portfolio incorporates all three Components of Area of Concentration (Indigenous Community Planning, Community-Industry Relationships, and Respecting Traditional Knowledge). Submission I of this Major Research Portfolio speaks directly to Community-Industry Relationships. Submission I is the final work produced through my fieldwork with the Shareholders' Association for Research and Education and it addresses "Community-Industry Relationships", objective 1 and 3. Through this research I gained an in-depth knowledge of how industry engages with Indigenous communities. I expanded my knowledge base around how the Truth and Reconciliation Commission's recommendations are being incorporated into Aboriginal employment policy and practice and how fundamental documents, such as the United Nation's Declaration on the Rights of Indigenous Peoples, influence both Indigenous rights in Canada and how they interplay with land claims, modern-day treaty processes, and connections to industry.

Submission II integrates both "Indigenous Community Planning" (objectives 1 and 3) and "Community-Industry Relationships" (objective 1). While this report analyzes the rates of First Nations' self-employment in Canada, it sheds light on many factors that have significantly influenced how First Nations communities have developed. As my specialization in the Planning Program is Indigenous Community Planning, such factors affecting the socio-economic wellbeing of First Nations populations are crucial components to consider when assessing how to decolonize community planning processes. Submission II also allowed me to gain knowledge regarding in which industries self-employed First Nations populations see more success (for example, industries that service the mining sector saw much higher success rates than technology and innovation). It allowed me to critically analyze the relationship First Nations communities have with certain dominant industries, while also providing an opportunity as a future planner to consider which industries require greater attention on training, education, and business development.

Submission III encompasses all three areas of concentration and most, if not all, learning objectives of my Plan of Study. The success of this report in satisfying a large portion of my Plan of Study is not only due to the final product, but also the research process involved. By residing in Yukon I built a very close relationship not only with my research partner, but also with the

community of Kluane First Nation, allowing me to complete "Respecting Traditional Knowledge" learning objectives 1 and 2. Through this process I received support from Chief and Council *before* a research project was designed, I designed the project *with* my research partner, I participated in community events, and communicated often with the community and my research partner. This allowed me to develop a culturally appropriate research protocol that was approved and supported by Kluane First Nation (objective 2). This research sheds light on how Kluane Community Development LP engages with Kluane First Nation community planning as a guide in how to balance both Traditional Knowledge and their own industry relationships in creating a self-determined local economy.

Through the completion of this Major Research Portfolio, I developed the experience and understanding required to achieve my objectives within my Plan of Study and embark on my next steps in my professional career with Indigenous communities in Canada.

Introduction – Synthesis Paper

This Major Research Portfolio encompasses three works: (1) "Business and Reconciliation: How can investors evaluate the efforts of Canadian public companies?", (2) "Reassessing the State of First Nations Business in Canada: 2011 Profile of the First Nation Self-Employed Workforce", and (3) "A Community Approach to Business". While each component can be read individually and appreciated for their content and analysis, it is imperative to consider all three pieces together. Collectively they begin to paint a picture of the web of many of the factors affecting the socio-economic wellbeing of Indigenous communities in Canada. While they do not cover all aspects of colonization that are embedded in the structures that influence the professional development of Indigenous peoples, their engagement in the economy, and control over their financial futures, these three works shine some light on just how intricate and engrained Canada's colonial network is.

Submission I concentrates on the topic of business and reconciliation, calling attention to the lack of implementation of the Truth and Reconciliation Commission's Call to Action 92 by publicly-traded companies in Canada. This report sheds light on the Aboriginal hiring and reporting practices of 173 companies across Canada and across many sectors. The findings include an astonishing lack of quantitative data and oftentimes superfluous qualitative data regarding attainment level, composition of Boards of Directors, targets, statistics on quantity of employees, and so forth. A very brief summary of this report is that Canadian publicly-traded companies are only at the very beginning of the road towards Reconciliation with Canada's Indigenous peoples.

Submission II explores the alternative to Indigenous peoples being employed by companies and seeks to analyze the rate of First Nations self-employment across Canada. Trends throughout the report are obvious – where there are self-governing First Nations the rate of self-employment is higher, rates of self-employment on-reserve are significantly lower than in areas where First Nations individuals own their own homes, where the natural resource sector is more active, the rate of self-employment is higher. This report reveals many of the legislative and governance barriers that impede First Nations self-employment as they are saturated in colonial frameworks. As a result, First Nations populations are not granted an equal opportunity as Settler populations to compete in the current structure of Canada's economy. These frameworks also influence dependency for business success on certain industries more than others. The results from this study support Slowey's (2008) argument that the impact and infiltration of the natural resources sector

on Indigenous lands throughout Canada has resulted in a system of neo-colonization through the resource industry, leading to a dependency on the sector. As stated above, this study showed that where resource development was active, the rate of self-employed First Nations significantly increased (in areas that service resource development). Submission I also falls in line with this argument – the rates of contracting Aboriginal peoples as third-parties was the highest by companies involved in natural resource development. In one respect it shows the work that the resource sector has done to incorporate Indigenous businesses into their supply chains, however, it also highlights the dependence on one sector to succeed as a business owner as the other sectors did not participate in contracting of Indigenous businesses.

Submission I and II point to a few observations. Firstly, there are evidently barriers within legislation and government that impede the ability for Indigenous peoples to actively compete in Canada's current economy. Secondly, there is a lack of access for Indigenous peoples to certain industries. Thirdly, the dominance of the natural resources sector has created a neo-colonial system of dependency for Indigenous communities and has impacted the ability for local economies to diversify outside of resource development. Regarding the colonization of Indigenous economies, Loney and Braun (year) state that "…there was a concerted effort to destroy once-strong local economies. Reconciliation must include the re-emergence of these local economies" (22). If Submission I and II show that there are inherent challenges to compete both as employees and as business owners, then what realistic alternatives are there?

Submission III provides a case study of Kluane First Nation's decision to create two economic arms of their nation – the investment arm and the community development arm. The focus of this report is primarily the Kluane Community Development Limited Partnership (KCDLP) and seeks to showcase how their corporate and governance structure, intertwined with community planning, has allowed for the creation of a self-determined economy (regardless of Kluane First Nation having a long history with mining). KCDLP can be considered a social enterprise – social enterprises are "…usually small-scale economic entities that go where the private sector and governments cannot. They are very adept at affordably solving stubborn social and environmental problems" (Loney & Braun, 10). It is important to note that these corporate entities "…are not charities or government programs. They are economic entities using market forces. They combine the entrepreneurial savvy of the business sector with the community ethos of the non-profit sector. They are businesses of the people, by the people, and for the people" (ibid,

10). KCDLP provides a viable alternative to the neo-classical forms of economic development that currently dominate Canada.

Kluane First Nation and KCDLP have given due consideration to a grassroots, community-based economy and have strategically remodeled their governance structures to best counteract the colonial legacies the still influence their socio-economic health, regardless of self-government. The role of government (both Kluane First Nation and Yukon Territory) has been reclassified to not control the process of development, but to instead create an ecosystem in which this social enterprise can flourish (Loney & Braun, 10). KCDLP has been able to successfully create a flourishing economy while also ensuring "…the ability to secure a livelihood in the ways that are most culturally appropriate" (Hibbard & Atkins, 101). KCDLP is held accountable to the many community planning documents created through extensive community consultation and report at least annually to Kluane First Nation citizens on how they have been able to achieve fiscal health and cultural resilience through their projects. They have diversified Kluane First Nation's economy to include tourism, retail, housing, construction, mining services, energy, amongst other sectors rarely found in remote northern Indigenous communities.

The intention of Submission III is to be used as a tool for KCDLP to provide educational sessions for other First Nations Development Corporations in the Yukon and their respective Chiefs and Councils. Through this work and through my work at the Na-Cho Nyak Dun Development Corporation, other Development Corporations have expressed interest in the topic of self-determined economies and have requested to begin on a book highlighting the multiple success stories of self-determined economies in the Yukon. This breakdown of KCDLP's corporate and governance structures is but one piece of the much larger wave of First Nations Development Corporations educating each other and working together in reciprocity.

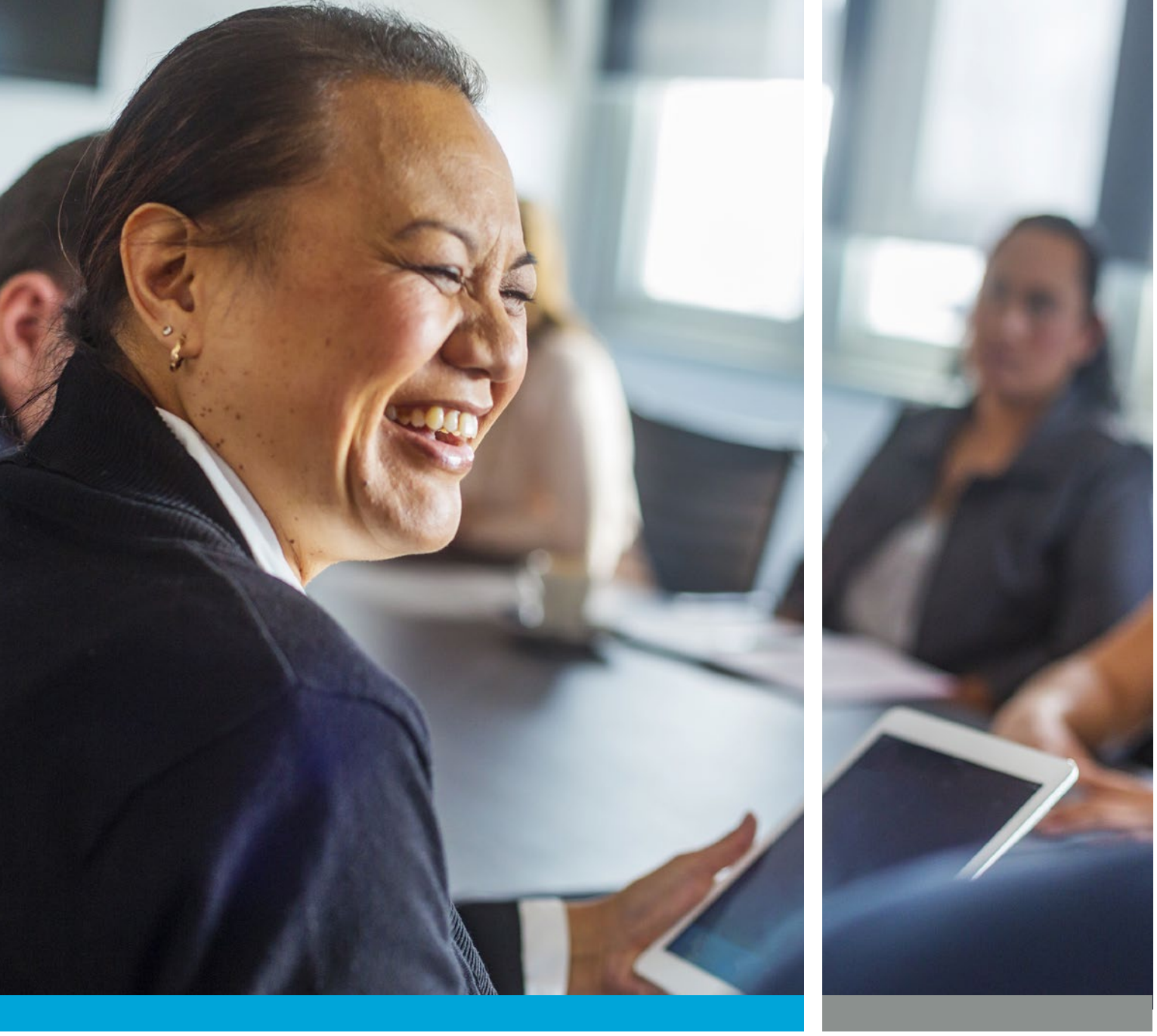
Submission I

"Investing in Reconciliation: Business and Reconciliation Indicators for Investors"

Document attached as published (do not reference page numbers within).

Produced for the Shareholders Association for Research and Education (SHARE)

Research Partner: Delaney Greig, SHARE



BUSINESS AND RECONCILIATION:

How can investors evaluate the efforts of Canadian public companies?

SHARE
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Author: Delaney Greig and Andrijana Djokic

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BUSINESS AND RECONCILIATION:
How can investors evaluate the efforts of Canadian public companies?

Table of contents

Introduction: Locating business and investors in reconciliation 4
Institutional investors and Call to Action 92 6
The business case for reconciliation 7
Our study 8
Results and discussion 11
- Diversity and corporate leadership 11
- Employment, training and contracting 12
- Respect for international Indigenous rights 14
- Community investment 15

Results by sector index 16
Conclusion 18
Appendix: summary of findings 19
Endnotes 20

BUSINESS AND RECONCILIATION:
How can investors evaluate the efforts of Canadian public companies?

> *"Although the corporate sector is not a direct party to Treaty and land-claims agreement negotiations, industry and business play an extremely significant role in how the economic, social, and cultural aspects of reconciliation are addressed, including the extent to which opportunities and benefits are truly shared with Indigenous peoples and the environment of traditional homelands is safeguarded."*
>
> Truth and Reconciliation Commission Report[1]

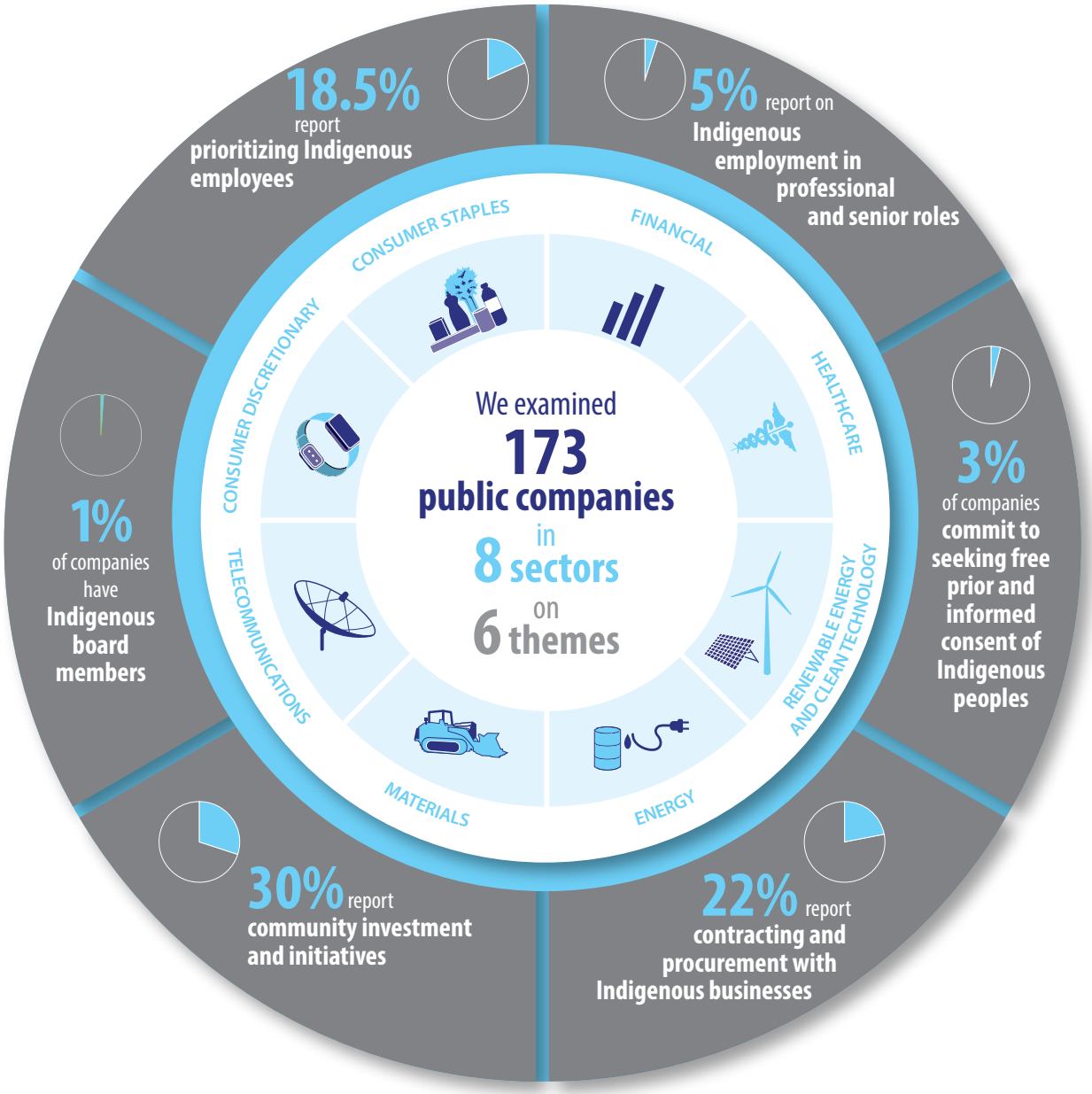
INTRODUCTION:
Locating business and investors in reconciliation

In 2015, the Truth and Reconciliation Commission of Canada (TRC) issued its final report on the legacy of Canadian residential schools, which affected generations of Indigenous peoples[2] in Canada and their relationships with non-Indigenous Canadians. The TRC report provides a roadmap for a reconciliation process aimed at building better relationships between the Indigenous and non-Indigenous peoples in Canada. Through its report, the TRC issued 94 specific Calls to Action targeting all parts of Canadian society, from governments to educators, from sports organizations to the corporate sector.

In response to the TRC Calls to Action, individuals and organizations in all areas of Canadian society have reflected on their own activities and committed to participate in reconciliation in their lives and work. A community of more than 75 Canadian philanthropic and community foundations came together through the Circle on Philanthropy and Aboriginal Peoples to sign a *Declaration of Action* setting out their pledge to demonstrate leadership on reconciliation by harnessing their voices, networks, projects and resources in support of the TRC Calls to Action.[3] Some of these foundations are supporting the Calls to Action by exercising their leverage as institutional investors. They are using their position as shareholders to engage with the companies in which they invest about implementing Call to Action 92, which speaks to business and reconciliation.

This discussion paper contributes to that process by reviewing the public disclosures of 173 TSX-listed Canadian companies in eight sector indices to benchmark their current reporting around their relations with Indigenous peoples and the substance of Call to Action 92. We hope to spark further conversation about the policies, practices and disclosure that institutional investors, Indigenous peoples and all Canadians can and should expect from Canadian companies.

Study highlights



Institutional investors and Call to Action 92

The TRC Call to Action 92 calls "on the corporate sector to adopt the *United Nations Declaration on the Rights of Indigenous Peoples* as a reconciliation framework and to apply its principles, norms and standards to corporate policy and core operational activities involving Indigenous peoples and their lands and resources."[4]

Call to Action 92: Business and reconciliation

We call upon the corporate sector in Canada to adopt the *United Nations Declaration on the Rights of Indigenous Peoples* as a reconciliation framework and to apply its principles, norms, and standards to corporate policy and core operational activities involving Indigenous peoples and their lands and resources. This would include, but not be limited to, the following:

i. Commit to meaningful consultation, building respectful relationships, and obtaining the free, prior, and informed consent of Indigenous peoples before proceeding with economic development projects.

ii. Ensure that Aboriginal peoples have equitable access to jobs, training, and education opportunities in the corporate sector, and that Aboriginal communities gain long-term sustainable benefits from economic development projects.

iii. Provide education for management and staff on the history of Aboriginal peoples, including the history and legacy of residential schools, the *United Nations Declaration on the Rights of Indigenous Peoples*, Treaties and Aboriginal rights, Indigenous law, and Aboriginal–Crown relations. This will require skills based training in intercultural competency, conflict resolution, human rights, and anti-racism.

As a widely-signed United Nations declaration, *UNDRIP* is the internationally accepted standard for protection of and respect for the rights of Indigenous peoples.[5] In 2010 Canada issued a qualified endorsement of *UNDRIP*. In 2016 it removed these qualifications and committed to fully implement *UNDRIP*.[6] Although *UNDRIP* is directed at states and not the private sector, it sets out principles and norms that if applied by corporations would ensure that their corporate policies and activities respect Indigenous rights and contribute to reconciliation.[7]

Call to Action 92 identifies three key actions for corporations to take to facilitate reconciliation:

- committing to obtain the free, prior and informed consent of Indigenous peoples before proceeding with projects;
- ensuring access to jobs, training and education, and long term benefits from economic development; and,
- providing management and staff education on Indigenous history and rights and training intercultural competency and anti-racism.

Institutional investors can support implementation of Call to Action 92 by engaging with companies in their portfolios to encourage corporate policies, practices and

disclosures that support reconciliation, and indicate whether and how a company is applying *UNDRIP*. Not only can this foster reconciliation, it can also foster better business practices that contribute to long-term, sustainable shareholder value.

However, for investor engagements to be effective, a significant knowledge gap needs to be addressed around investors' understanding of Indigenous values and economic interests; corporate best practices; and, what corporate disclosure is most relevant, practical, and effective to advance reconciliation and inform investment decisions. With this discussion paper we begin to delve into this information gap and invite conversation about what investors, Indigenous peoples and Canadians can expect from Canadian companies in reconciliation.

The business case for reconciliation

Behaving in a way that supports reconciliation is the responsibility of all Canadians, including investors and corporations. However, a company's decisions about how it relates to Indigenous peoples as business partners, employees and stakeholders also have significant implications for the company's own operations and bottom line in the short and long term.

"Investing in Indigenous peoples is an investment in Canada's future prosperity."

The risks to companies that fail to develop positive Indigenous relations are well documented, including reputational damage, regulatory intervention, litigation, project delays and disruptions, shut downs and financial loss.[8]

Ktunaxa Nation Council Chair Kathryn Teneese has had substantial experience with mining and other industry in her traditional territory. Speaking at the British Columbia Pension Forum, she explained to pension trustees that investors and companies need to shift their mindset away from seeing Indigenous peoples simply as a risk to be managed.[9] When investors rely solely on a risk framework to assess relationships with Indigenous peoples, they overlook the broader importance of reconciliation to the economy and their portfolios. Exciting opportunities are created in a wide range of industries by (as TRC Call to Action 92 urges) taking on *UNDRIP* as a business framework for action: a new and growing talent pool and customer base; long-term reliable business partners; local employees, suppliers and contractors; development of new and innovative services and products; and greater operational stability.[10]

The Indigenous economy was projected to contribute 31 billion dollars to Canadian GDP in 2016.[11] Indigenous businesses and economic development corporations are active in all sectors of the economy, yet many note difficulty developing relationships with other companies.[12] The Indigenous population is younger and growing faster than Canada's population as a whole. The National Aboriginal Economic Development Board estimates that if Indigenous Canadians were given the same education, training and employment opportunities as other Canadians, their contributions could increase Canada's GDP by 27.7 billion dollars annually.[13]

Economic opportunities and equity for Indigenous peoples in Canada means opportunities for the entire Canadian economy. Dawn Madahbee, Interim Chair of the National Aboriginal Economic Development Board, explains: "Investing in Indigenous peoples is an investment in Canada's future prosperity."[14] Incorporating *UNDRIP* into business practices and implementing Call to Action 92 will contribute to both the process of reconciliation and the development of a productive, sustainable and inclusive Canadian economy.

The TRC makes clear in its conclusion that:

> *"First Nations, Inuit, and Métis peoples today want to manage their own lives. In terms of the economy, that means participating in it on their own terms. They want to be part of the decision-making process. They want their communities to benefit if large-scale economic projects come into their territories. They want to establish and develop their own businesses in ways that are compatible with their identity, cultural values, and world views as Indigenous peoples. They want opportunities to work for companies that are proactively addressing systemic racism and inequity."* [15]

Our study

This discussion paper presents the results of a review of the public disclosures of 173 TSX-listed Canadian companies in eight sector indices to benchmark current reporting about business and reconciliation. The sector indices covered are:

1. Capped Financial;[16]
2. Capped Healthcare;
3. Capped Consumer Discretionary;
4. Capped Consumer Staples;
5. Capped Energy;
6. Capped Materials;
7. Capped Renewable Energy and Clean Technology; and
8. Capped Telecommunications.

We reviewed the companies' disclosures using a broad set of indicators in under six themes:

- Recognition of Indigenous peoples in diversity policies and corporate leadership;
- Employment and Advancement of Indigenous employees;
- Contracting and procurement opportunities for Indigenous businesses;
- Providing employment-related training and education;
- Commitment to upholding Indigenous rights; and,
- Community investment and support.

To arrive at these indicators we began with the priorities identified in TRC Call to Action 92 and included indicators used in the Canadian Council for Aboriginal Business (CCAB) Progressive Aboriginal Relations (PAR) program.[17] Both Call to Action 92 and PAR are Indigenous-led mechanisms to define expectations of corporate behaviour in relation to Indigenous peoples.

PROGRESSIVE ABORIGINAL RELATIONS PROGRAM

The CCAB PAR program is a voluntary verification and certification program that assesses corporate performance on Indigenous relations. After a company works through an internal management and reporting process, a third party verifies company reports on outcomes and initiatives in four performance areas: leadership action, employment, business development, and community relations. Finally, the company material and verifier findings are reviewed by a jury from the Indigenous business community and the company is awarded a certification level. For more information, visit: www.ccab.com.

For each company we looked for discussion of the themes in its publicly-available disclosures, including its most recent corporate annual information form (AIF), proxy circular, corporate social responsibility report, sustainability report, diversity and inclusion report, and company website. All information was collected during the summer and fall of 2016.

While some best practices rise to the top, we found that most Canadian companies fail to report information about their policies, practices or relations with Indigenous peoples.

Because only publicly-available information was used, the findings reflect the relative importance that company executives and boards place on disclosure of an issue. The volume and quality of disclosure that a company provides about issues related to Indigenous peoples can be influenced by:

a) the degree to which Indigenous interests are considered "material" to the business and its operations;

b) the degree to which its leadership believes that the company's investors and other stakeholders are concerned about these issues;

c) the degree to which investors have indicated interest in these disclosures; and,

d) the degree to which disclosures are expected and/or encouraged by regulators.

Further, our reliance on corporate self-reporting means that our study may not have fully captured a company's performance. It is possible that a company's practice could be further ahead of its disclosure. Some companies may be highly-engaged on Indigenous employment, but have not yet clearly communicated this publicly. At the same time, others may include extensive discussion of the issue, but are achieving little in practice. For investors, both adequate and accurate information is critical. For this reason, we included a range of indicators for each theme.

We hope that through feedback on this discussion paper and conversations in accompanying workshops we will be able to refine the set of measures, identifying key performance indicators that reveal the most useful information about a company and provide the best framework for investors to contribute to reconciliation as active owners.

INDICATORS

Diversity and corporate leadership

- Does the issuer's board diversity policy, or discussion in lieu of an official policy, address Indigenous heritage and identity on the board of directors?
- Has the issuer established targets for Indigenous representation on the board?
- Does the issuer identify any board members of Indigenous heritage and identity?
- Does the issuer's board diversity policy, or discussion in lieu of an official policy, address Indigenous heritage and identity of senior management or executive officers?
- Has the issuer established targets for Indigenous representation within senior/executive management?
- Does the issuer discuss Indigenous heritage/identity in regards to general employee diversity policies and programs?

Employment and advancement

- Does the issuer state that they prioritize the employment of Indigenous persons?
- Has the issuer established targets for Indigenous employment?
- Has the issuer worked with Indigenous agencies, organizations or communities for recruitment of Indigenous employees?
- Does this issuer provide qualitative information about Indigenous employment?
- Does the issuer provide quantitative information about Indigenous employment?
- Does the issuer provide quantitative information by role or level?

Contracting and procurement

- Does the issuer provide qualitative information about contracting and/or supplier procurement opportunities for Indigenous peoples?
- Does the issuer provide quantitative information about contracting and/or supplier procurement opportunities for Indigenous peoples?

Training and education

- Does the issuer provide qualitative information about provision or support for training and education for Indigenous peoples relevant to its area of work?
- Does the issuer provide quantitative information about provision or support for training and education for Indigenous peoples relevant to its area of work?

Indigenous rights

- Does the issuer commit to seek the free, prior and informed consent of Indigenous peoples?
- Does the issuer commit to apply *UNDRIP*?
- Does the issuer acknowledge or commit to *ILO Convention 169*?

Community investment

- Does the issuer provide any information about other relevant Indigenous community funding or initiatives?

Results and discussion

EDUCATING NON-INDIGENOUS MANAGEMENT AND EMPLOYEES

Several reviewers and collaborators from Indigenous communities and organizations spoke to us about the importance of the third part of Call to Action 92: education on Indigenous history and rights and training on intercultural competency and anti-racism for non-Indigenous management and employees.

Because information about the scope and content of internal corporate training and education is very rarely covered in reporting to investors, we did not directly study this aspect of Call to Action 92 in the indicators we looked for in this initial paper. Nevertheless, education and training for company management and employees is an essential precondition to the success on any of the indicators measured.

To effectively implement *UNDRIP* in a company's practices, the people who operate within the company and represent it in society must have the understanding, capacity and commitment to work with Indigenous peoples in ways that respect their cultural values, world views, rights and experience. The question of internal training and education should form part of the discussion between shareholders and companies.

Diversity and corporate leadership

Diversity and inclusion have received significant attention in the investor literature, particularly with respect to increasing gender diversity in senior corporate levels. The Canadian Securities Administrators now require issuing companies to report on the number of women in board and executive officer positions, and on their policies and targets to enhance representation of women in these positions.[18] Economic arguments for ethnic and gender diversity in corporate leadership have been articulated for many years.[19] However, rarely do diversity discussions consider to the representation and contributions of Indigenous people in board and executive officer positions. Few companies have diversity policies or plans that address Indigenous representation among employees and corporate leadership.

Only three of the 173 companies surveyed identified Indigenous heritage or identity as a quality sought in identifying board candidates. Two of these companies had persons who identify as Indigenous on their boards – the only companies in the study with Indigenous board members. This is consistent with the Canadian Board Diversity Council's 2016 report card, which found that only 0.6 percent of seats on the boards of the FP 500 companies were held by Indigenous persons, the lowest level since that survey began in 2010.[20] If representation were reflective of the percentage of Canadian population that is Indigenous, at least 4.3 percent of board seats should be held by Indigenous persons.[21] Similarly, only two companies discussed Indigenous heritage as a priority for executive officer and senior management appointments.

Attention to Indigenous heritage in the general employee pool was somewhat stronger among issuers. Eighteen percent of companies referenced Indigenous peoples as a priority group in statements on general employee diversity. Although reference in a general employee diversity policy or statement does not tell an investor the degree to which the company is actively seeking to recruit, retain and promote Indigenous employees, it does indicate that a company is attentive to the issue and willing to be publicly accountable for its commitment.

INDIGENOUS PEOPLES AS PROPORTION OF CANADIAN POPULATION AND CORPORATE BOARD MEMBERS

The results suggest that specifying Indigenous heritage in a general diversity policy may be a precursor to setting targets and programs to enhance the recruitment of Indigenous employees. A large portion of the companies that identified Indigenous heritage as a priority for employee diversity, also reported Indigenous employment information and progress.

Employment, training and contracting

Because of strong population growth and pervasive underemployment, increasing Indigenous employment requires focused effort. Recruitment, advancement, contracting and training are critical areas for business action on reconciliation. Even when accounting for differing labour force participation rates, the National Aboriginal Economic Development Board found that Indigenous peoples are underemployed relative to non-Indigenous Canadians in most economic sectors.[22] Targeted recruitment and training strategies are required for companies to gain and retain Indigenous employees.

Similarly, if the 27.7 billion-dollar potential growth in the Indigenous economy is to be realized, Indigenous employees need opportunities for advancement and Indigenous businesses need to be considered for contracts and partnerships. According to the CCAB, key challenges facing Indigenous businesses in contracting and partnerships include finding out about opportunities, maintaining relationships of trust at a distance, and meeting the scale required for contracts with larger companies.[23] None of these challenges are insurmountable. They are all areas that companies can work to address through their approach to contracting.

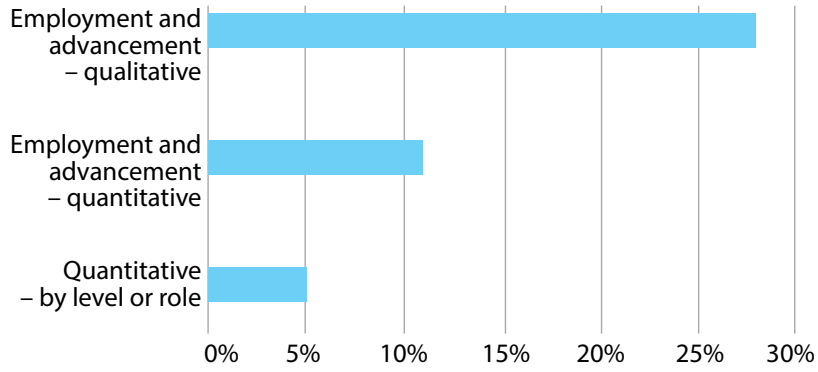
Employment and advancement

Almost 20 percent of companies reported mechanisms to prioritize the employment of Indigenous peoples in some way, whether through impact benefit agreements, programs to attract a local labour force, or as part of a broader recruitment strategy. For example, almost one-quarter of financial companies and all telecommunications companies reported some prioritization of Indigenous employment.

Unlike materials and energy companies which also performed relatively well in this area, the financial and telecommunications sectors are rarely involved in direct impact benefit or community agreements. For these sectors attention to

Indigenous hiring may be motivated by reasons such as market diversification, optimizing their talent pool, or a mandate to see their workforce better reflect the Canadian population.[24] Alternatively, those companies that are federally regulated may be comfortable with disclosure of employment metrics because they are already required to report annually to the federal government on the representation of designated groups, including Indigenous peoples, in their workforce, and on their employment equity measures under the *Employment Equity Act*.[25] The industries covered by this legislation include telecommunications, banking, railways and pipelines.

While a significant proportion of companies provided descriptive information about Indigenous employment within the company, few provided quantitative information about the number of Indigenous employees in the company or targets for recruitment. Reporting on advancement and the types of roles held by Indigenous peoples was particularly poor. Only nine companies reported the proportion of Indigenous employees by job types and levels across the company. This information is important to identify when a company has gone beyond employing Indigenous peoples in entry-level or site-specific "shovel-in-hand" work to employing them across the corporate hierarchy and supporting their advancement.



RATE OF REPORTING ON EMPLOYMENT INDICATORS

When seeking to recruit Indigenous employees, 15 percent of companies worked with Indigenous agencies or organizations to support this process. Such partnerships can provide culturally-specific communication and networking support to build relationships with Indigenous communities and provide introductions to Indigenous persons who have relevant skills, but would not otherwise be captured in recruitment efforts.[26] Companies that reported having sought outside expertise from Indigenous advisors were also more likely to report on other employment and contracting metrics.

Training and education

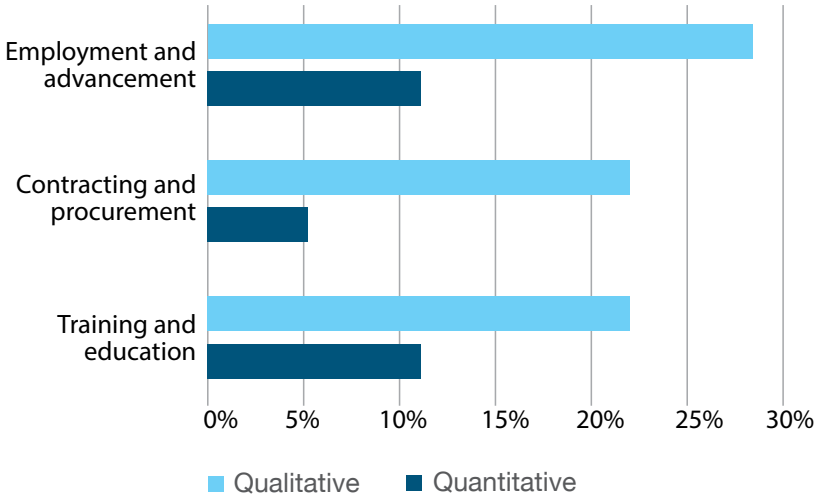
Many companies reported providing funding, training programs, or other educational opportunities specifically for Indigenous peoples. Twenty-three percent of all companies reported some type of education or training. Attention to education and training is positive; however, the actual significance of these opportunities is unclear. Only five percent of companies disclosed any quantitative

data about their training and education activities, such as the amount of money provided in scholarships or how many people participated in training programs. Further, the majority of qualitative and quantitative information reported by issuers focused on case studies, philanthropy, or individual local programs rather than explaining how the company is involved in training across its operations or the way in which educational opportunities translate to employment and advancement in the company itself.

Contracting and procurement

Twenty-three percent of companies also described specific contracting or procurement opportunities for Indigenous businesses and economic development corporations. The overlap between companies providing education and training and those involved in contracting and procurement was significant. Some companies had developed preferential pre-screening programs for supplier and contracting systems or worked with Indigenous communities and organizations to develop lists and networks of Indigenous suppliers. These notable exceptions aside, most companies reported on highly localized one-off procurement or contracting for specific projects or locations rather than comprehensive company-wide systems and opportunities.

RATE OF REPORTING ON EMPLOYMENT, CONTRACTING AND TRAINING: QUALITATIVE VS QUANTITATIVE INFORMATION



Respect for international Indigenous rights

Respect for Indigenous rights entails compliance with the highest international standards of Indigenous rights. These rights are set out in *UNDRIP* and the International Labour Organization Convention Concerning Indigenous and Tribal Peoples (*ILO 169*).[27]

A key element of *UNDRIP*, and in part *ILO 169*, is the free, prior and informed consent (FPIC) of Indigenous peoples for decisions and activities affecting them, or their lands, territories or other resources.[28] While the FPIC obligation in *UNDRIP* was developed by and targeted at states, companies that operate in Canada need to

comply with FPIC to ensure long-term, stable operations and respectful relations with affected peoples. This has been made evident by the failure and delay of recent pipeline proposals in Canada.

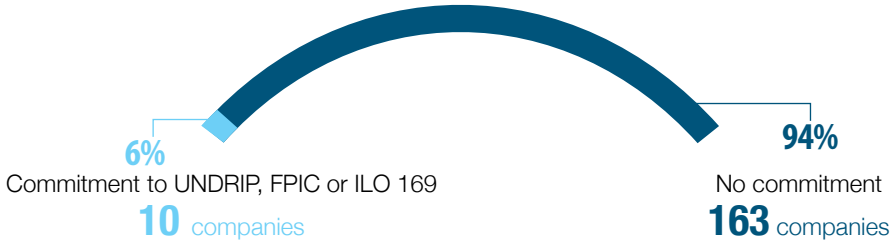
Furthermore, companies have a responsibility to seek and obtain FPIC under other international instruments including the United Nations Guiding Principles on Business and Human Rights, United Nations Global Compact, and International Finance Corporation Performance Standards, as well as many sector specific international standards.

Assembly of First Nations National Chief Perry Bellegarde explains what FPIC means for companies in practice: "Before you try to build anything, before you try to build a pipeline, before you try to build a mine, you build a respectful relationship with Indigenous peoples, one that respects inherent rights and Indigenous peoples' rights."[29]

Few Canadian companies make any commitment to international Indigenous rights standards. Only ten of the 173 companies surveyed made some form of commitment to *UNDRIP*, FPIC in particular, or *ILO 169*. Only five companies specified a commitment to FPIC: one financial company, one energy company and three mining companies.

Although some companies made commitments to respect Indigenous rights under Canadian law, such statements did not equate to a commitment to international Indigenous rights standards. While Canadian law goes some of the way to protecting Indigenous rights, at present, it does not clearly meet the standards of *UNDRIP* or *ILO 169*.[30]

"Before you try to build anything, before you try to build a pipeline, before you try to build a mine, you build a respectful relationship with Indigenous peoples, one that respects inherent rights and Indigenous peoples' rights."



COMPANIES REPORTING COMMITMENT TO RESPECT INDIGENOUS RIGHTS

Community investment

Another way that companies can be involved in reconciliation is through relevant and appropriate investment in the communities of Indigenous peoples involved in, or impacted by, a company's activities. This was the most active area of reporting in the study. Fully one-third of companies reported some form of financial support or initiative involving Indigenous communities or groups external to their company. For many companies these initiatives were a part of their broader philanthropic activity and were the only area of Indigenous relations on which they reported.

Although these contributions and initiatives can be beneficial, they are often short term, ad hoc and self-interested. In some instances, a community may not welcome this type of involvement from companies, particularly where the community has

ongoing concerns around project impacts and Indigenous rights. To be meaningful and contribute to reconciliation, community investment must involve joint planning, ongoing dialogue and relationship building. It also needs to align with the goals and interests of the Indigenous communities involved. Without contextual detail, assessing whether and how community investment from companies contributes to reconciliation is difficult.

Results by sector index

1. **Financial** ***(banks, insurance and financial services)***

   Many listed financial institutions provided good disclosure on employment contracting and training. More than 20 percent of companies in the sector disclosed qualitative information in these areas, but few went on to provide quantitative details. Only one company made a commitment to respect free, prior and informed consent in its activities. Notably, Canada's large banks led the sector in discussing and reporting on Indigenous indicators more generally.

2. **Healthcare** ***(heath and pharmaceutical equipment, supplies, technology and services)***

   The healthcare sector disclosed the least information of all the sectors in our review. Of the five companies reviewed, only one instance of reporting on an indicator was identified. The dearth of reporting in this sector is particularly notable because of the need for healthcare services and products specific to growing Indigenous populations. Representation of Indigenous peoples in the industry would help ensure that the services and products developed address the needs of Indigenous patients and consumers.

3. **Consumer Discretionary** ***(non-essential consumer products such as durable goods, apparel, entertainment, automotive and media)***

   Companies in the consumer discretionary sector performed extremely poorly, with no reporting on most indicators. Only two of 25 companies provided some qualitative reporting around Indigenous employment and contracting. Given the diverse activities of this sector from consumer goods to manufacturing to culture and entertainment, and the sector's significance in daily life in Canadian communities, the poor performance is surprising. It points to untapped opportunities for new partnerships and approaches that would benefit Indigenous communities and businesses, as well as publicly listed consumer-facing companies.

4. **Consumer Staples** ***(essential consumer goods such as food and beverages)***

   Disclosure of indicators relevant to reconciliation was negligible among consumer staples companies. The only exception was a company operating stores in remote and Arctic communities. It discussed Indigenous recruitment for employees, board and management. However, with 56 percent of Indigenous peoples living in urban areas,[31] all consumer staples companies have an interest in considering Indigenous supplier and employee opportunities.

5. Energy *(oil and gas equipment, services, production and transportation)*

Although companies in the energy sector report more about Indigenous relations than those in many other sectors, their levels of disclosure do not match with the importance of Indigenous relations to their operations. Only 34 percent of energy companies reported any information about Indigenous relations. Most of this reporting related to community investment, or qualitative information about employment, contracting and education. Although several energy companies have developed Indigenous relations policies, only one company addressed *UNDRIP* and FPIC in its policy.

6. Materials *(forestry, mining and metals, equipment, services and production)*

While the study did find that a high proportion of companies in the sector report Indigenous relations information, much of the disclosure by materials companies was narrative and anecdotal. For example, with respect to Indigenous employment, half of materials companies provided qualitative information, but only 13 percent provided quantitative employment information and only one gave quantitative employment information by job type or level. Within this employment information both the qualitative and quantitative data was dominated by case study or project-specific information. A similar reporting pattern was found for information on contracting and procurement, and training.

More positively, six of the 10 companies that made a commitment to an international Indigenous rights standard were materials companies. Most of these companies had made their commitments through Indigenous rights policies developed in the last three years. This pattern suggests a movement among materials companies to look to international best practice, in addition to local legal requirements, to guide their relations with the Indigenous peoples.

7. Renewable Energy and Clean Technology *(wind, solar, hydro and other renewable energy utilities, technology and services)*

Disclosure by renewable energy and clean technology companies was poor across the board. This result is surprising because it does not reflect the high interest in renewable energy among First Nations and the impact of large scale energy projects on Indigenous peoples. In Canada, many of the current and proposed wind, solar and hydro developments are located within Indigenous lands and territories. Renewable energy developments present both potential economic opportunities for Indigenous communities and potential adverse impact to their lands and way of life.[32] In the case of hydro, in particular, the scale of impacts can match that of non-renewable resource development.[33] Only three of the 19 companies in this sector provided employment and contracting information, while four discussed community investments and initiatives. These initiatives included innovative joint-ownership ventures with First Nations. No companies in this sector addressed Indigenous rights standards.

8. Telecommunications *(wired and wireless telecommunications services)*

The telecommunications sector was an unexpected leader in disclosure on Indigenous relations. Only four companies were included in this sector index. All stated that they prioritize Indigenous employment, and provided both qualitative and quantitative information about Indigenous employees. Three companies also provided information about Indigenous employment by role or level and three had preferred supplier programs for Indigenous-run companies. However, none of the telecommunications companies had taken the step to include Indigenous representation in diversity policies for the board or senior management.

Conclusion

A public issuer is required by law to disclose any information that is material to the business. Voluntary public reporting, on the other hand, depends on whether a company's board and management determine that information is important and relevant to stakeholders, whether or not it is material. Unfortunately, our findings show that many issuers in Canada often do not consider their performance with respect to Indigenous peoples to be either relevant or material.

For these reasons, current public reporting provides a limited window into a corporation's policies and practices, and is insufficient for investors to know which issuers are conducting business in a way that supports reconciliation. Companies may be doing more to advance Indigenous relations, employment, advancement, training, and contracting than is apparent from their public reporting. If so, this information is not publicly available to shareholders.

Institutional investors – philanthropic and community foundations, pension funds, religious institutions, Indigenous trusts and others – can advance the actions articulated in TRC Call to Action 92 by communicating to issuers about their interest in improved transparency around policies, practices and reporting on Indigenous relations and about the standards and scope of reporting they desire.

SHARE's research and shareholder engagement program uses multiple information sources and direct dialogues with issuers to develop a fuller picture of a company's environmental, social and governance risks and opportunities. Our institutional investor clients urge companies to improve voluntary public disclosure to supplement the limited information shareholders currently receive. We believe that if investors do not ask, issuers will not tell. The engagement program will be using the results of this study to inform ongoing and new dialogues with companies to improve their practices and performance in Indigenous relations and reconciliation.

Fortunately, companies do not need to start from scratch. As our study has found, positive examples of policies, practices and disclosure already exist among Canadian issuers. Companies can draw on these examples and on standards of best practice to help guide them in building operations that support reconciliation and a more productive, sustainable and inclusive economy.

RECONCILIATION ACTION PLANS

In Australia organizations of all types and sizes including corporations and institutional investors have been developing and implementing Reconciliation Action Plans (RAPs) since 2006 through Reconciliation Australia, a national non-profit that promotes reconciliation in Australia by building relationships, respect and trust.

A RAP sets out the practical actions that an organization commits to take towards reconciliation in the workplace and economy. It is written as a business plan with actions, implementation plans, and targets clearly identified. Participating entities make their reports public by posting their RAPs and annual progress updates on the Reconciliation Australia website. Canadian companies and institutional investors may find Australian RAPs useful information sources and models to guide their action on reconciliation or development of their own RAPs. For more information, visit: www.reconcilation.org.au.

This discussion paper is intended to contribute to a wider conversation amongst Indigenous and non-Indigenous investors, businesses and leadership on the ways in which investment practices can incorporate the goal of reconciliation in a meaningful way. For SHARE's team the process of preparing and workshopping this paper contributes to our own continuing education on Indigenous rights and history, and to understanding the role our organization can play in supporting reconciliation.

We welcome your participation in the discussion. If you would like to know more about SHARE's work on Business and Reconciliation and the ongoing activities of participating foundations, please contact us.

Appendix: Summary of findings

Results show percentage of companies disclosing on an indicator	Financial (26 companies)	Healthcare (5 companies)	Consumer Discretionary (25 companies)	Consumer Staples (11 companies)	Energy (38 companies)	Materials (45 companies)	Renewables & Clean Tech (19 companies)	Telecommunications (4 companies)	Total (173 companies)
Diversity and Corporate Leadership									
Board policy	0.0%	0.0%	0.0%	9.1%	2.6%	0.0%	0.0%	0.0%	1.7%
Board target	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Indigenous board member	0.0%	0.0%	0.0%	9.1%	2.6%	0.0%	5.3%	0.0%	1.2%
Senior Management policy	0.0%	0.0%	0.0%	9.1%	0.0%	0.0%	5.3%	0.0%	1.2%
Senior Management targets	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Employee diversity reference	30.8%	0.0%	8.0%	27.3%	12.2%	20.0%	5.3%	100.0%	17.9%
Employment and Advancement									
Prioritize employment	23.1%	0.0%	4.0%	9.1%	15.8%	28.9%	5.3%	100.0%	18.5%
Employment targets	3.9%	0.0%	0.0%	0.0%	2.6%	2.0%	0.0%	0.0%	2.3%
Indigenous recruitment partners	26.9%	0.0%	0.0%	0.0%	15.8%	15.6%	0.0%	100.0%	13.9%
Qualitative data	30.8%	0.0%	8.0%	9.1%	23.7%	48.9%	15.8%	100.0%	28.3%
Quantitative data	26.9%	0.0%	0.0%	9.1%	2.6%	13.3%	0.0%	100.0%	11.0%
Quantitative data by level	15.4%	0.0%	0.0%	9.1%	0.0%	2.0%	0.0%	75.0%	5.2%
Contracting and Procurement									
Qualitative data	19.2%	20.0%	8.0%	9.1%	23.7%	31.1%	15.8%	75.0%	22.0%
Quantitative data	3.9%	0.0%	0.0%	0.0%	10.5%	8.9%	0.0%	0.0%	5.2%
Training and Education									
Qualitative data	23.1%	0.0%	0.0%	9.1%	29.0%	33.3%	10.5%	75.0%	22.0%
Quantitative data	7.7%	0.0%	0.0%	0.0%	7.7%	8.9%	0.0%	0.0%	5.2%
Indigenous Rights									
FPIC	3.9%	0.0%	0.0%	0.0%	2.6%	6.7%	0.0%	0.0%	2.9%
UNDRIP	0.0%	0.0%	0.0%	0.0%	2.6%	6.7%	0.0%	0.0%	2.3%
ILO 169	0.0%	0.0%	0.0%	0.0%	0.0%	4.5%	0.0%	0.0%	1.7%
Community Investment									
Community Funding or initiatives	30.8%	0.0%	4.0%	18.2%	28.9%	48.9%	21.0%	100.0%	29.7%

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Submission II

"Reassessing the State of First Nations Business in Canada – 2011 Profile of the First Nation Self-Employed Workforce"

Document attached as submitted for publication (do not reference page numbers within).

Produced for the Canadian Council of Aboriginal Business (CCAB)

Research Partner: Dr. Greg Finnegan

Reassessing the State of First Nations Business in Canada

2011 Profile of the First Nation Self-Employed Workforce

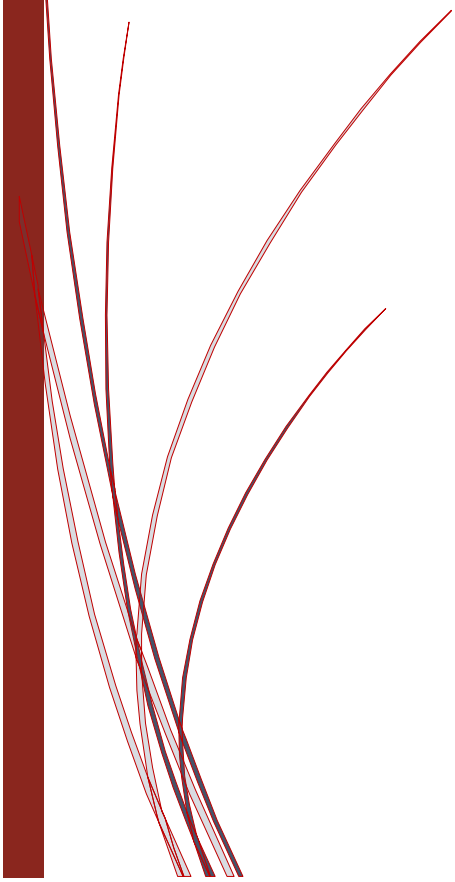

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Table of Contents

Table of Contents 1
LIST OF TABLES AND FIGURES 3
Tables 3
Figures 4
1. INTRODUCTION 7
1.1 Rationale 7
1.2 The Data 9
1.3 Key Terminology 12
1.4 Limitations 14
1.5 Organization of Report 15
2. SELF-EMPLOYED FIRST NATION ANCESTRY WORKERS' PROFILE 16
2.1 Introduction to Labour Force Statistics and First Nation Workers 16
2.2 Age and Self-Employment 20
2.3 Aboriginal Language Survival 24
2.4 Mobility 26
3. LAND TENURE AND FIRST NATIONS SELF-EMPLOYMENT 28
4. FIRST NATIONS SELF-EMPLOYMENT AND OCCUPATIONAL CLASSIFICATIONS IN CANADA 33
4.1 Provincial Breakouts for FNA Self-Employed Workers, 2011 37
5. INDUSTRIAL CLASSIFICATIONS AND SELF-EMPLOYED WORKERS IN CANADA, 2011 45
5.1 British Columbia as a Provincial Analysis 48
6. INCOME DIFFERENTIAL: SELF-EMPLOYED WORKERS OF FIRST NATION ANCESTRY AND NON-ABORIGINAL SELF-EMPLOYED WORKERS 51
6.1 Self-employed Income Compared to Total Class of Worker Incomes 54
6.2 Full-Time Versus Part-Time Employment 55
6.3 Income and Residency On-Reserve or Off-Reserve 56
7. EARNED INCOME AND INCOME COMPOSITION 59
7.1 Income Composition of FNA Workers On-Reserve and Off-Reserve 63
8. EDUCATION BY MAJOR FIELD OF STUDY 65
9. EDUCATIONAL ATTAINMENT AND SELF-EMPLOYED FIRST NATION ANCESTRY WORKERS 68
10. INCOME AND EDUCATIONAL ATTAINMENT FOR WORKERS OF FIRST NATIONS ANCESTRY 73
11. CONCLUSIONS 81
11.1 Key Findings 82

Sex, Age, Language, and Mobility 82
Land Tenure and Geography 83
Occupations and Industry 83
Income 84
Education 85
APPENDIX A: NHS Custom Table Specifications 87
APPENDIX B: NATIONAL HOUSEHOLD SURVEY EXPLANATION BY CHIEF STATISTICIAN OF CANADA 96
APPENDIX C: DEFINITIONS FOR SELECTED CHARACTERISTICS 100
SOURCES 106

LIST OF TABLES AND FIGURES

Tables

Table 1.1: Breakout of Aboriginal Populations by available categories from Custom Statistics Canada Tabulation for CCAB, 2011 Data

Table 1.2: Global non-response rate for Applicable Data

Table 3.1: Self-employed First Nations Ancestry Workers Home-ownership compared to non-Aboriginal Canadian Self-employed workers

Table 3.2: Canada and Provinces, Self-employed FNA, 2011 Living in Own Dwelling On or Off-Reserve

Table 3.3: Canada and Provinces, Self-employed FNA, 2011 Living in Rented Dwelling

Table 3.4: Canada and Provinces, Self-employed FNA, 2011 Living in Band-owned Dwellings

Table 4.1: Comparison of Distribution of People of First Nation Ancestry to First Nation Self-employment by Province

Table 4.2: Employment Income Statistics in 2010, Work Activity in 2010 Occupation - National Occupational Classification (NOC) 2011 for the Population Aged 15 Years and Over in Private Households of Canada, the Provinces, and Territories, 2011 NHS

Table 4.3: The Ranking of Self-employed Workers Occupations Compared, NHS 2011

Table 5.1: Top Three NAICS codes for First Nation Ancestry Self-Employed compared to Employees, Canada, NHS 2011

Table 6.1: Canada, Average total income before-tax in 2010 ($), NHS 2011, Custom Tabulation

Table 7.1: Comparison of Income Composition for Major Categories for the Self-employed and for Employees by FNA and Non-Abo, 2010 Income

Table 7.2: Comparison of Income Composition for Major Categories for the Self-employed First Nation Ancestry, 2010 Income

Table 8.1: Canada, Ranking of Education Fields of Study for First Nation and non-Aboriginal Ancestry - Self-employed workers, NHS 2011

Table 9.1: British Columbia, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Table 9.2: Alberta, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Table 9.3: Saskatchewan, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Table 9.4: Manitoba, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Table 9.5: Ontario, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Table 9.6: Quebec, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Table 9.7: Atlantic Canada, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Table 10.1: Canada, Educational Attainment 2011, compared to Average Total Income, 2010 for Self-employed FNA Workers

Table 10.2: British Columbia, Comparison of Self-employed FNA and non-Aboriginal Workers Average Total Income, 2010 plotted against Educational Attainment 2011

Table 10.3: Ontario, Comparison of Self-employed FNA and non-Aboriginal Workers Average Total Income, 2010 plotted against Educational Attainment 2011

Table 10.4: Quebec, Comparison of Self-employed FNA and non-Aboriginal Workers Average Total Income, 2010 plotted against Educational Attainment 2011

Figures

Figure 1.1: Example of Custom Tabulation Data Tree for Aboriginal Self-employed workers, using British Columbia example, dwellings, employment, On-Off Reserve status

Figure 1.2: Example of Custom Tabulation Data Tree for Aboriginal Self-employed workers, using British Columbia example, dwellings, employment, On-Off-Reserve status with Educational Attainment added

Figure 2.1: Unemployment Rates Canada and Regions, 2011-2016 from Labour Force Survey, First Nation and non-Aboriginal

Figure 2.2: Rate of Self-employed First Nations and Non-Aboriginal Ancestry Workers Canada and Regions (from age of 15 years and above)

Figure 2.3: Participation Rates for First Nation and non-Aboriginal Labour Force in Canada and Regions, 2011-2016

Figure 2.4: Comparison of Median Age, First Nation Ancestry and non-Aboriginal Total Population - Class of Worker and Self-employed Canada, 2011

Figure 2.5: Rate of First Nations and non-Aboriginal Self-employed and Employees - Canada, 2011

Figure 2.6: Rate of First Nations and non-Aboriginal Self-employed and Employees Across Canada - 60 Years of Age and Over, NHS 2011

Figure 2.7: First Nation Self-employed Workers as a Percentage of All FNA SE workers who can speak an Aboriginal Language by Province/Territory

Figure 2.8 Frequency of Aboriginal Speakers of First Nation Ancestry by Educational Attainment, Total Class of Workers in Canada, 2011

Figure 2.9: Comparative Analysis of Percentage of Self-employed Workers FNA compared to non-Aboriginal who moved in the past 5 years

Figure 3.1: Housing Tenure for Self-employed First Nations Compared to Self-employed Non-Aboriginal, Canada, 2011

Figure 3.2: Housing Tenure of Self-employed Worker First Nation Ancestry compared to non-Aboriginal, Canada 2011

Figure 4.1: Self-employed First Nation workers compared to non-Aboriginal, by Occupation, Canada and Provinces, 2011

Figure 4.2: Representation of First Nation SE Workers Compared to non-Aboriginal SE Workers as Percentage of National Occupational Totals by Province, Canada, 2011

Figure 4.3: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Canada, 2011

Figure 4.4: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers by Occupation, British Columbia, 2011

Figure 4.5: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers by Occupation, Alberta, 2011

Figure 4.6: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Saskatchewan, 2011

Figure 4.7: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Manitoba, 2011

Figure 4.8: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Ontario, 2011

Figure 4.9: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers by Occupation, Quebec, 2011

Figure 4.10: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Atlantic Canada, 2011

Figure 4.11: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Territories, 2011

Figure 5.1: Distribution of FNA Self-employed workers by Industry (NAICS), Canada, NHS 2011

Figure 5.2: Distribution of Non-Aboriginal SE Workers by Industry (NAICS), NHS 2011

Figure 5.3: Distribution of FNA Employee Workers by NAICS, NHS 2011

Figure 5.4: Comparison of FNA Self-employed and FNA Employees in Canada by NAICS, NHS 2011

Figure 5.5: British Columbia, First Nation Self-employed by NAICS, NHS 2011

Figure 5.6: British Columbia: non-Aboriginal Self-employed workers by NAICS, NHS 2011

Figure 5.7: British Columbia, Comparison of FNA Self-employed to FNA Employees by NAICS, NHS 2011

Figure 6.1: Percentage Difference in Total Average Income 2010 ($) Self-employed FNA with Income compared to Self-employed non-Aboriginals workers with Income Canada, Provinces, and Territories, 2010, NHS 2011

Figure 6.2: Percentage Difference in Average Total Income 2010 ($) FNA SE Workers compared to FNA SE Workers by Total Class of Worker in Canada

Figure 6.3: Percentage of Self-employed FNA and non-Aboriginal Workers working Full-time in Canada, 2010, NHS 2011

Figure 6.4: Average Total Income, 2010 of Self-employed workers of FNA on and Off-Reserve, NHS 2011 Canada, and Provinces

Figure 7.1: Composition of Income from Self-employment, for First Nation Ancestry and non-Aboriginal, Income 2010

Figure 7.2: Comparison of Self-employed FNA and non-Aboriginal Workers' Income Composition by Percentage Government Transfer Payments, 2010 Income

Figure 8.1: Canada: Education, Major Field of Study: Percentage with No postsecondary certificate, diploma or degree, NHS, 2011

Figure 8.2: Canada: Major Field of Study Self-Employed Workers by First Nation and non-Aboriginal Ancestry, 2011

Figure 10.1: The Impact of Educational Attainment on Income for Self-employed Workers, FNA and non-Aboriginal, Canada, 2010 Income

Figure 10.2 Canada, Comparison of FNA and non-Aboriginal Employee and Self-employed workers' Incomes by Education, (Income 2010, Education 2011)

Figure 10.3: Canada, The Impact of Educational Attainment on Income for Self-employed Workers, FNA and non-Aboriginal, 2010 Income

Figure 10.4: British Columbia, Comparison of Self-employed FNA and non-Aboriginal Average Total Income, 2010 plotted against Educational Attainment 2011

Figure 10.5: Ontario: Comparison of Self-employed FNA and non-Aboriginal Average Total Income, 2010 plotted against Educational Attainment 2011

Figure 10.6: Quebec, Comparison of Self-employed FNA and non-Aboriginal Average Total Income, 2010 plotted against Educational Attainment 2011

Figure 10.7: Atlantic Canada, Comparison of First Nation and non-Aboriginal Incomes by Educational Attainment, 2010

Figure 10.8: The Territories, Comparison of First Nation and non-Aboriginal Incomes by Educational Attainment, 2010

1. INTRODUCTION

1.1 Rationale

As of 2011, Canada's Aboriginal population comprised 4.2% of the national population and represented one of the fastest growing and youngest demographics in the country. As such, First Nations employment trends and patterns are important arenas which are gaining more attention. In line with this, this research report comprises a section of a much larger longitudinal research program being managed by the Canadian Council for Aboriginal Business (CCAB) in partnership with the Assembly of First Nations. This research program seeks to assess the state of First Nations self-employment in Canada, with this specific research report aiming to develop a baseline analysis of those individuals of First Nations ancestry who have self-identified as self-employed.

To date, there has been limited attention paid to self-employment as a means of employment in the First Nations labour market, therefore we cannot say who the self-employed are, what their rationale for self-employment is, nor how successful they are at being self-employed. Is self-employment more or less common for those living On-Reserve? Are self-employed First Nations workers working in the same fields as non-Aboriginal workers? Have self-employed First Nation workers had the same access to higher education as their non-Aboriginal counterparts? What of income do First Nations workers who are self-employed earn and is it equal to that of their non-Aboriginal counterparts? These are some of the questions that inform this research. Each section of this report begins with an assumption which is assessed against the data accessed from the Statistics Canada custom tabulation to test these assumptions.

However, the first question that needs to be addressed is who are the self-employed – this is not as simple a question as it appears and it is required to inform the dataset and the analyses and conclusions. Self-employed workers in this study should not be considered a proxy measure for the more commonly used business term "entrepreneur" as the two groups are not interchangeable based on Statistics Canada compared with Industry Canada definitions. Statistics Canada defines self-employed workers as:

> […] including working owners of an incorporated business, farm, or professional practice, or working owners of an unincorporated business, farm, or professional practice. The latter group also includes Self-employed workers who do not own a business (such as babysitters and newspaper carriers.[1]

Industry Canada, meanwhile defines entrepreneurship, based on the definition provided by the Organisation for Economic Cooperation and Development (Ahmad & Seymour, 2008)[2], as "enterprising human activity in pursuit of the generation of value, through the creation or expansion of economic activity, by identifying and exploiting new products, processes or markets" (Industry Canada, 2015: p. i).[3] Based on these definitions, self-employment/self-employed and entrepreneurship/entrepreneur cannot be used interchangeably.

It can be assumed that entrepreneurs are a subset of the self-employed category as defined above since "a drive to generate value through the creation or expansion of economic activity" (ibid) can also be attributed to the self-employed. Where the two diverge is that the pursuit of some self-employed businesses may not deal with "new products, processes or markets" (ibid). For example, a First Nations trapper may declare self-employment, own their own business on a long-standing trapline into the marketplace. This individual may be classified as an entrepreneur rather than self-employed if they were perhaps selling their goods online, by adding value to their goods through innovative design work, or brining the product of their traditional work into new markets through technology or design by adding value. Entrepreneurship generally implies the creation and development of new ventures typically with a plan to grow the business. Many self-employed individuals do not innovate or intend to innovate, nor do they grow or intend to grow their business, thus, not all self-employed individuals are "entrepreneurs" (Hurst & Pugsley, 2010; Sanandaji, 2010). Additionally, this definition does not consider

[1] Statistics Canada further subdivides self-employed workers by those with or without paid help, and included amongst the self-employed are unpaid family workers. They are persons who work without pay on. In 2011, unpaid family workers represented about 1% of the self-employed population. In this report we are not including this small population.

[2] Ahmad N & Richard G. Seymour, R.G.,2008) Defining Entrepreneurial Activity: Definitions Supporting Frameworks for Data Collection OECD Statistics Directorate Statistics Working Paper. http://www.oecd.org/officialdocuments/publicdisplaydocumentpdf/?doclanguage=en&cote=std/doc(2008)1

[3]Industry Canada, Small Business Branch Determinants of Entrepreneurship in Canada: State of Knowledge—June 2015 https://www.ic.gc.ca/eic/site/061.nsf/vwapj/DEC_2015-06_eng.pdf/$file/DEC_2015-06_eng.pdf

small businesses, unless "small business" is defined by self-employed. Industry Canada (2010) defines a small business as having fewer than 100 employees.

1.2 The Data

There are currently no publicly accessible and comprehensive databases for Aboriginal business activity in Canada which are as inclusive and yet are divisible into multiple metrics as the NHS/Census data available from Statistics Canada. However. Aboriginal definers exist throughout the Statistics Canada universe including their business survey data, which could be accessed through special data linkage services by Statistics Canada staff. The Custom Data Tabulation acquired by CCAB has allowed us to look at Aboriginal and non-Aboriginal Canadians under the workforce definitions of Self-employed and Employee at the national level, at the regional level and, where population allows, at the provincial and territorial levels of geography. The Census/NHS, 2011 data also allows us to profile Aboriginal Canadians using multiple self-identifiers and compare them to the final category listed below – "Non-Aboriginal ancestry only".

In this report, all results have been generated using the category First Nations (North American Indian) Aboriginal ancestry, which has been shortened to FNA (Table 1.1). This excludes Métis and Inuit workers as the requested study is for an analysis of First Nation's self-employed workers. As such, this report utilizes the larger FNA population, rather than the more restrictive *First Nations (NAI) single*

Table 1.1: Breakout of Aboriginal Populations by available categories from Custom Statistics Canada Tabulation for CCAB, 2011 Data

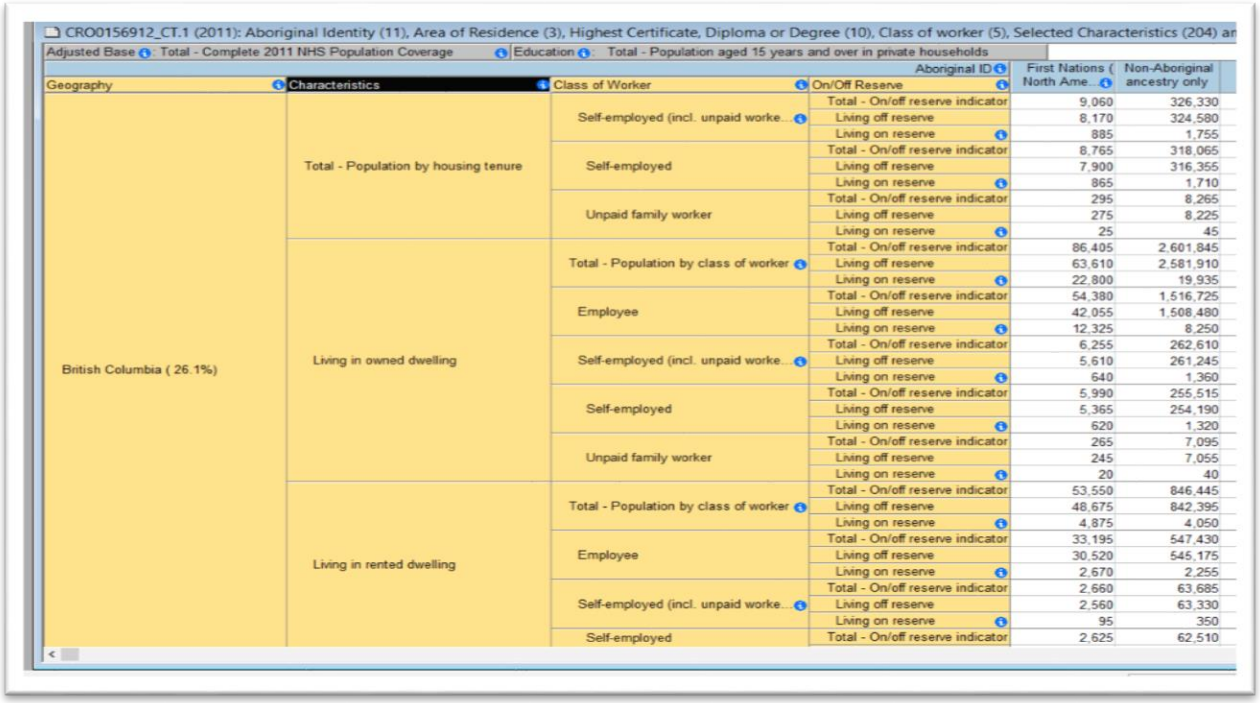
Census/NHS 2011 Identifiers, Population in Private Households aged 15 and over	Population	Number of Self-employed Workers	Percentage Self-employed
Total - Population by Aboriginal identity	1,008,580	42,100	4.2%
First Nations (North American Indian) single identity	592,765	18,685	3.2%
Multiple Aboriginal identities	7,690	380	4.9%
Aboriginal identities not included elsewhere	21,465	1,285	6.0%
Total - First Nations (single) identity population by Registered or Treaty Indian status	592,765	18,690	3.2%
Registered or Treaty Indian	441,740	10,550	2.4%
Total - Population by Aboriginal (ethnic origin) and Non-Aboriginal Ancestry	27,259,525	2,035,815	7.5%
Aboriginal ancestry	1,329,985	65,840	5.0%
First Nations (North American Indian) Aboriginal ancestry	**988,640**	**46,300**	**4.7%**
Non-Aboriginal ancestry only	25,929,540	1,969,970	7.6%

Source: CRO0156912_CT.1 (2011): Aboriginal Identity (11), Area of Residence (3), Highest Certificate, Diploma or Degree (10), Class of worker (5), Selected Characteristics (204) and Adjusted Base for Incompletely Enumerated Reserves 2006-2011 (2) for the Population Aged 15 Years and Over in Private Households of Canada, Provinces and Territories, and of Selected Regions, 2011, National Household Survey

NHS Custom Table Specifications

identity or *First Nations by Registered or Treaty Indian Status* as these populations are too limiting and would have severely constrained the ability to cross-reference First Nation self-employed workers by the desired socio-economic indicators such as education, income, language, occupation, industrial classification. It should also be noted that Métis and Inuit labour forces profile very differently from First Nation workers.[4] FNA provides a large enough "n" or population to allow for the analysis of the differences between On-Reserve and Off-Reserve self-employed and employee workers, again in considerable detail using the full range of metrics acquired from Statistics Canada.

As Figure 1.1 illustrates, the data tree for the example of housing tenure results in 620 self-employed workers of First Nation Ancestry living in their own dwelling On-Reserve, while 5,365 were living Off-Reserve in their own dwelling in British Columbia.



CRO0156912_CT.1 (2011): Aboriginal Identity (11), Area of Residence (3), Highest Certificate, Diploma or Degree (10), Class of worker (5), Selected Characteristics (204) ar

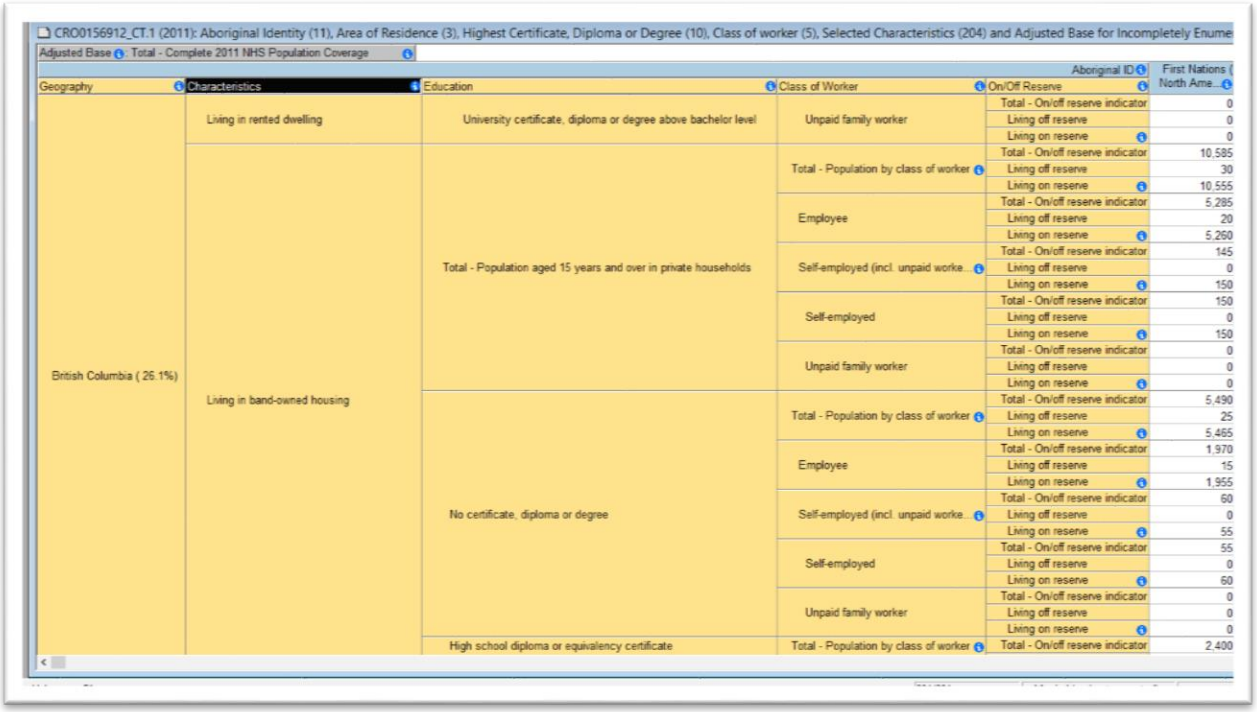
Adjusted Base: Total - Complete 2011 NHS Population Coverage | Education: Total - Population aged 15 years and over in private households

Geography	Characteristics	Class of Worker	On/Off Reserve	Aboriginal ID: First Nations (North Ame...	Aboriginal ID: Non-Aboriginal ancestry only
British Columbia (26.1%)	Total - Population by housing tenure	Self-employed (incl. unpaid worke...	Total - On/off reserve indicator	9,060	326,330
			Living off reserve	8,170	324,580
			Living on reserve	885	1,755
		Self-employed	Total - On/off reserve indicator	8,765	318,065
			Living off reserve	7,900	316,355
			Living on reserve	865	1,710
		Unpaid family worker	Total - On/off reserve indicator	295	8,265
			Living off reserve	275	8,225
			Living on reserve	25	45
	Living in owned dwelling	Total - Population by class of worker	Total - On/off reserve indicator	86,405	2,601,845
			Living off reserve	63,610	2,581,910
			Living on reserve	22,800	19,935
		Employee	Total - On/off reserve indicator	54,380	1,516,725
			Living off reserve	42,055	1,508,480
			Living on reserve	12,325	8,250
		Self-employed (incl. unpaid worke...	Total - On/off reserve indicator	6,255	262,610
			Living off reserve	5,610	261,245
			Living on reserve	640	1,360
		Self-employed	Total - On/off reserve indicator	5,990	255,515
			Living off reserve	5,365	254,190
			Living on reserve	620	1,320
		Unpaid family worker	Total - On/off reserve indicator	265	7,095
			Living off reserve	245	7,055
			Living on reserve	20	40
	Living in rented dwelling	Total - Population by class of worker	Total - On/off reserve indicator	53,550	846,445
			Living off reserve	48,675	842,395
			Living on reserve	4,875	4,050
		Employee	Total - On/off reserve indicator	33,195	547,430
			Living off reserve	30,520	545,175
			Living on reserve	2,670	2,255
		Self-employed (incl. unpaid worke...	Total - On/off reserve indicator	2,660	63,685
			Living off reserve	2,560	63,330
			Living on reserve	95	350
		Self-employed	Total - On/off reserve indicator	2,625	62,510

Figure 1.1: *Example of Custom Tabulation Data Tree for Aboriginal Self-employed workers, using British Columbia example, dwellings, employment, On-Off Reserve status*

[4] For example, the Employment Rate for Métis in the Labour Force is generally 10% points higher than for First Nation workers' Off-Reserve. Usalcas, J. (2011). Aboriginal People and the Labour Market: Estimates from the Labour Force Survey, 2008-2010 Statistics Canada, The Aboriginal Labour Force Analysis Series, Catalogue no. 71588-X, no. 3
http://www.statcan.gc.ca/pub/71-588-x/71-588-x2011003-eng.pdf

Figure 1.2 takes the same database as above and adds educational attainment. We now start to see the impacts of drilling down into the database, adding more complexity to the analysis. At this scale of analysis, we find that only 60 self-employed workers of First Nation Ancestry (note the random rounding error with 55 as the total population) whose educational attainment was categorized as “No certificate, diploma or degree” were living in Band-owned housing in British Columbia out of a Population by Class of Worker of 5,490. If we had used the First Nation single identity or the Registered or Treaty Indian categories we would not have been able to fully utilize the data below the national level of analysis.



CRO0156912_CT.1 (2011): Aboriginal Identity (11), Area of Residence (3), Highest Certificate, Diploma or Degree (10), Class of worker (5), Selected Characteristics (204) and Adjusted Base for Incompletely Enume

Adjusted Base: Total - Complete 2011 NHS Population Coverage

Geography	Characteristics	Education	Class of Worker	Aboriginal ID: On/Off Reserve	First Nations (North Ame...
British Columbia (26.1%)	Living in rented dwelling	University certificate, diploma or degree above bachelor level	Unpaid family worker	Total - On/off reserve indicator	0
				Living off reserve	0
				Living on reserve	0
	Living in band-owned housing	Total - Population aged 15 years and over in private households	Total - Population by class of worker	Total - On/off reserve indicator	10,585
				Living off reserve	30
				Living on reserve	10,555
			Employee	Total - On/off reserve indicator	5,285
				Living off reserve	20
				Living on reserve	5,260
			Self-employed (incl. unpaid worke...	Total - On/off reserve indicator	145
				Living off reserve	0
				Living on reserve	150
			Self-employed	Total - On/off reserve indicator	150
				Living off reserve	0
				Living on reserve	150
			Unpaid family worker	Total - On/off reserve indicator	0
				Living off reserve	0
				Living on reserve	0
		No certificate, diploma or degree	Total - Population by class of worker	Total - On/off reserve indicator	5,490
				Living off reserve	25
				Living on reserve	5,465
			Employee	Total - On/off reserve indicator	1,970
				Living off reserve	15
				Living on reserve	1,955
			Self-employed (incl. unpaid worke...	Total - On/off reserve indicator	60
				Living off reserve	0
				Living on reserve	55
			Self-employed	Total - On/off reserve indicator	55
				Living off reserve	0
				Living on reserve	60
			Unpaid family worker	Total - On/off reserve indicator	0
				Living off reserve	0
				Living on reserve	0
		High school diploma or equivalency certificate	Total - Population by class of worker	Total - On/off reserve indicator	2,400

Figure 1.2: *Example of Custom Tabulation Data Tree for Aboriginal Self-employed workers, using British Columbia example, dwellings, employment, On-Off-Reserve status with Educational Attainment added.*

Critics of the use of FNA may suggest that this is too inclusive a population, as First Nation Ancestry refers to the ethnic or cultural origins of the respondent's ancestors, an ancestor usually being more distant than a grandparent. A person can have more than one ethnic or cultural origin. First Nation is a term that came into common usage in the 1970s to replace the word "Indian," which many found offensive. Although the term First Nation is widely used, no legal definition of it exists. Among its uses, the term "First Nations peoples" refers to the “Indian” peoples in Canada, both Status and non-Status, which suggests inclusivity.[5] The use of FNA is also supported by the recent Supreme Court of Canada (SCC or

[5] See: Indigenous and Northern Affairs Canada, Terminology http://www.aadnc-aandc.gc.ca/eng/1100100014642/1100100014643

Court) decision in *Daniels v. Canada (Indian Affairs and Northern Development)*, 2016 SCC 12, (Decision) confirms that "Indians" under section 91(24) of the *Constitution Act*, *1867* includes all Aboriginal peoples, including non-status Indians and Métis. The Decision is significant because historically, the federal and provincial governments have debated which level of government has legislative authority regarding these groups.[6]

1.3 Key Terminology

The following terms and considerations are imperative for a thorough understanding of this report:

a) First Nations (North American Indian) Aboriginal ancestry (FNA) – This categorization excludes Métis and Inuit workers as this study is an analysis of First Nation's self-employed workers. This category is utilized instead of the more restrictive "First Nations (NAI) Single Identity" or "First Nations by Registered or Treaty Indian Status" as these categorizations would have constrained the ability to cross-reference First Nation self-employed workers by the desired socio-economic indicators;

b) Self-employed – This categorization consists of both the incorporated and unincorporated elements of the workforce as defined by Statics Canada in the Census. Individuals within this run their own businesses, with or without employees. Self-employed workers in this study should not be considered a proxy measure for the more commonly used business term "entrepreneur" as the two groups are not interchangeable based on Statistics Canada compared with Industry Canada's definition;

c) Non-Aboriginal – This is a definition via exclusion. This population excludes First Nation Ancestry (North American Indian) as well as Métis and Inuit. Non-Aboriginal provides us with a truer means of comparing First Nation Ancestry workers, be they self-employed or employed against the greater Canadian population;

d) Employee – A person who is hired by another to perform a service, especially for wages or salary, and is under the other's control generally not at the executive level;

e) Random rounding and percentage distributions – To ensure the confidentiality of responses collected for the 2011 National Household Survey while maintaining the quality of the results, a random rounding process is used to alter the values reported in individual cells. As a result, when

[6] Barretto, J., Isaac, T., Weberg, H. (2016). Supreme Court of Canada clarifies meaning of "Indian" Osler; https://www.osler.com/en/resources/regulations/2016/supreme-court-of-canada-clarifies-meaning-of-indi

these data are summed or grouped, the total value may not match the sum of the individual values, since the total and subtotals are independently rounded. Similarly, percentage distributions, which are calculated on rounded data, may not necessarily add up to 100%. Due to random rounding, estimates and percentages may vary slightly between different 2011 National Household Survey products, such as the analytical documents and various data tables.

a) Survey estimates -- When comparing estimates from the 2006 Census long form and estimates from the 2011 National Household Survey (NHS) users should take into account the fact that the two sources represent different populations. The target population for the 2006 Census long form includes usual residents in collective dwellings and persons living abroad whereas the target population for the NHS excludes them. Moreover, the NHS estimates are derived from a voluntary survey and are therefore subject to potentially higher non-response error than those derived from the 2006 Census long form. This means we have limited our research to a study of the 2011 self-employed population without the ability to draw comparisons to 2006, nor in the future to 2016. Couples with these differences, the impact of the voluntary methodology used in 2011 for the NHS means that it is necessary to generate **Global Non-response rate** for each jurisdiction. This indicator combines complete non-response (household) and partial non-response (question) into a single rate. The value of the GNR is presented to users. A smaller GNR indicates a lower risk of non-response bias and as a result, lower

Table 1.2: Global non-response rate for Applicable Data[7]

Adjusted Base: Total - Complete 2011 NHS Population Coverage	
Canada	26.1%
British Columbia	26.1%
Prairies	27.5%
Alberta	27.4%
Saskatchewan	29.3%
Manitoba	26.2%
Quebec	22.4%
Atlantic Canada	29.4%
Newfoundland and Labrador	31.4%
New Brunswick	28.6%
Nova Scotia	28.2%
Prince Edward Island	33.4%
Territories	23.2%
Yukon	29.9%
Northwest Territories	16.1%
Nunavut	25.2%

[7] Unless otherwise referenced all data referred to in this report is sourced from: Custom Tabulation: CRO0156912_CT.1 (2011): Aboriginal Identity (11), Area of Residence (3), Highest Certificate, Diploma or Degree (10), Class of worker (5), Selected Characteristics (204) and Adjusted Base for Incompletely Enumerated Reserves 2006-2011 (2) for the Population Aged 15 Years and Over in Private Households of Canada, Provinces and Territories, and of Selected Regions, 2011, National Household Survey, See Appendix A.

risk of inaccuracy. The threshold used for estimates' suppression is a GNR of 50% or more. The NRR for Canada, the Provinces, and Territories as per the custom tabulation acquired from Statistics Canada are shown in Table 1.2;

b) Comparing income data from the National Household Survey to other sources –When comparing income indicators from one source to another, users should be aware that the methodology of how the information was collected, the concepts used and response patterns can affect the comparability of income information. Given the sensitivity of most income indicators to such methodological differences, users should use caution when comparing income estimates from the NHS to other household income surveys, administrative data or 2006 or earlier censuses. In this report, comparisons are closely restricted to 2011 Census and NHS data sources. If comparisons to other time series are made they should include a cautionary disclosure;

c) Also see: Chief Statistician's Blog reproduced as Appendix B: Comparability between estimates from the 2006 Census long form and the 2011 National Household;

d) A complete list of definitions associated with the custom tabulation database is provided in Appendix C.

1.4 Limitations

Limitations of this study have already been highlighted through the defining terminology. Primary among these is that self-employment is not a proxy for small business nor for entrepreneur. Secondly, the decision to transform the mandatory 2011 longform census into become the voluntary 2011 National Household Survey means that researchers will never be able to effectively compare the 2011 data with past or future census products without numerous caveats. This report also stresses a descriptive versus an inferential analysis of the data, although in some instance we have run statistical reports in the background to test the differences or similarities between our core labour groups.

Another limitation of the project is itself the dataset acquired from Statistics Canada which is a comprehensive overview of the socio-economic and cultural variable drawn from the Census and the NHS 2011 cross tabulated on self-employed and employed workers of Aboriginal and non-Aboriginal ancestry. Measuring some 11,444,400 cells of data we have only begun to explore the many opportunities this data set provides in this report. However, as we needed to conceptualize the data order prior to actually ordering with the data, there are limitations) and challenges that occur when

exploring linkages and developing research questions (even with an eleven million cell dataset. Research is to some extent an exploratory process and an iterative one, as series of questions originally conceptualized lead to new perspectives on the question at hand the data required to take the ideas to the next level.

1.5 Organization of Report

The report moves from general social and cultural parameters that characterize self-employed workers of First Nations Ancestry, such as age, Aboriginal language survival, and mobility in section 2 through to section 10 which assess the impact of educational attainment on earned income. Section 3 sets the stage of the importance of property ownership using the proxy measure of home ownership compared to renting and in the case of First Nation workers residence in Band-owned housing. It is argued that property ownership is the foundation of wealth in Western society, and one means of accessing capital to start new businesses, yet for many First Nation workers they are excluded from property ownership if they live On-Reserve. In sections 4 and 5, the report explores occupational and the industrial classifications that one's job places them in looking for difference, or in this case similarities, between self-employed workers of FNA and non-Aboriginal ancestry. Income is discussed in sections 6 and 7 from the perspectives of differences between FNA and non-Aboriginal self-employed workers as well as between FN self-employed workers and employees. Education is addressed in sections 9 and 10, first as fields of education and then as the correlation between educational attainment and income. The conclusions are summarized in section 11, while pertinent information on the custom tabulation definitions and an explanation of the NHS, 2011 as a survey tool and its results are found in Appendices A through C.

2. SELF-EMPLOYED FIRST NATION ANCESTRY WORKERS' PROFILE

2.1 Introduction to Labour Force Statistics and First Nation Workers

First Nation workers in Canada consistently have higher unemployment rates than non-Aboriginal workers as documented by Statistics Canada's Labour Force Survey. In 2011, First Nation workers suffered from an unemployment rate of 16.8% compared to the non-Aboriginal workforce's rate of 7.4%, with the difference between the two populations being greatest in western Canada where the unemployment rate peaked at 17.4% compared to only 5.9% for the non-Aboriginal population. Essentially, at 5.9%, the labour force is considered to be below the level of full employment which is usually pegged at 6% -- this is the lowest possible unemployment rate with the economy growing and all factors of production being used as efficiently as possible. There will always be unemployment caused by mobility within the labour force—people moving between jobs, switching careers, or relocating. Structural shifts in the economy—often the result of technological change—also contribute to some level of unemployment. So, while the non-Aboriginal labour force was effectively failing to keep up with demand in the western provinces First Nations workers continued to have exceedingly high levels of unemployment.

Figure 2.1: Unemployment Rates Canada and Regions, 2011-2016 from Labour Force Survey, First Nation and non-Aboriginal

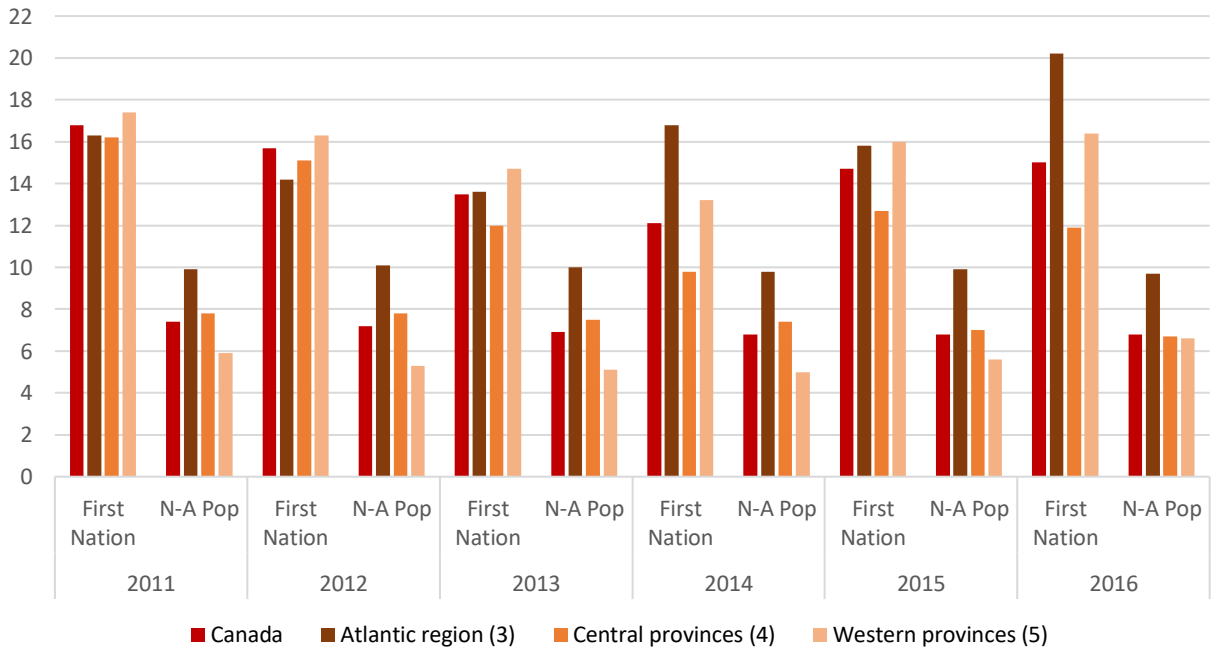
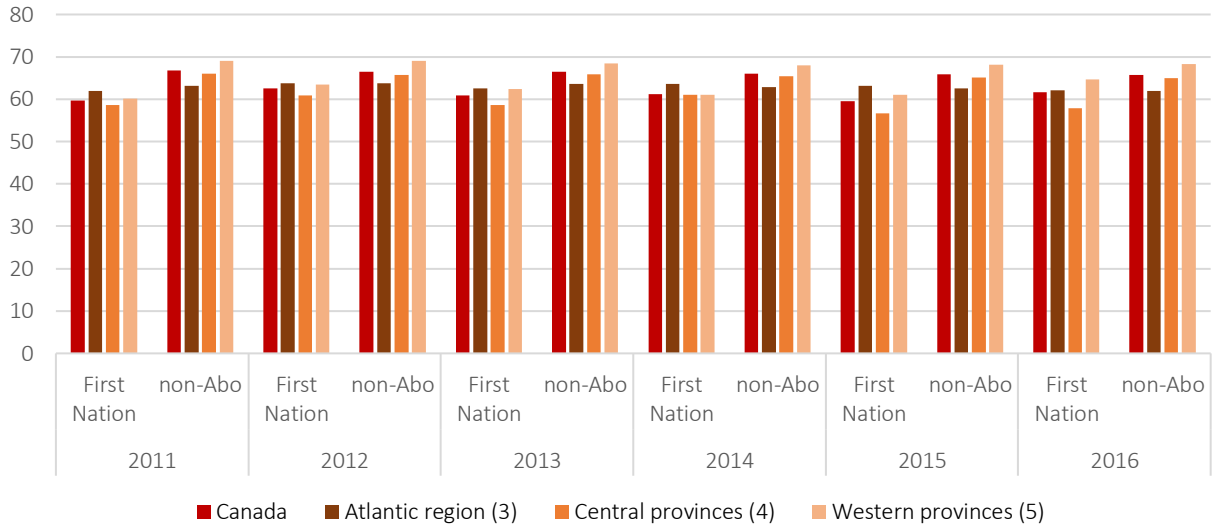


Figure 2.2: Participation Rates for First Nation and non-Aboriginal Labour Force in Canada and Regions, 2011-2016



The First Nation labour force also suffers from a higher level of non-participation as measured by the participation rate (PR), or conversely by the number of workers considered to be Not-in-the-Labour-Force (NILF). First Nation labour force participation rates[8] are on average lower in Canada than those of the non-aboriginal labour force population, Atlantic Canada being the exception, where in the later years of the time series the PR rose slightly above the non-Aboriginal levels (higher PR are a positive outcome, higher UR a negative outcome). In Western Canada, First Nation PR are consistently lower than those of the NA population but difference between the two populations appears to have been dropping between 2011 and 2016 from 8.9 percentage points to only 3.6 in 2016. During this period, the First Nation PR improved from 60.2% in 2011 to 64.7% in 2016, while the non-Aboriginal PR stayed consistently high at between 69.1% in 2011 and 68.3% in 2016 (Tables 2.1 & 2.2)[9].

Given the high unemployment rates suffered for generations in First Nation communities and at the household level, one plausible solution is becoming self-employed. This is a solution that many workers in the economy decided to make during the recession of 2008 when the job market constricted and

[8] The participation rate is the number of labour force participants expressed as a percentage of the population 15 years of age and over. The participation rate for a particular group (age, sex and marital status) is the number of labour force participants in that group expressed as a percentage of the population for that group. Estimates are percentages, rounded to the nearest tenth. See: http://www5.statcan.gc.ca/cansim/a47

[9] The bracketed numbers in the legend are Statistics Canada regional geography definers.

layoffs occurred *en masse* in some sectors, especially in the natural resources. Could self-employment be a safety valve for Aboriginal employment problems? If so, can we find evidence to support this? If not, what might the barriers be, to entering the self-employment sector that are inhibiting greater First Nation participation?

One question we need to explore is who are the self-employed, and more specifically in this chapter, how do we profile or characterize the self-employed? Statistics Canada provides some insight on the Self-Employed in Canada, circa 2006:

- In 2005, Canadian employees who only earned wages or salaries earned, on average, $36,703 annually. Two out of five (40%) of these employees earned less than $20,000, while just under 1 in 20 (4%) had incomes over $100,000;
- On average, Canadians who only had income from self-employment in 2005 earned $22,866. **Almost half (46%) of the self-employed, however, also had earnings or wages from either another employer or from paying themselves an additional salary or wage**;

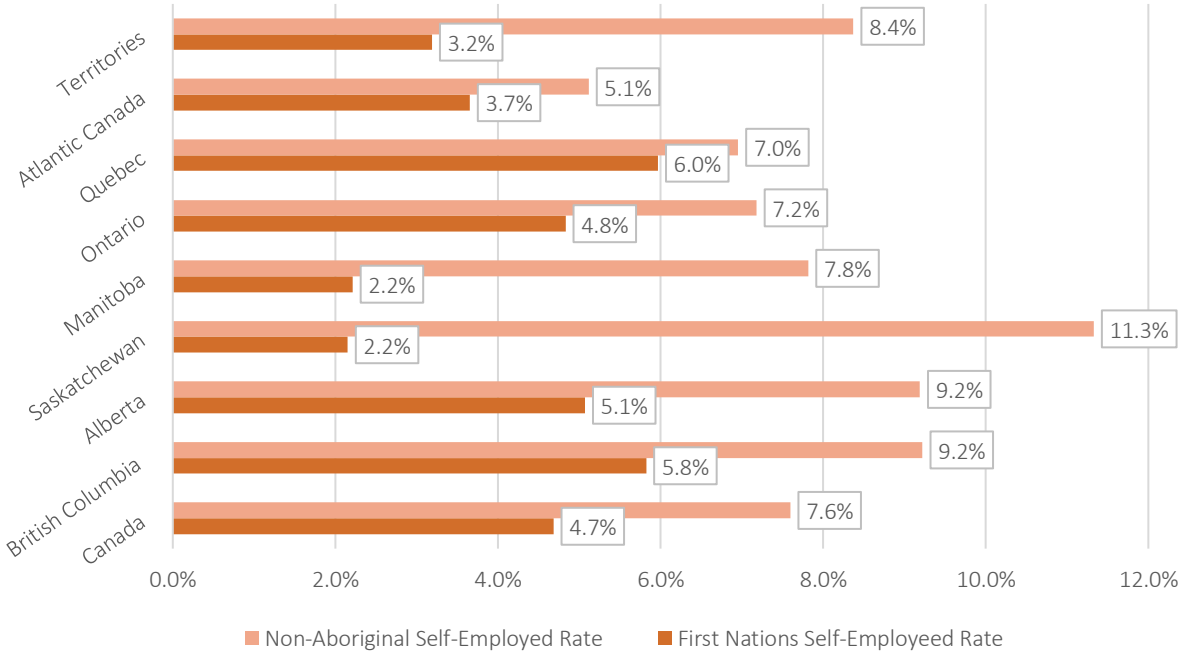
  Note that Self-employed workers can also have salary or wages either from their own company or from outside work as part of their income¿
- The average self-employment income in 2005 for Canadians who reported any such income, regardless of whether they were completely self-employed or they also had a wage was $16,767;
- In 2005, 79% of the self-employed had incomes less than $20,000. However, 3% of the self-employed had incomes over $100,000;
- Self-employment income for men was higher than that for women. In 2005, men with self-employment income earned an average of $20,080 from self-employment earnings, compared with $12,000 for women with self-employment income;
- The two main sources of income for the self-employed were business (46%) or professional (44%) income. Other sources of income included commissions (7%), farming (3%) and fishing (1%).

Characterizing the self-employed in this research work is very much based on statistical metrics as available from Statistics Canada through the Census/NHS, 2011. However, we should also note that self-employment has other, more social and psychological factors that come into play. The personality characteristics and the decisions that come into play as one decides to move into self-employment, have been studied by Caliendo, Fossen and Kritikos (2014) who found for a large representative German

Household Panel that the self-employed had traits such as: openness to experience, extraversion, and risk tolerance which influence entry, but different ones, such as agreeableness or different parameter values of risk tolerance, which impact exit from self-employment. Overall, they found that risk tolerance, locus of control, and openness had the highest explanatory power for why individual worker move into Self-employment. What might this say about our two populations, First Nation Ancestry workers and non-Aboriginal workers, can unfortunately not be explored using the statistical metrics available to us in the research program, but may hold value for future research on First Nation entry into Self-employment?

In their research, Hindle and Moroz (2010) define Indigenous entrepreneurship as a distinct disciplinary field of science that requires its own "pre-paradigmatic framework". They used a research strategy of literature search and examination to argue that Indigenous entrepreneurship is sufficiently distinguished from both mainstream entrepreneurship and other social and management sciences to constitute a legitimate, well-defined sub-field of research, in its own right. The metrics generated in this study through the Statistics Canada Custom Tabulation on Aboriginal Self-employment indicates that First Nation workers are less likely to be self-employed and that First Nation workers in general have lower educational attainment and home ownership rates, could these be related to a higher level of risk avoidance, and lack of willingness or the skills required to venture into new experiences, or an inability

Figure 2.3: Rate of Self-employed First Nations and Non-Aboriginal Ancestry Workers Canada and Regions (from age of 15 years and above)



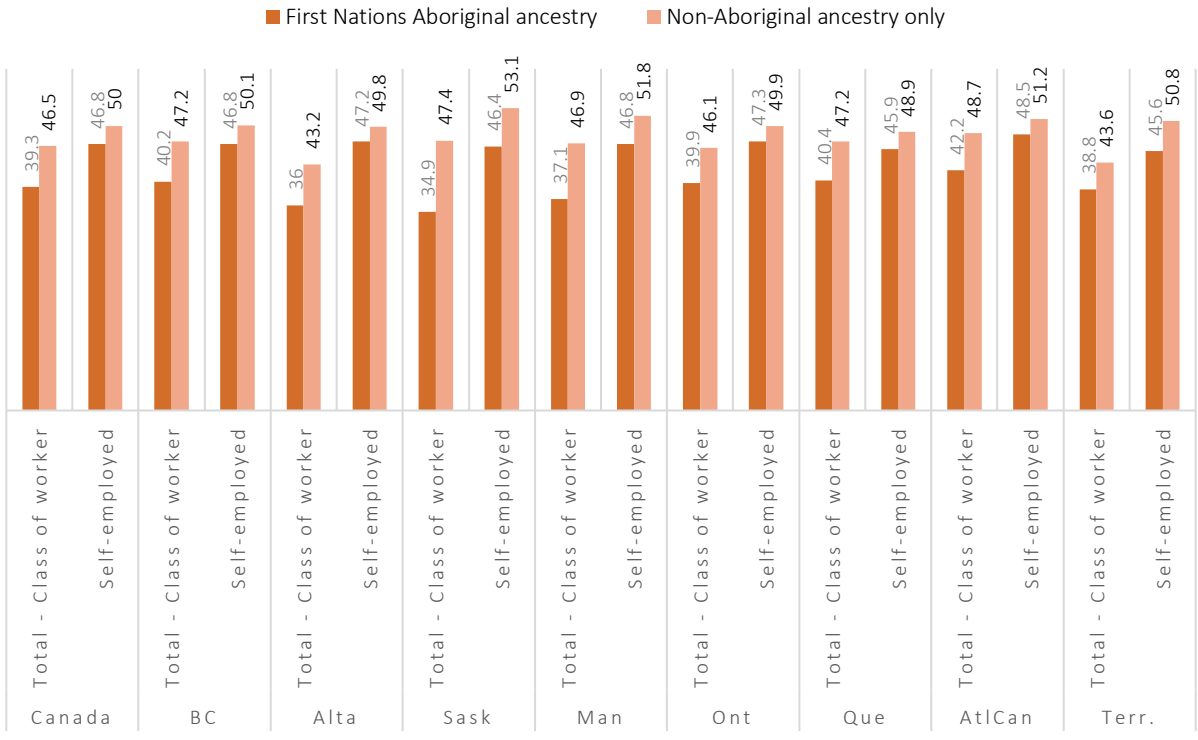
to gain the control required to set themselves as independent workers, with their own businesses?[10] We also have to ask what historical, sociological and spatial-economic factors have limited First Nation entry into self-employment?

Across Canada self-employed workers of First Nation Ancestry are underrepresented in the work force, from a very high 9.2% percentage point difference in Saskatchewan to as little as a one percentage point difference in Quebec (Figure 2.3). First Nation self-employment falls below the national average of 4.7% of the workforce in Saskatchewan, Manitoba, in Atlantic Canada as well as in the Territories, is heavily influenced by Ontario's large First Nation population at 4.8%, but rises above the national average in Quebec (6%), British Columbia (5.8%), and in Alberta.

2.2 Age and Self-Employment

It is generally recognized in Canada that the Aboriginal population has a much lower median age than the population as a total. In 2011, the Aboriginal Population Profile recorded the median age for Canadian

Figure 2.4: Comparison of Median Age, First Nation Ancestry and non-Aboriginal Total Population - Class of Worker and Self-employed Canada, 2011



[10] Marco Caliendo, Frank Fossen, and Alexander S. Kritikos, "Personality characteristics and the decisions to become and stay self-employed," *Small Business Economics,* April 2014, Volume 42 (4), pp: 787–814.

people of Aboriginal ancestry at 27.7 years of age, while the national average inclusive of the Aboriginal population stood at 40.6 years of age. Figure 2.4 illustrates the difference in median age for the Total Population Class of Workers in Canada and the provinces/regions for workers of both First Nations Ancestry and for those of non-Aboriginal Ancestry. As expected non-Aboriginal workers are older than those of FNA both as a Total Population and as self-employed workers. The difference between the two groups though is less than that of the Aboriginal population median age when compared to the national population which is a difference of almost thirteen years. Workers of First Nation Ancestry have a median age that is 7.6 years younger than that of non-Aboriginal workers, while the gap between self-employed FNA and non-Aboriginal workers closes to only 3.8 years.

This suggest that Self-employed FNA workers are entering the self-employment phase of their careers at a later age than might be expected given the much younger median age of Aboriginal Canadian and FNA employees. There is also a much greater age difference between the median age of self-employed FNA workers and the general FNA labour force than between the two non-Aboriginal workforces. In Canada, the FNA total population workforce median age is 39.3 years while the self-employed worker median age is 46.5 years, a difference of 7.2 years; while the difference between the two non-Aboriginal workforces is only 3.5 years.

We should note that across Canada there is no discernable difference in the median age of self-employed First Nation Ancestry workers living On or Off-Reserve, with the respective median ages being 46.8 Off-Reserve and 47.2 years of age for On-Reserve.

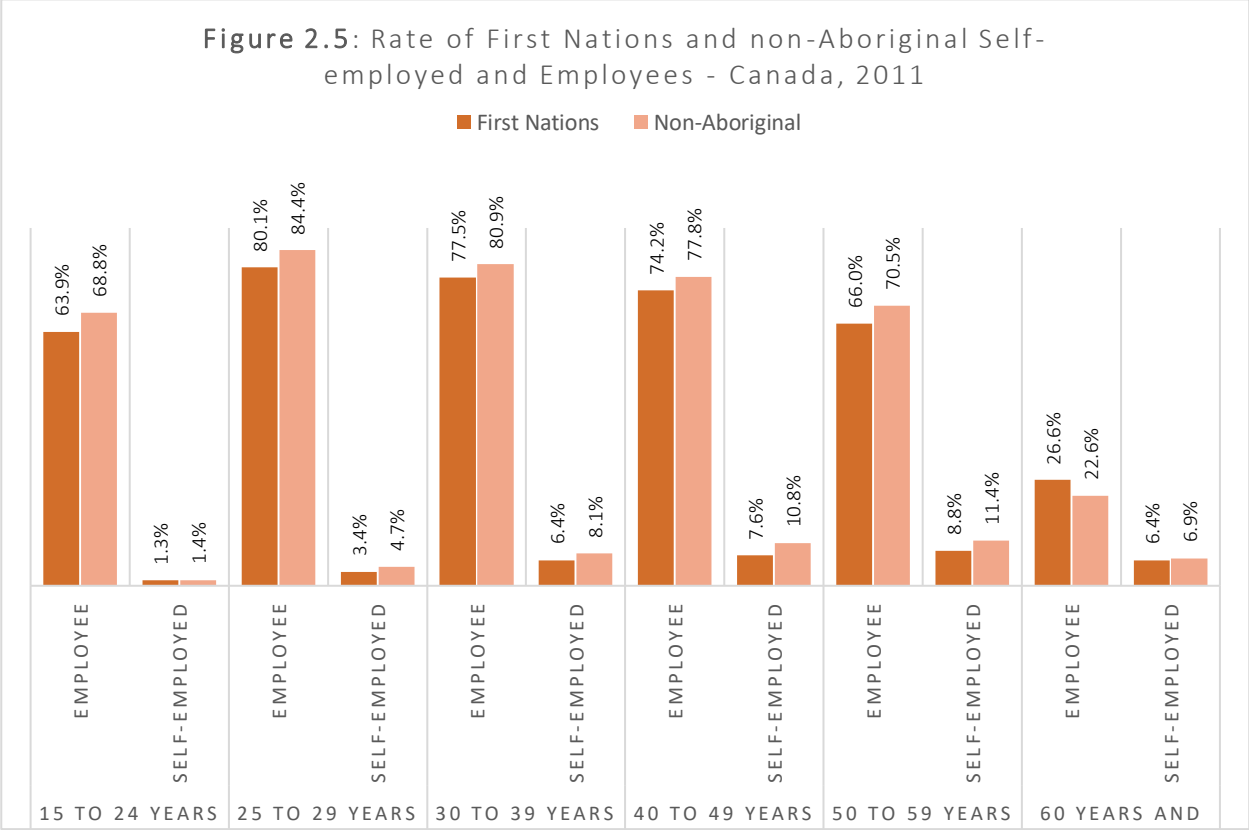


Figure 2.5: Rate of First Nations and non-Aboriginal Self-employed and Employees - Canada, 2011

Unlike employees whose peak age cohort is 25-29 years of age, the peak age for self-employed workers is between 50 and 59 years of age with 8.8% of the First Nation Ancestry workers in this age group being self-employed as well as 11.4% for the non-Aboriginal. So, while employees in this older age range are starting to drop out of the work force, dropping from 74.2% to 66%, self-employed workers increased from 7.6% to 8.8% (Figure 2.5).

We have already noted that older workers are likely to be pushed into self-employment by being labelled redundant during recessions or periods of corporate trimming, however many mature workers have also built up experience and the wealth required to set up their own business. Cahil, Giandrea, & Quinn, (2013) notes that the latest evidence confirms that self-employment continues to be an important pathway to retirement even during recessionary times. As such, there are probably push and pull factors that contribute to the rise of older workers strong showing in the rate of self-employment in Figure 2.6.

We also don't see a dramatic drop off in self-employment for workers over 60 years of age, the way we do for the employed which drop by some 40 percentage points in the case of FNA workers from 66% to 26.6%.

Figure 2.6: Rate of First Nations and non-Aboriginal Self-employed and Employees Across Canada - 60 Years Of Age And Over, NHS 2011

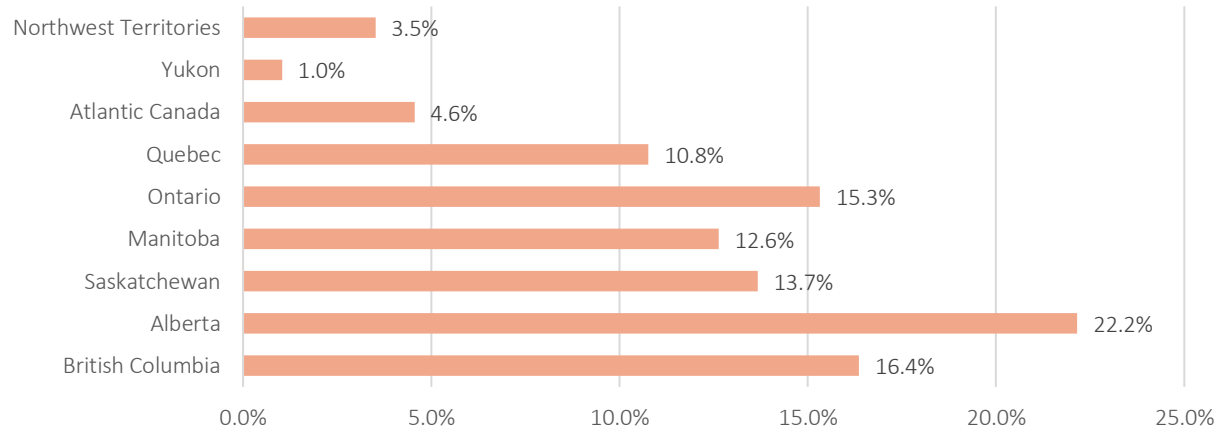
In 2015, Statistics Canada reported that the number of unincorporated self-employed workers still remained high, with more than 1.5 million Canadians or nine per cent of the total workforce in 2014 registered as unincorporated self-employed people.[11] Private sector economists have questioned Canada's continued high level of self-employment, saying that the numbers reflect weakness in labour markets or hidden unemployment. A higher proportion of older workers opt for self-employment or are forced into it. Among workers aged 45 to 64, anywhere from 16 to 22 per cent of people were still self-employed (Figure 2.4). This may reflect the undue impact of layoffs on older workers, who have greater difficulty finding work, the report said. But it also may be the result of these people having the skills and experience needed to begin a business on their own.

[11] CBC News Posted: Oct 08, 2015 3:17 PM ET Last Updated: Oct 08, 2015 4:24 PM ET

2.3 Aboriginal Language Survival

Self-employed workers of First Nation Ancestry who work in an Aboriginal language represent only 3.2% of all self-employed First Nation Ancestry workers in Canada. This is considerably lower than the 17.2% of the population of Aboriginal identity living in private households who declared they could speak an Aboriginal language in 2011, indicating that there is a higher level of linguistic assimilation among this class of workers.

Figure 2.7: First Nation Self-employed Workers as a Percentage of All FNA SE workers who can speak an Aboriginal Language by Province/Territory



Of the 2,400 Aboriginal language speakers who were self-employed in Canada, 22.2% were resident in Alberta, followed by 16.4% in British Columbia, and 15.3% in Ontario. Aboriginal language survival in Canada is generally considered to occur in the North and in remote communities (see Figure 2.7). These are communities of late contact with settler society but also places which have limited to highly restricted market economies, meaning that competition for space and resources has been limited. The low rate of language retention among self-employed FNA workers may be attributable to the fact that they commonly Off-Reserve and in closer proximity to urban areas or in industrially active resource hinterlands. In other words, areas of more frequent and earlier contacts and of higher competition for resources. The language of business across Canada, with the exception of Quebec, is English, meaning that Aboriginal language speakers would inevitably have to accommodate English in the workplace, or French in Quebec.[12]

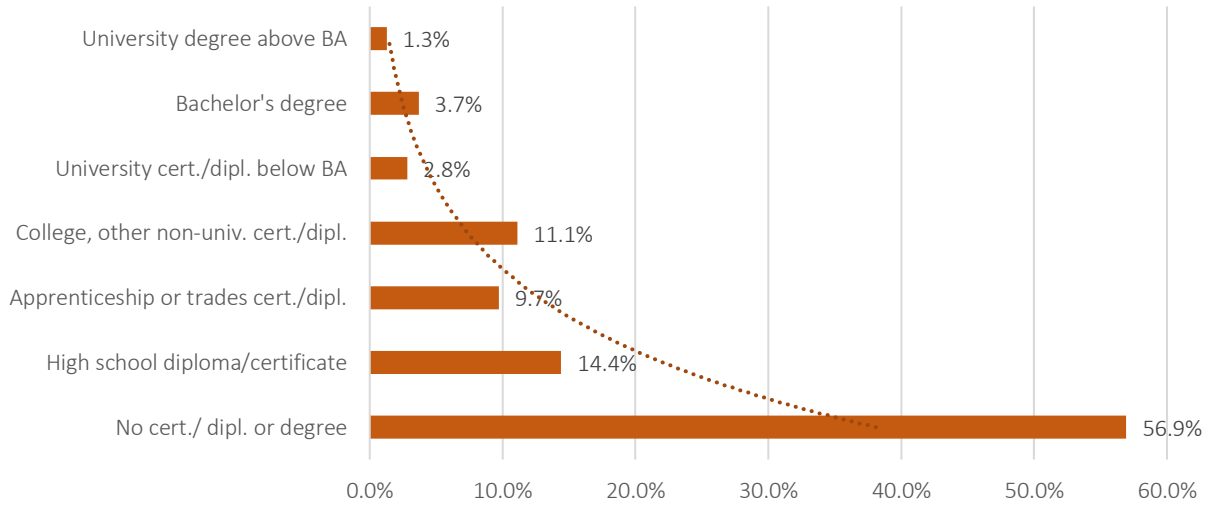
[12] In Quebec only 6.5% of the FNA population only speak English, while 42.1% speak only French, with the remaining 51% declaring the ability to speak both English and French.

Of the Aboriginal languages spoken by self-employed FNA workers the most frequent occurrence was Cree with 955 speakers, followed by Ojibway at 400, Dene at 115 along with 85 workers speaking Mi'kmaq. Another 510 workers were listed as "other Aboriginal languages" in 2011.

First Nation Ancestry Language Survival by Education Attainment Canada, 2011:

We can also capture the relationship between language survival and educational attainment for employee and Self-employed workers of First Nations Ancestry. It is apparent that higher levels of educational attainment for the FNA workforce equates with a reduction of Aboriginal language maintenance as shown in Figure 2.8.

Figure 2.8 Frequency of Aboriginal Speakers of First Nation Ancestry by Educational Attainment, Total Class of Workers in Canada, 2011



Effectively, the higher the educational attainment among FNA workers the less likely they will know or have managed to maintain an Aboriginal language capability. The logic here is probably related to geography, which we can not capture at the scale required to test the hypothesis. We can assume that those FNA workers who are least likely to have acquired a high school diploma probably live On-Reserve or in remote communities where traditional cultural practices such as the knowledge of an Aboriginal language has survived. In contrast, those workers most likely to have gone to university, whether of not they earned a degree, are more likely to have been raised away from the Reserve, or in communities in closer proximity to urban centres and/or to have been raised in those western cities, probably distant

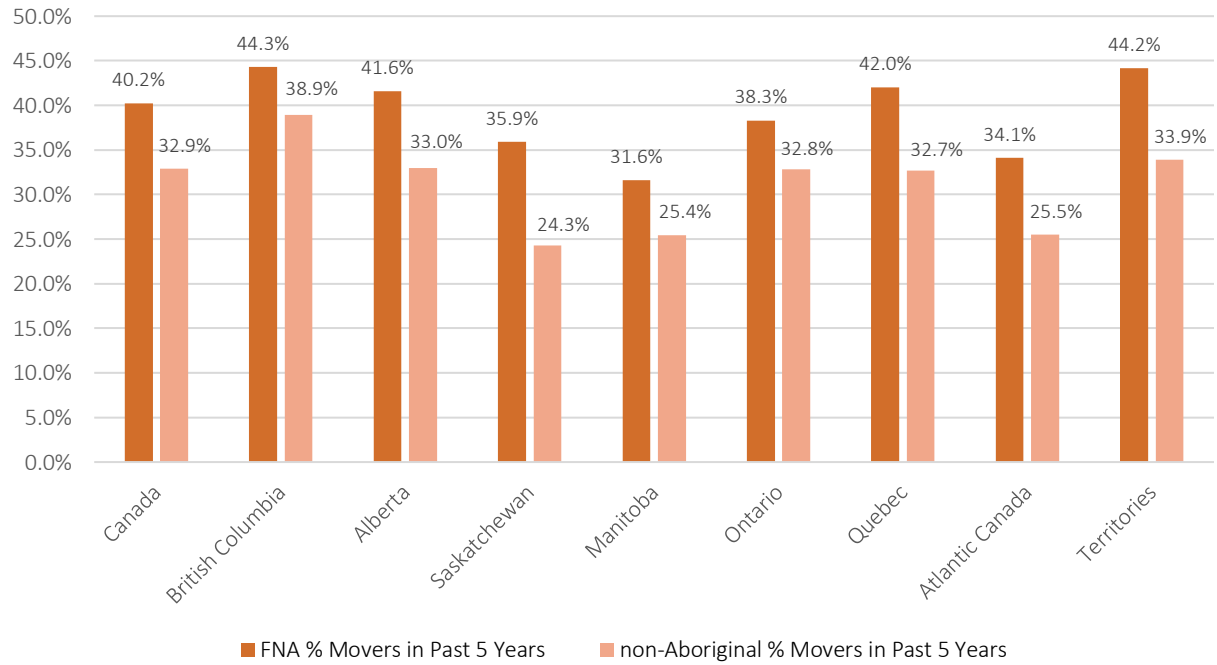
from traditional cultural practices. What is also of concern, is the future survival of Aboriginal languages if they best educated workers in the FNA community have such as weak link to their traditional language.

2.4 Mobility

There is an apparent difference in the Mobility metrics between self-employed workers of First Nation Ancestry and the non-Aboriginal worker population, with FNA self-employed workers demonstrating higher levels of mobility than non-Aboriginal SE workers. One weakness of this metric is that the Census measures an individual's move in this case and that could include moving a business or not, the self-employed worker may only have started their new business after relocating, we just can't be sure without accessing Canada Revenue Agency or Survey of Labour and Income Dynamics (SLID) databases. Mobility could have both negative and positive impacts on self-employed workers. For example, moving suggests the ability to move to work opportunities as required, however, having to relocate a business costs money and suggests an inability to be successful in the previous market.

Figure 2.9 indicates that FNA self-employed workers are more likely to have moved in the past 5 years than members of the non-Aboriginal workforce by a rate of 40.2% compared to 32.9% across Canada, based on a total number of First Nation Ancestry self-employed workers who moved of 18,635. Of this

Figure 2.9: Comparative Analysis of Percenatage of Self-employed Workers FNA compared to non-Aboriginal who moved in the past 5 years



total, only 775 workers were living On-Reserve, or 4.2%. In each province and in the territories, the mobility rates are higher for First Nation workers, with the largest differences being in Saskatchewan at 11.6 percentage points followed by the Territories at 10.3 percentage points. The highest mobility rate for both FNA and non-Aboriginal workers though was British Columbia, with 44.3% of its Self-employed FNA workers moving in the five-year period compared to the equally high 38.9% of the non-Aboriginal workers, essentially leading the nation in worker mobility.

3. LAND TENURE AND FIRST NATIONS SELF-EMPLOYMENT

Access to capital is an essential aspect of maintaining the ability to sustain one's self throughout self-employment, the ability to acquire credit to bid on, and to carry the costs of contracting – all are an essential component of the business process. As noted by Hernando de Soto (2000: 49-62), the fixing of the economic potential of assets is a core foundation to Western capitalism. It is a key foundation upon which wealth is built. However, across Canada First Nations people have a more limited access to home ownership due to the constraints of the *Indian Act* land reserve system, which effectively mirrors developing nations' land ownership models and access to land title problems (ibid). The example here, which translates directly to home ownership, the holding of land title and value associated with home-ownership, represents a foundational instrument by which businesses can secure credit and begin to build wealth.

Tenure:

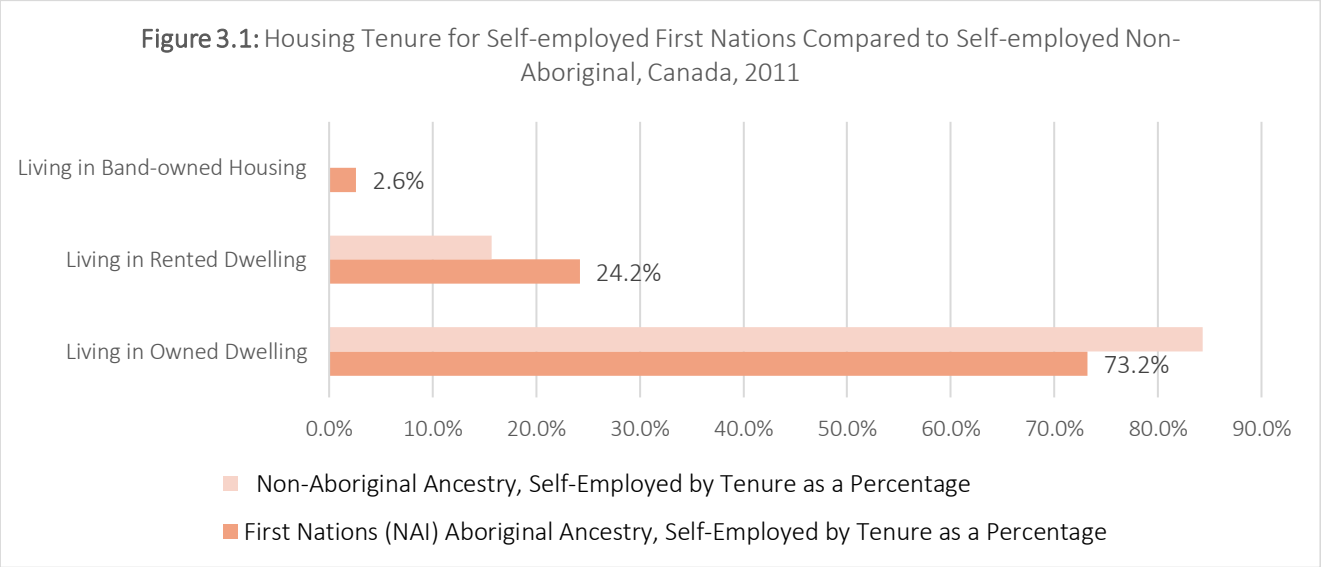
Tenure refers to whether the household owns or rents the private dwelling in which they reside.[13] The private dwelling may be situated on rented or leased land or be part of a condominium or apartment complex. A household is considered to own their dwelling if any member of the household owns the dwelling, even if it is not fully paid for. For example, if there is a mortgage or some other claim on the dwelling. A household is considered to rent their dwelling if no member of the household owns the dwelling, if the dwelling is provided without cash rent or at a reduced rate, or if the dwelling is part of a cooperative.[14]

Private Household:

Private household refer to a person or group of persons who occupy the same dwelling and do not have a usual place of residence elsewhere in Canada or abroad. The household spectrum is divided by classification whether the household is occupying a collective dwelling or a private dwelling. In this Canada, 73.2% of self-employed workers of First Nations Ancestry owned their own home in 2011, while 26.8% were renting their dwelling or living in Band-owned housing. This is 11.1 percentage points lower than self-employed non-Aboriginal workers, of whom 84.3% owned their own dwelling with only 15.7% were renters (see Figure 3.1). What this entails is that First Nations self-employed individuals are less likely than non-

[13] This section deals with tenure only, and given the Statistics Canada data available, the value of the home or regional differences in housing markets and living costs across Canada cannot be accounted for.
[14] Statistics Canada Dictionary: http://www.statcan.gc.ca/eng/concepts/definitions/privdwel

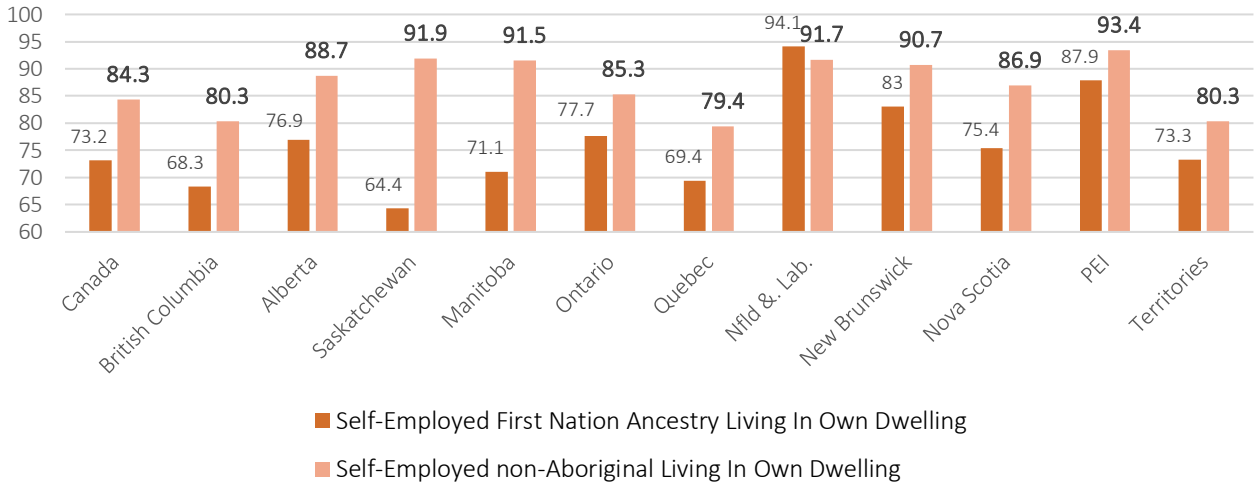
Aboriginal self-employed workers to have access to the capital and credit security for their businesses that becomes available from home ownership. This places First Nation workers at a disadvantage when bidding on contracts which require access to capital for bridge financing, investments in technology, or labour.



Home ownership among FNA self-employed workers, however, is much higher at 73.4% than the rate associated with FNA employee home ownership (57.3%). Additionally, 32.5% of FNA employees live in rented dwellings and 10.3% in Band-owned housing. Evidently, self-employed equates with greater access to capital and the opportunity to move into the home ownership market within the FNA population.

Across Canada, self-employed FNA workers have more limited access to capital based on the metric of home ownership, the lone exception being Newfoundland and Labrador where both a small population size and a "lack" of Reserves greatly alters the comparability of the data across jurisdictions (Figure 3.2 and Table 3.1).

Figure 3.2: Housing Tenure of Self-employed Worker First Nation Ancestry compared to non-Aboriginal, Canada 2011



The FNA self-employed workforce has the greatest difference in their rate of home ownership compared to non-Aboriginal self-employed workers in the Prairies than anywhere else in Canada. In the Prairies, we see rates as high as 27.5% in Saskatchewan and 20.4% in Manitoba. In comparison, FNA self-employed workers appear to have begun to "close the gap" between themselves and the non-Aboriginal self-employed workforce in Prince Edward Island (5.5 percentage points lower), Ontario (7.6 percentage points lower), New Brunswick (7.7 percentage points)

Table 3.1: Self-employed First Nations Ancestry Workers Home-ownership compared to non-Aboriginal Canadian Self-employed workers

Geography	Self-employed First Nation Ancestry Living in Own Dwelling as a %	Self-employed non-Aboriginal Living in Own Dwelling as a %	Difference Non-Aboriginal compared to FNA (percentage points)
Canada	73.2%	84.3%	11.1
British Columbia	68.3%	80.3%	12
Alberta	76.9%	88.7%	11.8
Saskatchewan	64.4%	91.9%	27.5
Manitoba	71.1%	91.5%	20.4
Ontario	77.7%	85.3%	7.6
Quebec	69.4%	79.4%	10
Nfld. &. Lab.	94.1%	91.7%	-2.4
New Brunswick	83%	90.7%	7.7
Nova Scotia	75.4%	86.9%	11.5
PEI	87.9%	93.4%	5.5
Territories	73.3%	80.3%	7

and the Territories (7 percentage points). Compared to the Canadian average for FNA self-employed ownership of 73.2%, this report shows that Quebec (at 69.4%), British Columbia (at 68.3%), and Saskatchewan (at 64.4%) have rates of home ownership that are considerably lower than the national average, while FNA self-employed workers in Ontario, Alberta, and across Atlantic Canada have rates that exceed the national average.

This report also assesses the level of home ownership among self-employed workers of FNA living on- and Off-Reserve (Table 3.2). With the exception of British Columbia, the vast majority, upwards of 95% or more of the self-employed FNA workforce who own their own homes do so Off-Reserve. British Columbia appears to be the anomaly with 10.4%, or twice the national level, of its self-employed FNA workforce being located On-Reserve *and* in an owned dwelling. They key here is that as these are owned dwellings, they represent an investment for the self-employed homeowner, one that could essentially be used as collateral in a business. However, the clear majority of self-employed FNA homeowners live Off-Reserve, as the national trend shows. This is most plausibly both a factor of economic opportunity (given the poor socio-economic conditions and remote nature of many of Canada's Reserves) and of choice, insomuch that On-Reserve home ownership has major land tenure challenges which restrict traditional bank mortgaging conditions.

Table 3.2 Canada and Provinces, Self-employed FNA, 2011 Living in Own Dwelling On or Off-Reserve

Geography	Percentage Living On-Reserve	Percentage Living Off-Reserve
Canada	5%	95%
British Columbia	10.40%	89.60%
Alberta	2.10%	97.90%
Saskatchewan	5.10%	94.90%
Manitoba	4.50%	95.50%
Ontario	1.80%	98.20%
Quebec	1.40%	98.60%
Atlantic Canada	1.80%	98.20%

Table 3.3 Canada and Provinces, Self-employed FNA, 2011 Living in Rented Dwelling

Geography	Percentage Living On- Reserve	Percentage Living Off-Reserve
Canada	2.5%	97.5%
British Columbia	3.6%	96.4%
Alberta	0.9%	99.6%
Saskatchewan	5.2%	94.8%
Manitoba	5.3%	94.7%
Ontario	3.8%	96.2%
Quebec	0.9%	99.3%
Atlantic Canada	2.3%	96.6%

The situation is almost identical for the location of self-employed FNA workers living in rental dwellings with 97.5% of this cohort doing so Off-Reserve (Table 3.3). Only in Saskatchewan and Manitoba does any minor deviation from the national average become apparent, with the percentage of self-employed FNA workers living in rental housing On-Reserve rising to just over 5%, or double the national average. Evidently, the self-employed FNA workforce gravitates toward Off-Reserve dwelling opportunities, whether that be as home owners or as renters.

In review of the dataset for self-employed FNA workers living in Band-owned housing (On-Reserve), it can be seen that the base population drops to only 1,320 workers nationwide. The highest percentage of these are in Saskatchewan at 22.7% of the national total, followed by Alberta at 20.8%. As demonstrated in Table 3.4, very few self- employed workers of FNA live On-Reserve across Canada (only 3,180), with 41.5% of this living in Band-owned housing. This shows a strong correlation between the likelihood of FNA self-employed individuals to live in Band-owned housing if they do choose to live On-Reserve.

Table 3.4 Canada and Provinces, Self-employed FNA, 2011 Living in Band-owned Dwellings

Geography	Number of Self-employed FNA living On-Reserve in Band-owned dwellings (n = 3,180)	Percentage of Self-employed FNA living On-Reserve in Band-owned dwellings in Canada
Canada	1,320	(41.5%)
British Columbia	150	11.4%
Alberta	275	20.8%
Saskatchewan	300	22.7%
Manitoba	160	12.1%
Ontario	100	7.6%
Quebec	135	10.2%
Atlantic Canada	75	5.7%

4. FIRST NATIONS SELF-EMPLOYMENT AND OCCUPATIONAL CLASSIFICATIONS IN CANADA

The National Occupational Classification (NOC) is jointly released by Statistics Canada and Employment and Social Development Canada (ESDC). This report utilizes NOC, 2011 which is the authoritative resource on occupational information in Canada. Due to the small number of self-employed workers of First Nations Ancestry recorded in the 2011 NHS, this report is restricted to using the single digit NOC categories as follows:

0 Management occupation
1 Business, finance, and administration
2 Natural and applied sciences and related occupations
3 Health occupations
4 Occupations in education, law and social, community and government services
5 Occupation in art, culture, recreation, and sports
6 Sales and service occupations
7 Traders, transport and equipment operators and related occupations
8 Natural resources, agriculture, and related production occupations
9 Occupations in manufacturing and utilities

NOC provides a systematic classification structure that categorize the entire range of occupational activity in Canada. Detailed occupations are identified and grouped primarily according to the work performed, as determined by the tasks, duties, and responsibilities of the occupation. This section of the report compares First Nations Ancestry self-employment against non-Aboriginal self-employment by the ten NOC single digit categories. There is

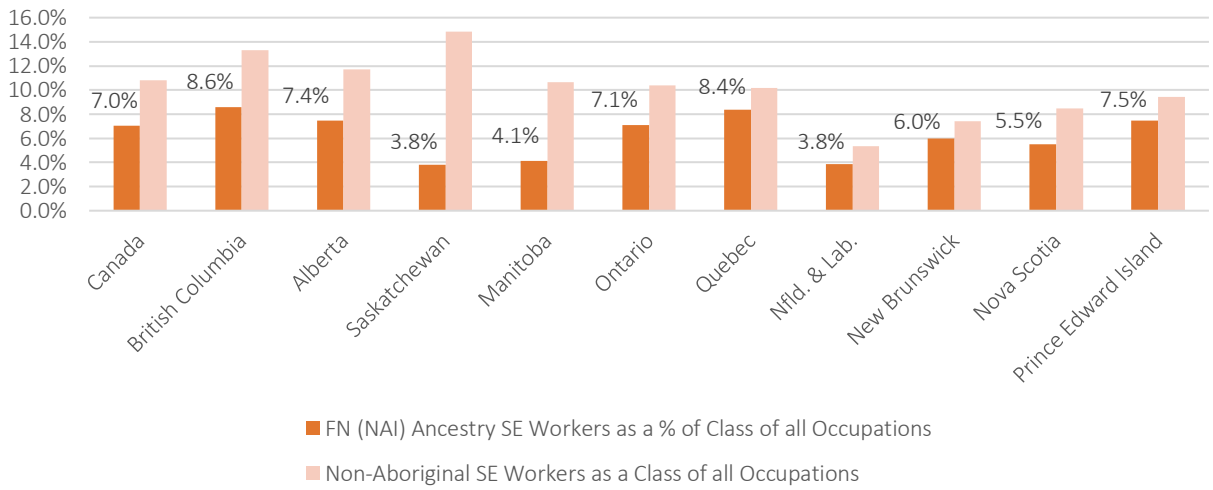
Table 4.1: Comparison of Distribution of People of First Nation Ancestry to First Nation Self-employment by Province

Provinces & Territories	People of First Nations Ancestry			
	population number	percentage distribution	Self-employed number	percentage distribution
Newfoundland & Labrador	22,970	2.3%	590	1.3%
Prince Edward Island	2,675	0.3%	160	0.3%
Nova Scotia	31,230	3.2%	1,200	2.6%
New Brunswick	24,015	2.4%	995	2.1%
Quebec	200,390	20.3%	11,960	25.8%
Ontario	256,375	25.9%	12,380	26.8%
Manitoba	84,525	8.6%	1,870	4.0%
Saskatchewan	77,570	7.8%	1,670	3.6%
Alberta	121,890	12.3%	6,180	13.4%
British Columbia	150,540	15.2%	8,765	18.9%
Yukon	5,470	0.6%	290	0.6%
Northwest Terr.	10,700	1.1%	220	0.5%
Nunavut (to small to report)	N/A	N/A	N/A	N/A
Canada	**988,350**	**100.0%**	**46,280**	**100.0%**

generally considered to be a strong correlation between occupation and education as well as between occupation and income (See Chapter 6]) in the Canadian labour market and at the Provincial/Regional levels, as data thresholds allow.

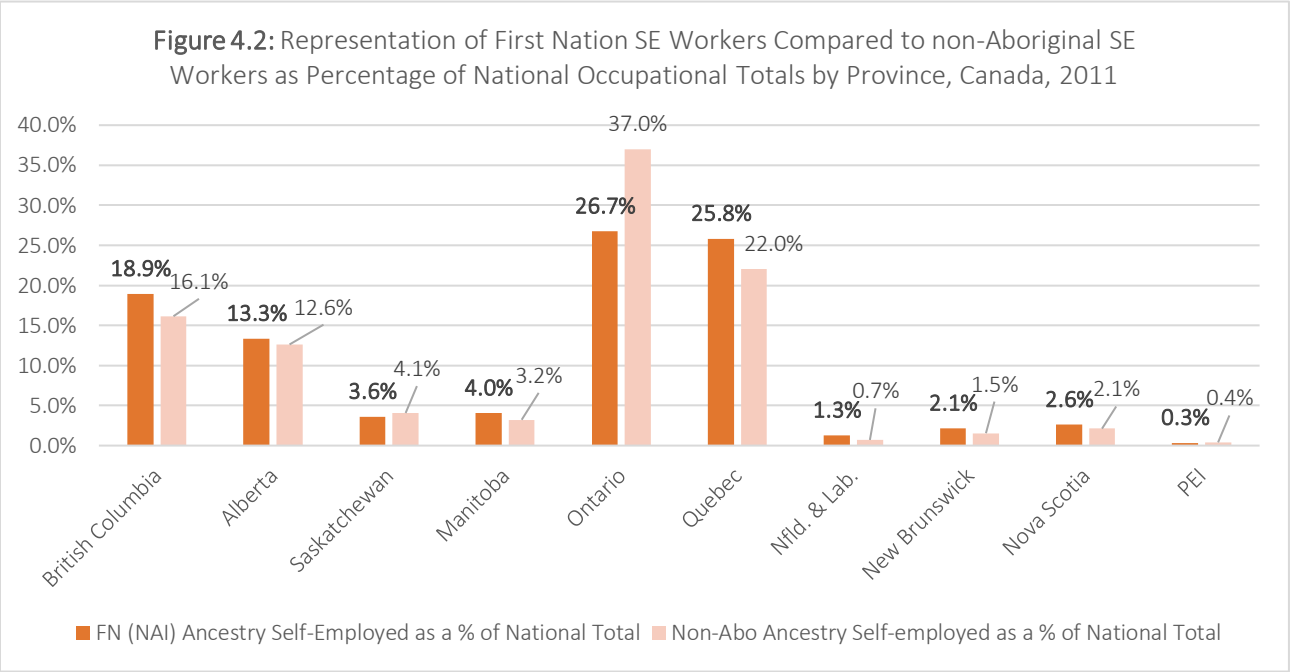
Self-employed FNA workers are most heavily concentrated in central Canada, with 26.7% of all self-employed FNA workers in Ontario, followed by 25.8% in Quebec (Figure 4.1 and Table 4.1). This represents 52.5% of the self-employed workers of First Nations Ancestry across Canada. However, only 46.2% of Canada's FNA population live in these two provinces, meaning that FNA self-employment is overrepresented in central Canada, especially in Quebec.

Figure 4.1: Self-employed First Nation workers compared to non-Aboriginal, by Occupation, Canada and Provinces, 2011



In British Columbia, we see an overrepresentation of self-employed FNA workers at 18.9%, while their percentage of the national FNA population comes in at 15.2% (Figure 4.2). Alberta at 13.3% is the fourth largest FNA self-employment populace which is fairly, representative of their percentage of the national population which stood at 12.3% in 2011. In contrast, Manitoba at 4% and Saskatchewan at only 3.6% are considerably underrepresented when compared to their percentage of the FNA population which stood at 8.6% and 7.8% respectively. In Atlantic Canada, with its small FNA population, self-employed workers are slightly underrepresented at 7.3% of the national total compared to 8.2% of the national FNA population. For this section we cannot address Nunavut as there is insufficient data. However, in the Yukon self-employed FNA appear to mirror the distribution of the national population with both being 0.6%, while in the Northwest Territories the self-employed FNA population stood at only 0.5% of the national total

although the Territory's FNA population was 1.2%. Evidently, years of active diamond mining in the Northwest Territories have done little to generate self-employment opportunities for the FNA population, as measured by the NHS category of self-employment.



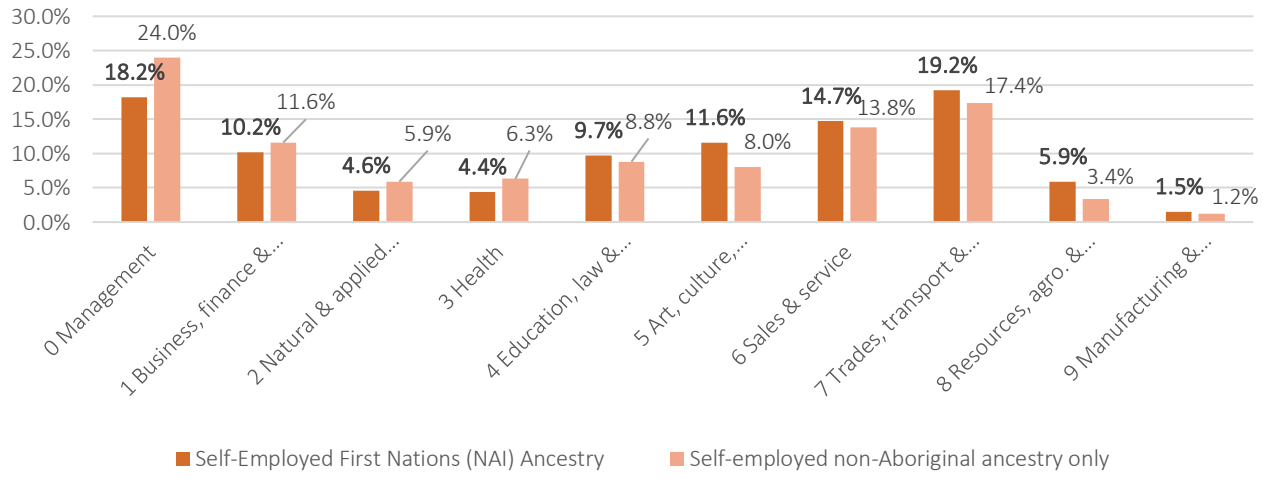
As shown in Table 4.2, FNA self-employed workers are underrepresented in the key higher income earning categories of management, business and finance, natural and applied sciences, and in occupations related to health when compared to non-Aboriginal self-employed workers. They are however more equally represented in the higher paying fields of education, law, and government and community services occupations (average annual income $48,200) and in the trades and transportation sector (average annual income $43,300). Self-employed FNA workers are however overrepresented in the three lowest income occupational categories of natural resources (average annual income $32,100), arts and culture (average annual income $28,670), and sale and services (average annual income $23,600), with 39.8% of all self-employed FNA workers being in these three categories while only 22.6% are in the two highest income by occupation categories of management (annual average income $78,400) and natural and applied sciences (average annual income $65,500). In contrast, almost 30% of the non-Aboriginal self-employed workforce is within these two highest income categories (see Figure 4.3).

Table 4.2: Employment Income Statistics in 2010, Work Activity in 2010 Occupation - National Occupational Classification (NOC) 2011 for the Population Aged 15 Years and Over in Private Households of Canada, the Provinces, and Territories, 2011 NHS

Occupation - National Occupational Classification (NOC) 2011	Average wages and salaries [1]	FNA Over or Under Represented
Total - Occupation - National Occupational Classification (NOC) 2011	$ 42,445.00	N/A
All occupations [2]	$ 43,994.00	N/A
0 Management occupations	$ 78,439.00	Under
1 Business, finance, and administration occupations	$ 43,403.00	Under
2 Natural and applied sciences and related occupations	$ 65,520.00	Under
3 Health occupations	$ 49,676.00	Under
4 Occupations in education, law and social, community and government services	$ 48,195.00	Over
5 Occupations in art, culture, recreation, and sport	$ 28,668.00	Over
6 Sales and service occupations	$ 23,553.00	Over
7 Trades, transport and equipment operators and related occupations	$ 43,306.00	Over
8 Natural resources, agriculture, and related production occupations	$ 32,064.00	Over
9 Occupations in manufacturing and utilities	$ 39,425.00	Over

[1] For population with wages and salaries.
[2] All occupations: Experienced population refers to persons who, during the week of Sunday, May 01 to Saturday, May 07, 2011, were employed and persons 15 years and over (unemployed or not in the labour force) who had last worked for pay or in Self-employment in either 2010 or 2011

Figure 4.3: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Canada, 2011



Finally, while the tendency is to stress difference between the two populations when reviewing self-employed workers' occupations, there are also instances of commonality. For example, when ranking FNA and non-Aboriginal self-employed workers at the national scale by occupation, it can be seen that there is no significant difference in the types of occupations that the two populations gravitate towards (Table 4.3), although there is some magnitude of difference in the percentage of workers in each category.

Table 4.3: The Ranking of Self-employed Workers Occupations Compared, NHS 2011

Canada, 2011, NHS Occupations of Self-employed Workers in Canada	First Nations Ancestry Occupations by Rank Order	Non-Aboriginal Ancestry Occupation by Rank Order	Difference in Rank Order
0 Management occupations	5	5	0
1 Business, finance and administration occupations	3	3	0
2 Natural and applied sciences and related occupations	7	6	1
3 Health occupations	6	7	1
4 Occupations in education, law and social, community and government services	4	4	0
5 Occupations in art, culture, recreation, and sport	10	9	1
6 Sales and service occupations	1	1	0
7 Trades, transport and equipment operators and related occupations	2	2	0
8 Natural resources, agriculture and related production occupations	8	10	2
9 Occupations in manufacturing and utilities	9	8	1

4.1 Provincial Breakouts for FNA Self-Employed Workers, 2011

British Columbia:

In British Columbia, self-employed workers of First Nations Ancestry are underrepresented across the total of all occupations when compared to the non-Aboriginal self-employed labour force with 8.6% of FNA workers being self-employed compared to 13.3% for non-Aboriginal workers (Figure 4.4). These FNA workers are also underrepresented in the key higher paying management and business, finance and administration categories at 14.8% compared to 20.5% for non-Aboriginal workers and 9.2% compared to 13% respectively. FNA self-employed workers are more likely to be found in the trades, transport, and equipment operator category at 20.7%, in sales and services at 14.8%, and in arts, culture, and recreation at 13.3%. In each of these categories, this cohort is overrepresented compared to the non-Aboriginal workforce. These occupations generally require low levels of educational attainment or specialized training. It should also be noted that in the resource sector the self-employed FNA population in British Columbia is overrepresented at 7.4%, more than twice the level of representation for non-Aboriginal self-

employed workers. These are again lower paying employment opportunities which occur in the hinterland regions where many First Nations communities are located. Finally, while the FNA self-employed population is small, they are overrepresented in the manufacturing and utilities sector in British Columbia, a trend that is also seen in Ontario, Quebec, and Atlantic Canada.

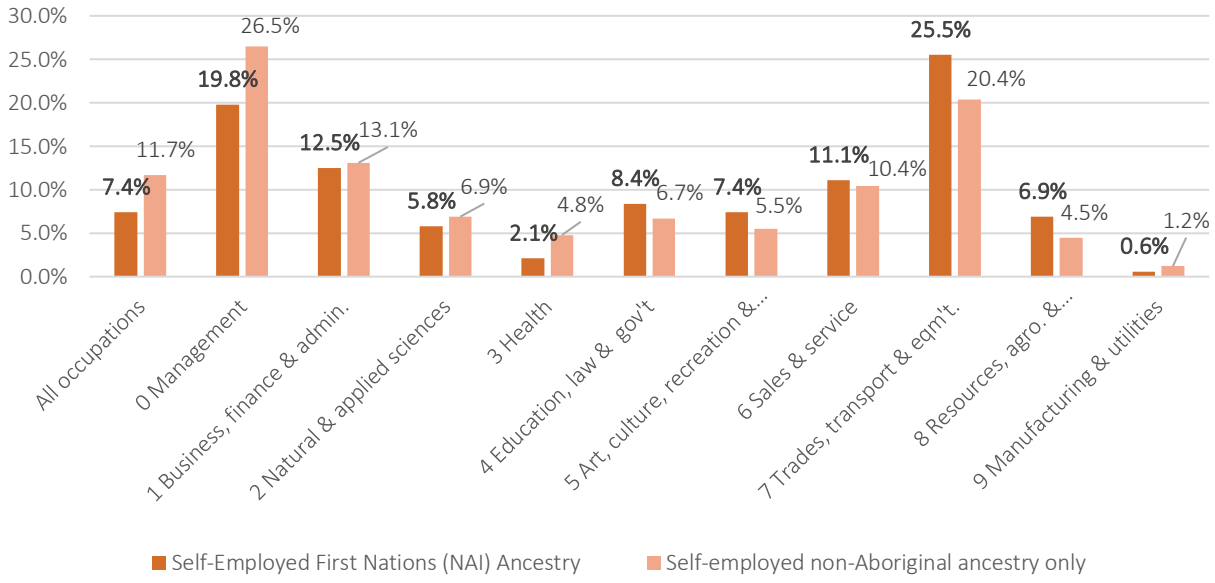
Figure 4.4: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers by Occupation, British Columbia, 2011

Alberta:

In Alberta, it can again be seen that FNA self-employed workers are underrepresented across total occupations when compared to the non-Aboriginal self-employed labour force, with 7.4% of FNA workers being self-employed compared to 11.7% for non-Aboriginal workers (Figure 4.5). Alberta's FNA self-employed workers are also underrepresented in the key higher paying management category, but less so in the business and finance category at 19.8% compared to 26.5% for non-Aboriginal workers and 12.5% compared to 13.1% respectively. FNA self-employed workers are more likely to be found in the trades, transport and equipment operator category at 25.5%, in sales and services at 11.1%, and in education, law, and government and community services at 8.4%. In each of these categories, FNA self-employed individuals are overrepresented compared to the non-Aboriginal workforce. The trades and sales occupations generally require lower levels of educational attainment or specialized training. Given

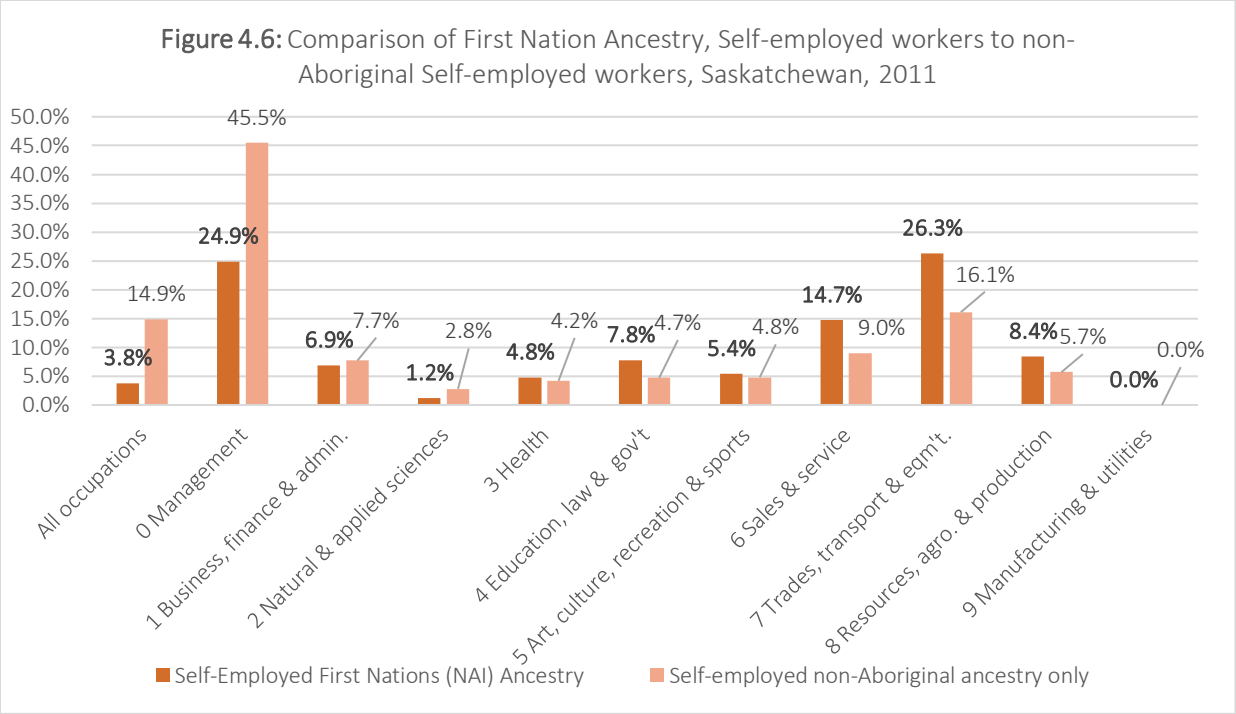
the nature of Alberta's resource-based economy and with its extensive oil production, ranching, and farming activity, it seems that the low level of self-employment in this sector (for both populations) is rather unexpected. Indeed, Alberta's self-employed workers in this sector are less frequent than those of British Columbia, Saskatchewan, Manitoba, and Atlantic Canada.

Figure 4.5: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers by Occupation, Alberta, 2011



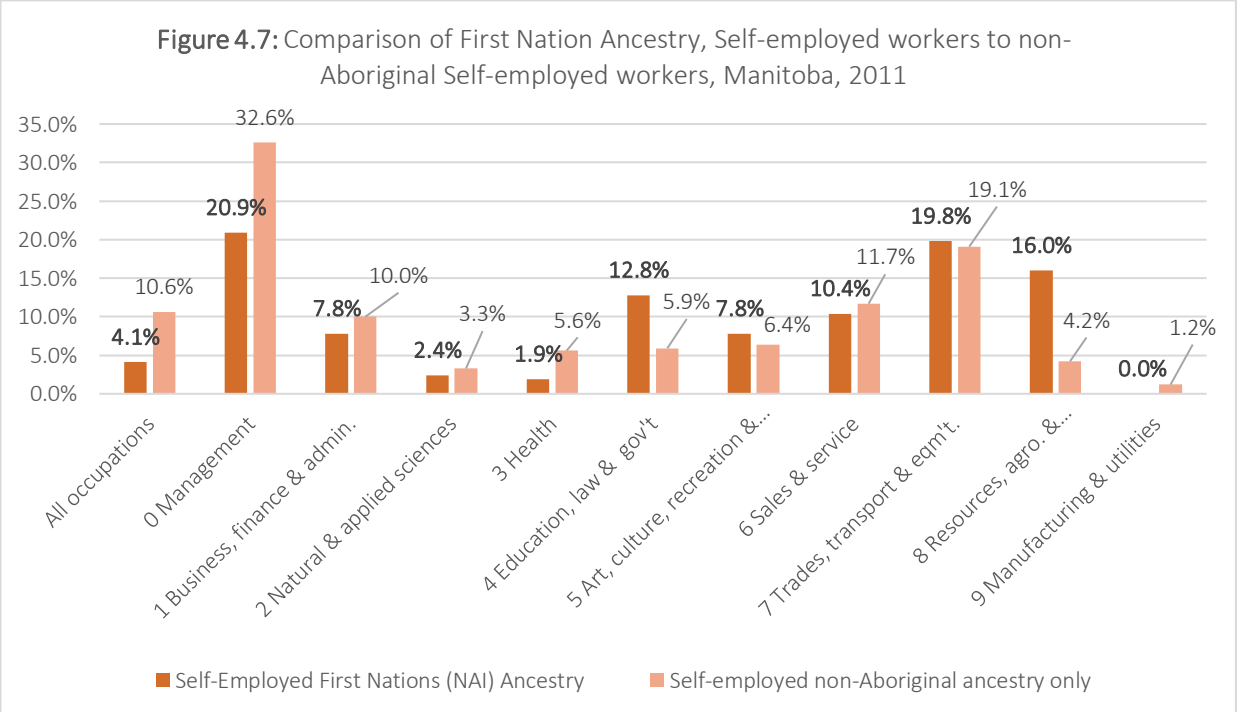
Saskatchewan:

In Saskatchewan, FNA self-employed workers are *highly* underrepresented compared to the non-Aboriginal self-employed workforce at 3.8% compared to 14.9% (Figure 4.6). This is the greatest disparity in Canada at the provincial level. Once again, FNA self-employment is underrepresented in management occupations at 24.9% compared to 45.5% for non-Aboriginal workers and overrepresented in trades and transportation, sales and services, and resources occupational sectors. While health only represents 4.8% of the FNA self-employed population, they are overrepresented compared to the non-Aboriginal labour force, suggesting that FNA self-employed workers have made inroads to this higher paying sector of the economy. As in Alberta, FNA self-employed workers seem to have also made inroads into another well-paying sector –education, law and government and community services – representing 7.8% of the labour force compared to 4.7% for non-Aboriginal workers.



Manitoba:

In Manitoba, self-employed FNA workers represent only 4.1% of the FNA workforce, but that non-Aboriginal self-employed workers account for 10.6% of the provincial labour force (Figure 4.7). FNA self-employed workers are underrepresented in management, in business and finance, and in health – all

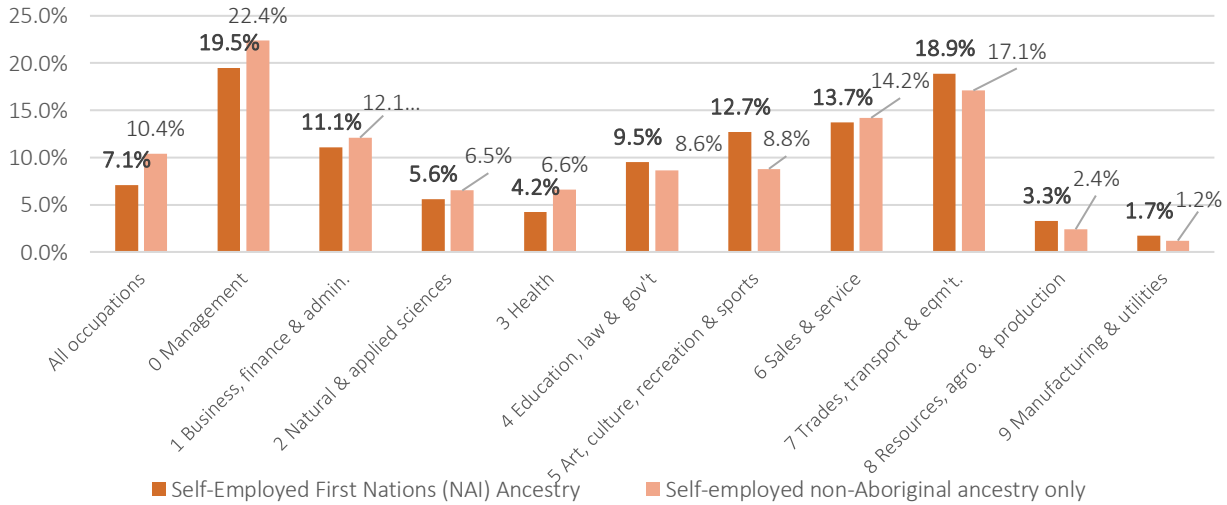


higher paying occupations. However, there is little difference in representation of each group in sales and services and in transportation and trades, two occupation sectors that are usually overrepresented with FNA workers. FNA self-employed workers are however highly over-represented not only in the low paying resources sector, but also in the higher paying education, law, and government services sector at 16% and 12.8% compared to only 4.2% and 5.9% respectively for non-Aboriginal self-employed workers.

Ontario:

Self-employed FNA workers in Ontario represent 7.1% of all FNA workers compared to 10.4% for non-Aboriginal self-employed workers, continuing the pattern of underrepresentation (Figure 4.8). However, in Ontario the difference between the rate of self-employed FNA and non-Aboriginal self-employed workers in the management category is just under three percent, while the difference between the two groups in the business and finance sector is only one percent. FNA self-employed workers are also better represented in the higher paying fields of natural and applied sciences at 5.6% compared to 6.5% for non-Aboriginal self-employed workers, while they are overrepresented in the law, education, and government services sector, suggesting that FNA self-employed workers are gaining ground in Ontario's higher paying sectors. Indeed, non-Aboriginal self-employed workers are overrepresented in the lower-paying sales and services sector and there is less than two percentage point difference between the two groups in the trades and transportation, where FNA self-employed workers are often overrepresented. FNA self-employed workers in Ontario do however gravitate to business activity in the arts, culture, recreation, and sports more so than their non-Aboriginal counterparts at a rate of 12.7% compared to 8.8%.

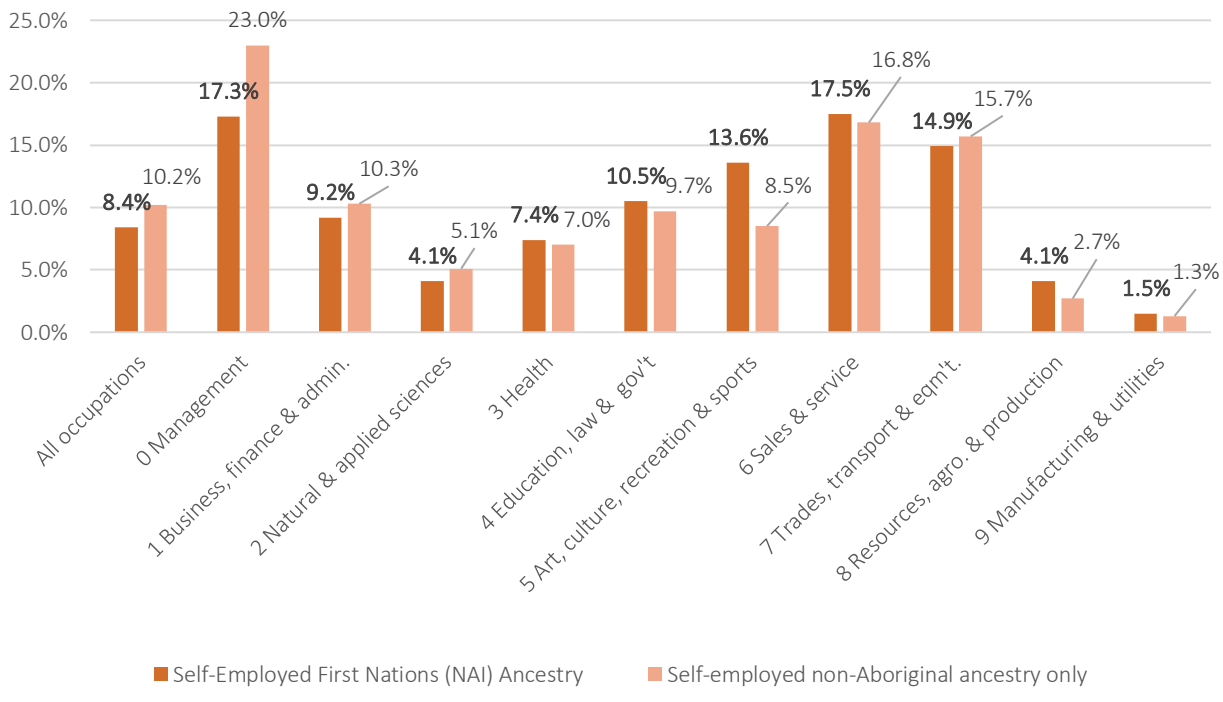
Figure 4.8: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Ontario, 2011



Quebec:

In Quebec, FNA self-employed workers represent 8.4% of the FNA workforce while 10.2% of the non-Aboriginal workforce were self-employed in 2011 (Figure 4.9). As in most provinces, FNA workers are underrepresented in the management occupations at 17.3% compared to 23% for non-Aboriginal self-employed workers. However, FNA self-employed workers are not generally underrepresented in the higher-paying sectors of business and finance, natural and applied sciences, nor in health, while they are overrepresented in education, law and government services. As in most of Canada, Quebec FNA self-employed workers are overrepresented in the arts, culture, recreation, and sports sector at 13.6% compared to 8.5% for the non-Aboriginal self-employed workforce. This is first instance where the non-Aboriginal workforce is overrepresented in the trades, transportation, and equipment operator occupations at 15.7% compared to 14.9% for FNA self-employed workers, a trend that will also continue into Atlantic Canada and the Territories.

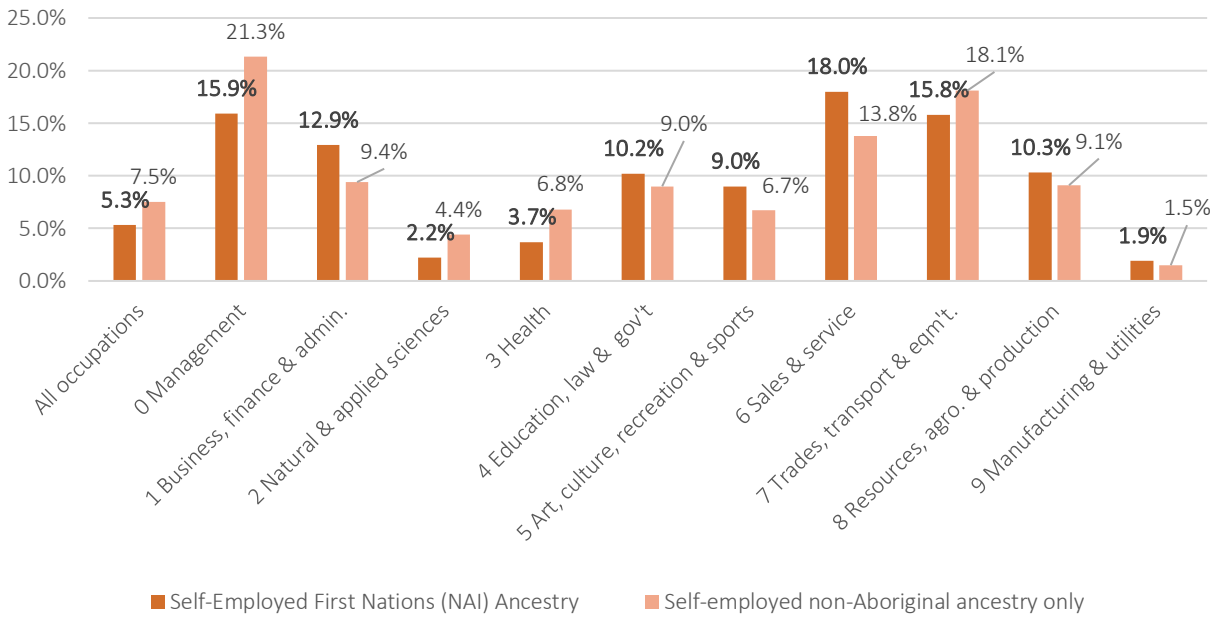
Figure 4.9: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers by Occupation, Quebec, 2011



Atlantic Canada:

Given the small FNA population in Atlantic Canada and the large number of splits available in the occupational data, this report rolls up the four provincial totals for Newfoundland and Labrador, New Brunswick, Nova Scotia, and Prince Edward Island into a regional analysis (Figure 4.10). The pattern is again familiar for FNA self-employed workers in all occupations as well as in management, however, FNA self-employed workers are overrepresented in Business, finance and administrative services – an anomaly when compared to the Canadian average, but again, underrepresented in natural and applied sciences and in health. In Atlantic Canada, FNA self-employed workers are again overrepresented in arts and cultural occupations, in sales and services and in natural resource extraction and production occupations.

Figure 4.10: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Atlantic Canada, 2011



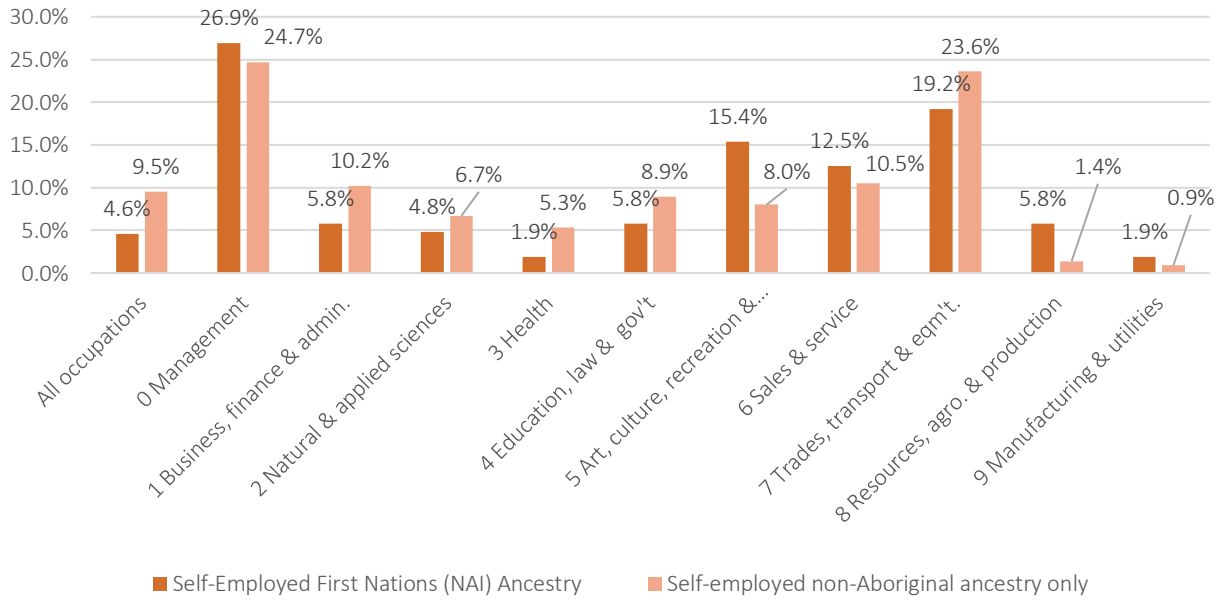
The Territories:

Population size limitations were also an impediment in the Territories, therefore, this section of the report addresses the Territories as one, inclusive of Yukon, Northwest Territories, and Nunavut. However, this section only really considers the Yukon and Northwest Territories as the size of the FNA population in Nunavut is extremely small, at only 300 individuals with only 10 of those listed as self-employed.

In the Territories, self-employed FNA workers are again underrepresented in all occupations, however, this region contains the only instance of overrepresentation in management occupations at 26.9% compares to 24.7% for non-Aboriginal self-employed workers. This instance may be attributable to the strong performance of First Nations Development Corporations in both Yukon and the Northwest Territories and where mining and oil and gas corporations have increasingly been signing Comprehensive Benefit Agreements with First Nations groups.[15] An additional factor on the increasing numbers of management opportunities in First Nation-owned businesses may be the self-governing status of 11 of the 14 First Nations in Yukon through the signing of modern land treaties.

FNA Self-employed workers continue to be underrepresented in Business, Natural Sciences, and Health, as well as in Education and Arts and Culture which runs counter to the national trend. FNA Self-employed workers however continue to be overrepresented in the lower paying Sales and Services occupations, but not in the Trades, Transportation and Equipment Operators, which given the strong mining sector in the Territories and the demand for trucking of goods north, runs counter to expectations as well as the national average.

Figure 4.11: Comparison of First Nation Ancestry, Self-employed workers to non-Aboriginal Self-employed workers, Territories, 2011

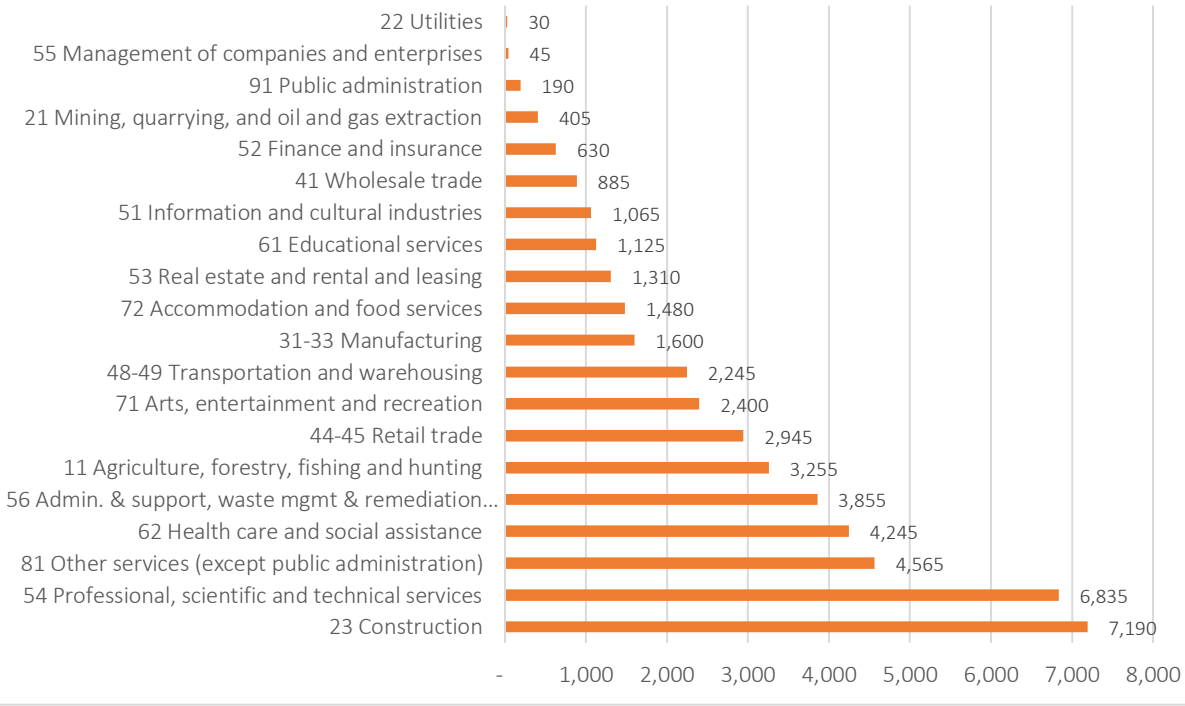


[15] Also commonly referred to as Impact Benefit Agreements; Yukon News Jun 3 2016 – Maura Forrest "First Nations Development Corps looking to invest,"

5. INDUSTRIAL CLASSIFICATIONS AND SELF-EMPLOYED WORKERS IN CANADA, 2011

The North American Industry Classification System (NAICS) is a classification system developed by the statistical agencies of Canada, Mexico, and the United States against the background of the North American Free Trade Agreement (NAFTA). It is designed to provide common definitions of the industrial structure of the three (3) countries and a common statistical framework to facilitate the analysis of the three (3) economies. NAICS is based on supply-side or production-oriented principles, to ensure that industrial data, classified to NAICS, is suitable for the analysis of production-related issues, such as industrial performance. NAICS is a comprehensive system encompassing all economic activities. NAICS has a hierarchical structure – at the highest level, it divides the economy into 20 sectors; at the lower levels, it further distinguishes the different economic activities in which businesses are engaged (Statistics Canada).[16] Statistics Canada codes workers, both Employees and the Self-employed according to this system, based on responses in the National Household Survey, 2011. This information is the basis for this section of the report. At the national

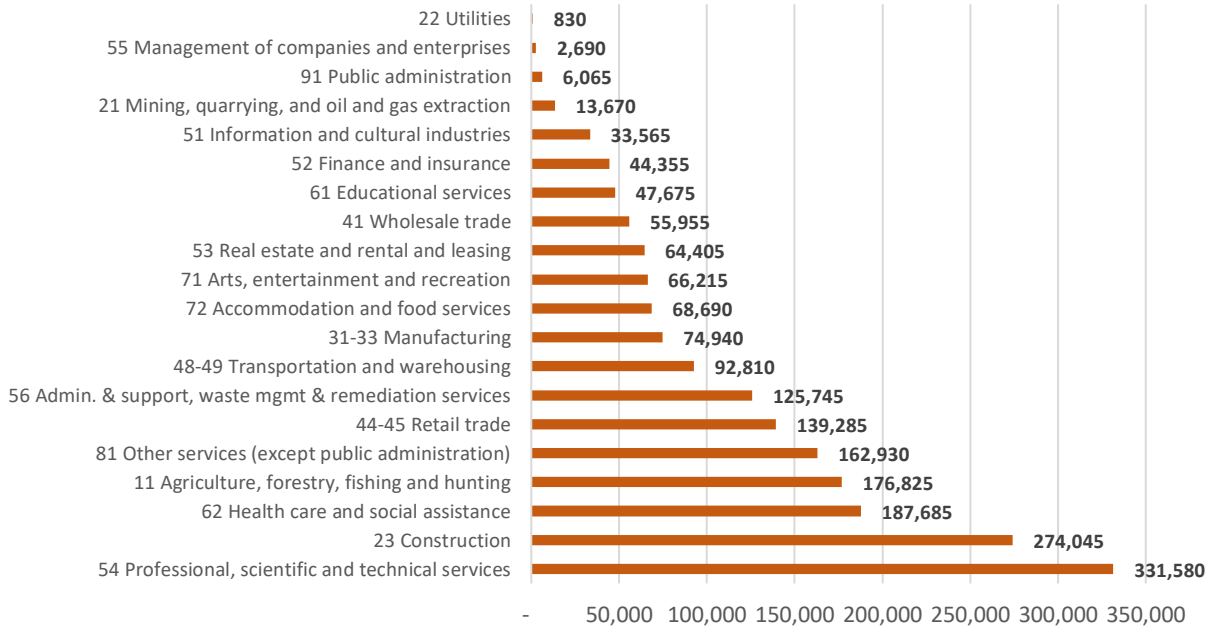
Figure 5.1: Distribution of FNA Self-employed workers by Industry (NAICS), Canada, NHS 2011



[16] Statistics Canada, North American Industrial Classification System, http://www.statcan.gc.ca/pub/12-501-x/12-501-x2007001-eng.pdf

level, there is surprisingly little difference between the breakouts of First Nations Ancestry and non-Aboriginal Self-employed workers beyond that of just vast numerical differences. Indeed, by ranking the 20 categories by each type of worker and then calculating the sum of the difference in rankings between the twenty categories of NAICS codes used in the Census documentation, it shows a difference of only 19. This means that there is no discernible difference between the two groups based on such rankings as seen in Figures 5.1 and 5.2 if we were to input the numbers into a statistical analysis such as a Spearman Rank Correlation.[17]

Figure 5.2: Distribution of Non-Aboriginal SE Workers by Industry (NAICS), NHS 2011



This means that regardless of educational, geographic location, or other factors, Self-employed workers in each group tend to gravitate to specific industries at just around the same frequency across Canada. As such, this report is unable to discuss the two groups with regards to "overrepresentation" and/or "underrepresentation". FNA Self-employed workers are just as likely as non-Aboriginal Self-employed workers to be in any one of the twenty industrial categories and in about the same order of magnitude.

In contrast, this report reveals a considerable difference in the industrial occupation classifications of FNA workers in the categories of Self-employed versus Employees. In Table 5.1 it is seen that the top three

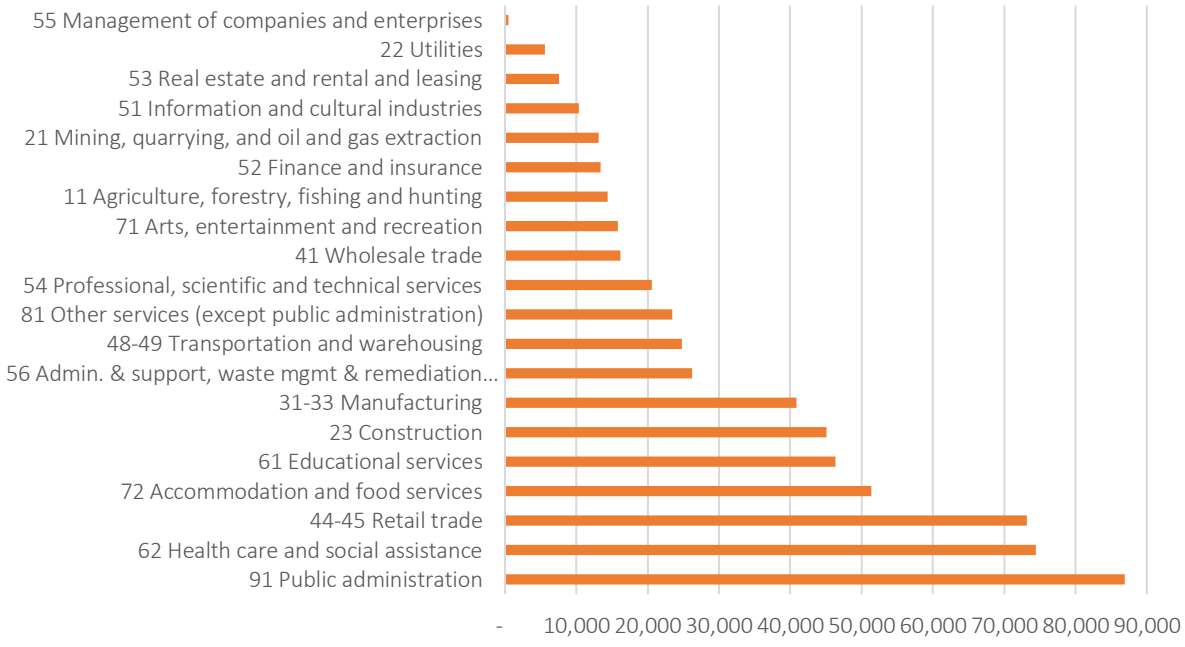
[17] A Spearman Rank Correlation with degrees of freedom of 18 and a rho value of .9714 was calculated with confidence level of 0.0005.

industrial working sectors for FNA Self-employed workers are: (1) Construction; (2) Professional, scientific and technical services; and (3) Other occupations (except Public Administration). This displays little correlation to the top three categories for Employees which are: (1) Public Administration; (2) Health care and social services; and (3) Retail Trade. This suggest that Self-employed FNA workers are finding entry into fields that have little correlation to the work experience of the majority of FNA Employees. While this clearly shows that they are drawn to different sectors of the economy, this report cannot address why this is the case due to the limitations in the data provided (comparison of Figure 5.1 with 5.3).

Table 5.1: Top Three NAICS codes for First Nation Ancestry Self-Employed compared to Employees, Canada, NHS 2011

NAICS Category Self-employed	Number Self Employed	Rank
23 Construction	7,190	1
54 Professional, scientific, and technical services	6,835	2
81 Other services (except public administration)	4,565	3
NAICS Category Employee	**Number Employed**	**Rank**
91 Public administration	86,860	1
62 Health care and social assistance	74,425	2
44-45 Retail trade	73,170	3

Figure 5.3: Distribution of FNA Employee Workers by NAICS, NHS 2011



Given that the Self-employed FNA workforce is generally older than the Employee population, it can be assumed that they have gained experience in the category of Employee within a specific job sector and then moved to Self-employment. The NAICS data suggests this is not the case as Self-employed FNA

workers are in very separate fields of industrial employment than FNA Employees. Once again, statistical analysis can be used here to assess how different the two groups actually are. The analysis indicated that there is not a correlation between the two groups – that they effectively look like they have been drawn from two separate unrelated populations (Figure 5.4).

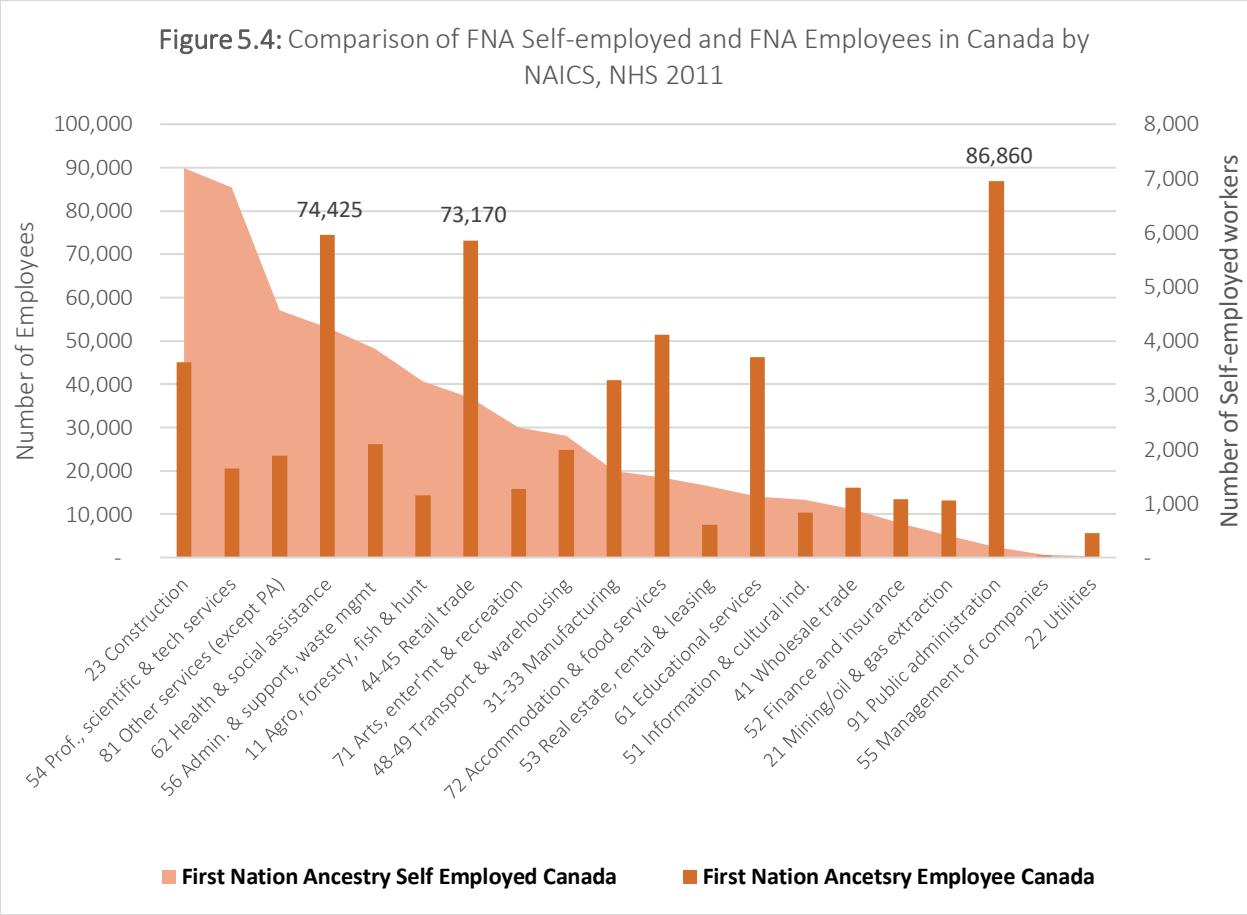


Figure 5.4: Comparison of FNA Self-employed and FNA Employees in Canada by NAICS, NHS 2011

5.1 British Columbia as a Provincial Analysis

One example should suffice to demonstrate the close approximation in industry employment as defined by NAICS between FNA and non-Aboriginal workers at the provincial scale. In British Columbia, as in Canada, this report has found that an extremely strong correlation between the two populations based on the rankings of Professional, scientific, and technical services and Construction being either first or second in each category. These two top industry employment sectors represent 34.1% of all jobs for Self-employed First Nation workers and 33.6% of all positions held by non-Aboriginal workers in British Columbia. This is a slightly heavier concentration of workers in these two top performing sectors than the comparative numbers for Canada where it is seen that Self-employed FNA in these same two top

sectors represent 30.3% of all Self-employed workers and for non-Aboriginals the concentration is 30.7% (see Figures 5.5 and 5.6).

Figure 5.5: British Columbia, First Nation Self-employed by NAICS, NHS 2011

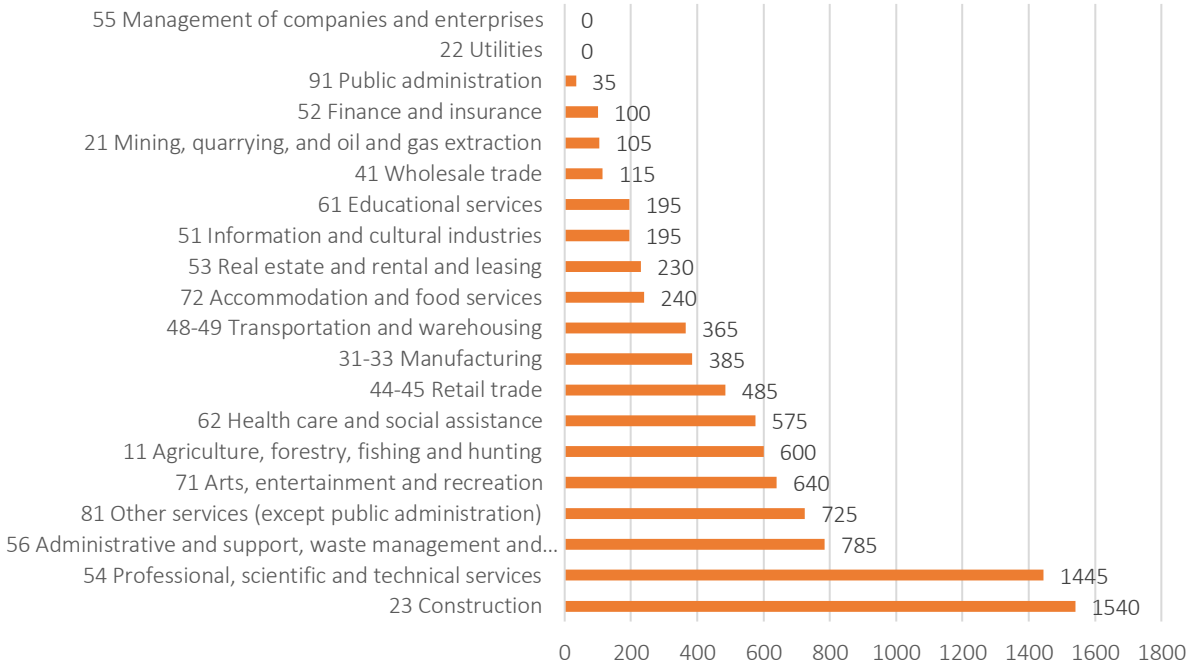
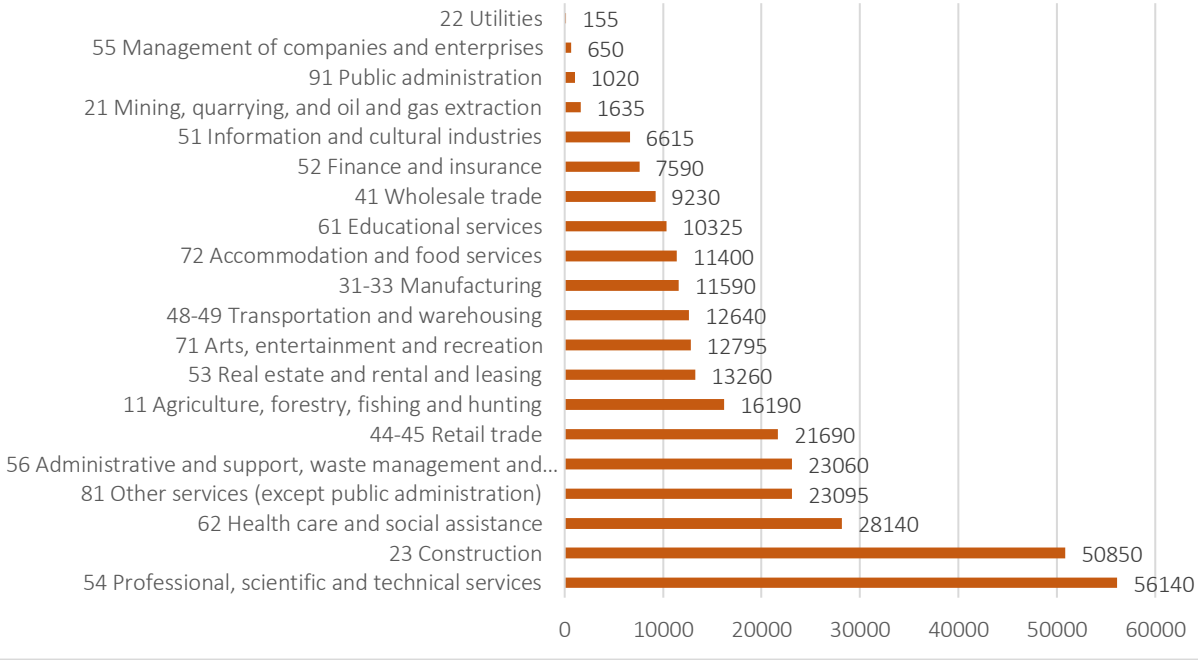


Figure 5.6: British Columbia: non-Aboriginal Self-employed workers by NAICS, NHS 2011



Finally, in Figure 5.7 a pattern similar to the national distribution of FNA Self-employed workers when compared to Employees is shown. It displays two very different employment patterns based on industrial employment opportunities – Self-employed FNA workers gravitate toward business opportunities in Construction (at 15.5%), Professional, scientific and technical services (at 14.8%), Other Service sector businesses (at 9.9%), and in Health care and social assistance (at 9%). This means that almost 50% of all Self-employed FNA workers are concentrated in four of the twenty NAICS employment categories.

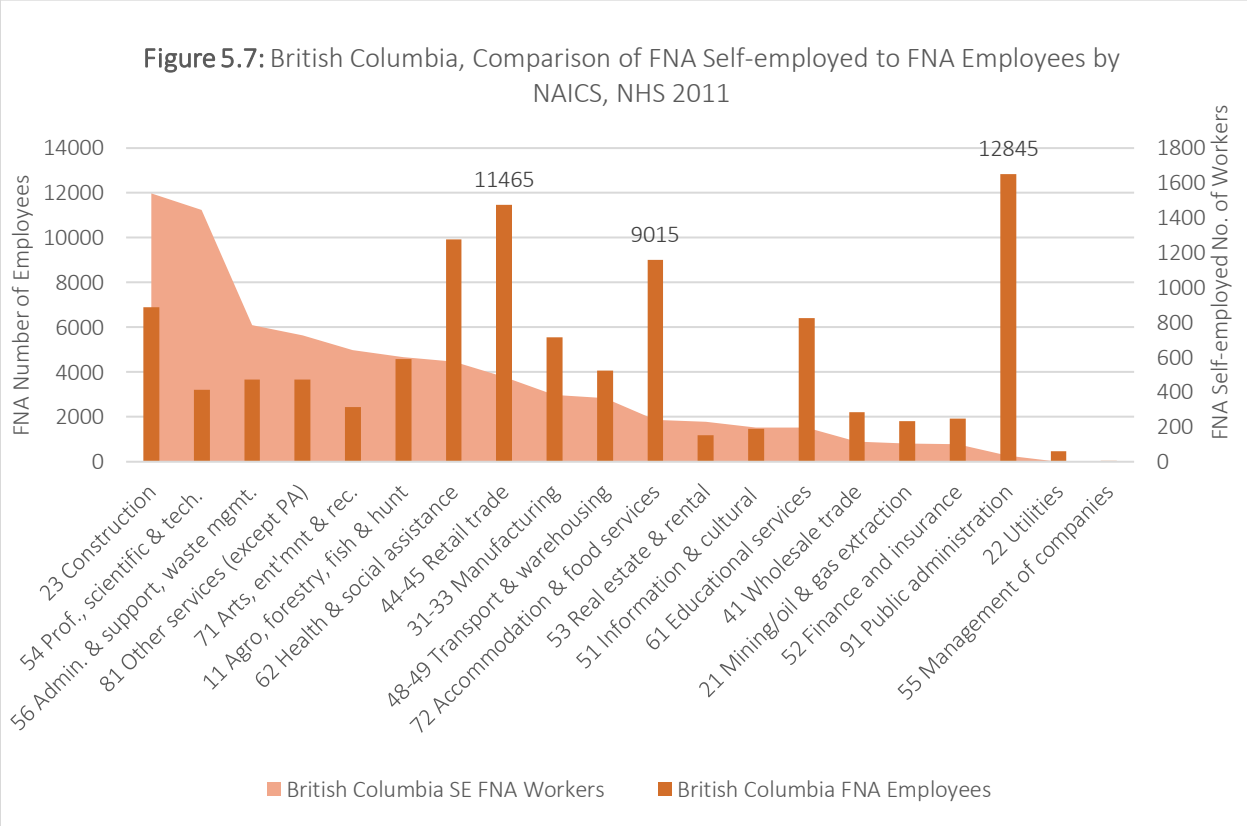


Figure 5.7: British Columbia, Comparison of FNA Self-employed to FNA Employees by NAICS, NHS 2011

In contrast, FNA Employees gravitate to positions in Public administration (at 13.8%), Retail trade (at 12.3%), Health care and social assistance (at 10.7%), and Accommodation and food services (9.7%). Except for Health care and social assistance, which plays a very major role in Canada's economy, there is no overlap between the two employment classes of FNA workers. Finally, the concentration of the top four industrial categories for employment of FNA Employees shows about the same level of concentration at 46.6%.

6. INCOME DIFFERENTIAL: SELF-EMPLOYED WORKERS OF FIRST NATION ANCESTRY AND NON-ABORIGINAL SELF-EMPLOYED WORKERS

Individual income is not necessarily the optimal indicator of the financial well-being of individuals. Rather, household or family income is typically regarded as a better indicator of financial well-being, since the benefits of financial resources are most often shared among household or family members. However, as this is an analysis of self-employment, this section considers individual total average and median income data rather than family or household income. Statistics Canada has found that average household income differs little between self-employed and paid employees. In 2009, both averaged just over $85,000 in household income. The median income of the self-employed workforce, however, was about 19% lower than the household income of paid employees.

However, it must be remembered that the self-employed category within this report includes both incorporated businesses (which are separate legal entities from their owners) and unincorporated businesses (typically smaller in size – 85% have no other employees) and are often referred to as 'own account' Self-employed. The data acquired from Statistics Canada is based on information collected from the Census 2011 and the NHS 2011 and, as such, does not include information that would allow for the differentiation between these two communities of Self-employed workers.

According to income measures, incorporated owners had higher household incomes than paid employees, who in turn had higher incomes than the non-incorporated self-employed. Looking at market income (total household income excluding government transfers), the median household income of the incorporated was $75,600, that of the unincorporated was $37,900, while that of paid employees was $67,000. The sources of income also differ between the incorporated and non-incorporated self-employed. In this dataset income differences between Self-employed First Nation Ancestry workers and First Nation Ancestry Employees can be distinguished, as well as those differences between FNA Self-employed workers and non-Aboriginal Self-employed workers. At the national level, the Average Total Income of the Self-employed FNA workforce is $31,753 while that of the FNA Employee population is slightly less than $31,696. In contrast, Self-employed non-Aboriginal workers have incomes averaging $41,551, or about 31% higher, while non-Aboriginal Employee's incomes are $38,971, or 23% higher than that of FNA Employees. FNA Self-employed workers earn less total average income than *both* classes of non-Aboriginal workers and only ever so slightly more than their FNA Employee counterparts.

The Canadian national average income for the "total Aboriginal identity population aged 15 years and over in private households" stands at $29,780. This figure is 36.5% lower than the Canadian national average income of $40,650, including Aboriginal peoples (National Household Survey, 2011).[18]

As a research hypothesis, we assumed that FNA self-employed workers would earn substantially more than other FNA working classes and that they would have incomes that should be more inline or comparable to those of non-Aboriginal self-employed workers. However, while the first assumption can be supported, the latter two cannot.

Table 6.1: Canada, Average total income before-tax in 2010 ($), NHS 2011, Custom Tabulation

	Total Population in private households by Aboriginal identity (Total Population)	First Nations (North American Indian) Aboriginal Ancestry	Non-Aboriginal Ancestry only
Total - Population by class of worker	$40,650	$30,254	$41,089
Employee	$46,744	$36,564	$47,213
Self-employed	$51,592	$37,739	$52,042

Source: Custom Tabulation, Dec. 16, 2016, CRO0156912_CT.1 (2011): Aboriginal Identity (11), Area of Residence (3), Highest Certificate, Diploma or Degree (10), Class of worker (5), Selected Characteristics (204) and Adjusted Base for Incompletely Enumerated Reserves 2006-2011 (2) for the Population Aged 15 Years and Over in Private Households of Canada, Provinces and Territories, and of Selected Regions, 2011, National Household Survey

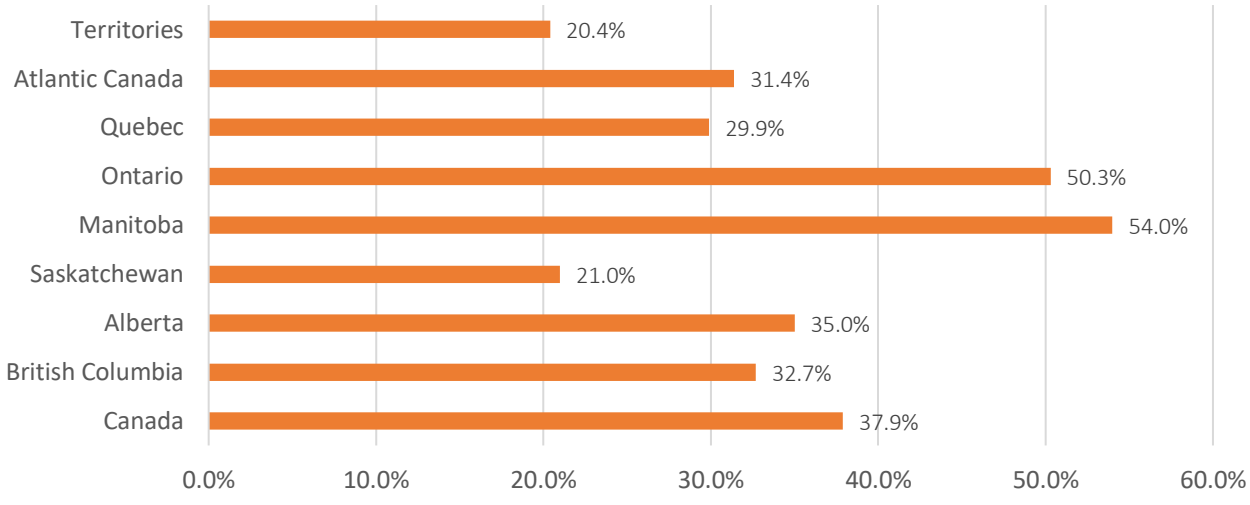
Table 6.1 clearly defines the considerable difference in income between FNA Employees and non-Aboriginal Employed workers in Canada. This runs counter to the expectations – FNA Employees have incomes that are 29.1% lower than those of their non-Aboriginal counterparts, however the wage gap increases for Self-employed FNA workers with their incomes being 37.9% lower than their non-Aboriginal counterparts in the economy.

What can be seen is that self-employed workers of FNA have incomes that are only marginally higher at 3.2% than those of FNA employed workers across Canada, while self-employed workers of non-Aboriginal heritage have incomes that are considerably higher at 10.2%. At the national level, self-employment as a means of achieving greater economic improvement as measured by average income fails to provide meaningfully higher incomes for self-employed workers of FNA. When comparing their average income levels to those of non-Aboriginal workers it becomes evident that FNA self-employed workers have incomes

[18] Statistics Canada. 2013. National Household Survey Aboriginal Population Profile. 2011 National Household Survey. Statistics Canada Catalogue no. 99-011-X2011007. Ottawa. Released November 13 2013. http://www12.statcan.gc.ca/nhs-enm/2011/dp-pd/aprof/index.cfm?Lang=E and Statistics Canada Catalogue no. 99-004-XWE. Ottawa. Released June 26 2013. http://www12.statcan.gc.ca/nhs-enm/2011/dp-pd/prof/index.cfm?Lang=E; calculation by author.

that are 38% lower than their non-Aboriginal counterparts, suggesting that self-employment is not helping to closing the income gap between the two groups (Figure 6.1).

Figure 6.1: Percentage Difference in Total Average Income 2010 ($) Self-employed FNA with Income compared to Self-employed non-Aboriginals workers with Income Canada, Provinces and Territories, 2010, NHS 2011



The wage gap between self-employed workers of FNA and their non-Aboriginal counterparts is most extreme in Manitoba and Ontario where the disparity exceeds 50%. In Manitoba, self-employed non-Aboriginal workers have an average before tax income of $46,857 compared to only $30,421 for self-employed FNA workers. In Ontario, the difference between the two groups runs to $53,817 over $35,816. Income disparities are at their lowest in the Territories, but are still considerable at 20.4% and in Saskatchewan at 21%. In Saskatchewan, non-Aboriginal self-employed workers averaged $47,405 annually which was some $5,000 below the national average for all non-Aboriginal self employed workers, while self-employed workers of FNA averaged $39,179 which was above the national average for their cohort. It can be suggested that this difference is possibly due to a higher rate of self-employment for FNA workers in the mining sector, especially in Northern Saskatchewan, compared to self-employment in sectors such as farming, which accounts for a considerable population of self-employed non-Aboriginal workers in rural Saskatchewan and Manitoba. This in turn gives this portion of the Prairie region somewhat lower average incomes for non-Aboriginal self-employed workers.

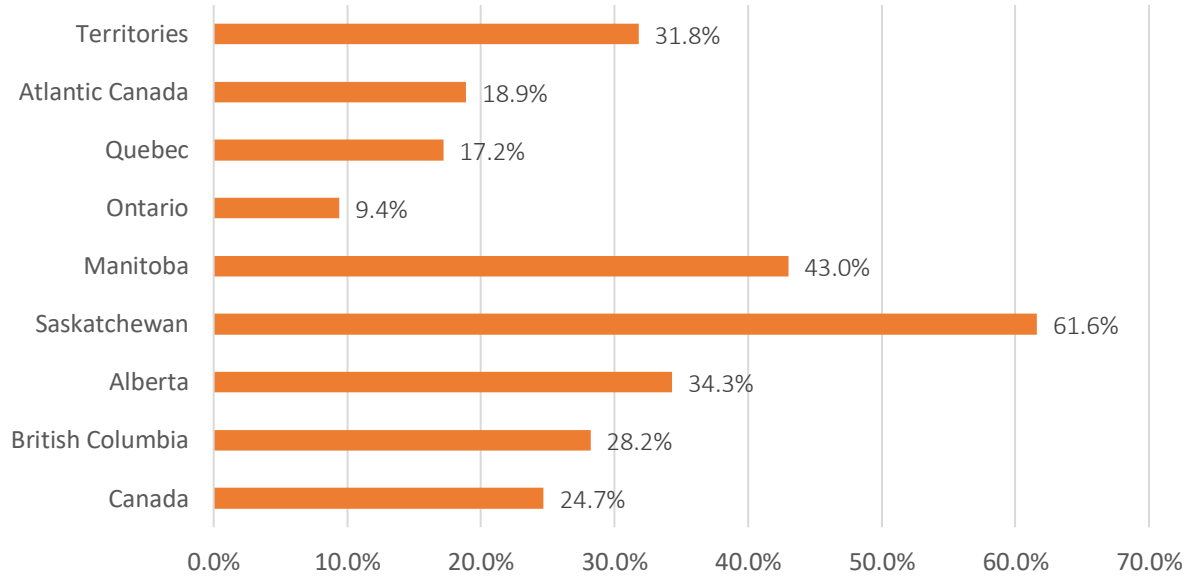
In the Territories, both FNA and non-Aboriginal self-employed workers have incomes that substantially exceed the national averages at $48,879 compared to $37,739 for FNA and $58,843 compared to $52,042

for non-Aboriginal self-employed workers. For FNA workers this is 29.5% higher than the national average, while for non-Aboriginal workers it exceeds the national average by 13.1%.

6.1 Self-employed Income Compared to Total Class of Worker Incomes

When comparing FNA self-employed worker's average annual incomes before taxes with those of the total class of workers (employed, self-employed, looking for work)[19] it can be seen that self-employment represents a considerable financial advantage, averaging higher incomes ranging from 61.6% in Saskatchewan down to 9.4% in Ontario (Figure 6.2). This is a different calculation than that which compares FNA self-employed workers with FNA employees prior and it must be recognized that it is the much higher Aboriginal unemployment rates in these provinces which is driving the difference. For example, the unemployment rate for Aboriginal workers in Saskatchewan in 2011 was reported by Statistics Canada to be 16.9% while in Ontario it stood at 13.9% and nationally at 15%.

Figure 6.2: Percentage Difference in Average Total Income 2010 ($) FNA SE Workers compared to FNA SE Workers by Total Class of Worker in Canada



[19] The closest census definition for this category is: "Experienced labour force refers to persons who, during the week of Sunday, May 1 to Saturday, May 7, 2011, were employed and the unemployed who had last worked for pay or in self-employment in either 2010 or 2011." Footnote 59, Source: Statistics Canada; 2011 National Household Survey. Example: http://www12.statcan.gc.ca/nhs-enm/2011/dp-pd/aprof/index.cfm?Lang=E

6.2 Full-Time Versus Part-Time Employment

While being one's own boss is almost always cited as an advantage, one must weight that against periods of intermittent employment or even lack of work, as well as the constant demand on self-employed workers to find the next contract or job. In Western Canada (BC through to Manitoba) as well as in the Territories, self-employed FNA workers exceed the national average with higher incomes ranging from 28.2% higher in BC to 61.6% higher in Saskatchewan. This is in considerable contrast to eastern Canadian self-employed workers, primarily in Ontario, where Self-employed FNA workers earn only 9.4% more than the total class of FNA workers in the province. For Self-employed workers of First Nation Ancestry the question of intermittency in the labour force can be measured using the proxy, full-time versus part-time employment. Statistics Canada sees that:

> […] full-time employment is an important labour market indicator from the perspective of both labour supply and demand. On the supply side, full-time jobs are the main channel through which working-age Canadians generate income and are a key determinant of financial well-being. Full-time employment also reveals information about the success of some groups in the labour market. For groups who have a strong attachment to the labour market, the proportion employed full-time, along with the unemployment rate, is an important dimension along which success can be gauged. On the demand side, the creation of full-time jobs is one indicator of economic performance, with commentators often drawing attention to the share of employment growth accounted for by full-time jobs.[20]

The full-time employment rate is defined as the share of the total population aged 17 to 64 and employed at least 30 hours per week in their main job (i.e., the job involving the greatest numbers of weekly hours).

Across Canada, fewer FNA self-employed workers work full-time throughout the year than non-Aboriginal workers, ranging from a difference of 0.7% in the Territories upwards of 7.3% in Ontario. On average, in Canada, 69.5% of FNA workers worked full-time compared to just under 75% for non-Aboriginal self-employed workers. British Columbia had the fewest workers working full-time for both groups at 65.8% for FNA and 68.8% for non-Aboriginal self-employed. In the Territories, 75.5% of all self-employed workers were working full-time. This may partially an outcome of the strong Comprehensive Benefit Agreements that many First Nations hold with mining and oil and gas firms in the region, which require these firms to offer contracts or employment to contractors of First Nation heritage. In Saskatchewan, the 80% full-time

[20] Morissette, R., Hou, F. & Schellenberg, G. (2015) *Full-time Employment, 1976 to 2014* Social Analysis and Modelling Division, Catalogue no. 11-626-X — No. 049
http://www.statcan.gc.ca/pub/11-626-x/11-626-x2015049-eng.htm

employment achieved by the non-Aboriginal self-employed workforce can be related to the strong farming economy which is dominated by self-employed operators (Figure 6.3). This data can also be broken out into full-time and part-time self-employed workers living on- and Off-Reserve, however, once we drop below the national level we are dealing with a very small number of self-employed workers living On-Reserve, only some 2,170. Nationally, 69% of self-employed FNA workers were active full-time in the workforce, while the comparative number for On-Reserve is higher at 72%. Let's use one provincial example, that of British Columbia, where the percentage of Off-Reserve self-employed workers active full-time stands at 66%, while On-Reserve the rate is lower at 63%.

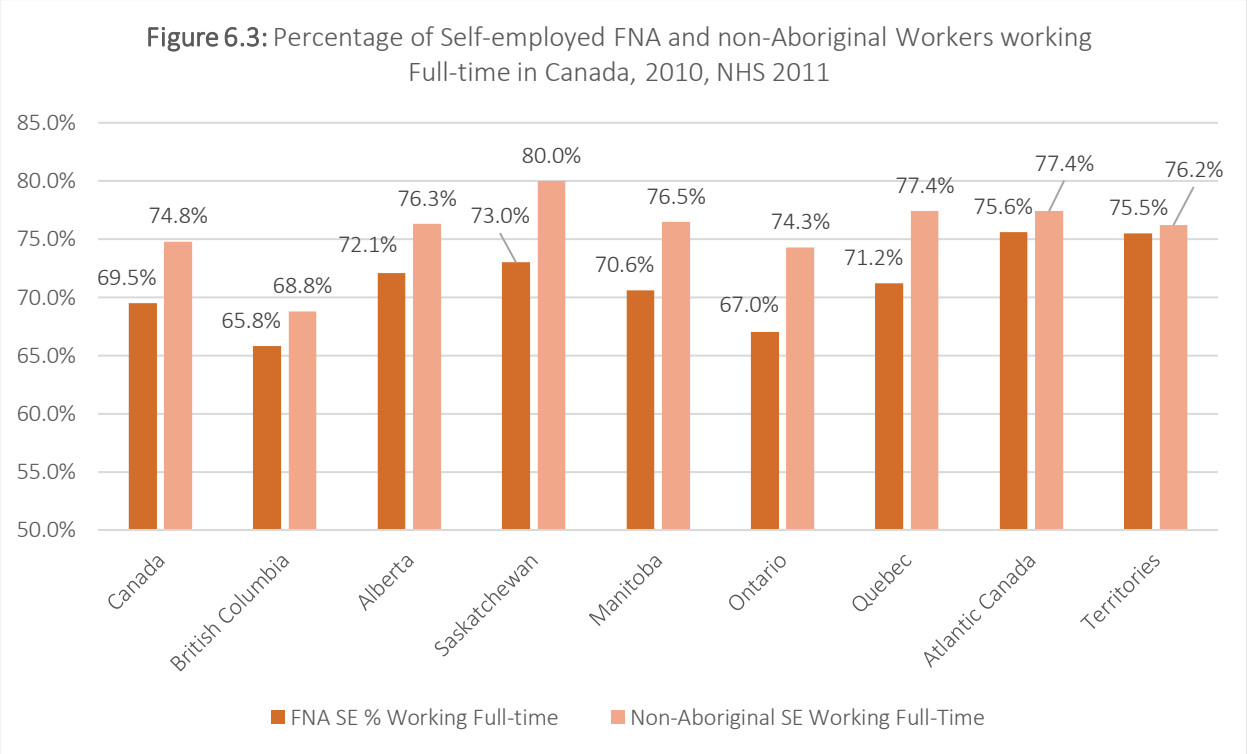


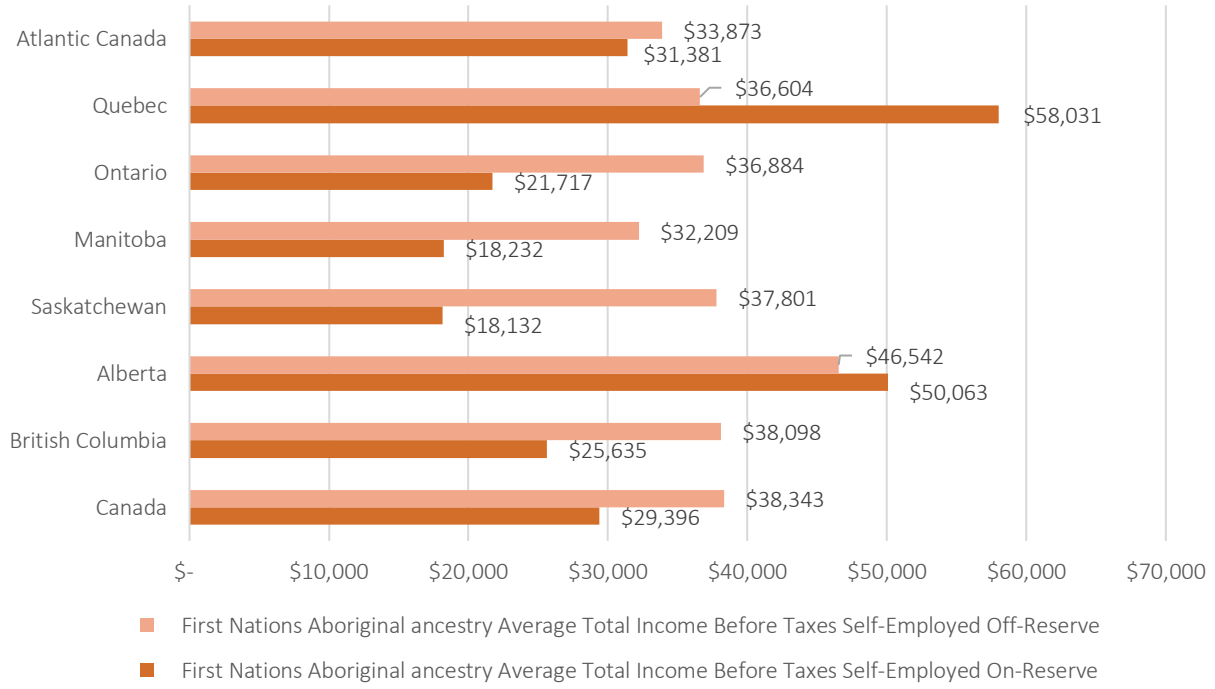
Figure 6.3: Percentage of Self-employed FNA and non-Aboriginal Workers working Full-time in Canada, 2010, NHS 2011

6.3 Income and Residency On-Reserve or Off-Reserve

Income can also be assessed based on the residency of the employee. In this case residency considers whether the employee lives On-Reserve or Off-Reserve (Figure 6.4). As we drill down from income by employment and then to residence as defined as on or Off-Reserve, data quality issues arise as these populations are now too small. Additionally, in the case of the Territories this data cannot be accessed as the Crown designation of "Reserves" just do not exist. For example, in Yukon, 11 of the 14 First Nations

are self-governing and manage their own land tenure systems which is a considerably different socio-economic and political landscape, especially as it relates to land ownership and management.

Figure 6.4: Average Total Income, 2010 of Self-employed workers of FNA on and Off-Reserve, NHS 2011 Canada and Provinces



Given the considerable literature detailing the economic problems that Canada's Reserves face, generally being located in non-economic and often remote areas with poor and often crowded living conditions, younger demographic profiles, and lower levels of educational attainment, it would be expected that the incomes of self-employed FNA workers would be higher Off-Reserve than On-Reserve.[21] As Robert Bone (2003: 187) notes:

> The lack of an economic foundation had proven to be the Achilles-heel of the relocation 'strategy". Under normal circumstances, urban places that lose their economic function soon die, whether they are single-industry towns or rural communities. Native settlement does not follow this pattern of urban evolution because they generally have been located within cultural homelands and close to traditional hunting lands.

[21] Robert M. Bone (2003), *The Geography of the Canadian North: Issues and Challenges*, Toronto: Oxford University Press. pp: 186-187.

Nationally, this assumption is correct with self-employed Off-Reserve incomes being some 30% higher. Across most of the provinces, Off-Reserve self-employment incomes exceed On-Reserve incomes for the same group of workers ranging from a difference of only 7.9% in Atlantic Canada up to 108.5% in Saskatchewan. However, in Quebec and Alberta the average incomes of On-Reserve self-employed workers exceeds that of their Off-Reserves counterparts. In Alberta, this may be related to the location of major Reserves in proximity to oil fields and/or large urban complexes which allows On-Reserve self-employed workers to access job markets and contracts as of 2011. There would also be positive tax implications for On-Reserve First Nation business owners. In Quebec, the skewed results may be a factor of low numbers in that only 300 of the province's 12,020 FNA self-employed workers or 2.5%, live On-Reserve; meaning that a relatively small number of large incomes may be skewing the res

7. EARNED INCOME AND INCOME COMPOSITION

In this section, this report compares the composition of First Nation Ancestry self-employed workers against the national numbers cited in the section prior against the income composition of FNA Employees and against the composition of non-Aboriginal self-employed workers. Income can broadly be classified into income from private sources (market income)[22] and income from government sources (government transfers). In 2010, 87.6% of total income that Canadians received was in the form of market income and the remaining 12.4% was in the form of government transfer payments.

Since the owners of incorporated businesses are legally separate from their business entities, they can earn income in a variety of ways—by drawing a salary, by collecting dividends accruing to shareholders, through capital gains, or through net Self-employment income if they maintain a non-incorporated registered business along with their corporations. In contrast, the unincorporated self-employed have fewer options. These businesses are not legally separate from their owners, who must report proceeds as net Self-employment income. Consequently, self-employment income is usually their main source of market income, although some may also report earnings from another paid job. This report explores the different earning streams of the FNA self-employed and employee workforces, as well as between FNA and non-Aboriginal Self-employed workers.

"Statistics Canada reported in 2010 that overall, the average individual income was slightly higher among paid employees than self-employed individuals. In 2009, paid employees averaged $52,400 in total income, compared to $46,200 among the Self-employed. As might be expected, most of the income of paid employees was from wages and salaries. The sources of income for the Self-employed were more varied as they reported about $17,500 in wages and salaries, $20,600 in Self-employment income, $4,400 in investment income (including dividends) and $1,100 in capital gains"[23]

Statistics Canada notes that just like household income, individual income varied significantly between the incorporated and the unincorporated. As a result, unincorporated Self-employed individuals had 26% lower

[22] Income from private sources encompasses employment income, investment income and private retirement income, etc. Income from government sources, which is synonymous with government transfer payments, covers benefits from the Canada Pension Plan, Quebec Pension Plan, Old Age Security pension, Guaranteed Income Supplement, Employment Insurance benefits and child benefits, etc. See: http://www12.statcan.gc.ca/nhs-enm/2011/as-sa/99-014-x/99-014-x2011001-eng.cfm#a2

[23] Sébastien LaRochelle-Côté and Sharanjit Uppal, (2011). The financial well-being of the self-employed. Component of Statistics Canada Catalogue no. 75-001-X, Perspectives on Labour and Income Statistics Canada, http://www.statcan.gc.ca/pub/75-001-x/2011004/article/11535-eng.htm

income than paid employees. At $57,800, the income of incorporated Self-employed was similar to that of paid employees. This customized dataset does not allow for differentiation between incorporated and unincorporated businesses as this would require a linkage to Survey of Labour and Income Dynamics to be achieved – a step beyond the present methodology and one that can only be achieved with Statistics Canada research support. This level of information, however if available, might partially explain difference in incomes that are evident between self-employed FNA workers and FNA employees in which employees are earning higher incomes, if the self-employed income is a merger of a higher percentage of unincorporated businesses with incorporated businesses in First Nation communities.

The incorporated Self-employed worked an average of 2,350 hours in 2009, compared to 1,930 hours for the unincorporated and 1,770 hours for paid employees.[24] This translated into an average hourly rate of about $24 per hour for the incorporated and just over $28 per hour for paid employees. The unincorporated Self-employed earned, on average, significantly less—$20 per hour. Based on these numbers, self-employment equates with longer hours for less pay, suggesting once again that self-employment is probably influenced by some elements of non-market, quality of life decisions assume that, the worker had an equal opportunity between self-employment and having a wage and/or salary position with set hours. Self-employment equates with longer hours, lower pay, greater risk and uncertainty, is probably impacted by seasonality or by market fluctuations that can constrict contracting opportunities, but also can equate with increased earning potential and the knowledge that one is relatively in control of their own fate.

We also need to recognize that just as with income tax reporting the reporting of self-employment income strongly suggests a level of underreporting. This is exasperated by the fact that Statistics Canada draws missing or referential data from the Canadian Revenue Agency as part of the census process. Hurst et al (2014) notes that: *A large literature shows that the self-employed underreport their income to tax authorities. In their paper, they quantify the extent to which the self-employed also systematically underreport their income in U.S. household surveys.*[25] Using the Engel curve, that describes the relationship

[24] André Bernard (2012) The job search of the older unemployed, Perspectives on Labour and Income Component of Statistics Canada Catalogue no. 75-001-X http://www.statcan.gc.ca/pub/75-001-x/2012003/article/11698-eng.pdf

[25] Hurst, E., Li, G. & Pugsley, B. (2014). "Are household surveys like tax forms? Evidence from income underreporting of the self-employed," *Review of economics and statistics;* Volume 96, (1): 19-33.

between income and expenditures of wage and salary workers to infer the actual income, and thus the reporting gap, they adjust for the level of self-employed underreporting based on their reported expenditures. They found that on average, the self-employed underreport their income by about 25%. As such, they argue, that failing to account for such income underreporting leads to biased conclusions in a variety of settings. In this study, we are reporting self-employed income as reported and documented by Statistics Canada without correction, although a future analysis could be undertaken using the Hurst methodology if other quantitative or qualitative sources to corroborate the approach for First Nation workers in Canada can be developed.

In this comparative analysis of workers of First Nation and non-Aboriginal ancestry we will analyze the difference in the composition of the incomes of each group both as employees and as self-employed. The composition of incomes as defined by Statistics Canada is: *The composition of the total income of a population group or a geographic area refers to the relative share of each income source or group of sources, expressed as a percentage of the aggregate total income of that group or area.* This provides us with a higher-level breakout of incomes as Market Income and Government transfer income, with Market Incomes including: Employment Income (broken out as wages and salaries and self-employment income) as well as Investment Income as a second category. Given that Aboriginal Canadian usually have a higher level of dependency on Government Transfer Payments we are also including this category in the comparison. We can also break out the data at the National and provincial/regional levels with the usual roll-up required for Atlantic Canada and the Territories.

Table 7.1 Comparison of Income Composition for Major Categories for the Self-employed and for Employees by FNA and Non-Abo, 2010 Income

Major Types of Income	Type of Worker	First Nations Aboriginal ancestry	Non-Aboriginal ancestry only
Wages and salaries	Employee	86.4%	87.4%
	Self-employed	42.6%	42.6%
Self-employment income	Employee	0.9%	1.6%
	Self-employed	33.0%	31.4%
Investment income	Employee	0.8%	2.3%
	Self-employed	8.7%	13.2%
Government Transfer Income	Employee	9.6%	5.7%
	Self-employed	10.1%	6.7%

Table 7.1 breaks out the income composition of workers of FNA ancestry compared to non-Aboriginal workers for both categories of workers. Self-employed FNA workers and non-Aboriginal workers have very similar income composition profiles for wages and salaries at 42.6% each and 33% and 31.4% for Self-employed income. The major difference in income composition at the national level occurs with a higher dependency on government

transfer payments at 10.1% compared to 6.7% for self-employed non-Aboriginal workers. To be expected, employees acquire the majority of their income from wages and salaries at 86.4% for FNA and 87.4% for non-Aboriginal. The non-Aboriginal employed workers do though earn a small self-employment income of 1.6% of all income and receive about 5.7% of their income from government transfer payments. First Nation Ancestry workers earn almost no Self-employment income, at less than one percent, and are more dependent on Government transfer payments at 9.6% compared to 5.7% for non-Aboriginal employees. Of note, self-employed workers of both FNA and non-Aboriginal descent acquired a slightly higher percentage of their income from government transfer payments than employees, possibly through taxation deductions or small business incentives in 2010.

Table 7.2 Comparison of Income Composition for Major Categories for the Self-employed First Nation Ancestry, 2010 Income

Major Types of Income	Location	First Nations Aboriginal ancestry
Wages and salaries	Off-Reserve	41.7%
	On-Reserve	58.3%
Self-employment income	Off-Reserve	33.6%
	On-Reserve	21.3%
Investment income	Off-Reserve	9.2%
	On-Reserve	0.8%
Government Transfer Income	Off-Reserve	9.9%
	On-Reserve	14.9%

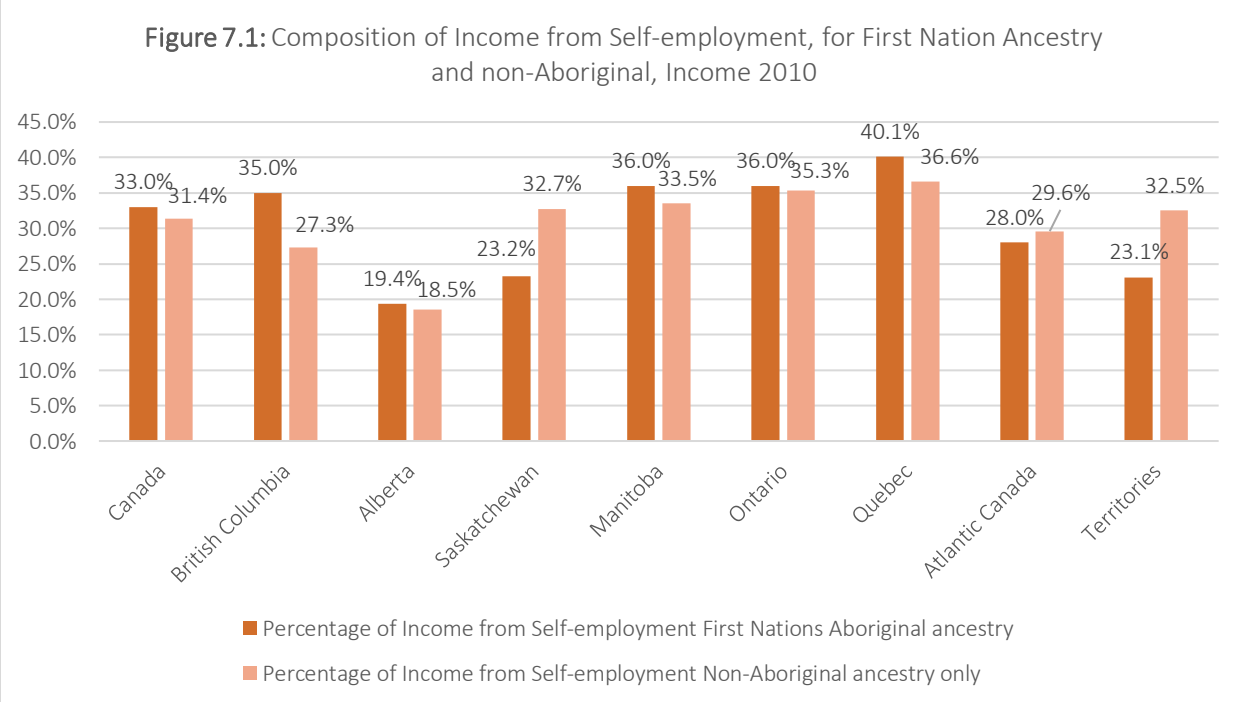


Figure 7.1: Composition of Income from Self-employment, for First Nation Ancestry and non-Aboriginal, Income 2010

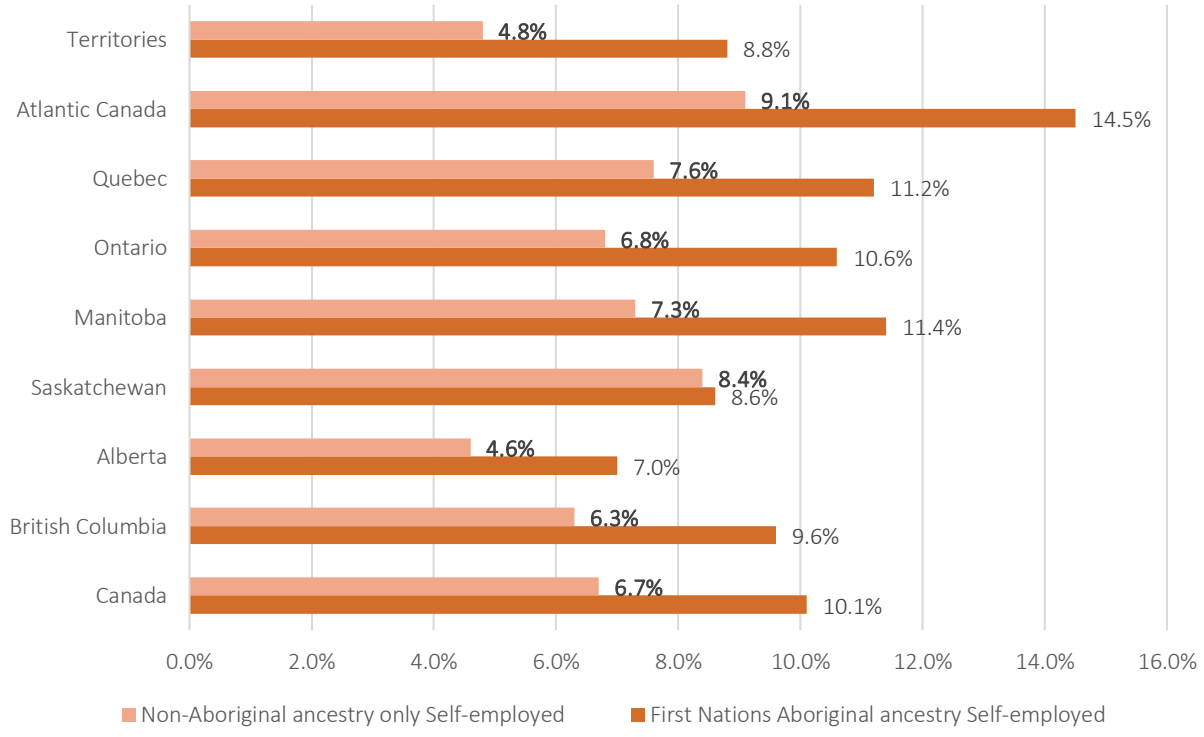
Although we tend to dichotomize the workers into Self-employed and employed the composition of their incomes clearly demonstrates that that we are looking at a continuum rather than a definitive break

between the two groups. There is also no clear geographic difference in the composition of FNA compared to non-Aboriginal self-employed workers on the percentage that they earn through self-employment with FNA self-employed workers having a higher percentage of their income derived from self-employment in BC, Manitoba, Ontario, and Quebec, but not in Alberta, Saskatchewan, Atlantic Canada, or the Territories.

7.1 Income Composition of FNA Workers On-Reserve and Off-Reserve

We can also explore the difference in income composition between self-employed workers of First Nation Ancestry living Off and On-Reserve. Self-employed income is highest for workers living Off-Reserves at 33.6% compared to only 21.3% for those living On-Reserve, while On-Reserve self-employed workers are more dependent upon Government transfer payments at 14.9% of their income compared to 9.9% for those living Off-Reserve. The major difference between the two communities is in the total lack of investment income which On-Reserve represented less than one percent of all income, while Off-Reserve SE-FNA had 9.2% of their income deriving from investments.

Figure 7.2: Comparison of Self-employed FNA and non-Aboriginal Workers' Income Composition by Percentage Government Transfer Payments, 2010 Income



At the national level of aggregation self-employed workers of both FNA and non-Aboriginal ancestry earn around 31 to 33% of their income from self-employment (Figure 7.2). Provincially, self-employed workers

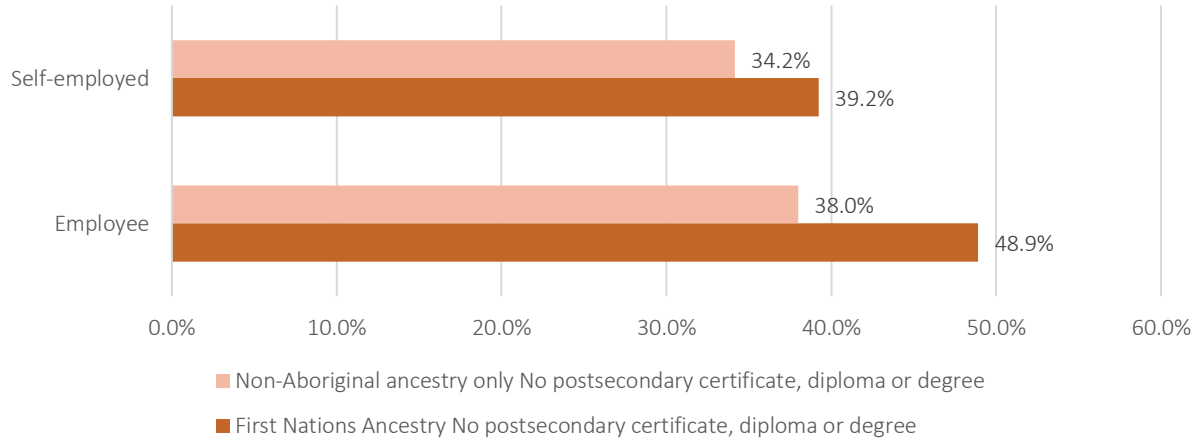
in Quebec have the highest percentage of their 2010 income being derived from self-employment at 40.1% for FNA workers and 36.6% for non-Aboriginal workers. In contrast, FNA self-employed workers in Alberta derive only 19.4% of their income from self-employment while the comparative number for non-Aboriginal self-employed workers was the lowest in Canada at 18.5%. The greatest difference in income splits between the two groups was in Saskatchewan, where 23.2% of FNA income was derived from self-employment compared to 32.7% for non-Aboriginal workers. In the Territories, non-Aboriginal worker incomes stood at 32.5% of their income from self-employment compared to 23.1% for First Nation Ancestry self-employed workers. In British Columbia, we see a reverse of the Saskatchewan income splits with FNA self-employment incomes accounting for 35% of all income, compared to 27.3% for NAA SE workers.

With the exception of Saskatchewan, with its subsidized farming economy, FNA self-employed workers across Canada have almost twice the level of dependency on Government transfer payments than non-Aboriginal self-employed workers (Figure 7.2). FNA self-employed workers in Atlantic Canada (generally recognized as a weak economy) acquire 14.5% of their annual income from government transfer payments compared to only 7% in Alberta, which in 2011 was still managing a strong oil and gas economy.

8. EDUCATION BY MAJOR FIELD OF STUDY

This section begins by asking the question: Do self-employed workers of First Nation Ancestry have different educational profiles than their non-Aboriginal counterparts? The assessment of this difference or similarity is started with a review of the primary divide between the two groups – that many of the FNA self-employed workers begin from a deficit position by not having attained the basic educational requirements for post-secondary education, a high school graduation or equivalent. The data shows that 39.2%of the self-employed FNA population failed to graduate high school compared to 34.2% of the non-Aboriginal self-employed workforce (see Figure 9.1). It should additionally be noted that self-employed FNA workers have a higher rate of high school completion than FNA Employees, where 48.9%, or almost half, failed to complete high school.

Figure 8.1: Canada: Education, Major Field of Study: Percentage with No post-secondary certificate, diploma or degree, NHS, 2011

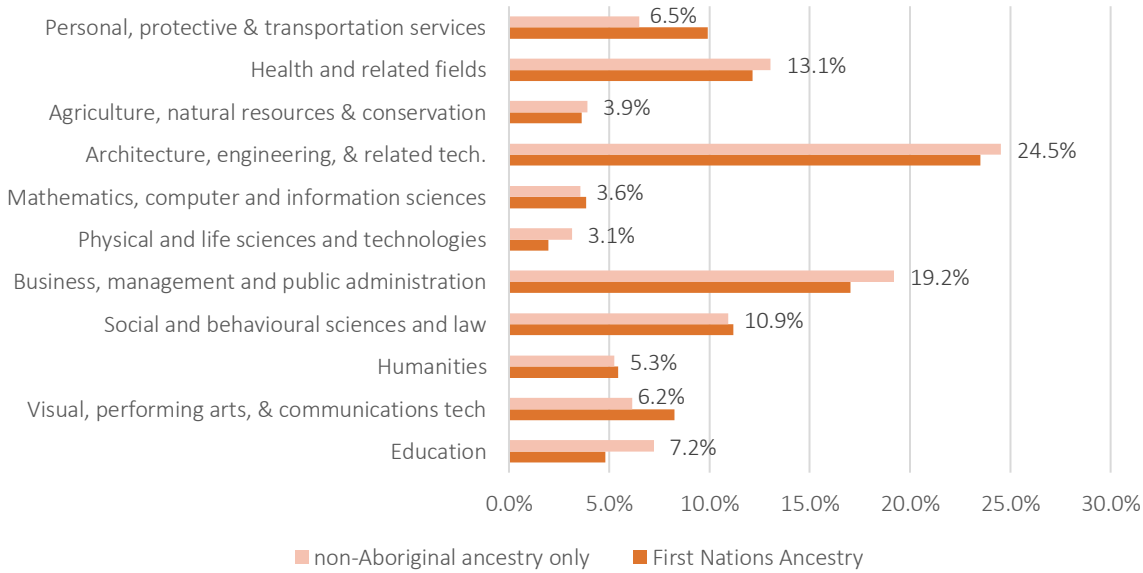


The NHS 2011 breaks out the major fields of education into eleven specific fields plus the collective Other sector. When mapping out the percentage of Self-employed FNA workers and non-Aboriginal Self-employed workers against each other, there is only a difference in the rates of educational attraction in two fields where FNA Self-employed workers are overrepresented. These are within Personal, protective and transportation services and Visual and performing arts and communication technologies. Self-employed FNA are underrepresented in Education and, to some extent, in Business, management and public administration.

Canada's economy is increasingly placing more emphasis on the STEM sector[26], where there tends to be higher paying careers which require extensive university education and increasingly post-graduate training. According to the NHS, 2011, 2,196,200 people aged 25 to 64 had earned their highest certificate, diploma, or degree in a STEM field, representing 18.6% of post-secondary fields overall. In our data, focus is only placed on Self-employed individuals, which represent a higher percentage of the STEM workers; however, due to limitations, the dataset cannot be refined further on STEM educational fields to the extent that Statistics Canada does, we are dealing with broad brush strokes compared to their ability to drill down into the major fields of education.

We can partially track FNA Self-employed STEM workers within the categories Architecture, engineering, and related technologies, Mathematics, computer, and information sciences, as wells as Physical and life sciences. Although this is not a perfect match, it does provide a viable comparison to national STEM data as long as it is recognized that this is erring on the high side of the equation. When comparing FNA and non-Aboriginal Self-employed workforces, it can be seen that as a percentage, FNA workers represent

Figure 8.2: Canada: Major Field of Study Self-Employed Workers by First Nation and non-Aboriginal Ancestry, 2011



[26] 'STEM' fields of study are defined according to the variant of CIP 2011 – STEM groupings. For the purposes of this document, two categories, 'science' and 'technology, except engineering technology' were combined. The term 'science and technology' refers to 'science and technology, except engineering technology.' The STEM groupings referred to in this report were created by Statistics Canada as a variant of the Classification of Instructional Programs (CIP) 2011.

42.2% of the STEM education group while the non-Aboriginal workers represent a substantially higher percentage at 54%.

If the future of Canada's economy is going to be driven by STEM-educated workers, and it is already known that about half (50.9%) of all STEM degrees are held by immigrant adults and that First Nations youth are Canada's largest untapped labour pool,[27] then it is fair to say that there is a considerable gap that is going to continue to grow in Canada's labour market – one that will require continued immigration to fill. FNA Self-employed workers are simply not being attracted at the same rate as non-Aboriginal workers to the STEM sector educational opportunities. More research needs to be conducted in regards to the barriers that exist and which are limiting access to STEM educational opportunities, although the high non-completion rates for high school are probably a significant barrier.

When reviewing the eleven fields of education from most to least commonly undertaken degree (see Table 8.1), there is surprisingly little difference between FNA and non-Aboriginal educational interests. This is, however, until the bottom four categories. Within these four categories it can be seen that educational participation shifts *slightly*, with only a marginal percentage point difference between both populations (i.e., in Mathematics 3.8% of Self-employed workers are FNA compared to 3.6% for non-Aboriginal).

Table 8.1: Canada, Ranking of Education Fields of Study for First Nation and non-Aboriginal Ancestry - Self-employed workers, NHS 2011

Field of Study Category	FNA Rank	non-Abo Rank
Architecture, engineering, & related tech.	1	1
Business, management and public administration	2	**2**
Health and related fields	3	3
Social and behavioural sciences and law	4	4
Personal, protective & transportation services	**5**	**5**
Visual, performing arts, & communications tech	6	**6**
Humanities	7	7
Mathematics, computer and information sciences	8	10
Agriculture, natural resources & conservation	9	**8**
Education	10	9
Physical and life sciences and technologies	11	11

[27] See: Craig Alexander (2016) "e-brief, National Priorities 2016 Job One is Jobs: Workers Need Better Policy Support and Stronger Skills," C.D. Howe Institute, 2016 pp: 9.
https://www.cdhowe.org/sites/default/files/attachments/research_papers/mixed/e-brief_227_0.pdf

9. EDUCATIONAL ATTAINMENT AND SELF-EMPLOYED FIRST NATION ANCESTRY WORKERS

Using the Statistics Canada custom tabulation, it is possible to compare the profiles of First Nations Ancestry and non-Aboriginal Self-employed workforces by province or territory across Canada. For this section, an aggregation is again needed for the Atlantic provinces due to their small population sizes. This section does not report on the Territories due to data quality issues.

British Columbia:

In British Columbia, FNA self-employed, when compared to non-Aboriginal Self-employed workers, are more likely to have failed to complete high school at 19.9% compared to 9.4%, to be overrepresented in the apprenticeships and trades programs at 17.7% compared to 12.9%. and underrepresented at the university degree and post-degree levels (see Table 9.1). For example, proportionately, there are more than twice as many self-employed non-Aboriginal workers with university degrees beyond the Bachelor's level than FNA self-employed workers in the province.

Table 9.1: British Columbia, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

British Columbia	Number of First Nations Ancestry, Self-employed Workers	Number of non-Aboriginal ancestry only, SE Workers	FNA Self-employed Workers, Percentage of Workers by Educational Category	non-Aboriginal SE Workers by Educational Category
Total Population	8,765	318,065		
No certificate, diploma or degree	1,745	29,845	19.9%	9.4%
High school diploma or certificate	1,960	72,650	22.4%	22.8%
Apprenticeship or trades cert/dipl	1,555	40,995	17.7%	12.9%
College, CEGEP/non-univ. cert/dipl	1,585	58,150	18.1%	18.3%
University cert/dipl below BA level	420	20,020	4.8%	6.3%
Bachelor's degree	965	53,930	11.0%	17.0%
University cert/dipl, degree above BA	540	42,465	6.2%	13.4%

Alberta:

In Alberta, FNA self-employed workers with no certificate, diploma, or degree represent just under a quarter of all self-employed FNA workers, compared to only 13.9% for the non-Aboriginal self-employed workforce (Figure 9.2). Parity exists for both groups of workers – high school diplomas being the highest level of education attained at 22.2% for FNA and 23.5% for non-Aboriginal self-employed workers. Once

again, FNA self-employed workers are underrepresented in university educational attainment categories (Bachelors degree or higher) with 13.6% for FNA compared to 23.4% for non-Aboriginal self-employed workers in the province.

Table 9.2: Alberta, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Alberta	Number of First Nations Ancestry, Self-employed Workers	Number of non-Aboriginal ancestry only, SE Workers	FNA Self-employed Workers, Percentage of Workers by Educational Category	non-Aboriginal SE Workers by Educational Category
Total Population	6,180	248,650		
No certificate, diploma or degree	1,435	34,495	23.2%	13.9%
High school diploma or certificate	1,370	58,545	22.2%	23.5%
Apprenticeship or trades cert/dipl	1,090	38,280	17.6%	15.4%
College, CEGEP/non-univ. cert/dipl	1,295	49,200	21.0%	19.8%
University cert/dipl below BA level	145	9,840	2.3%	4.0%
Bachelor's degree	560	36,380	9.1%	14.6%
University cert/dipl, degree above BA	280	21,910	4.5%	8.8%

Prairie Provinces:

In Saskatchewan, the percentage of FNA self-employed workers with one or more university degrees drops to 11.4%, which is almost identical to Manitoba with 11.5%, while non-Aboriginal Self-employed workers were slightly higher in Saskatchewan at 14.7%, but much higher in Manitoba at 21.1% (Table 9.3 and 9.4).

Table 9.3: Saskatchewan, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Saskatchewan	Number of First Nations Ancestry, Self-employed Workers	Number of non-Aboriginal ancestry only, SE Workers	FNA Self-employed Workers, Percentage of Workers by Educational Category	non-Aboriginal SE Workers by Educational Category
Total Population	1,670	80,110		
No certificate, diploma or degree	630	12,840	26.9%	20.0%
High school diploma or certificate	425	15,500	17.1%	30.0%
Apprenticeship or trades cert/dipl	245	8,320	21.6%	16.5%
College, CEGEP/non-univ. cert/dipl	320	10,365	20.1%	14.3%
University cert/dipl below BA level	40	3,045	3.3%	4.5%
Bachelor's degree	125	7,845	6.6%	9.5%
University cert/dipl, or degree above BA	90	5,530	4.8%	5.2%

FNA self-employed workers are overrepresented in the no certificate, diploma, or degree category at 26.7% in Saskatchewan and at 33.7% in Manitoba.

Even the non-Aboriginal self-employed workforce lacks education in Saskatchewan with 50% having failed to attain a degree, diploma, or certificate beyond high school – the poorest educational result in Canada. This lack of formal education must be a considerable challenge to overcome for independent business people attempting to run and manage their own business regardless of its size. In Saskatchewan, FNA self-employed workers are overrepresented at 21.6%, a number only exceeded by Quebec at 22.9%, while the non-Aboriginal self-employed workforce comes in at 16.5% and 21% respectively. In fact, Quebec leads the country in the percentage of its self-employed labour force that is educated in apprenticeships or trades.

Manitoba, unfortunately leads the country in the percentage of its FNA and non-Aboriginal self-employed workforce that has failed to acquire any form of diploma, certificate, or degree at 33.7% and 20.2% respectively (Figure 9.4). In total, 56.4% of the province's FNA Self-employed workers lack any education beyond that of high school, with its non-Aboriginal population not fairing much better at 44.6%.

Table 9.4: Manitoba, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Manitoba	Number of First Nations Ancestry, Self-employed Workers	Number of non-Aboriginal ancestry only, SE Workers	FNA Self-employed Workers, Percentage of Workers by Educational Category	non-Aboriginal SE Workers by Educational Category
Total Population	1,870	63,455		
No certificate, diploma or degree	630	12,840	33.7%	20.2%
High school diploma or certificate	425	15,500	22.7%	24.4%
Apprenticeship or trades cert/dipl	245	8320	13.1%	13.1%
College, CEGEP/non-univ. cert/dipl	320	10,365	17.1%	16.3%
University cert/dipl below BA level	40	3,045	2.1%	4.8%
Bachelor's degree	125	7,845	6.7%	12.4%
University cert/dipl, or degree above BA	90	5,530	4.8%	8.7%

Ontario and Quebec:

In Ontario and Quebec, we see for the first time a FNA self-employed labour force that exceeds ten thousand workers, but they are but a drop in the wave of the total Self-employed labour force, which numbers close to three-quarters of a million Self-employed workers in Ontario and around 450,000 in

Quebec (Figures 9.5 and 9.6). In Ontario, there are also improved educational outcomes for FNA self-employed workers with a high percentage of them attaining apprenticeship and trades all the way through to university education. Only 15.7% failed to acquire that all important first certificate, diploma or degree, a jarring comparison to Manitoba's 33.7% with no degree.

Table 9.5: Ontario, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011

Ontario	Number of First Nations Ancestry, Self-employed Workers	Number of non-Aboriginal ancestry only, SE Workers	FNA Self-employed Workers, Percentage of Workers by Educational Category	non-Aboriginal SE Workers by Educational Category
Total Population	12,385	728,555		
No certificate, diploma or degree	1,940	80,895	15.7%	11.1%
High school diploma or certificate	2,735	158,985	22.1%	21.8%
Apprenticeship or trades cert/dipl	1,785	74,390	14.4%	10.2%
College, CEGEP/non-univ. cert/dipl	3,225	147,120	26.0%	20.2%
University cert/dipl below BA level	450	34,070	3.6%	4.7%
Bachelor's degree	1,335	129,075	10.8%	17.7%
University cert/dipl, or degree above BA	915	104,020	7.4%	14.3%

Almost 50% of the Ontario FNA self-employed labour force has some level of college or higher educational attainment and that number jumps to 62.2% if it includes workers with training in the trades and as apprentices. In an even stronger fashion in Quebec, upwards of 67.7% of the self-employed FNA labour force has educational attainment in the trades and apprenticeships through to advanced university degrees, the highest in Canada. Even though the self-employed FNA workforce in Ontario and Quebec are doing comparatively better than elsewhere in Canada, they still lag behind in higher education in Ontario where 32% of the non-Aboriginal self-employed labour force have university Bachelor degrees or higher compared to 18.2% for FNA, with the corresponding number for Quebec being 25.2% and 21.1% for FNA Self-employed. Only in Quebec and in Atlantic Canada does educational attainment for self-employed FNA workers break through the 20% barrier at 21.1% in Quebec and 21.7% in Atlantic Canada.

Table 9.6: Quebec, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011				
Quebec	Number of First Nations Ancestry, Self-employed Workers	Number of non-Aboriginal ancestry only, SE Workers	FNA Self-employed Workers, Percentage of Workers by Educational Category	non-Aboriginal SE Workers by Educational Category
Total Population	11,960	433,950		
No certificate, diploma or degree	1,935	57,715	16.2%	13.3%
High school diploma or certificate	1,920	75,860	16.1%	17.5%
Apprenticeship or trades cert/dipl	2,740	90,980	22.9%	21.0%
College, CEGEP/non-univ. cert/dipl	605	24,165	18.6%	16.3%
University cert/dipl below BA level	2,530	114,285	5.1%	5.6%
Bachelor's degree	1,285	60,890	10.7%	14.0%
University cert/dipl, or degree above BA	1,245	53,395	10.4%	12.3%

Atlantic Canada:

In Atlantic Canada, as in Quebec, there are significant differences between the two self-employed workforces based on Educational attainment (Figure 9.7). There are about 3% more FNA self-employed workers in the no certificate group, but there is also a higher percentage of non-Aboriginal self-employed workers that never attained an education beyond high school. In the trades, there is only a 1% difference, while more FNA are likely to attain a College or other non-university diploma, certificate, or degree at 22.7% compared to 19.6% for non-Aboriginal self-employed workers. This is balanced off by the slightly higher percentage of non-Aboriginal self-employed workers who acquired a university degree or better.

Table 9.7: Atlantic Canada, Comparative Educational Attainment of Self-employed workers of First Nation Ancestry compared to non-Aboriginal workers, 2011				
Atlantic Canada	Number of First Nations Ancestry, Self-employed Workers	Number of non-Aboriginal ancestry only, SE Workers	FNA Self-employed Workers, Percentage of Workers by Educational Category	non-Aboriginal SE Workers by Educational Category
Total Population	2,955	93,670		
No certificate, diploma or degree	515	14,685	17.4%	15.7%
High school diploma or certificate	585	19,865	19.8%	21.2%
Apprenticeship or trades cert/dipl	480	14,205	16.2%	15.2%
College, CEGEP/non-univ. cert/dipl	670	18,370	22.7%	19.6%
University cert/dipl below BA level	55	2,950	1.9%	3.1%
Bachelor's degree	405	13,355	13.7%	14.3%
University cert/dipl, or degree above BA	235	10,235	8.0%	10.9%

10. INCOME AND EDUCATIONAL ATTAINMENT FOR WORKERS OF FIRST NATIONS ANCESTRY

There is a longstanding recognition that a positive correlation exists between increased educational attainment and earning potential, or income. This is clearly defined at the national scale in Table 10.1 and Figure 10.1, where we see staggered increases in average total income (2010) as self-employed workers improve educationally.

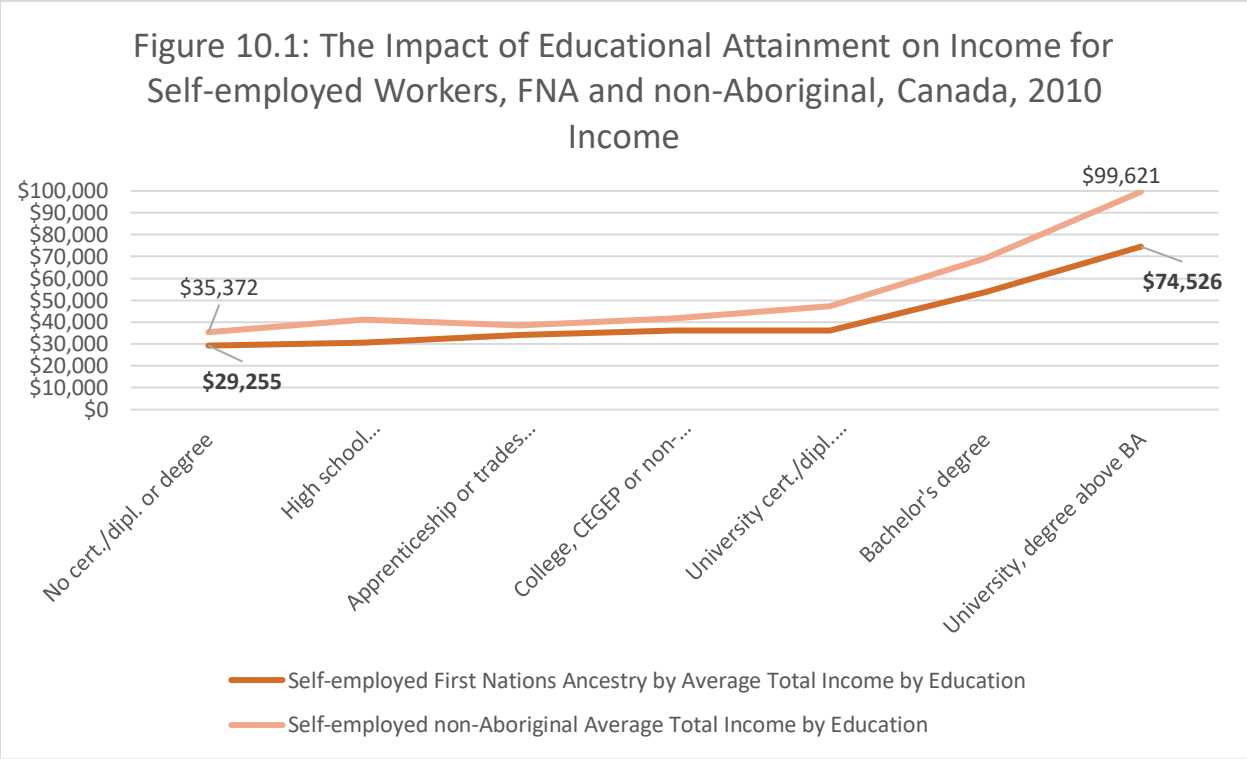
Table 10.1: Canada, Educational Attainment 2011, compared to Average Total Income, 2010 for Self-employed FNA Workers.

Educational Attainment, NHS 2011	Self-employed First Nations Ancestry by Average Total Income by Education, 2010	Self-employed non-Aboriginal Average Total Income by Education, 2010
No cert./dipl. or degree	$29,255	$35,372
High school diploma/certificate	$30,533	$40,992
Apprenticeship or trades cert./dipl.	$34,010	$38,424
College, CEGEP or non-univ. cert./dipl.	$36,277	$41,756
University cert./dipl. below BA	$36,243	$47,264
Bachelor's degree	$53,717	$69,201
University, degree above BA	$74,526	$99,621

Table 10.1 breaks out the incomes of self-employed workers of both First Nation Ancestry (FNA) and non-Aboriginal origins in Canada. The pattern is apparent, improvement in one's education translates into increased income. We also note that self-employed FNA workers, regardless of their educational attainment, earn considerably less than non-Aboriginal self-employed workers even though they are in the same educational attainment category. We should note though, that in specific sectors, there could be considerable differences in the nature of the educational attainment, for example there could be a considerably higher percentage of non-Aboriginal self-employed workers with advanced degrees in medicine, engineering, law or business while FNA SE workers may have higher degrees in education, the arts or social sciences which pay at a lower rate than the professional degrees. Likewise, self-employed non-Aboriginal workers in the trades might have more years of business experience, so although the two groups might have similar trades diplomas one may have five to ten-years more project experience.

At the bottom of the income levels we find that self-employed workers of both First Nation and non-Aboriginal ancestry have the lowest average total income at $29,255 and $35,372 respectively. In all but one instance taking a step up on the education attainment ladder increases one's income with incomes dramatically rising for workers with a university education, by some $17,000 for self-employed FNA workers

and over $21,000 annually for non-Aboriginal workers in 2010. By adding a post graduate certificate, diploma or degree, self-employed FNA in Canada add on average another $21,000 annually in income, while their non- Aboriginal counterparts accumulate over $30,000 more in income. This pattern is reinforced in British Columbia, although the incomes levels across the range of educational categories are below those of the national average.



But we also need to ask are self-employed FNA workers earning more than FNA employees with the same level of educational attainment. On the one hand, we assume that the lure to Self-employment is one of increased earning potential. But self-employment may also be a response to a lack of formal economy jobs in a market place, especially in remote communities or on Indian Reserves. As such, workers may set themselves up as unincorporated business people seeking to make a living with the skills or equipment they have available to them often in the case of First Nation's people in remote and often non-economic places. We also know from the recent recession of 2008 that many laid-off workers set themselves up as self-employed workers when their steady wage opportunities terminated. In Figure 10.2 we see that self-employed FNA workers as of 2010 suffered from lower incomes than FNA employees with the same levels of educational attainment across Canada. What we see is that self-employed FNA workers in the lowest educational and the highest educational categories earned more on average annually in 2010 than FNA employees, but that in all other categories the wage-earning employees had higher incomes. For example,

FNA employees with an education in the trades or as apprentices earned around $7,000 more annually than their self-employed counterparts, while in the much small population of workers with a university education below that of a bachelor degree employees earned $10,000 more than those who were self-employed.

Figure 10.2: Canada, Comparison of FNA and non-Aboriginal Employee and Self-employed workers' Incomes by Education, (Income 2010, Education 2011)

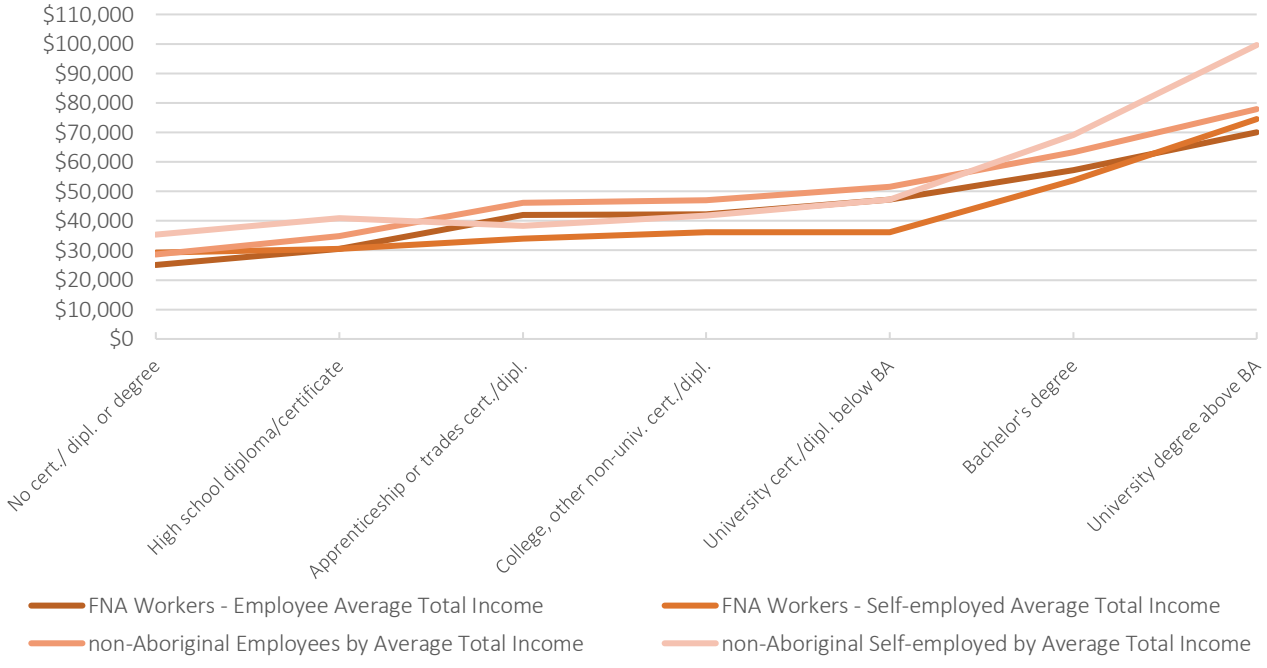
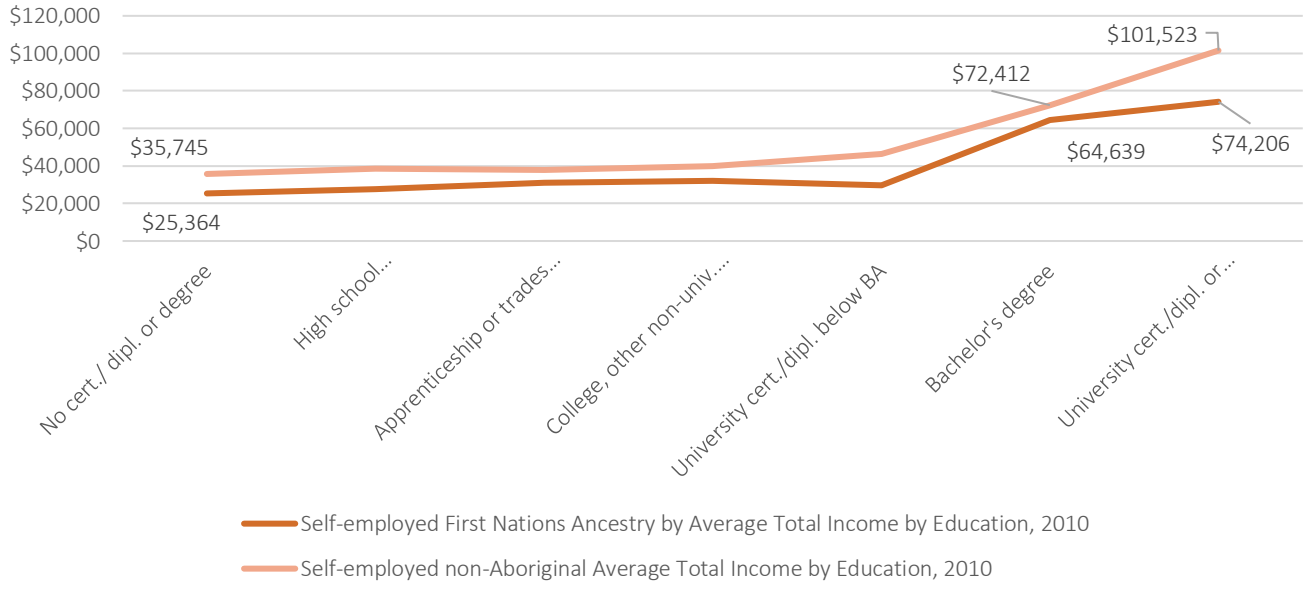


Figure 10.3: Canada, The Impact of Educational Attainment on Income for Self-employed Workers, FNA and non-Aboriginal, 2010 Income



Another aspect of self-employment, is self-underemployment, by which we mean that as a contractor, one needs to acquire billable hours, or contracts and projects to work on, this requires unpaid labour including marketing, attending meetings, researching opportunities, and often downtime between projects. Employees generally have regular working hours in jobs that guarantee them set hours, at a set wage.

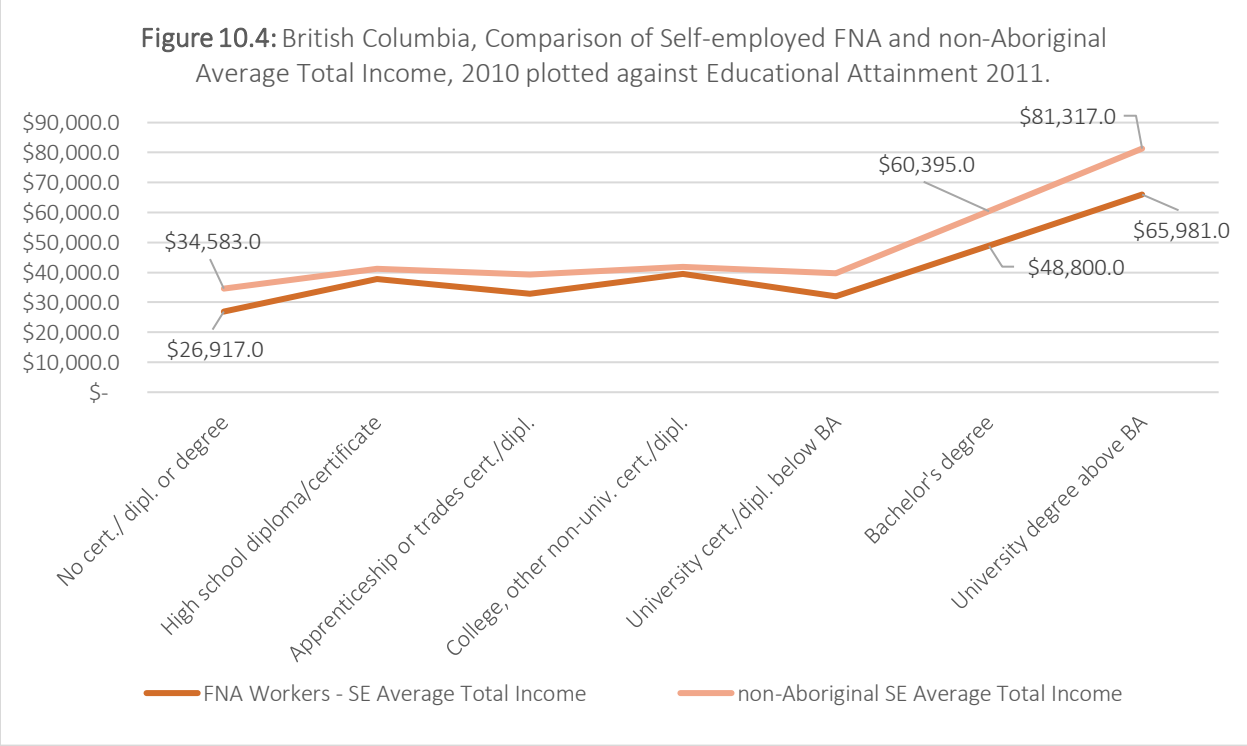


Figure 10.4: British Columbia, Comparison of Self-employed FNA and non-Aboriginal Average Total Income, 2010 plotted against Educational Attainment 2011.

The breakout of income by Educational attainment can result is some rather skewed numbers due to the small population base of some cohorts in smaller provinces. For example, in Saskatchewan we have only 75 reporting self-employed FNA income earners in the university certificate, diploma, or degree above a Bachelor degree which results in an average total income for the cohort in excess of $125,000.

Table 10.2: British Columbia, Comparison of Self-employed FNA and non-Aboriginal Workers' Average Total Income, 2010 plotted against Educational Attainment 2011

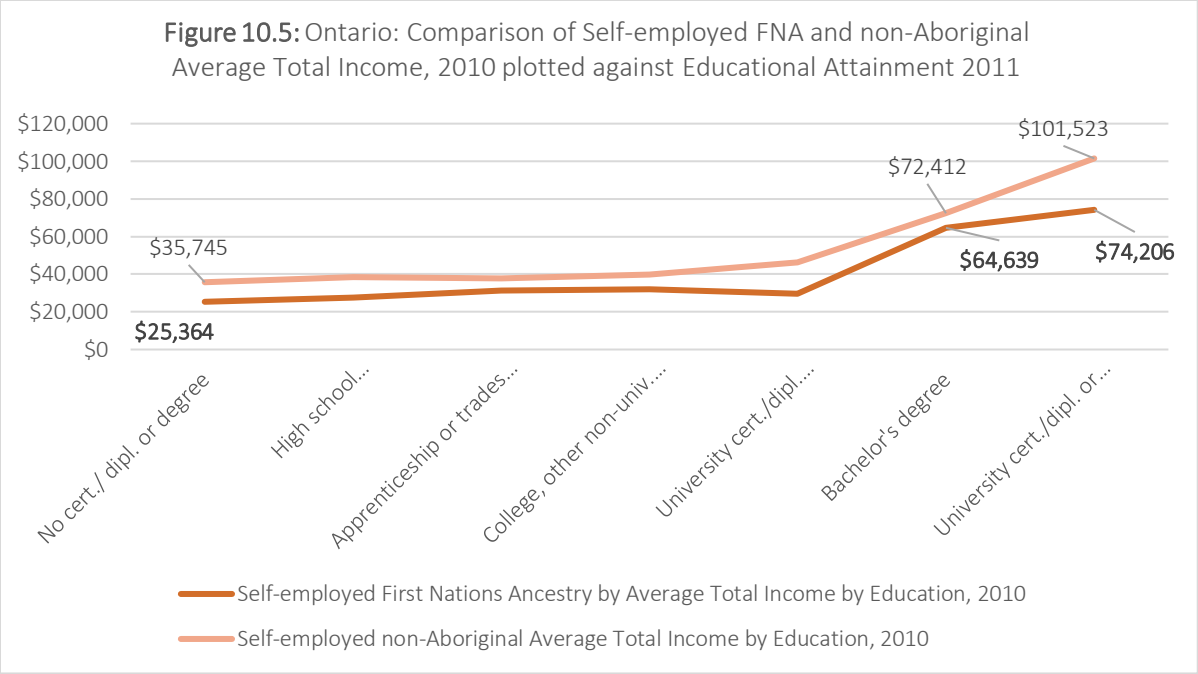
Educational Attainment, NHS 2011	Self-employed First Nations Ancestry by Average Total Income by Education, 2010	Self-employed non-Aboriginal Average Total Income by Education, 2010
No cert./ dipl. or degree	$26,917.00	$34,583.00
High school diploma/certificate	$37,842.00	$41,203.00
Apprenticeship or trades cert./dipl.	$32,859.00	$39,251.00
College, other non-univ. cert./dipl.	$39,534.00	$41,798.00
University cert./dipl. below BA	$31,909.00	$39,646.00
Bachelor's degree	$48,800.00	$60,395.00
University cert./dipl. or degree above BA	$65,981.00	$81,317.00

Table 10.3: Ontario, Comparison of Self-employed FNA and non-Aboriginal Workers Average Total Income, 2010 plotted against Educational Attainment 2011		
Educational Attainment, NHS 2011	**Employed First Nations Ancestry by Average Total Income by Education, 2010**	**Self-employed FNA Average Total Income by Education, 2010**
No cert./ dipl. or degree	$23,383	$25,364
High school diploma/certificate	$30,958	$27,571
Apprenticeship or trades cert./dipl.	$43,478	$31,160
College, other non-univ. cert./dipl.	$43,173	$31,972
University cert./dipl. below BA	$56,141	$29,734
Bachelor's degree	$62,268	$64,639
University cert./dipl. or degree above BA	$74,251	$74,206

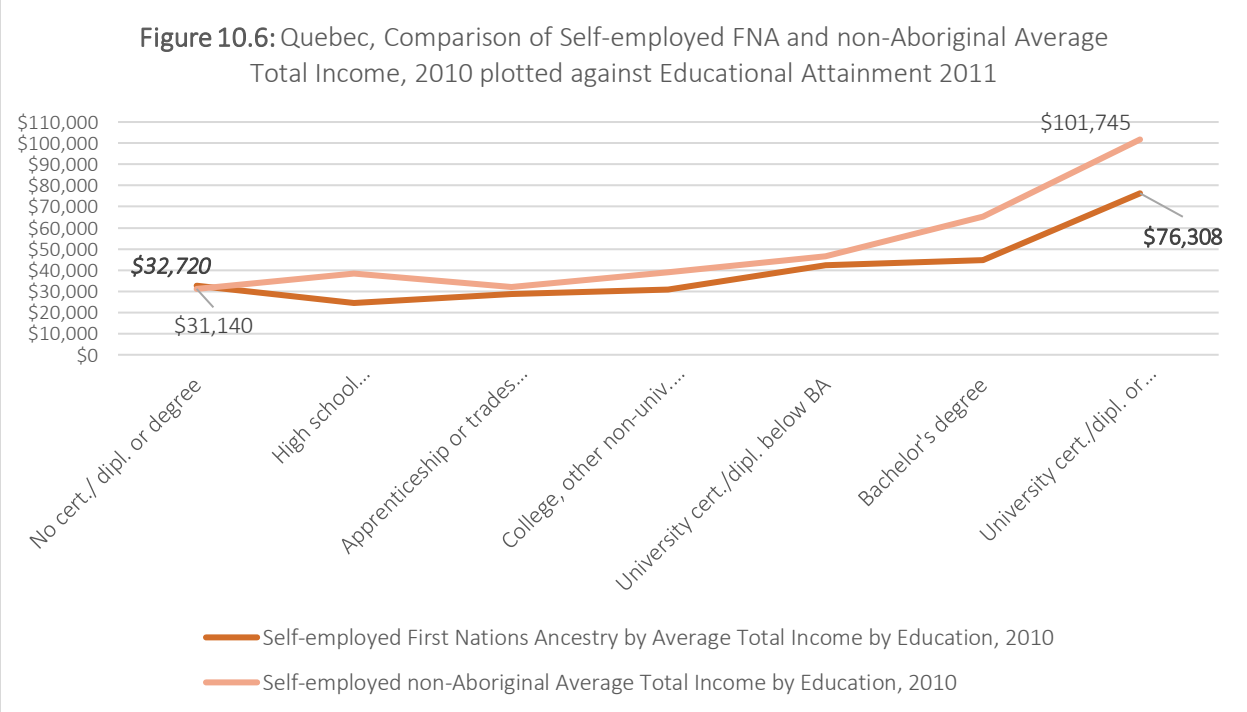
When we review the Ontario self-employed income data by educational attainment we find a labour market which is apparently different than that of western Canada, one in which self-employment appears to hold little advantage as measured by income, even at the highest levels of education (Table 10.3). FNA Employees in Ontario earn more than self-employed workers of First Nation Ancestry in all but two categories and even then, the separation is minimal. Self-employed FNA workers with high school degrees, apprenticeships and trades, college, or other non-university education as well as university education below that of a bachelor's degree all earn substantially less than employees with the same level of education as of 2011. For example, FNA workers with an apprentices or trades education earn over $11,000 more annually than their Self-employed counterparts (Also see Figure 10.5).

Table 10.4: Quebec, Comparison of Self-employed FNA and non-Aboriginal Workers Average Total Income, 2010 plotted against Educational Attainment 2011		
Educational Attainment, NHS 2011	**Employed First Nations Ancestry by Average Total Income by Education, 2010**	**Self-employed FNA Average Total Income by Education, 2010**
No cert./ dipl. or degree	$24,689.00	$32,720.00
High school diploma/certificate	$28,947.00	$24,472.00
Apprenticeship or trades cert./dipl.	$36,482.00	$28,643.00
College, other non-univ. cert./dipl.	$38,542.00	$30,869.00
University cert./dipl. below BA	$44,499.00	$42,324.00
Bachelor's degree	$52,824.00	$44,710.00
University cert./dipl. or degree above BA	$63,988.00	$76,308.00

In a similar outcome to Ontario, we find that in Quebec self-employed FNA workers are not necessarily earning more than FNA workers listed as employees (Table 10.4).



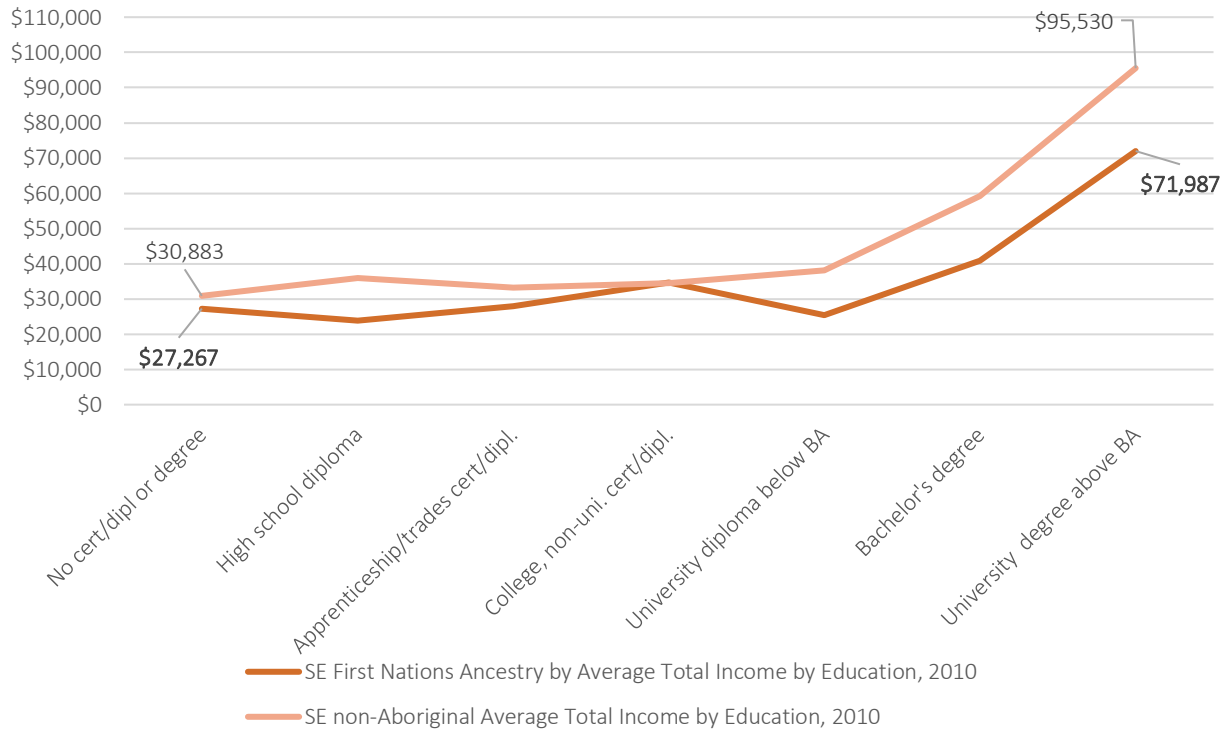
Self-employed FNA workers in Quebec with no formal educational certificates earn some $8000 more than employees with the same lack of credentials. However, no other group of Self-employed FNA workers earn substantially more than employee workers with the same educational status except the most educated category of workers those with post graduate educational experience, lawyers, doctors, teachers, MBAs, essentially the professional class (Figure 10.6). Self-employed FNA workers with post-graduate certificate, diplomas or degrees earn around $13,000 more annually.

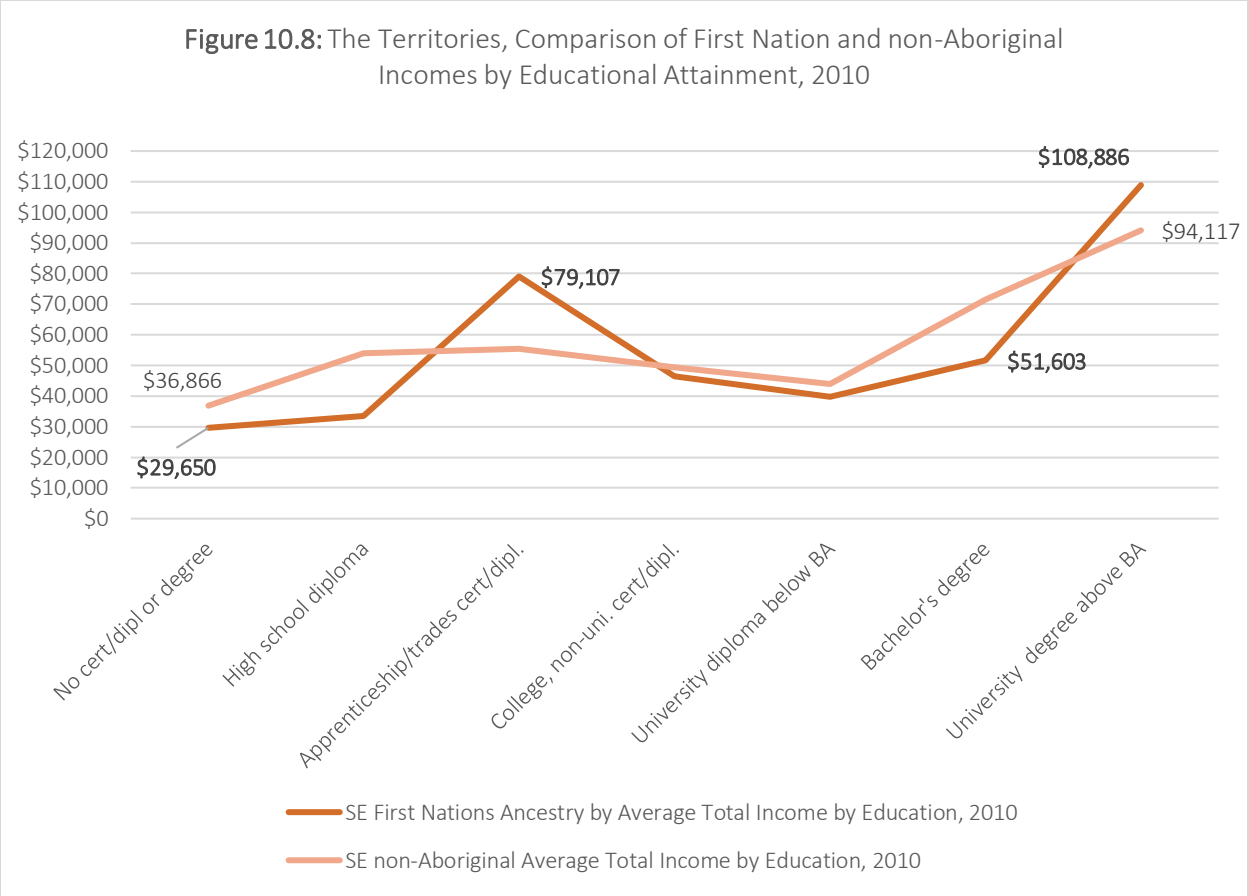


When we compare the incomes of self-employed FNA workers to non-Aboriginal workers in the same educational categories we once again find that self-employed FNA earn less than non-Aboriginal SE in all but the lowest educational category of "no certificate, diploma or degree" and that the gap between SE FNA wages and those of the non-Aboriginal population becomes rather extreme once university degrees have been achieved. The gap between self-employed FNA workers with a university degree and those of the non-Aboriginal self-employed, Bachelor's degree earners was some $21,000 rising to over $25,000 once post-graduate work has been added to their educational experience.

The impact of education attainment on incomes in the Territories is unique for Canada. Here we have some 25% of the population in Yukon, and 50% in NWT being of Aboriginal descent. We also have high degrees of self-government activity in the two Territories and numerous Comprehensive Benefit Agreements with the mining and oil & gas extractive industries.

Figure 10.7: Atlantic Canada, Comparison of First Nation and non-Aboriginal Incomes by Educational Attainment, 2010





This has resulted in much higher income opportunities for self-employed workers of FNA with skilled self-employed workers with certificate, diplomas or degrees in the trades making just under $80,000 annually which is some $14,000 higher than non-Aboriginal workers in the same category while FNA self-employed workers with qualification beyond that of a Bachelor's degree out-earn their non-Aboriginal counterparts by over $14,000 annually (Figure 10.8).

11. CONCLUSIONS

We started this report working from the perspective that self-employed workers of First Nation Ancestry (FNA) probably exhibited a measurably different profile from that of self-employed workers of non-Aboriginal descent. While that holds true based on metrics such as average annual income, income composition, or occupational categories, we found that on many variables the two communities of self-employed workers were surprisingly similar, for example by employment in industrial sectors or the fields they studied for their post-secondary education. In comparison, the profiles of Self-employed workers of FNA were demonstrably different from those of FNA "employee" workers for almost all variables broken out of the socio-economic data drawn from the 2011 NHS/Census custom tabulation prepared for the CCAB by Statistics Canada.

Secondly, we were able draw viable populations for Self-employed workers on most metrics at the sub-national level for the major provinces of British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, and Quebec as well as aggregated data for Atlantic Canada. In some instances, data at the provincial level for the four Atlantic provinces was available. Occasionally, we could draw data from the Territories, whose base population is a fraction of the major provinces, but which have higher First Nation representation. The Territories, though, really means Yukon and the Northwest Territories, as there is but a minute First Nation worker population in Nunavut. Again, we see more commonality than differences between the provinces when it comes to the self-employment metrics for First Nation workers versus non-Aboriginal self-employed workers. However, certain detrimental spatial patterns do occur with frequency across the metrics, the prairie provinces of Saskatchewan and Manitoba have very poor levels of participation for FNA workers of both self-employed and employee, while workers of First Nation Ancestry in Quebec frequently surpass the national average in most socio-economic metrics used in the report. There are also some unexpected results, such as the high incomes of self-employed workers of FNA in the Territories, which is the highest in Canada and on this one occasion surpasses the average annual income of non-Aboriginal self-employed workers. In the Territories, FNA self-employed workers had an average 2010 annual income that was $14,000 higher than that of non-Aboriginal self-employed workers, while across Canada the difference between the two groups in favour of non-Aboriginal self-employed workers was around $26,000. In 2010, there was clearly a high demand for SE FNA workers in the mining and natural resources sector in the Territories, possibly linked to competitive positions garnered through Comprehensive Benefit Agreements that many First Nations negotiated with mining firms in their traditional territories.

We have also been able to drill down in the metrics to compare the socio-economic condition of self-employed FNA workers based on the key geographic indicator of On-Reserve and Off-Reserve.[28] Reserve geography clearly divides self-employed FNA workers in relation to language retention, with retention being higher On-Reserve, and land tenure the link between home ownership and self-employment being much more aligned to Off-Reserve status. Likewise, incomes were generally higher for self-employed FNA workers living Off-Reserve than On-Reserve with the exceptions of Alberta and Quebec. While On-Reserve worker income composition, commonly had a larger percentage of total income derived from government transfer payments.

In this concluding chapter, we review the key findings of the report chapter by chapter to generate a profile of the difference between Self-employed workers of First Nation Ancestry compared to non-Aboriginal self-employed workers and to FNA workers participating in the labour force as employees in bullet form.

11.1 Key Findings

- Self-Employed First Nation Ancestry Workers (SE FNA) are underrepresented across Canada at 4.7% in the ranks of the self-employed compared to non-Aboriginal workers at 7.6%, although the difference falls to only one percentage point in Quebec with the highest difference being Saskatchewan at 2.2% compared to 11.3% for non-Aboriginal;

Sex, Age, Language, and Mobility

- Aboriginal Men are more likely to be self-employed than women by a 60/40 ratio; this climbs as high as 66/33 in Manitoba and over 70/30 in Newfoundland, Nova Scotia, and Nunavut;
- Self-employed FNA workers, like their non-Aboriginal counterparts have an older age profile than that of employees. This suggests one of three scenarios, and, in all likelihood, all three are contributing: 1) that these workers have come to self-employment after years of employee status learning a business or trade, 2) that they are using self-employment as a transition into retirement, topping up their income, or 3) that they have been forced into self-employment due to the lack of jobs or redundancy issues in the labour market;
- The median age of self-employed FNA workers is slightly lower than that of self-employed non-Aboriginal workers across Canada at around 46 compared to 50 median age, this seems logical given the much younger age profile of Aboriginal Canadians in general. Self-employed FNA workers profile as younger in all regions;

[28] The reserve terminology does not translate into the Territories where a Reserve system never developed and specially not in Yukon where 11 of the 14 First Nations are self-governing based on modern land treaties.

- Self-employed FNA workers are less likely to be able to speak an Aboriginal language than FNA employee workers, with the retention levels at only 5% for those attaining a university degree, as these are often the better educated and higher income earners in the FNA community, this is a disheartening finding for linguistic retention, maintenance, or revival;
- The higher the educational attainment of self-employed FNA workers the lower the retention level for First Nation languages;
- Self-employed FNA workers are more likely to have moved in the past 5-years (2006-2011) than the non-Aboriginal self-employed workforce by a rate of 40.2% compared to 32.9% across Canada, this pattern holds for all geographies but was most noticeable in BC and the Territories which had the highest FNA mover rates in Canada;

Land Tenure and Geography

- When it comes to home ownership, both self-employed FNA and non-Aboriginal self-employed are well represented at 74% and 84% respectively; however, only 2% of Canada's self-employed FNA live in Band Council housing compared to 9% of all Aboriginal people, while only 54% of all Aboriginal people lived in owned structured; so, while self-employed FNA were less likely to own their own homes than non-Aboriginal self-employed workers by a margin of 10%, they were far more likely to own their own home than other Aboriginal Canadians;

  However, we do not know which came first home ownership or self-employment;

Occupations and Industry

- Self-employed FNA workers are underrepresented in four of the top five paying occupational categories and overrepresented in the lower paying occupational sectors. Self-employed FNA are less likely to be working in the highest three paying occupational sectors: Management occupations, Natural and applied sciences, and the health occupations but more likely to be working in the lowest paid occupational sectors: Sales and services, Occupations in art, culture, recreation, and sport, and Natural resources and agriculture;
- Self-employed FNA workers have a strong representation in Occupations related to: Education, law and social, community and government services, which pay moderately well;
- Based on Occupation, there appears to be a stronger culture of Self-employment among workers of First Nation Ancestry in Quebec and British Columbia and a much weaker attraction to self-employment for self-employed FNA workers in Manitoba and Saskatchewan;

- When we review the frequency with which FNA and non-aboriginal workers find employment in the ten major NOC Occupational codes we see little difference in the rank order between the two groups, the most frequent occupational category is Sales and services for each community of workers followed by occupations in the Trades, transport and equipment operators and related occupations;
- In 2011, the NHS expanded the range of NAICS listed to twenty categories of industrial activity creating a much more refined breakout, but at the same time reducing our ability to report on self-employed FNA workers without having to collapse categories. Essentially, when we compare the types of industries that FNA and non-Aboriginal workers are drawn to, we find almost no difference based on rank order. What we do find is that self-employed FNA workers have a very different employment profile from FNA employees. Indeed, they are radically different;
    - Self-employed FNA workers are most commonly working in Construction, the Professional, scientific, and technical services and in other service (other than public administration) while FNA employees line up for jobs in Public administration, Health care and social assistance, and in Retail trade. This pattern carries on at the provincial level;

Income

- First Nation Self-employed earned less total average income than both classes of non-Aboriginal workers and only slightly more than employed FNA workers;
- When we compare their average income levels to those of non-Aboriginal workers we find that FNA self-employed workers have incomes that are 38% lower than their non-Abo counterparts, suggesting that self-employment is not the solution to closing the income gap between the two groups (Figure 6.1);
- Across Canada, fewer self-employed FNA work full-time throughout the year than non-Aboriginal workers, ranging from a difference of 0.7% in the Territories upwards of 7.3% in Ontario. On average, in Canada, 69.5% of FNA self-employed workers worked full-time compared to just under 75% for non-Aboriginal SE workers;
- Nationally, Off-Reserve self-employment incomes exceed On-Reserve self-employed FNA incomes of workers ranging from a difference of only 7.9% in Atlantic Canada up to 108.5% in Saskatchewan. However, in Quebec and Alberta the average incomes of On-Reserve self-employed FNA workers exceeds that of their Off-Reserves colleagues;
- In 2009, paid employees averaged $52,400 in total income, compared to $46,200 among the self-employed. As might be expected, most of the income of paid employees was from wages and salaries. The sources of income for the self-employed were more varied as they reported on average about

$17,500 in wages and salaries, $20,600 in self-employment income, $4,400 in investment income (including dividends) and $1,100 in capital gains;

- The major difference in income composition at the national level occurs with a higher dependency on government transfer payments for self-employed FNA workers at 10.1% compared to 6.7% for self-employed non-Aboriginal workers;
- Self-employment income is highest for workers living Off-Reserves at 33.6% compared to only 21.3% for those living On-Reserve, while On-Reserve self-employed workers are more dependent upon Government transfer payments at 14.9% of their income compared to 9.9% for those living Off-Reserve;

Education

- FNA self-employed workers begin from a deficit position by not having attained the basic educational requirement for higher education a high school graduation or equivalency with 39.2% of the self-employed failing to graduate high school compared to 34.2% for non-Aboriginal self-employed workers;
- When we map out the percentage of self-employed workers of FNA and non-Aboriginal ancestry against each other we only find a significant difference in the rates of educational attraction in only two fields where FNA self-employed workers are overrepresented, these are Personal, protective and transportation services and Visual and performing arts and communications technologies while FNA self-employed workers are underrepresented in Education and to some extent in Business, management, and public administration;
- In the essential STEM fields, which are drivers for the modern economy, self-employed FNA workers are underrepresented by a considerable margin when compared to the percentage of the non-Aboriginal workforce that has studied in the STEM fields;
- Generally self-employed FNA and non-Aboriginal workers have pursued the same fields of education at about the same rate when we rank order the frequency of participation by field of study;
- Although some minor differences occur across the provinces, self-employed FNA workers are generally overrepresented in the lower spectrum of educational attainment – No certificate, diploma, or degree and in the Apprenticeships and trades and underrepresented at the University Bachelor level and at the post-graduate university level. Quebec demonstrates the least difference between the educational attainment outcomes of the two self-employed worker groups;
- There is a direct correlation between higher educational attainment and higher income;

- With the exception of the Territories, self-employed FNA workers earn less than non-aboriginal workers with the same level of education across Canada with very few exceptions.

APPENDIX A: NHS Custom Table Specifications

For: CCAB Date: December 16, 2016

Table 1 Title: Aboriginal Identity (11), Area of Residence (3), Highest Certificate, Diploma or Degree (10), Class of worker (5), Selected Characteristics (204) and Adjusted Base for Incompletely Enumerated Reserves 2006-2011 (2) for the Population Aged 15 Years and Over in Private Households of Canada, Provinces and Territories, and of Selected Regions, 2011, National Household Survey

File Format: Beyond 20/20 [11,444,400 cells]

Year, Database: 2011, National Household Survey

Geographies: Canada, Prov~Terr, and Aggregates for the Prairies, Atlantic Canada and the Territories [17 geographies]

1) Please see details at bottom.
2) For the 2011 National Household Survey (NHS) estimates, the global non-response rate (GNR) is used as an indicator of data quality. This indicator combines complete non-response (household) and partial non-response (question) into a single rate. The value of the GNR is presented to users. A smaller GNR indicates a lower risk of non-response bias and as a result, lower risk of inaccuracy. The threshold used for estimates' suppression in standard products is a GNR of 50% or more. All the geographies requested for this custom tabulation have a GNR under 50%. For more information, please refer to the National Household Survey User Guide, 2011.

Universe: Population Aged 15 Years and Over in Private Households

Table Structure: Population Aged 15 Years and Over in Private Households by Aboriginal Identity (11), by Area of Residence (3), by Highest Certificate, Diploma or Degree (10), by Class of worker (5), by Selected Characteristics (204) and by Adjusted Base for Incompletely Enumerated Reserves 2006-2011 (2) [673,200 cells / geog]

Variables:

Adjusted Base for Incompletely Enumerated Reserves 2006-2011 (2)

1. Total – Complete 2011 NHS Population Coverage[1]
2. Adjusted estimate of the population aged 15 years and over[2]

Notes:

1) The universe in the present table represents the population aged 15 years and over in private households as established by the 2011 NHS.

2) The 2011 NHS adjusted estimate excludes the population residing in a reserve incompletely enumerated in 2006 even in cases where the 2011 enumeration has been successful.

This filter can be used when working with 2006 and 2011 Aboriginal data sets. An equivalent filter will be present in the 2006 table.

While we can attempt to align 2006 and 2011 coverages by resetting incompletely enumerated reserves, it is not recommended to compare data from the 2011 NHS to data from 2006 Census.

Aboriginal Identity (11)

1. Total - Population by Aboriginal identity
2. Aboriginal identity population[1]
3. First Nations (North American Indian) single identity
4. Multiple Aboriginal identities
5. Aboriginal identities not included elsewhere
6. Total - First Nations (single) identity population by Registered or Treaty Indian status
7. Registered or Treaty Indian[2]
8. Total - Population by Aboriginal ancestry (ethnic origin)
9. Aboriginal ancestry[3]
10. First Nations (North American Indian) Aboriginal ancestry[3,4]
11. Non-Aboriginal ancestry only

Notes: 1) 'Aboriginal identity' refers to whether the person reported being an Aboriginal person, that is, First Nations (North American Indian), Métis or Inuk (Inuit) and/or being a Registered or Treaty Indian (that is, registered under the Indian Act of Canada) and/or being a member of a First Nation or Indian band. Aboriginal peoples of Canada are defined in the Constitution Act, 1982, section 35 (2) as including the Indian, Inuit and Métis peoples of Canada.

2) 'Registered or Treaty Indian status' refers to whether or not a person reported being a Registered or Treaty Indian in Question 20. Registered Indians are persons who are registered under the Indian Act of Canada. Treaty Indians are persons who belong to a First Nation or Indian band that signed a treaty with the Crown. Registered or Treaty Indians are sometimes also called Status Indians.

3) Counting single and multiple responses.

4) Users should be aware that the estimates associated with this variable are more affected than most by the incomplete enumeration of certain Indian reserves and Indian settlements in the National Household Survey (NHS). In 2011, there were a total of 36 Indian reserves and Indian settlements that were 'incompletely enumerated' in the NHS. For these reserves or settlements, NHS enumeration was either not permitted or was interrupted before it could be completed, or was not possible because of natural events (specifically forest fires in Northern Ontario). For additional information, please refer to the Aboriginal Peoples Reference Guide, National Household Survey, 2011.

Area of Residence (3)

1. Total – Area of residence
2. On reserve[1]
3. Off reserve

Note: 1) 'On reserve' includes six census subdivisions (CSDs) types legally affiliated with First Nations or Indian bands, i.e., Indian reserve (IRI), Indian settlement (S-É) (except for the five Yukon settlements of Champagne Landing 10, Klukshu, Two and One-Half Mile Village, Two Mile Village and Kloo Lake), Indian government district (IGD), terres réservées aux Cris (TC), terres réservées aux Naskapis (TK) and Nisga'a land (NL), as well as the northern village of Sandy Bay in Saskatchewan.

Highest Certificate, Diploma or Degree (10)

1. Total – Population aged 15 years and over by highest certificate, diploma or degree
2. No certificate diploma or degree
3. High school diploma or equivalent
4. Postsecondary certificate, diploma or degree
5. Apprenticeship or trades certificate or diploma
6. College, CEGEP or other non-university certificate or diploma
7. University certificate or diploma below bachelor level
8. University certificate, diploma or degree at bachelor level or above
9. Bachelor's degree
10. University certificate, diploma or degree above bachelor level

Class of worker (5)

1. Total – Population aged 15 years and over by Class of worker
2. Employee
3. Self-employed[1]
4. Self-employed
5. Unpaid family worker

Note: 1) Includes Self-employed with an incorporated business and Self-employed with an unincorporated business. Also included among the Self-employed are unpaid family workers.

Selected Characteristics (204)

1. Total - Population in private households aged 15 and over by age
2. 15 to 24 years
3. 15 to 19 years
4. 20 to 24 years
5. 25 to 64 years
6. 25 to 29 years
7. 30 to 34 years
8. 35 to 39 years
9. 40 to 44 years
10. 45 to 49 years
11. 50 to 54 years
12. 55 to 59 years

60 to 64 years
65 years and over
65 to 69 years
70 and over
Median age
Total - Marital status
Married or living with a common-law partner
Married (and not separated)
Living common law
Not married and not living with a common-law partner
Single (never legally married)
Separated
Divorced
Widowed
Total - Census family status
Married spouses
Common-law partners
Lone parents
Children in census families
Sons and daughters of only one spouse/partner in a couple (stepchildren)
Sons and daughters of both spouses/partners in a couple, excluding stepchildren
Sons and daughters of lone parents
Grandchildren living with grandparent(s) with no parents present
Persons not in census families
Total - Population by housing tenure
Living in owned dwelling
Living in rented dwelling
Living in band-owned housing
Total - Non-official languages spoken[1]
No non-official language
Population speaking one or more non-official languages
Aboriginal languages
Algonquin
Atikamekw
Blackfoot
Cree languages[2]
Mi'kmaq
Innu/Montagnais
Ojibway
Oji-Cree
Carrier
Dene
Tlicho (Dogrib)
Slavey, n.o.s.
Stoney
Inuit languages
Inuktitut
Other Aboriginal languages

61. Non-Aboriginal languages (other than English or French)
62. Total - Knowledge of official languages
63. English only
64. French only
65. English and French
66. Neither English nor French
67. Total - Mobility status 1 year ago
68. Non-movers
69. Movers
70. Non-migrants
71. Migrants
72. Internal migrants
73. Intraprovincial migrants
74. Interprovincial migrants
75. External migrants
76. Total - Mobility status 5 years ago
77. Non-movers
78. Movers
79. Non-migrants
80. Migrants
81. Internal migrants
82. Intraprovincial migrants
83. Interprovincial migrants
84. External migrants
85. Total - Major field of study - Classification of Instructional Programs (CIP) 2011
86. No postsecondary certificate, diploma or degree
87. Education
88. Visual and performing arts, and communications technologies
89. Humanities
90. Social and behavioural sciences and law
91. Business, management and public administration
92. Physical and life sciences and technologies
93. Mathematics, computer and information sciences
94. Architecture, engineering, and related technologies
95. Agriculture, natural resources and conservation
96. Health and related fields
97. Personal, protective and transportation services
98. Other fields of study
99. Total - Location of study compared with province or territory of residence
100. No postsecondary certificate, diploma or degree
101. With postsecondary certificate, diploma or degree
102. Location of study inside Canada
103. Same as province or territory of residence
104. Another province or territory
105. Location of study outside Canada
106. Total - Experienced population by language spoken most often at work[1]
107. Any Aboriginal language
108. Cree languages[2]

109. Other Aboriginal languages
110. Total - Occupation - National Occupational Classification (NOC) 2011
111. Occupation - Not applicable[3]
112. All occupations
113. 0 Management occupations
114. 1 Business, finance and administration occupations
115. 2 Natural and applied sciences and related occupations
116. 3 Health occupations
117. 4 Occupations in education, law and social, community and government services
118. 5 Occupations in art, culture, recreation and sport
119. 6 Sales and service occupations
120. 7 Trades, transport and equipment operators and related occupations
121. 8 Natural resources, agriculture and related production occupations
122. 9 Occupations in manufacturing and utilities
123. Total - Industry - North American Industry Classification System (NAICS) 2007
124. Industry - Not applicable[3]
125. All industries
126. 11 Agriculture, forestry, fishing and hunting
127. 21 Mining, quarrying, and oil and gas extraction
128. 22 Utilities
129. 23 Construction
130. 31-33 Manufacturing
131. 41 Wholesale trade
132. 44-45 Retail trade
133. 48-49 Transportation and warehousing
134. 51 Information and cultural industries
135. 52 Finance and insurance
136. 53 Real estate and rental and leasing
137. 54 Professional, scientific and technical services
138. 55 Management of companies and enterprises
139. 56 Administrative and support, waste management and remediation services
140. 61 Educational services
141. 62 Health care and social assistance
142. 71 Arts, entertainment and recreation
143. 72 Accommodation and food services
144. 81 Other services (except public administration)
145. 91 Public administration
146. Total - Work activity in 2010
147. Worked full year, full time[4]
148. All others[5]
149. Total - Full-time or part-time weeks worked in 2010
150. Did not work in 2010
151. Worked in 2010
152. Worked full-time in 2010[6]
153. Worked part-time in 2010[7]
154. Total - Place of work status
155. Did not work in 2010 nor in 2011
156. Has worked since January 1, 2010 (experienced population)[8]

157. Worked at home
158. Worked outside Canada
159. No fixed workplace
160. Worked at usual place
161. Total - Total income before-tax in 2010
162. Without total income before-tax in 2010
163. With total income before-tax in 2010[9]
164. Under $5,000[9]
165. Median total income before-tax in 2010 ($)[10]
166. Average total income before-tax in 2010 ($)[10]
167. Total - Total income after-tax in 2010
168. Without total income after-tax in 2010
169. With total income after-tax in 2010[9]
170. Median total income after-tax in 2010 ($)[10]
171. Average total income after-tax in 2010 ($)[10]
172. Composition of total income in 2010 for the Population (%)
173. Market income (%)
174. Employment income (%)
175. Wages and salaries (%)
176. Self-employment income (%)
177. Investment income (%)
178. Retirement pensions; superannuation and annuities (%)
179. Other money income (%)
180. Government transfer payments (%)
181. Canada/Quebec Pension Plan benefits (%)
182. Old Age Security pensions and Guaranteed Income Supplement (%)
183. Employment Insurance benefits (%)
184. Child benefits (%)
185. Other income from government sources (%)
186. Income taxes paid as a % of total income
187. After-tax income as a % of total income
188. Net capital gains or losses as a % of total income
189. Total - Worked full-time full-year in 2010 and with employment income
190. Median employment income in 2010 ($)[10]
191. Average employment income in 2010 ($)[10]
192. Total - Population by decile of adjusted after-tax family income[11]
193. In bottom half of the Canadian distribution
194. In bottom decile
195. In second decile
196. In third decile
197. In fourth decile
198. In fifth decile
199. In top half of the Canadian distribution
200. In sixth decile
201. In seventh decile
202. In eighth decile
203. In ninth decile
204. In top decile

Notes:

1) Both single and multiple responses are captured in each individual category; Respondents with multiple responses will be double-counted. As a consequence the total count will not equal the sum of the parts.

2) Cree languages consist of: «Cree, n.o.s.», Swampy Cree, Plains Cree, Woods Cree, «Cree, n.i.e.».

3) Industry and occupation categories are not applicable to the population aged 15 and over who hadn't worked since January 1, 2010 or who had never worked.

4) Worked 49 to 52 weeks mostly full time (30 hours or more per week).

5) Includes persons who never worked, persons who worked prior to 2010 only, persons who worked in 2011 only and persons who worked mostly part time (less than 30 hours per week) or in 48 weeks or less in 2010.

6) Worked 30 hours or more per week most of the time.

7) Worked less than 30 hours per week most of the time.

8) Individual categories only pertain to the experienced population (who had worked since January 1, 2010).

9) Includes persons with a negative income.

10) Statistics such as the average income and the median income will be calculated based on the population with income (positive or negative).

11) Adjusted after-tax income for economic families and persons not in economic families - For economic family members, this refers to economic family after-tax income that has been adjusted by a factor that accounts for family size. The adjustment factor takes into account the lower relative needs of additional family members, as compared to a single person living alone. For use with the NHS income data, the adjusted after-tax income is computed as the economic family after-tax income divided by the square root of family size. For persons not in economic families, the adjusted after-tax income is set at after-tax income. This is equivalent to a factor of 1.0 for a person not in an economic family. Decile of adjusted after-tax family income - The deciles divide the population ranked by size of adjusted after-tax family income into 10 groups of equal size. The population in the bottom decile is the one who falls in the lower 10 percent of the adjusted after-tax family income distribution. The population in the top decile is the one who falls in the highest ten percent of the adjusted after-tax family income distribution. The 10 groups were formed with the full population in private households of Canada, whether or not they reported income.

- Geography Details:
- Canada
- BC
- Prairies
    - Alberta
    - Saskatchewan
    - Manitoba
- Ontario
- Quebec
- Atlantic Canada
    - Newfoundland/Labrador
    - New Brunswick
    - Nova Scotia
    - PEI
- Territories
    - Yukon
    - NWT
    - Nunavut

APPENDIX B: NATIONAL HOUSEHOLD SURVEY EXPLANATION BY CHIEF STATISTICIAN OF CANADA

The 2011 National Household Survey—the complete statistical story

June 4, 2015

by Wayne R. Smith, Chief Statistician of Canada

I am frequently asked for Statistics Canada's assessment of the data quality from the voluntary 2011 National Household Survey (NHS) that replaced the mandatory long-form census.

- What were the consequences of the move from a mandatory to a voluntary survey?
- Was there greater sampling error in the NHS?
- What is the quality of data at low levels of geography?
- Were Aboriginal peoples, recent immigrants or Canadians in low-income groups under-represented?

Unfortunately, the whole statistical story has not been fully conveyed. With this blog, I hope to provide a comprehensive statement on this topic.

Statistics Canada has always stated that a mandatory survey will inevitably produce data of better overall quality than a voluntary survey of the same size, all other things being equal. The 2011 National Household Survey achieved a collection response rate of 68.6% and a weighted response rate of 77.2%—significantly lower than the 2006 Census long form that achieved a response rate of 93.8%.

To offset the data quality risks associated with the move to a voluntary survey, the agency took many measures to reduce risks, and invested a great deal of effort in assessing and reporting on the quality of the resulting estimates. Where Statistics Canada deemed that estimates were not of sufficient quality (or not fit for use), it did not release them; where we deemed the estimates were to be used with caution, we communicated this to users. The remaining estimates—the vast majority—were deemed fit for use, and released without caveats. Based on this work, we can say that the National Household Survey produced a rich and robust database of information.

What were the challenges?

With the move from a mandatory approach to a voluntary one, we anticipated a significant reduction in survey response rates. We also knew that this reduction would bring with it three principal challenges: variability of response rates at lower geographic levels, sampling error and non-response bias.

Let me explain what Statistics Canada did to address these three issues.

Variability of response rates at lower levels of geography

Statistics Canada did not publish community-level data from the National Household Survey for approximately 1,100 communities, or 3% of the Canadian population, because of unacceptably low response rates by Statistics Canada's standards, and this resulted in data quality risks. This compares with fewer than 160 communities whose data were not released as a result of data quality issues in 2006. The 2011 NHS data for these small communities remain available on request.

Mitigating the risk of sampling error

We knew that if the initial sample size for the 2011 National Household Survey remained the same as in 2006, an increase in sampling error would result. So, to mitigate this risk, Statistics Canada increased the sampling rate in the 2011 National Household Survey from one in five households, for the Census long form in 2006, to one in three households. The sample selection was random and based on a well-defined methodological design. The number of households responding to the voluntary 2011 National Household Survey was 2,657,461, containing 6,719,688 people. This was 9% higher than the number of households responding to the mandatory 2006 Census long form (2,443,507 households, containing 6,136,517 people).

Because the number of responding households was higher in 2011 than in 2006, this effectively prevented any material increase in sampling error at higher levels of aggregation. However, at lower levels of aggregation, the response rate and sampling error varied. For this reason, Statistics Canada calculated, and published on its website, coefficients of variation for the 2011 NHS (CVs, a measure of sampling error) for a selection of variables at various levels of geography, and included a comparison with coefficients of variations (CVs) for the same variables in the 2006 Census long form.

At the national level, for the nine variables for which a comparison was provided, the coefficient of variation for the 2011 NHS was lower for seven variables and higher for two, but, generally, the coefficients were very small and very similar in magnitude. Lower CVs generally reflect higher accuracy and data quality. For geographies with smaller populations, the CVs were higher and more varied. However, they were similar in magnitude to those of 2006 for the regions for which results were released, with 2011 coefficients sometimes being lower and sometimes higher.

It is important to remember, in comparing data from previous census long forms to the 2011 NHS, that the data from the previous census long forms were also based on a sample and therefore subject to sampling error.

Mitigating the risk of non-response bias

A major concern with the move to a voluntary survey was the potential, under lower response rates, for non-response bias. This occurs when some individuals in the population are less likely to respond than others.

To assess the potential of this risk, and to determine mitigation strategies to deal with this risk, Statistics Canada ran a simulation using 2006 Census long-form returns. This helped us to determine where bias was most likely to occur in a situation of reduced response. Some critics erroneously cited the agency's study as proof that these risks would inevitably occur. However, they did not consider the mitigation strategies that Statistics Canada had implemented in response to this study. In fact, Statistics Canada used the results of the simulation to inform and guide the design of collection approaches, processing and estimation to ensure these risks were minimized.

To adjust for non-response bias, Statistics Canada deployed a unique, powerful process not available to other survey research organizations. For every NHS sampled dwelling, Statistics Canada had the corresponding 2011 Census record that gave basic demographic and language characteristics for each household member. Furthermore, the census was linked to tax files, immigrants' landing files and the Indian Register, all of which provided additional information on both NHS respondents and non-respondents. This information was used to run estimation models for weighting areas with approximately 6,000 population to ensure that the NHS estimates reflected the true population profiles as precisely as possible. Statistics

Canada was able to measure and confirm that this process improved the quality of estimates; however, we could not completely reduce some of the volatility inherent with estimates for smaller populations.

Finally, having generated the estimates from the NHS, Statistics Canada set out to validate them. Subject-matter specialists assessed the validity by comparing the NHS estimates with internal and external benchmarks. This information was used to assess the potential for bias in relation to the level of non-response, and guided the establishment of the quality thresholds for release. When quality issues were found, the estimates were either not released, or released with an accompanying cautionary note.

The comparison to external benchmarks was conducted at the lowest level of geographic detail, facilitated by the alternate data sources at hand. At finer levels of detail, the validation mostly relied on the execution of the sound processes described above, as well as the knowledge and experience of subject-matter specialists. The same approach has always been used to validate the census long-form survey estimates at finer levels of geographic detail.

2011 National Household Survey—dispelling the myths

The results of this validation process, with some specific exceptions, confirmed the good quality of the estimates, and provided evidence that some of the concerns prior to the collection of the NHS had not materialized. The more common concerns expressed related to the potential underestimation of three important population groups: new immigrants to Canada, Aboriginal peoples and Canadians in low-income groups. Since the publication of the NHS results, many continue to claim that these undercounts occurred. The published facts do not support all of these claims. Let's take them one by one.

We know the actual number of immigrants admitted to Canada between censuses from Citizenship and Immigration Canada administrative records. In evaluating our data, Statistics Canada routinely compares this number to the estimated number of recent immigrants based on NHS data. The comparison of NHS estimates to this reliable source showed that recent immigrants were no more underestimated in the NHS than in previous censuses.

For Aboriginal peoples, the risk of non-response bias is minimal for the Aboriginal population living on reserves and in the territories, given that they are relatively homogeneous populations (with respect to Aboriginal identity) and that they were weighted independently from the population living off reserve in the provinces. For Inuit and Off-Reserve Aboriginal peoples, we made use at the microdata level of two independent data sources: the Indian Register, which covers the registered Indian population of Canada, and the 2006 Census. We also took advantage of the language variables on the 2011 Census.

The certification analyses, as highlighted in our published reference guide, revealed very little evidence of bias for the estimates of the Aboriginal population off reserve, but indicated that the population of Inuit living in the provinces may have been overestimated.

The 2011 NHS provides valuable information about the composition, characteristics and distribution of income received by Canadians. As with all other data from the NHS, the quality of the 2011 NHS income estimates was evaluated prior to publication. The low-income rate was one indicator that showed different trends when compared with previous censuses and other income sources. The results of Statistics Canada's data evaluation highlighted possible overestimation of the prevalence of low income.

Statistics Canada, therefore, cautioned users that low-income results from the NHS should not be compared with those from the earlier censuses. Low-income rates from the NHS can be used to identify which groups are at higher risk of poverty, which is important information for policy development. With its

large sample size, the NHS can also be used to estimate low-income rates at the provincial, sub-provincial and CMA level, allowing users to make comparisons across Canada for particular subgroups.

2011 Census results, lessons learned and going forward

Where does all this leave us? While the 2011 National Household Survey does not entirely rise to the data quality of the 2006 Census long form, the estimates that have been published are, nonetheless, robust and entirely usable. Where the data quality was judged insufficient, it was not published. Where issues of potential bias or lack of comparability with previous censuses were identified, they were communicated at the time of release of the information.

Statistics Canada recognizes that there could be flaws in the NHS that have not yet been identified. As Chief Statistician of Canada, I welcome those who have discovered such issues to share them, along with your evidence. The science of statistics is dynamic. Learning more about these issues and questions will help us improve the census program going forward.

APPENDIX C: DEFINITIONS FOR SELECTED CHARACTERISTICS

Selected Characteristics (204)

Definition 1 - Age:
Refers to the age at last birthday before the reference date, that is, before May 10, 2011.

Definition 2 - Marital status:
Refers to the marital status of the person, taking into account his/her common-law status. Persons who are married or living common law may be of opposite sex or of the same sex. The classification is as follows:

Married (and not separated): A person who is married and has not separated or obtained a divorce, and whose spouse is living.
Common-law: A person who is living with another person as a couple but who is not legally married to that person.
Separated: A person who is married but who no longer lives with his/her spouse (for any reason other than illness, work or school) and who has not obtained a divorce. Persons living common law are not included in this category.
Divorced: A person who has obtained a legal divorce and who has not remarried. Persons living common law are not included in this category.
Widowed: A person who has lost his/her spouse through death and who has not remarried. Persons living common law are not included in this category.
Single (never legally married): A person who has never married or a person whose marriage has been annulled and who has not remarried. Persons living common law are not included in this category.

Definition 3 - Census family status:
Part A - Short definition
Classification of persons according to whether or not they are members of a census family and the status they have in the census family (a census family is composed of a married couple or two persons living common-law, with or without children, or of a lone parent living with at least one child in the same dwelling). A person can be a married spouse, a common-law partner, a lone parent, a child or a person not in a census family.

Part B - Detailed definition
Refers to the classification of the population according to whether or not the persons are members of a census family.
Census family persons refer to household members who belong to a census family.
Census family persons can be further classified into one of the following four categories:
a) Married spouses
Two persons of opposite sex or of the same sex who are legally married to each other and living in the same dwelling.
b) Common-law partners
Two persons of opposite sex or of the same sex who are not legally married to each other, but live

together as a couple in the same dwelling.
c) Lone parents
Mothers or fathers, with no married spouse or common-law partner present, living in a dwelling with one or more children.
d) Children
Blood, step or adopted sons and daughters (regardless of age or marital status) who are living in the same dwelling as their parent(s), as well as grandchildren in households where there are no parents present. Sons and daughters who are living with their married spouse or common-law partner, or with one or more of their own children, are not considered to be members of the census family of their parent(s), even if they are living in the same dwelling. In addition, those sons and daughters who do not live in the same dwelling as their parent(s) are not considered members of the census family of their parent(s). Persons not in census families refer to household members who do not belong to a census family.

Definition 4 - Housing tenure:
Refers to whether the household owns or rents their private dwelling, or whether the dwelling is band housing (on an Indian reserve or settlement).

The private dwelling may be situated on rented or leased land or be part of a condominium development. A household is considered to own their dwelling if some member of the household owns the dwelling even if it is not fully paid for, for example if there is a mortgage or some other claim on it. A household is considered to rent their dwelling if no member of the household owns the dwelling. A household is considered to rent that dwelling even if the dwelling is provided without cash rent or at a reduced rent, or if the dwelling is part of a cooperative.

For historical and statutory reasons, shelter occupancy on reserves does not lend itself to the usual classification by standard tenure categories. Therefore, a special category, band housing, has been created.

Definition 5 - Knowledge of non-official languages:
Refers to languages, other than English or French, in which the respondent can conduct a conversation.

Definition 6 - Knowledge of official languages:
Refers to the ability to conduct a conversation in English only, in French only, in both English and French, or in neither English nor French.

Definition 7 - Mobility one year ago:
Part A - Short definition
Information indicating whether the person lived in the same residence on the reference day, May 10, 2011, as he or she did one year before, May 10, 2010. This means that we have 'movers' and 'non-movers.' There are different types of 'movers': people who moved within the same city or town (non-migrants), people who moved to a different city or town (internal migrants) and people who came from another country to live in Canada (external migrants).

Part B - Detailed definition

Refers to the status of a person with regard to the place of residence on the reference day, May 10, 2011, in relation to the place of residence on the same date one year earlier. Persons who have not moved are referred to as non-movers and persons who have moved from one residence to another are referred to as movers. Movers include non-migrants and migrants. Non-migrants are persons who did move but remained in the same city, town, township, village or Indian Reserve. Migrants include internal migrants who moved to a different city, town, township, village or Indian Reserve within Canada. External migrants include persons who lived outside Canada at the earlier reference date.

Definition 8 - Mobility five years ago:
Part A - Short definition
Information indicating whether the person lived in the same residence on the reference day, May 10, 2011, as he or she did five years before May 10, 2006. This means that we have 'movers' and 'non-movers.' There are different types of 'movers': people who moved within the same city or town (non-migrants), people who moved to a different city or town (internal migrants) and people who came from another country to live in Canada (external migrants).

Part B - Detailed definition
Refers to the status of a person with regard to the place of residence on the reference day, May 10, 2011, in relation to the place of residence on the same date five years earlier. Persons who have not moved are referred to as non-movers and persons who have moved from one residence to another are referred to as movers. Movers include non-migrants and migrants. Non-migrants are persons who did move but remained in the same city, town, township, village or Indian Reserve. Migrants include internal migrants who moved to a different city, town, township, village or Indian Reserve within Canada. External migrants include persons who lived outside Canada at the earlier reference date.

Definition 9 - Major field of study (based on the Classification of Instructional Programs (CIP) Canada 2011):
Part A - Short definition
Main subject area of the person's highest postsecondary certificate, diploma or degree.

Part B - Detailed definition
Refers to the predominant discipline or area of learning or training of a person's highest completed postsecondary certificate, diploma or degree classified according to the Classification of Instructional Programs (CIP) Canada 2011.

Definition 10 - Location of study compared with province or territory of residence:
Part A - Short definition
Indicates whether the 'Location of study' is the same as the province or territory of residence, a different Canadian province or territory, or outside Canada.

Part B - Detailed definition
This is a summary variable that indicates whether the 'Location of study' of the person's highest certificate, diploma or degree was the same province or territory where the person lived at the time of the 2011 National Household Survey, a different Canadian province or territory, or outside Canada. This

variable is derived from 'Location of study' and 'Province or territory of current residence.' It only applies to individuals who had completed a postsecondary certificate, diploma or degree.

Definition 11 - Language spoken most often at work part (a):
Refers to the language used most often at work (part (a)) as reported by the individual on May 10, 2011. Question 49, part (a) and part (b), was asked for the first time in 2001. The question remained the same in 2006 and 2011. Instructions from the 2011 NHS Guide were as follows for part (a):
Part (a):
•Report two languages only if they are used equally often.
•Report languages used to speak, read or write in order to perform a job or a major task.
•Do not report a language used only during coffee, lunch or other rest breaks.
•For people who are deaf or who have a speech disability, report languages used to speak, read or write in order to perform a job or a major task, including sign language.

Definition 12 - Occupation (based on the National Occupational Classification [NOC] 2011):
Refers to the kind of work performed by persons during the week of Sunday, May 1 to Saturday, May 7, 2011, as determined by their kind of work and the description of the main activities in their job.

The 2011 National Household Survey occupation data are produced according to the NOC 2011. The National Occupational Classification (NOC) 2011 is composed of four levels of aggregation. There are 10 broad occupational categories containing 40 major groups that are further subdivided into 140 minor groups. At the most detailed level, there are 500 occupation unit groups. Occupation unit groups are formed on the basis of the education, training, or skill level required to enter the job, as well as the kind of work performed, as determined by the tasks, duties and responsibilities of the occupation.

The classification is not historically comparable to the occupational classifications disseminated in 2006.

Definition 13 - Industry (based on the North American Industry Classification System [NAICS] 2007):
Refers to the general nature of the business carried out in the establishment where the person worked.

The 2011 National Household Survey industry data are produced according to the NAICS 2007. The NAICS provides enhanced industry comparability among the three North American Free Trade Agreement (NAFTA) trading partners (Canada, United States and Mexico). This classification consists of a systematic and comprehensive arrangement of industries structured into 20 sectors, 102 subsectors and 324 industry groups. The criteria used to create these categories are similarity of input structures, labour skills or production processes used by the establishment.

Definition 14 - Work activity in 2010:
Refers to the number of weeks in which a person worked for pay or in self-employment in 2010 at all jobs held, even if only for a few hours, and whether these weeks were mostly full time (30 hours or more per week) or mostly part time (less than 30 hours per week).

Definition 15 - Place of work status:
Classification of respondents according to whether they worked at home, worked outside Canada, had no

fixed workplace address, or worked at a specific address (usual place of work).

Population aged 15 years and over in private households, who worked at some time since January 1, 2010. The variable usually relates to the individual's job held during the week of Sunday May 1 to Saturday May 7, 2011. However, if the person did not work during that week but had worked at some time since January 1, 2010, the information relates to the job held longest during that period.

Early enumeration was conducted in remote, isolated parts of the provinces and territories in February, March and April 2011. When enumeration has taken place before May 2011, the reference date used is the date on which the household was enumerated.

Definition 16 - Total income before-tax in 2010:
Part A - Short definition:
Total of income from all sources, including employment income, income from government programs, pension income, investment income and any other money income.

Part B - Detailed definition:
Total income refers to monetary receipts from certain sources, before income taxes and deductions, during a calendar year 2010. It includes employment income from wages, salaries, tips, commissions and net income from self-employment (for both unincorporated farm and non-farm activities); income from government sources, such as social assistance, child benefits, employment insurance, Old Age Security pension, Canada or Quebec pension plan benefits and disability income; income from employer and personal pension sources, such as private pensions and payments from annuities and RRIFs; income from investment sources, such as dividends and interest on bonds, accounts, GIC's and mutual funds; and other regular cash income, such as child support payments received, spousal support payments (alimony) received and scholarships. The monetary receipts included are those that tend to be of a regular and recurring nature. It excludes one-time receipts, such as: lottery winnings, gambling winnings, cash inheritances, lump sum insurance settlements, capital gains and RRSP withdrawals. Capital gains are excluded because they are not by their nature regular and recurring. It is further assumed that they are less likely to be fully spent in the period in which they are received, unlike income that is regular and recurring. Also excluded are employer's contributions to registered pension plans, Canada and Quebec pension plans, and employment insurance. Finally, voluntary inter-household transfers, imputed rent, goods and services produced for barter, and goods produced for own consumption are excluded from this total income definition.

Definition 17 - After-tax income in 2010:
Refers to total income from all sources minus federal, provincial and territorial income taxes paid for 2010.

Refers to total income minus federal, provincial and territorial income taxes paid for calendar year 2010. Total income refers to income from all sources, including employment income, income from government programs, pension income, investment income and any other money income. Federal, provincial and territorial taxes paid refer to taxes on income, after taking into account exemptions, deductions, non-refundable tax credits and the Quebec abatement. These taxes are obtained from the income tax files for

persons who allowed access to their income tax data and from direct responses on the questionnaire for others.

Definition 18 - Composition of income in 2010:
The composition of the total income of a population group or a geographic area refers to the relative share of each income source or group of sources, expressed as a percentage of the aggregate total income of that group or area. Total income - Total of income from all sources, including employment income, income from government programs, pension income, investment income and any other money income.
For a clear overview, please see the chart posted on http://www12.statcan.gc.ca/nhs-enm/2011/ref/dict/figures/f3-1-dict-eng.cfm.

Definition 19 - Employment income in 2010:
Total wages and salaries and net income from self-employment.
Refers to total income received by persons aged 15 years and over during calendar year 2010 as wages and salaries, net income from a non-farm unincorporated business and/or professional practice, and/or net farm self-employment income.

Definition 20 - Adjusted after-tax income for economic families and persons not in economic families:
For economic family members, this refers to economic family after-tax income that has been adjusted by a factor that accounts for family size. The adjustment factor takes into account the lower relative needs of additional family members, as compared to a single person living alone. For use with the NHS income data, the adjusted after-tax income is computed as the economic family after-tax income divided by the square root of family size.
For persons not in economic families, the adjusted after-tax income is set at after-tax income. This is equivalent to a factor of 1.0 for a person not in an economic family.

Decile of adjusted after-tax family income - The deciles divide the population ranked by size of adjusted after-tax family income into 10 groups of equal size. The population in the bottom decile is the one who falls in the lower 10 percent of the adjusted after-tax family income distribution. The population in the top decile is the one who falls in the highest ten percent of the adjusted after-tax family income distribution. The 10 groups were formed with the full population in private households of Canada, whether or not they reported income.

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Submission III

"A Community Approach to Business: A Snapshot of KCDLP's Corporate and Governance Structures"

Document attached as submitted for publication (do not reference page numbers within).

Produced in partnership with and for the Kluane Community Development Limited Partnership (KCDLP)

Research Partner: Colin Asselstine – General Manager, KCDLP

A COMMUNITY APPROACH TO BUSINESS

A Snapshot of KCDLP's Corporate and Governance Structures

Kluane Community Development Limited Partnership

Co-Authors: Andrijana Djokic and Colin Asselstine
A collaboration between Kluane Community Development LP and York University

A community approach to business

A SNAPSHOT OF KCDLP'S CORPORATE AND GOVERNANCE STRUCTURES

OVERVIEW

The purpose of this document is not only to provide an overview of Kluane Community Development LP's (KCDLP) corporate and governance structures, but to also provide information for other Yukon First Nation Development Corporations that are currently in the processes of reconsidering and redesigning their business structures. Many First Nation Development Corporations are currently in flux and are finding their balance between community development, economic growth, and diversifying their portfolios.

**This report is to only be used by KCDLP for their business and educational purposes.

WHY A DEVELOPMENT CORPORATION AND NOT AN ECONOMIC DEVELOPMENT DEPARTMENT?

Self-Government and Own-Source Revenue

There is a spirit and intent behind the creation of First Nation Development Corporations in the Yukon – they originated out of the Umbrella Final Agreement (UFA) and subsequent Final Agreements that were created through the land claims process. As Chapter 22 of the UFA states, the goal for First Nations communities is self-sufficiency, and the Development Corporations are but one component of that long-term initiative. According to the Government of Canada's Own-Source Revenue (OSR) Policy,[1] any OSR that a self-governing nation earns will have that same amount of money reduced from the nation's Federal Transfer Agreement dollars received from the federal government. It is common practice for Settled Yukon First Nations to utilize a Development Corporation arrangement in order to not be subject to OSR reductions.

Quicker Reaction Time

Another benefit of utilizing a Development Corporation structure is that these entities are much more responsive and adaptable to the pace of the business world. Their decision-making process is much quicker than that of the First Nations government. This reduces the risk of losing business and investment opportunities.

Ability to Leverage Funds

Development Corporations are also able to access funds that the First Nation government or other standard corporations can't. By working in partnership with the First Nation government, both entities can pool their funds, or the Development Corporation can leverage external funds to offset government money, reserving that for government programs and services. By having the First Nation government apply for funds on behalf of the

[1] https://www.aadnc-aandc.gc.ca/eng/1354117773784/135411781 and https://www.aadnc-aandc.gc.ca/DAM/DAM-INTER-HQ-LDC/STAGING/texte-text/canadaS-fiscal_approach_1438090806392_eng.pdf

Development Corporation and flowing them to the business also allows the Corporation to access funds not available to non-First Nation businesses.

RENVISIONING KCDLP

Under One Roof

The initial conversations around Kluane First Nation creating a corporation as their economic arm began in 2011. The original arrangement consisted of two corporations (an investment corporation and a community corporation), with two different mandates, one Board of Directors, and one Shareholder. This resulted in both corporations not being able to achieve optimal success – the investment corporation couldn't invest in healthy ventures and the community corporation couldn't develop locally due to conflicting mandates. As a result, Kluane Dana Shaw Limited Partnership and Kluane Community Development Limited Partnership were created, with separate Boards of Directors, distinctly different mandates, and one Shareholder, the Trust.

KCDLP's Mandate

KCDLP is mandated to work along with the Kluane First Nation Government to build an economy in the Kluane area. This is done through community projects and supporting entrepreneurs. Kluane First Nation Government has found that contracting out economic development services to KCDLP is an efficient way of meeting objectives and leveraging dollars.[2] KCDLP is a *for-profit* business, but its mandate is to minimally break even on all projects. KCDLP's development is community-centric and occurs within Kluane First Nation's Traditional Territory.

KCDLP's Corporate and Governance Structure

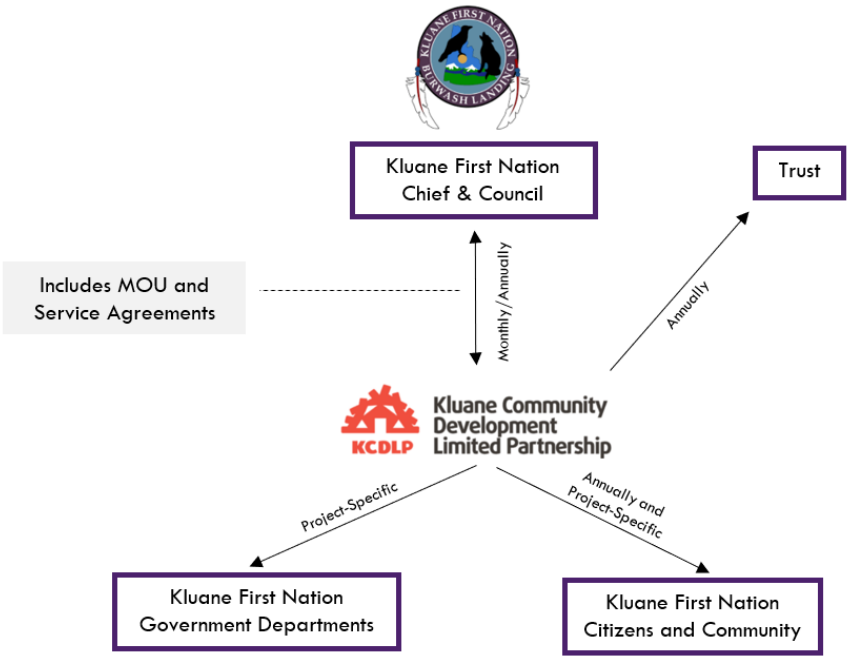

Diagram 1: Representation of KCDLP's Corporate Governance Structure

[2] https://www.kfn.ca/documents/chief-and-council/Kluane%20First%20Nation%20Strategic%20Plan%202013-16.pdf

Community Board of Directors for Community Benefit

KCDLP operates with a 5-member Board with one caveat – Directors must be community members. They must be a Kluane First Nation citizen and/or live within Kluane First Nation Traditional Territory. This is to ensure that Directors understand the dynamics, culture, desires, and needs of the community being *directly* affected by development initiatives.

KCDLP's Funding Structure

Through KCDLP's MOU and Service Agreements with Kluane First Nation Chief & Council, KCDLP accesses Economic Development Operating Funds (from federal transfer payments) to use for **seed money** and **operating funds**. This support for Kluane First Nation government is imperative for success as nature of KCDLP's projects and investments do not generally produce much profit. A partnership is required to create an environment in which KCDLP can continue to operate.

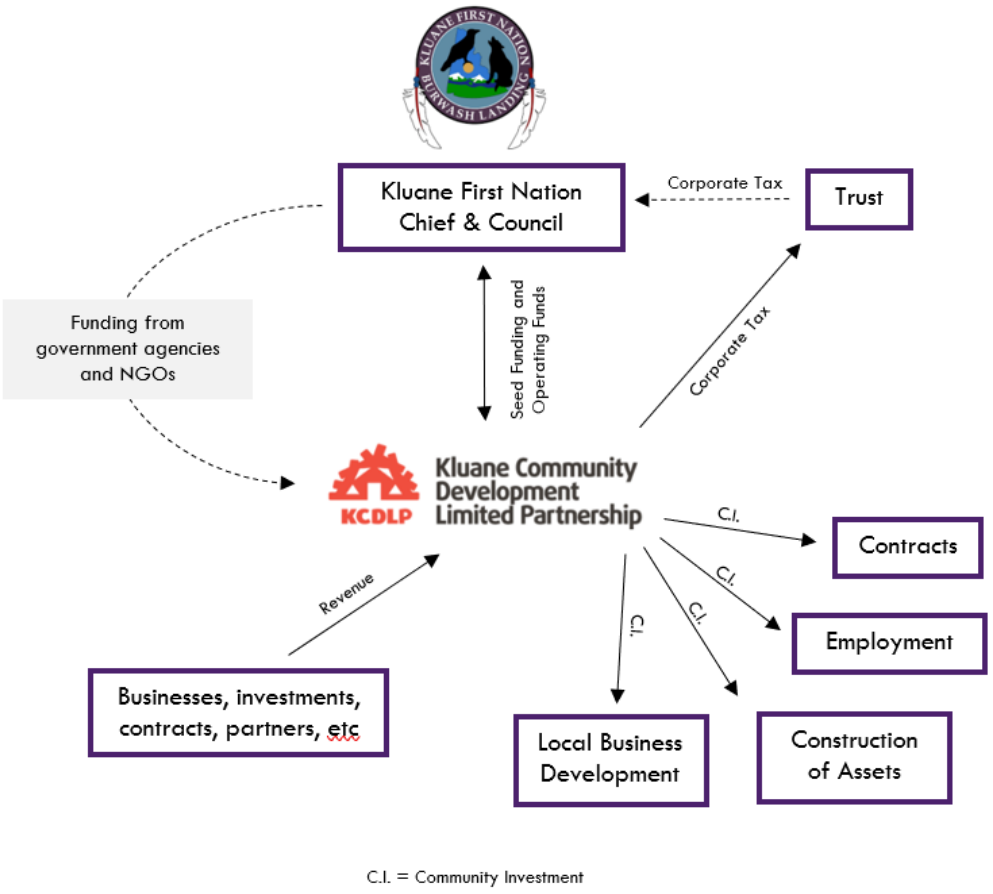

Diagram 2: Representation of KCDLP's Funding Structure

KDSLP Mandate

KDSLP has been re-instated (previously known as 19145 Yukon Inc) to look after the Strategic Economic Development Funds as per Chapter 22 of our Final Agreement. This Corporations mandate is wealth generation outside of KFN traditional territory.[3] KDSLP only invest in projects with a return on investment greater than 8%.

> **"When you're doing something in the community, it needs to be the community that drives it. It needs to be how the community wants it or it won't work - they won't support it" – General Manager, KCDLP**

KCDLP'S RESPONSIBILITY TO KLUANE FIRST NATION AND COMMUNITY

Planning properly is important in order to under the strategies to move forward. Even KCDLP spent their first year of operation in strategic vision planning to ensure that they were meeting the community's requirements and could operate as a viable business.

Community Plans

Kluane First Nation has been involved in very thorough and extensive community planning initiatives over recent years. The highest-level planning document that governs subsequent plans is the **Integrated Community Sustainability Plan** (ICSP).[4] The ICSP's purpose is to highlight the "big picture" visions, values, and goals of Kluane First Nation and sets the protocols and process to guide future planning and development in the Kluane Area.

Kluane First Nation is currently in the process of updating their **Strategic Plan**.[5] The Strategic Plan is the next level of plan under the ICSP and is used to highlight what initiatives the community will be moving forward on in the near future (i.e., 3 to 10-year timeline).

Both the ICSP and Strategic Plan inform what the Kluane First Nation refers to as **Action Plans**. These are industry- or initiative-specific plans. Currently a tourism plan and food security plan have been completed, while a land development plan and industrial plan are being considered next. Action planning involves one-on-one community consultation, market research, high-level feasibility studies, leading into specific business and project plans. It is from these plans that projects are assigned to Kluane First Nation government departments or KCDLP, or responsibility is shared.

Sustainability Toolkit

To ensure that community interests are reflected in development projects, a **Sustainability Toolkit** is used as a checklist. The toolkit was designed using information sourced from the Integrated Community Sustainability Plan.

[3] https://www.kfn.ca/documents/chief-and-council/Kluane%20First%20Nation%20Strategic%20Plan%202013-16.pdf
[4] First edition for 2013-2016 and Second Edition for 2016-2018
[5] http://www.kfn.ca/documents/chief-and-council/Kluane%20First%20Nation%20Strategic%20Plan%202016-2018_web.pdf

This toolkit also provides benefits for projects that are being completed external to KCDLP (i.e., external mine, hotel contractor, housing, etc) as a way for them to hold themselves accountable, but for Kluane First Nation to also create a benchmark for development in the Kluane area.

Performance Measurements

- Percentage of investment vs amount of leveraged money
- Creation of Assets as long-term wealth
- Rate of Job Creation
- Percentage of KFN citizen and other First Nations employed
- Amount of money spent on training
- Amount of people trained
- Revenue
- Local Economy Indicators (located in ICSP)

GRASSROOTS SUCCESS – COMMUNITY DEVELOPMENT PROJECTS

- Community Gym
- Slashing and Clearing
- Gas Station
- Camp Services (project management, catering, heavy equipment, environmental)
- Community Roads
- Housing
- Fuel Provider
- Regional Roads
- Grocery Store
- Wind Energy Project

NEXT STEPS

KCDLP is continuously looking to grow while maintaining a healthy balance of community interests and business. In the near future KCDLP hopes to continue to invest in the energy sector (both renewables and fuel), develop destination tourism for the Kluane area, and to expand housing development (primarily market housing). Housing is a key strategic priority as is the case with many remote communities, a factor influencing the success of the local economy is in large part dependent on available housing.

> **"We want our citizens to not just work at that hotel, but running that hotel, and one day hopefully buying that hotel from the Corporation" – General Manager, KCDLP**

If you have any questions regarding this report, please contact KCDLP at (867) 841-4724 Ext.251

This report was completed with generous funding support from York University, Social Sciences and Humanities Research Council of Canada, and Northern Science Training Program.

Social Sciences and Humanities
Research Council of Canada

Works Cited

These citations are external to those in Submissions I, II, and III. Those citations are included within the submitted components.

Hibbard, M. & Adkins, R. (2013). Culture and Economy: The Cruel Choice Revisited. In R. Walker, T. Jojola & D. Natcher (Eds.), *Reclaiming Indigenous Planning* (94-112). Montreal: McGill-Queen's University Press.

Loney, S. & Braun, W. (2016). *An Army of Problem Solvers: Reconciliation and the Solutions Economy*. Canada: Friesens.

Slowey, G. A. (2009). A Fine Balance: First Nations and the Dilemma of Development. In A. M. Timpson (Ed.), *First Nations First Thoughts* (229-247). Vancouver: University of British Columbia Press.

Appendix A – Yukon Scientist and Explorers Act License

(Appended following this page)

Yukon
Tourism and Culture
Box 2703, Whitehorse, Yukon Y1A 2C6

CULTURAL SERVICES BRANCH
HERITAGE RESOURCES UNIT

File No.: 6800-1061

January 19, 2016

TO: Andrijana Djokic (York University)
Environment, Habitat Management (V-5R)
Lands Use Section, Lands Branch (K-320)
Mineral Resources Branch (K-9)
Kluane First Nation
White River First Nation

RE: **Andrijana Djokic (York University)**

Please be advised that the attached License has been issued under the Yukon Scientists and Explorers Act (1958).

Sincerely,

Jeff Hunston, Manager
Heritage Resources Unit

Enclosure

Yukon
Tourism and Culture

License Number: 17-04S&E

YUKON-CANADA
SCIENTISTS AND EXPLORERS ACT
LICENSE

PURSUANT to the provisions of the Scientists and Explorers Act (1958) of the Yukon, permission is hereby granted to:
Andrijana Djokic (York University)

to enter Yukon to conduct scientific research with respect to:

Cumulative Effects as a Long-Term Community Planning Tool: Increasing Kluane First Nation Agency in the Proposed Wellgreen Mine (Re) Negotiations.

GENERAL CONDITIONS

1. A complete, final report of the research conducted under this license shall be submitted, in duplicate, within one year of completion or termination of the project.
   a) A field or progress report as well as plain English summary, including descriptions or catalogues of collections made (where applicable) shall be submitted in duplicate on, or before, the expiry date written below.
   b) The Licensee shall provide a copy of any report or article published on the research conducted under this license to Heritage Resources Unit.

2. All camps shall be established according to the provisions of the Territorial Land Use Regulations.

3. All steps shall be taken to avoid unnecessary disturbance of wildlife.
   a) No camp site shall be established within 2 km of an active raptor nest.
   b) When using aircraft, maintain a minimum of 1,000 feet over wildlife such as sheep, raptor nests and migrating caribou.
   c) Pay particular attention to bear habitat, and take all steps necessary to avoid contact with bears such as use of bear fence, bear-proof containers and maintain a clean camp.
   d) All camps should be temporary/non-permanent with no structures, and entirely removed at the conclusion of the field work.

4. The Licensee shall meet with, inform and receive permission from First Nation(s) of the field activities conducted under this license on their settlement land(s), and shall not proceed if permission is not gained from the First Nation(s). The Licensee shall provide a copy of any report or article published on the research conducted under this license to the First Nation(s).

5. The Licensee shall strictly observe all applicable First Nation Settlement Land, Territorial and Federal legislation and regulations.

OTHER CONDITIONS:
NIL

THIS License is valid for the period **January 19th** to **August 1st , 2017.**

DATED at the City of Whitehorse, in the Yukon Territory, this **19th** day of **January**, A.D., **2017.**

Manager, Heritage Resources Unit
Cultural Services Branch
Tourism and Culture

Appendix B – Letter of Support, Chief and Council

(Appended following this page)

KLUANE FIRST NATION

P.O. Box 20, Burwash Landing, Yukon Y0B 1V0
Phone: (867)841-4274, Fax: (867)841-5502

November 9, 2016

Mr. Jeff Huntson
Heritage Resource Unit
Government of Yukon
P.O. Box 2703
Whitehorse, Yukon Y1A 2C6

Dear Mr. Hunston:

Re: Scientists and Explorers Act – Major Research Project of Andrijana Djokic

On behalf of Kluane First Nation's Chief and Council, I am very pleased to provide this letter of support for Andrijana Djokic's upcoming Major Research Project, "Cumulative Effects Assessment as a Long-Term Community Planning Tool and their Potential Effect on IBA (Re)Negotiations". We have read Andrijana's research plan and endorse it with the highest enthusiasm. Andrijana has proposed an innovative and comprehensive research proposal that is very well aligned with and will greatly contribute to the initiatives and goals of Kluane First Nation.

Kluane First Nation Chief and Council supports Andrijana's request to research alongside our community, with her main points of contact being Kate Ballegooyen and Colin Asselstine. We feel this will enhance the research process and results, ensuring that the research results are integrated with Kluane First Nation's initiatives.

Sincerely,

Chief Bob Dickson
Kluane First Nation

Appendix C - Letter of Introduction and Informed Consent Form Study

Study Name
A Community Approach to Business – A Snapshot of KCDLP's Corporate and Governance Structure

Researcher
Andrijana Djokic, MES Candidate
3-702 Strickland Avenue
Whitehorse, YT Y1A 2K8

(416) 522-5106; (867) 456-4340
Email: andrijana.e.djokic@gmail.com

Reason for Research
Completing an MES Portfolio for completion of a Masters of Environmental Studies at York University

Before agreeing to participate in this research, it is strongly encouraged that you to read the following explanation of this study. This statement describes the purpose and procedures of the study. Also described is your right to withdraw from the study at any time. This study has been approved by the FES Research Committee, on behalf of York University, and conforms to the standards of the Canadian Tri-Council Research Ethics guidelines.

Date (please print clearly): _____

Name of Participant (please print clearly): _____

Explanation of Procedures
Participants are requested to engage in a verbal interview with the researcher in their professional capacity regarding Kluane Community Development Limited Partnership's corporate and governance structure and history. The aim of this study is to determine is KCDLP is effective in promoting a Kluane First Nation-defined local economy and whether they have been able to ensure the inclusion and protection of valued community components as identified in Kluane First Nation's Sustainability Toolkit and Integrated Community Sustainability Plan. This study is being conducted to learn more about this question since it has not been studied much in the past. Research interviews will ideally last 1-2 hours. Interviews will be audio-taped, if agreed to, and later transcribed for the purpose of data analysis. If the participant chooses not to be recorded, the researcher will write notes during the interview process.

If the participant wishes to contribute to research but would not like to be interviewed, the option to fill out a confidential questionnaire regarding this research topic will be provided as an alternative. These questionnaires can be submitted in-person directly to the researcher. Questionnaires will be converted to digital format for the purpose of data analysis.

Risks and Discomforts

There are no risks or discomforts that are anticipated from your participation in the study. You have the right to not answer any questions.

Benefits

The anticipated benefit of participation is the opportunity to discuss how KCDLP's community-based business model meaningfully incorporates Kluane First Nation values and goals within economic development, and to contribute to understanding of decision-making during future local economic development.

Confidentiality

Unless you choose otherwise, all information you supply during the research will be held in confidence and unless you specifically indicate your consent, your name will not appear in any report or publication of the research. Data will be collected primarily through voice recording, or if preferred, through confidential paper questionnaire. Voice-recordings will be safely stored in RAW format and questionnaires will be converted to digital scanned copies. All electronic data will be stored within a password-secured computer folder and only research staff will have access to this information. All hardcopy submissions will be stored in a locked filing cabinet that only the researcher will have access to. Data will be stored for two years *from the date of final research submission* to York University. After this time, if given consent, recordings and questionnaires will be given to Kluane First Nation government on a removable hard drive and will be archived. The data will once again be in a password protected folder. If not given consent, recordings and scanned questionnaires will be destroyed after two years from the date of submission. This will be done by deleting the RAW voice recording files or PDF questionnaires. All hardcopies of questionnaires will be shredded two years after submission of final research.

The results of the research will be published in the form of a report. This report will not be published in a professional journal or presented at professional meetings unless directed to by KCDLP. KCDLP will have full ownership of document after completion of degree.

Confidentiality will be provided to the fullest extent possible by law.

Voluntary Participation

Your participation in the study is completely voluntary and you may choose to stop participating at any time. Your decision not to volunteer will not influence the nature of your relationship with Kluane Community Development Corporation, Kluane First Nation government, the researcher (Andrijana Djokic), or the nature of your relationship with York University either now, or in the future.

Withdrawal from the Study

You can stop participating in the study at any time, for any reason, if you so decide. Your decision to stop participating, or to refuse to answer particular questions, will not affect your relationship with the researchers, York University, or any other group associated with this project. In the event you withdraw from the study, all associated data collected will be immediately destroyed wherever possible.

Further Questions and Follow-Up

You are welcome to ask the researchers any questions that occur to you during the survey or interview. If you have further questions once the interview is completed, you are encouraged to contact the researchers using the contact information given below.

Questions About the Research?

If you have questions about the research in general or about your role in the study, please feel free to contact my Supervisor, Dr. Gabrielle Slowey, either by telephone at (416) 436-0024, or by e-mail (gaslowey@yorku.ca). This research has been reviewed and approved by the FES Research Committee, on behalf of York University, and conforms to the standards of the Canadian Tri-Council Research Ethics guidelines. If you have any questions about this process, or about your rights as a participant in the study, please contact the Sr. Manager & Policy Advisor for the Office of Research Ethics, 5th Floor, Research Tower, York University (telephone 416-736-5914 or e-mail ore@yorku.ca).

Legal Rights and Signatures:

I,_____ (name, please print clearly), have read the above information and freely consent to participate in "Assessing Kluane Community Development Corporation's Governance Structures and Community Planning" conducted by Andrijana Djokic. I have understood the nature of this project and wish to participate. I understand that I am free to refuse to answer any question and to withdraw from the study at any time. I understand that my responses will be kept anonymous. I am not waiving any of my legal rights by signing this form. My signature below indicates my consent.

Signature _____ **Date** _____
Participant

Signature _____ **Date** _____
Principal Investigator

If:
(a) you would like a copy of your interview transcript once it is available;
(b) you are interested in information about the study results as a whole; and/or
(c) if you would be willing to be contacted again in the future for a possible follow-up interview, please provide contact information below:

Check those that apply:
____ I would like a copy of my interview transcript
____ I would like information about the study results
____ I would be willing to be contacted in the future for a possible follow-up interview

Write your address clearly below. Please also provide an email address and/or phone number if you have one.

Mailing address:

Email address:

Phone Number:

Appendix D – Interview Questions

Interviewer: Andrijana Djokic

Interviewee: General Manager, Kluane Community Development Limited Partnership

1. Kluane First Nation (KFN) previously created one corporation as the economic arm of the government – what did that corporate structure look like?
2. What was the mandate of that corporation? What was it's intended purpose?
3. Eventually the corporation decided to separate into two corporate entities. When did this occur? What business rationale resulted in this separation?
4. There are currently two corporations (Kluane Dana Shaw LP [KDSLP] and Kluane Community Development LP [KCDLP]) – what are their mandates? Are they inherently different?
5. What is KDSLP's corporate structure and reporting structure?
6. What is KCDLP's corporate structure and reporting structure?
7. Who are the shareholders of each respective corporation?
8. What are the KFN funding structures of each corporation, if any?
9. What documents/processes are in place to protect and/or hold KCDLP accountable? How is KCDLP held accountable?
10. How closely does KCDLP work with KFN?
11. Does KCDLP ever get involved in KFN planning? If yes, could you provide examples of these?
12. In regard to KFN plans that were created without KCDLP and/or before KCDLP's existence, are elements from those plans now incorporated into KCDLP's mandate/contracts/MOUs/etc?
13. Could you provide examples of community development projects that KCDLP has completed?
14. What are the next business steps for KCDLP? What is KCDLP's strategic vision for the next year or two?

Appendix E – Final Plan of Study and Research Proposal Submitted for MES II-III Exam

(Appended following this page)

MES PLAN OF STUDY
Faculty of Environmental Studies, York University

Student name	Andrijana Djokic
Student number	210385292
Student email	andrijana.e.djokic@gmail.com
Faculty Advisor	Gregory Thiemann

The Plan of Study is the foundation of your MES program. Students decide on the focus of their program, establish what they need to learn, and propose the path to acquiring the desired knowledge necessary to complete the degree.

The Plan of Study is divided into two parts: Part A) the Plan of Study presenting your overall program and developed initially in the MES I stage and refined in the MES II stage with your assigned Advisor, and Part B) the Research Proposal developed with your selected Supervisor in the MES II stage and specifying the details of your MES III research. The approval of the final version of the plan and proposal by the advisor and supervisor marks the transition from the MES II to III stage and serves as the basis for evaluation in the Final Examination.

The following information maps the content of the plan and proposal but alternative forms of expressing the Plan of Study's requirements are encouraged and should be discussed with the Advisor. Please refer to the MES Handbook and FES website for more information on the MES stages and the Plan of Study.

Part A: PLAN OF STUDY

Date	November 6, 2015
Specialized program or diploma	Planning Program (OPPI/CIP Accreditation) Specialization: Other (Indigenous Community Planning)
Area of concentration (5 words maximum)	Indigenous Economies and Community Planning
Keywords (5 words maximum)	Socio-Economic Development, Traditional Knowledge, Resource Development, Community Sustainability; Indigenous Planning

1. a) Personal Statement

My original academic interest in Indigenous rights came to fruition based on the experiences I gained through my interdisciplinary and internationally-oriented undergraduate degree in Political Science. My specific interest in northern development was sparked while studying in Norway's Arctic and interning alongside Norway's Saami Parliament in review of UNDRIP. Through my studies and work, I was given the opportunity to visit Indigenous-governed cities such as Alta and Karasjok, during which I noticed the stark disparities between the level of development of northern Saami communities and northern Canadian Indigenous communities. Upon my return to Canada, I volunteered with Mamow Sha-Way-Gi-Kay-Win during which I was involved in negotiations with Northern Ontario First Nations communities regarding development initiatives. Decisions were made through "searching together" techniques (Indigenous-led discussions based on community-specific needs) in order for participants to feel like participants rather than research subjects. I aim to have a career as a planner with Indigenous communities and to further explore

the creation of more sustainable relationships with industry and how this may aid community growth founded in self-determination.

1. b) Area of Concentration (400 words maximum)
What do you want to study in your MES program? What are the issues/problems that you wish to critically engage with? Identify key theories/concepts, practices and definitions related to your area.

Through the MES program I aim to successfully complete the requirements for the planning component of the degree. I seek to focus on the realm of Indigenous community planning in the Canadian context, and more specifically, in northern Canada. In considering Indigenous community planning, I aim to explore how both planning processes and results can influence sustainability. Sustainability is not to be limited to the environment, but rather, it encompasses the continued existence of human, biophysical, socio-economic, and cultural elements that are integral components of each respective Indigenous community. My primary focus will be on the two latter considerations, as I am interested in the intersections of Indigenous planning and community-industry relationships.

Inherent to achieving successful sustainability of a community are the practices and processes which influence not only outcomes, but also how the public is incorporated in decision-making processes. Through this program I wish to focus on Indigenous communities as primary stakeholders and to examine different forms of meaningful engagement. Regarding community-industry relationships, I will be heavily focused on natural resource development – this, in part, is in recognition that a significant portion of the debate around Indigenous rights is embedded in considerations of "the land". Many resource development projects within Canada are currently heavily intertwined with Indigenous land negotiations and are either on or near Traditional Territory. It is worth noting that I also aim to assess other industries' practices to better understand a variety of "best practices" throughout Canada.

Through the Planning Field Experience, I hope to work with an organization that is utilizing shifts in increasing Indigenous political power to formulate meaningful business and/or community plans. This practical experience paired with coursework will enable me to consider a variety of development methods as ways to redirect investment into Indigenous communities to further self-determination and self-governance efforts within planning.

2. Currents of thought and practice
Identify and review the main debates in academic texts related to your area of concentration.

Indigenous Community Planning, Community-Industry Relationships, Respecting Traditional Knowledge

Within Canada there is a shift occurring that is moving towards self-determined Indigenous community planning, a practice defined as distinctly different from other forms of planning that have dominated development in Canada. Indigenous planning is participatory in nature, community-based, culturally appropriate, and seeks to counteract the legacy of colonialism. Indigenous scholars highlight the intrinsic roles that governance, Traditional Knowledge, and stewardship of the land play in the planning process. McGregor (2013, 2009) draws attention to the way in which Traditional Knowledge has not historically been meaningfully incorporated in planning processes. Her work acknowledges that Traditional Knowledge has not historically guided the conversations within mainstream planning and has instead been forced to culturally adapt to fit within the more common Western scientific and linear planning practices. Porter (2010) discusses similar issues while dedicating an entire book to analyzing how colonization's legislative legacy impedes Indigenous communities' local planning and development initiatives. This is due in part to competing worldviews and embedded structures that limit the ability for self-determined planning processes and results.

It is no question that planning efforts tend to increase as prospects of growth increase. If the conversation is not culture and community first, there is a risk that industry will guide the conversation. If that is the case, we will only tend to concentrate on the answers to industry-related questions. Therefore, in regard to Indigenous planning it is important to recognize at which stage Traditional Knowledge is incorporated in the planning process, creating a distinctly different planning practice. Christensen, L., Krogman, N. & Parlee, B. (2010), Hardess, L. & Fortier, K. J. (2013), Jojola (2013), and Matunga (2013) have all provided case studies that state that the first step in reclaiming Indigenous planning and the knowledge associated with that is to engage in a participatory approach. All their case studies highlight that this is quite different from the dominant processes of Western planning through which planners are guided first by legislation and policy, second quantitative data, and then by culture (as influenced through a participatory and grassroots process).

As McGregor (2009, 2013) identifies, land and governance are of utmost importance in Indigenous planning, through which there is no separation from and between realms such as community planning, economic planning, or land use planning. Due to the prevalence of natural resource development in indigenous communities, two external mechanisms that greatly influence (and to some extent control) community-industry relationships are environmental assessments and impact benefit agreements. The current frameworks have proven to be inadequate in a multitude of examples of joint Indigenous-Settler planning due to a number of reasons. Stevenson (1996), O'Faircheallaigh (2010), and Paci et al (2002) have all noted the top-down approach of assessments in Canada. Within this, they note that during the creation of environmental assessment legislation, Traditional Knowledge was excluded. What now seems to be the case is that environmental assessment bodies are still maintaining relatively similar policies, while trying to find the gaps within which they may include Traditional Knowledge, as opposed to restructuring the process. The question becomes whether we can effectively and meaningfully work through two different knowledge systems to attain a mutually-beneficial result? When operating within an assessment process that favours Western science and quantitative data, labelling this as the only "truth", one must also ask whether this is even the direction in which we should be seeking to head?

Another development from the current environmental assessment landscape in Canada is a system of "checks and balances". Caine and Krogman (2010) identify that impact assessments are now becoming commonplace within impact benefit agreements at the request of Indigenous communities. These assessments are completed at the resource developer's expense and usually through a consultancy. Caine and Krogman continue their discussion to highlight the fact that because resource developers are now taking on the responsibility of impact assessments, this "checks and balances" process influences (even almost guides) the framework of the conversations around impact benefit agreements and subsequent development. This is interesting to note as O'Faircheallaigh (1999) writes about how impact assessments would be better suited for Indigenous communities if they were negotiation-based. While the thought behind all parties seated at the same table and negotiating is commendable, O'Faircheallaigh's position assumes that the agenda is not already set. His narrow-window approach fails to recognize that he is implying that Indigenous groups must find room for Traditional Knowledge within the current structures and discussions as opposed to those structures being redefined to meaningfully incorporate Traditional Knowledge within them.

However, shifts are occurring. Notice is being taken regarding the reality that if we design our assessment processes around economic growth and drivers, we will only seek to answer questions that address the economy. The West Coast Environmental Law's Expert Panel Review (2016) on the Environmental Assessment Act, 2012 has deemed that environmental assessments should be viewed as more of a *community planning tool*. Their analysis shows that assessment agencies are given too much responsibility

within the current assessment process that places them well outside of their purview and expertise. The West Coast Environmental Law review alternatively suggests that we should be seeking to create legislation that promotes an iterative assessment process from the bottom-up. They note that this paired with Indigenous community planning allows for assessments to better incorporate not only Traditional Knowledge, but also communities' unique histories and experiences, and for communities to design the process around what is best for them, irrespective of economic pressures.

The emphasis on impact assessments is due to the fact that Indigenous communities across Canada have been greatly affect by resource development, and these private agreements that put industry first and community second have shaped the way in which development occurs across much of Indigenous Canada. It influences what education one seeks, which businesses receive support, what services are provided in town, and so forth. In places like the Yukon, where 11 of the 14 First Nations are Settled nations (meaning that they have signed their final land claim agreements), many First Nations are already exercising their land use planning rights to guide not only resource development, but also to influence the re-emergence of traditional economies, local business development, and community planning. It is yet another example of the shifts that are occurring in regard to self-determination within Indigenous Canada.

3. Components of Area of Concentration and Learning Objectives (1000 words maximum)
Identify and define 2-3 components structuring your area of concentration. Identify learning objectives (indicating the level of knowledge and the reasons why you wish to master such objectives) and list relevant various strategies (courses or other learning activities).

Indigenous Community Planning

My Planning specialization will be Indigenous community planning. I will consider sustainability as implying continued existence and will apply this to Indigenous community development. I aim to analyze planning practices that encompass social equality, environmental equality, socio-economic considerations, in addition to biophysical aspects, hoping to engage in holistic approaches to planning with a community.

Learning Objectives:

1. I will obtain the knowledge and skills necessary to meet the program requirements of the CIP and OPPI membership.
   Strategy: This component will be accomplished through all coursework and a planning work placement.
2. I will gain a thorough understanding of best practices in community engagement and how to most meaningfully incorporate stakeholders through decision-making processes.
   Strategy: This component will be accomplished through coursework and final research – ENVS 5061 Environmental Law and Justice, ENVS 6186 Theory and Methods of Impact Assessment, POLS 6145 Indigenous Politics: Decolonization or "Development"?, ENVS 5121 Perspectives in Planning, ENVS 6173 Politics and Planning, ENVS 6331 Planning in Toronto Workshop, ENVS 6349 Cultural Production Workshop, and Field Experience.
3. I will gain an in-depth understanding of current sustainable development and planning theories in Indigenous communities. I will explore whether current development and planning practices reflect further extensions of a neo-colonial system.
   Strategy: This component will be accomplished through coursework – ENVS 6173 Politics and Planning, ENVS 5121 Introduction to Planning, and POLS 6145 Indigenous Politics. My final research will also consider community perspectives in regard to this learning objective.
4. I will gain a thorough knowledge of Indigenous community planning and land use planning in a Canadian context. I aim to critically analyze the benefits and burdens currently associated with such practices and policies, insofar as assessing the role of community in development.

Strategy: This component will be accomplished through coursework and final research – ENVS 5121 Introduction to Planning, ENVS 6165 Land Use Planning Law, POLS 6145 Indigenous Politics, and ENVS 6173 Politics and Planning.

Community-Industry Relationships

I wish to combine considerations of Indigenous development in Canada and current community-industry relationships. While various industries will be considered, most attention will be given to the natural resource industry as it is a sector that has significant influence on Indigenous communities and their lands.

Learning Objectives:

1. I would like to gain a basic understanding of the current industries engaging with and/or impacting Indigenous communities in Canada.
   Strategy: This component will be accomplished through course work, field work, and final research – POLS 6145 Indigenous Politics, ENVS 6186 Theory and Methods of Impact Assessments, ENVS 6599 IDS – IBAs in the Yukon, and ENVS 6599A IDS – Introduction to GIS.
2. I will gain an expert knowledge of the current Environmental Impact Assessment (EIA) and Impact Benefit Agreement (IBA) processes and the frameworks around which they function. I will analyze the neo-colonial structures affecting effective EIA and IBA processes. I would like to dedicate attention to the Yukon First Nations context.
   Strategy: This component will be accomplished through coursework – ENVS 6186 Theory and Methods of Impact Assessment, POLS 6145 Indigenous Politics, ENVS 5061 Environmental Law and Justice, and ENVS 6599 IDS – IBAs in the Yukon
3. I aim to gain an in-depth knowledge of treaty processes and land claims agreements to critically analyze their implications on Indigenous-industry relationships and negotiations.
   Strategy: This component will be accomplished through course work, fieldwork, and final research – POLS 6145 Indigenous Politics, ENVS 5061 Environmental Law and Justice, and ENVS 6599 IDS – IBAs in the Yukon.

Respecting Traditional Knowledge

This component is primarily focused on learning about the respectful protocols around not only respecting Indigenous Traditional Knowledge, but also about how to respect Traditional Knowledge in all aspects of my personal and professional life. I seek to gain an in-depth knowledge around how to conduct ethical relationships with Indigenous communities and to employ "searching together" methodologies – working and researching with the community, not about the community.

Learning Objectives:

1. I will gain an understanding of various Indigenous worldviews and better understand how relationships to the land and human relationships are perceived and valued. I seek to not only be taught through coursework and literature, but by being actively involved in communities I work with.
   Strategy: This component will be accomplished through participating in community events and building relationships, through field experience, coursework, and my final research – POLS 6145 Indigenous Politics and ENVS 6599 IDS – IBAs in the Yukon
2. I will gain an in-depth understanding of indigenous research methodologies. I will consider the historical evolution of settler-conducted research to an inclusion of Indigenous voices. I will also practice methods that will reduce risk to communities and avoid cultural appropriation – this will be done through creating a serious of ethical protocols to ensure proper Indigenous research, even if Human Participants Research and Aboriginal Ethics Review are not required.

Strategy: This component will be accomplished through POLS 6145 Indigenous Politics, ENVS 6186 Theory and Methods of Impact Assessment, ENVS 5061 Environmental Law and Justice, and ENVS 6349 Cultural Production Workshop Image.

4. Learning Strategies (list of courses and activities)

Fall 2015

ENVS 5100 Interdisciplinary Research in Environmental Studies (Pariss Garramone) 3 credits

ENVS 5061 Environmental Law and Justice (Dayna Scott) 3 credits

ENVS 6186 Theory and Methods of Impact Assessment (Peter Mulvihill) 3 credits

POLS 6145 Indigenous Politics: Decolonization or "Development"? (Gabrielle Slowey) 3 credits

Winter 2016

ENVS 5121 Perspectives in Planning (Jenny Foster) 3 credits

ENVS 6173 Politics and Planning (Stefan Andreas Kipfer) 3 credits

ENVS 6331 Planning in Toronto Workshop (deGaetano) 6 credits

Summer 2016

ENVS 6349 Cultural Production Workshop: Image (Sarah Flicker) 6 credits

ENVS 6699 Field Experiences (Shareholders' Association for Research and Education) 3 credits

Fall 2016

ENVS 6599 Individual Directed Study (Gabrielle Slowey) 3 credits

IBAs in the Yukon

ENVS 6599A Individual Directed Study (Justin Podur) 3 credits

Introduction to GIS

ENVS 6165 Land Use Planning Law (Ken Hare, John Mascarin) 3 credits

Winter 2017

ENVS 6599 Individual Directed Study (Gabrielle Slowey) 12 credits

Summer 2017

ENVS 7798 M.E.S. Major Portfolio Independent Work 9 credits

Fall 2018

ENVS 7798 M.E.S. Major Portfolio Independent Work 6 credits

Total of credits completed 63
Total of residual credits requested at MES II-III Exam: 0 (will be completing extra 6 during part-time semester in Fall 2018)

5. Bibliography

Compile an exhaustive list of academic references related to your plan (and organize along your components if you choose).

Aboriginal Community Planning

Elwood, Sarah A. "GIS use in community planning: a multidimensional analysis of empowerment." *Environment and Planning A* 34.5 (2002): 905-922.

Lane, Marcus B. "Affirming new directions in planning theory: comanagement of protected areas." *Society & Natural Resources* 14.8 (2001): 657-671.

Lane, Marcus B. "The role of planning in achieving indigenous land justice and community goals." *Land Use Policy* 23.4 (2006): 385-394.

Walsh, Fiona, and Paul Mitchell, eds. *Planning for country: Cross-cultural approaches to decision-making on Aboriginal lands*. IAD press, 2002.

Indigenous Research Methodology / World Views

Blaser, Mario, et al., eds. *Indigenous peoples and autonomy: Insights for a global age*. UBC Press, 2011. Print.

Irlbacher-Fox, Stephanie. “Traditional knowledge, co-existence and co-resistance.” *Decolonization: Indigeneity, Education & Society* 3.3 (2014): 145-158.

Fischer, F. *Citizens, Experts, and the Environment: The Politics of Local Knowledge*. Durham: Duke University Press, 2000. Print.

Kwiatkowski, Roy E. “Indigenous community based participatory research and health impact assessment: A Canadian example.” *Environmental Impact Assessment Review* 31 (2011) 445-450.

McGregor, Deborah. "Anishinaabe environmental knowledge." *Contemporary Studies in Environmental and Indigenous Pedagogies*. SensePublishers, 2013. 77-88. Print.

McGregor, Deborah. "Linking traditional knowledge and environmental practice in Ontario." *Journal of Canadian Studies/Revue d'études canadiennes* 43.3 (2009): 69-100.

Tuhiwai Smith, Linda. *Decolonizing Methodologies: Research and Indigenous Peoples*. Zed Books, 1999. Print.

Environmental Impact Assessment

Freeman, R. Edward & et al. “Applying Stakeholder Theory in Sustainability Management: Links, Similarities, Dissimilarities, and a Conceptual Framework.” *Organization & Environment* 27.4 (2014): 328-246.

Mulvihill, P., and D. Baker. “Ambitious and Restrictive Scoping: Case Studies from Northern Canada.” *Environmental Impact Assessment Review* 21 (2001): 363-384.

Noble, Bram F. “Strategic Environmental Assessment: What is it? & What makes it strategic?” *Journal of Environmental Assessment Policy and Management* 2.2 (2000): 203-224.

Noble, Bram F. “Promise and dismay: The state of strategic environmental assessment systems and practices in Canada.” *Environmental Impact Assessment Review* 29 (2009) 66-75.

Noble, Bram F. and Lisa White. “Strategic environmental assessment for sustainability: A review of a decade of academic research.” *Environmental Impact Assessment Review* 42 (2013) 60-66.

O’Faircheallaigh, Ciaran. “Public participation and environmental impact assessment: Purposes, implications, and lessons for public policy making.” *Environmental Impact Assessment Review* 30 (2010) 19-27.

Paci, Chris and et al. “Reconsidering the Canadian Environmental Impact Assessment Act: A place for traditional environmental knowledge.” *Environmental Impact Assessment Review* 22 (2002): 111-127.

Stevenson, Marc G. “Indigenous Knowledge in Environmental Assessment.” *Arctic* 49.3 (September 1996): 278-291.

Tollefson, Chris and Karen Wipond. “Cumulative Environmental Impacts and Aboriginal Rights.” *Environmental Impact Assessment Review* 18 (1998): 371-390.

Co-Management / Impact and Benefit Agreements

Armitage, D. “Collaborative Environmental Assessment in Northwest Territories, Canada.” *Environmental Impact Assessment Review* 23.5 (2005): 239-258.

Berkes, F. “Co-Management: Bridging the Two Solitudes.” *Northern Perspectives* 22.2-3 (1994): 18-20. Print.

Caine, Ken J. and Naomi Krogman. “Powerful or Just Plain Power-Full? A Power Analysis of Impact and Benefit Agreements in Canada’s North.” *Organization & Environment* 23.1 (2010) 76-98.

O’Faircheallaigh, Ciaran. “Making Social Impact Assessment Count: A Negotiation-Based Approach for Indigenous Peoples.” *Society & Natural Resources* 12 (1999): 63-80.

O’Faircheallaigh, Ciaran. “Environmental agreements, EIA follow-up and aboriginal participation in environmental management: The Canadian experience.” *Environmental Impact Assessment Review* 27 (2007) 319-342.

Sosa, Irene, and Karyn Keenan. *Impact benefit agreements between aboriginal communities and mining companies: Their use in Canada*. Ottawa: Canadian Environmental Law Association, 2001.

Development Theory

Cohen, David H. and et al. “Who Pays Attention to Indigenous Peoples in Sustainable Development and Why? Evidence From Socially Responsible Funds in North America.” *Organization & Environment* 27.4 (2014) 368-382.

Escobar, Arturo. *Encountering Development: The Making and Unmaking of the Third World*. Princeton University Press, 1995. Print.

McGregor, Deborah. "Coming full circle: Indigenous knowledge, environment, and our future." *The American Indian Quarterly* 28.3 (2004): 385-410.

McGregor, Deborah. "Towards Coexistence." *In the way of development: Indigenous peoples, life projects and globalization* (2004): 72.

Part B: RESEARCH PROPOSAL

Date	June 20, 2017
Type of Major Research	Portfolio
Title of Major Research	A Snapshot of Socio-Economic Dynamics Influencing Indigenous Canada
Research Supervisor	Gabrielle A. Slowey
Keywords (5 words maximum)	Indigenous economies, self-determination, community engagement, neo-colonialism, community planning

If your Major Paper, Major Project or Portfolio research involves human participants, you must complete a Human Participants Research Review package (and risk assessment if applicable) available in the FES Graduate Dossier (Add Forms > Research Ethics and Risk Assessment). Human participants research cannot proceed until written approval is received from the FES Research Committee. If you are conducting a thesis, you must refer to the Faculty of Graduate Studies requirements and research ethics forms and procedures.

1. Statement of Research Topic (400 words maximum)
What is the focused research topic that you wish to examine? Why is this issue important and worth researching?

The overarching research topic that I will be concentrating on is around the dynamics of Indigenous socio-economic realities in Canada. The first portion of this research portfolio concentrates on Aboriginal employment reporting practices of 173 publicly-traded Canadian companies. The second portion of the portfolio concentrates on rates of First Nations self-employment in Canada. This portion has been conducted using a custom tabulation created by Statistics Canada including 11,444,400 cells of public data from the Census, 2011 and National Household Survey, 2011. These two portions of the portfolio demonstrate that it is that it is seemingly more difficult for Indigenous populations to not only enter the workforce, but to also experience higher levels of attainment within businesses and alternatively, to own their own businesses. While these two documents address matters on a different scale – one being at the corporate level, one being a glimpse into individuals' circumstances – when considered together, patterns are evident that provide a rationale for the third portion of this research portfolio.

As a means through which I will consider the local scale, the third portion of this portfolio will concentrate primarily on the Kluane Community Development LP (KCDLP). This portion incorporates an assessment of the structure of KCDLP as the economic arm of Kluane First Nation (KFN), how this structure interacts with KFN's governance structures, and how these factors influence KCDLP's ability to act in the interest of KFN's long-term community planning strategies and initiatives.

The significance of these three submissions is that they highlight the importance of self-government for Indigenous communities designing self-determined economies. In the second portion, it is evident that the rate of First Nations self-employment is much higher in the Yukon than in other parts of Canada. First Nations Development Corporations are playing an increasingly important role in enabling community members and citizens to actively and meaningfully participate in the economy. The Corporations represent a shift in the Yukon towards fulfilling important aspects of Chapter 22, Economic Rights, of the Umbrella Final Agreement. This work sheds light on the role that Development Corporations can play in challenging colonization's legacy.

2. Specific Research Question (250 words maximum)
What is the specific question, thesis, or argument guiding your research inquiry?

The purpose of this research portfolio is to analyze Indigenous socio-economic realities at different scales within Canada and to identify factors at the national and local levels that impact Indigenous employment, self-employment, and business creation. This research seeks to answer whether the corporate and governance structures of Indigenous Development Corporations in the Yukon, specifically the Kluane Community Development Limited Partnership, can influence the creation of self-determined economies for their local populations. The analysis of Kluane Community Development Limited Partnership seeks to highlight whether this entity must succumb to the neo-classical economy heavily imposed on Yukon through resource development. I will consider Kluane First Nation's Sustainability Toolkit and an Integrated Community Sustainability Plan (important governing documents created through extensive community participation), and explore how KCDLP interacts with such community planning mechanisms and if through such governance relationships, KCDLP is able to meaningfully enhance KFN agency and self-determination within community development.

3. Theoretical Framework and Literature Review (1000-1500 words maximum)
What is the theoretical framework for your research? What have other scholars said about your research topic or problem?

This research will consider Indigenous economic development in the Yukon from the lens of "alternative development" juxtaposed to that of the neo-classical model of economic development in Canada. Important to note is that while neo-classic economics tends to separate governance structures from business, alternative development seeks to not only include governance within its framework, but also meaningfully incorporates those aspects of community culture that are imperative to the health of a specific community. As Hibbard & Adkins (2013) note, at the root of alternative development theory is that it is a grassroots approach which incorporates participatory processes in determining culturally compatible development goals. Alternative development's goal is sustenance – "the ability to secure a livelihood in the ways that are most culturally appropriate" (101).

Loney & Braun (2016) discuss the "solutions economy", a form of alternative development using social enterprises. They argue that question should not revolve around what doctrine the economic end-product fits within, but rather to concentrate on the process that accompanied the creation of that final development. They state that:

> The solutions economy criss-crosses the ideological spectrum, at times confounding both sides, more often winning them both over. It seeks collaboration, not polarization of sides. It is not an ideology, which is to say it is not about arguing that one economic school of thought is superior or that one political philosophy is the answer. It is not about being right in some abstract, theoretical way. It is about innovative, on-the-ground solutions (9).

This solutions economy is achieved through "social enterprises" that "…are economic entities using market forces. They combine the entrepreneurial savvy of the business sector with the community ethos of the non-profit sector. They are businesses of the people, by the people, and for the people" (ibid, 10). Key to this argument in being able to establish meaningful social enterprises or alternative development in Indigenous communities is sovereignty.

Sovereignty is key as it enables a community to implement those governance structures which support their own form of economic development, not necessarily succumbing to neo-classic practices. In Anderson et al's (2006) discussion on Indigenous Development Corporations, it is stated that within these entities, of

utmost importance is "...the prevalence of community ownership and the acknowledgment of the importance of long-term profitability and growth of businesses created, not as an end but as the means to an end. And it is these ends that make their activities social entrepreneurship" (46). Where Anderson et al lack in their analysis is that they do not incorporate governance structures (not only within the corporation, but also between the corporation and other governing bodies) in their assessments of the success of Indigenous Development Corporations. Their analysis seems to only consider success as the ability to generate a profit as an Indigenous-owned business as success, without necessarily considering if the businesses were successful in achieving community visions and goals. Contrary to this, Loney & Braun (2016) do note that it is the role of a self-governing nation's government to create the environment in which it can decolonize embedded legacies and allow social enterprises (Development Corporations fall within this category) to flourish and provide benefits to the community.

Indigenous Development Corporations are gaining an ever-increasing role in the health of their communities and in acting towards fulfilling and ensuring Indigenous rights. Anderson et al (2006) are correct in their statement that "there has been a shift in 'who' companies consider to be stakeholders and how they behave toward these groups" (48). This is increasingly the reality in the Yukon where businesses, especially within resource extraction, do not only consult with First Nations Governments but also with the respective Development Corporations. Those Development Corporations dealing with resource developers provide interesting case studies for an analysis of the effectiveness of the Corporations in promoting community vision. The decisions that dictate these business opportunities are typically determined behind closed doors in private negotiations between the Development Corporation and industry partner. Within the realm of resource development, these are typically negotiated within Impact Benefit Agreements (IBAs) (sometimes referred to as Comprehensive Benefit Agreements). Given that these negotiations serve as a means through which to develop community business opportunities, it is important to consider the Development Corporation's role within this as it is generally held that "IBAs limit [community vision] even more so by their focus on a specified range of elements that are accepted by the industry as 'normal'" (Caine & Krogman, 88). This is one of the instances that Hibbard & Adkins (2013) would argue that we see "development programs, institutions, and activities that begin from the premise that the only solution to the socio-economic problems facing Indigenous communities is to shape their local economy in harmony with the mainstream neo-classical economy" (95).

This "mainstream neo-classical economy" can also, unfortunately, be seen as the "status quo" or "truth". Hibbard & Adkins (2013) note that "the conventional development paradigm mistakes ideology … for 'truth'" (98) while Caine & Krogman (2010) note in their analysis of IBA negotiations, "the routinized process that development proponents bring to the negotiation table may lead to an acceptance of the status quo by the dominated and ultimately lead to a culture of silence, given the focus is on finalizing the agreement rather than democratizing development decisions and benefit streams" (88).

Hibbard & Adkins (2013) show that "from an [alternative development] perspective, the aim of development is to expand a people's control over the things that matter most to them in their own lives, to increase their economic, political, and social freedom as they understand those things through the lens of their own cultural values" (99) – a thing which dependency on a neo-classical economy does not. This is the very definition of sustenance, not dependence. This dependence has been recognized as a "cruel choice" that many First Nations communities must make (Slowey 2008, 2009; Hibbard & Adkins 2013; Taylor & Friedel 2011; Prno 2007) and "embedded in the cruel choice is the assumption that the economy is the constant and that cultures have to adapt to it" (Hibbard & Adkins, 97).

It will be interesting to see if KFN's Sustainability Toolkit and Integrated Community Sustainability Plan are meaningfully incorporated within the business developments of KCDLP. Both of these governing documents were created through extensive community participation and workshops in order to identify the indicators that matter most to the health of KFN's socio-economic position and culture. In other words,

these two documents are excellent mechanisms through which to consider community voices and vision. If KCDLP is not able to meaningfully satisfy the indicators highlighted through the planning process, then it is not necessarily following development planning through alternative development –to be self-determined development planning, KCDLP "requires the active participation of community members" (Hibbard & Adkins, 99-100), otherwise these development goals run the risk of being derived from an abstract set of universal principles.

4. Research Design and Methodology (1000 words maximum)
What methods will you used to gather and analyze the data required to respond to your research question?

Portfolio Portion 1: Quantitative and Qualitative Research Methods

1. Analyzed the public documents of 173 publicly-traded Canadian companies on the TSX (Industries analyzed: Capped Financial; Capped Healthcare; Consumer Discretionary; Consumer Staples; Energy; Materials; Renewable Energy and Clean Technology; and Telecommunications)
2. Company public disclosures accessed through SEDAR and using the advanced Google search engine. The review included the most recent annual information forms (AIFs), proxy circulars, corporate social responsibility reports, sustainability reports, diversity and inclusion reports, company websites and other relevant publicly-available company disclosures.
3. Each company's public disclosures were reviewed and evaluated against a framework of priority areas drawn from the TRC Call to Action 92:
    a. committing to obtain the free, prior and informed consent of Indigenous peoples before proceeding with projects;
    b. ensuring access to jobs, training and education and, long term economic opportunities; and,
    c. providing respectful, inclusive work environments.
4. Company disclosures across the following aspects were analyzed:
    a. Recognition of Indigenous peoples in diversity policies and corporate leadership;
    b. Employment and Advancement of Indigenous employees;
    c. Contracting and procurement opportunities for Indigenous businesses;
    d. Providing employment-related training and education;
    e. Commitment to upholding Indigenous rights;
    f. Community reinvestment and support.

Portfolio Portion 2: Quantitative Research Methods

1. Received a custom tabulation of 11, 444, 400 cells of public data from Statistics Canada compiling data on Aboriginal and non-Aboriginal self-employment from the Census, 2011 and National Household Survey, 2011.
2. Conducted statistical analysis on the following areas:
    a. Age
    b. Mobility
    c. Land Tenure
    d. Industrial Classifications of Worker
    e. Residency: On- or Off-Reserve
    f. Education by Major Field of Study
    g. Educational Attainment

Portfolio Portion 3: Qualitative Research Methods

1. Review of KFN's Sustainability Toolkit and Integrated Community Sustainability Plan. Identify key indicators within these governing documents that are currently of utmost importance to KFN citizens and governing bodies. These indicators will comprise part of the basis for analysis
2. Interviews with Colin Asselstine in his professional capacity as General Manager of Kluance Community Development Limited Partnership. These interviews are regarding KCDLP's corporate and governance structure. No request for opinions. Questions are as follows:
    - Kluane First Nation (KFN) previously created one corporation as the economic arm of the government – what did that corporate structure look like?
    - What was the mandate of that corporation? What was it's intended purpose?
    - Eventually the corporation decided to separate into two corporate entities. When did this occur? What business rationale resulted in this separation?
    - There are currently two corporations (Kluane Dana Shaw LP [KDSLP] and Kluane Community Development LP [KCDLP]) – what are their mandates? Are they inherently different?
    - What is KDSLP's corporate structure and reporting structure?
    - What is KCDLP's corporate structure and reporting structure?
    - Who are the shareholders of each respective corporation?
    - What are the KFN funding structures of each corporation, if any?
    - What documents/processes are in place to protect and/or hold KCDLP accountable? How is KCDLP held accountable?
    - How closely does KCDLP work with KFN?
    - Does KCDLP ever get involved in KFN planning? If yes, could you provide examples of these?
    - In regard to KFN plans that were created without KCDLP and/or before KCDLP's existence, are elements from those plans now incorporated into KCDLP's mandate/contracts/MOUs/etc?
    - Could you provide examples of community development projects that KCDLP has completed?
    - What are the next business steps for KCDLP? What is KCDLP's strategic vision for the next year or two?

5. Timeline

Provide a weekly or monthly breakdown of your research activities (fieldwork, interviews, writing sections, revisions, submission).

SHARE Report – Assessing Aboriginal Employment Reporting Practices in Canada

June 2016 – December 2016	Collected both qualitative and quantitative data regarding Aboriginal employment reporting practices of 173 publicly-traded Canadian companies. Research areas included: Aboriginal board members, executive/senior management, and employees; Aboriginal mention in diversity policies; quantitative/qualitative data on targets; quantitative/qualitative data on employment by attainment; quantitative/qualitative data on Aboriginal procurement; quantitative/qualitative data on relevant education and training; recognition and implementation of ILO 169, UNDRIP, and TRC recommendations
January 2017 – April 2017	Research of supporting literature for report
May 2017	Finalized data with SHARE.

	Completed all graphs/infographics for report and for presentation at Canadian Council for Aboriginal Business' Annual Aboriginal Economic Development Conference
June 2017 – July 2017	Finalize report written with SHARE

<u>Canadian Council for Aboriginal Business Report</u> – "Reassessing the State of First Nations Business in Canada – 2011 Profile of the First Nation Self-Employed Workforce"

February 2017	Received custom 2011, Census and 2011, NHS dataset from Statistics Canada Determined with Dr. Greg Finnegan which parameters we would concentrate on.
March 2017 – April 2017	Conducted quantitative research and statistical analysis of our dataset parameters Research supporting literature for report (the exhaustive list is included in the appended report)
May 2017	Submitted final report to CCAB for revision and future publication

<u>Kluane First Nation Research</u> - Cumulative Social Impact Assessments as a Community Planning Tool: Enhancing Kluane First Nation Agency in the Wellgreen Mine (Re)Negotiations

Autumn 2016	Designed original research project with community research partners, Kate Van Ballegooyen and Colin Asselstine
November 2016	Received official letter of support from KFN Chief & Council
December 2016	Approved for Yukon research license License # 17-04S&E
February 2017	Moved to Yukon. Engaged in further building relationships with KCDLP and KFN
May 2017	Literature review for report and to design framework of interview questions
June 2017	MES II-III exam
August 2017	Conduct interviews with Colin Asselstine and any other professionals involved
September 2017 – October 2017	Write report regarding effectiveness of KCDLP's governance structure
October 2017 – November 2017	Work to be reviewed by supervisor and KCDLP
November 2017	Submit

6. Tentative Outline

This final research will be submitted as a M.E.S Portfolio. Its components will be as follows:

"Investing in Reconciliation: Business and Reconciliation Indicators for Investors" – *First Draft Stage*

<u>Table of Contents:</u>

A. Reconciliation
B. Call to Action 92
C. The Investor Case
D. Methodology

E. Indicators
    - Board and Senior Management Representation
    - Employment and Advancement
    - Contracting and Procurement
    - Training and Education
    - Community Investment
    - Indigenous Rights
F. Results Highlights
    - Diversity: Ensuring Opportunities for Indigenous Peoples to Work Within and Take Leadership in Companies
    - Employment and Contracting: Economic Participation and Opportunities

"Reassessing the State of First Nations Business in Canada – 2011 Profile of the First Nation Self-Employed Workforce" – *submitted to CCAB for review for publication*

Table of Contents:

A. Self-employed First Nation Ancestry Workers' Profile
    - Introduction to Labour Force Statistics and First Nation Workers
    - Age and Self-employment
    - Aboriginal Language Survival
    - Mobility
B. Land Tenure and First Nations Self-Employment
C. First Nations Self-Employment and Occupational Classifications
    - Provincial Breakouts for FNA Self-Employed Workers, 2011
D. Industrial Classifications and Self-Employed Workers in Canada, 2011
E. Income Differentials
    - Self-Employed Income Compared to Total Class of Workers Incomes
    - Full-Time versus Part-Time Employment
    - Income and Residency On-Reserve and Off-Reserve
F. Earned Income and Income Composition
    - Income Composition of FNA Workers On-Reserve and Off-Reserve
G. Education by Major Field of Study
H. Educational Attainment and Self-Employed First Nation Ancestry Workers
I. Income and Educational Attainment for First Nation Ancestry Workers

Report completed with Kluane Community Development Limited Partnership

Report about how KCDLP's structure interacts with long-term community planning

7. Bibliography

Kluane First Nation Foundational Documents:

Integrated Community Sustainability Plan (2013-2016, 2016-2018)
Kluane First Nation Strategic Plan
Sustainability Toolkit.

Academic Sources:

Alcantara, C. & Nelles, J. (2016). *A Quiet Evolution: The Emergence of Indigenous-Local Intergovernmental Partnerships in Canada.* Toronto: University of Toronto Press.

Armous, A. (1989). Integrating Impact Assessment in the Planning Process: A Status Report. *Impact Assessment Bulleting, 8*(1-2), 3-15.

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Christensen, L., Krogman, N. & Parlee, B. (2010). A Culturally Appropriate Approach to Civic Engagement: Addressing Forestry and Cumulative Social Impacts in Southwest Yukon. *Forestry Chronicle 86*(6), 723-729.

Clark, R. (1994). Cumulative Effects Assessment: A Tool for Sustainable Development. *Impact Assessment, 12*(3), 319-331.

Cornell, S. (2013).Reconstituting Native Nations: Colonial Boundaries and Institutional Innovation in Canada, Australia, and the United States. In R. Walker, T. Jojola & D. Natcher (Eds.), *Reclaiming Indigenous Planning* (35-59). Montreal: McGill-Queen's University Press.

Cragg, W., & Greenbaum, A. (2002). Reasoning about Responsibilities: Mining Company Managers on What Stakeholders Are Owed. *Journal of Business Ethics, 39*(3), 319-335.

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Gillingham, M. P. (2016). Exploring Cumulative Effects and Impacts Through Examples. In M. P. Gillingham, G. R. Halseth, G. R. Johnson & M. W. Parkes (Eds.), *The Integration Imperative: Cumulative Environmental, Community and Health Effects of Multiples Natural Resource Developments* (153-189). Springer International Publishing.

Halseth, G. R. (2016a). Cumulative Effects and Impacts: The Need for a More Inclusive, Integrative, Regional Approach. In M. P. Gillingham, G. R. Halseth, G. R. Johnson & M. W. Parkes (Eds.), *The Integration Imperative: Cumulative Environmental, Community and Health Effects of Multiples Natural Resource Developments* (3-20). Springer International Publishing.

Halseth, G. R. (2016b). Cumulative Effects and Impacts: Introducing a Community Perspective. In M. P. Gillingham, G. R. Halseth, G. R. Johnson & M. W. Parkes (Eds.), *The Integration Imperative: Cumulative Environmental, Community and Health Effects of Multiples Natural Resource Developments* (83-115). Springer International Publishing.

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