Northwest Territories
Protected Areas Strategy

Socio-Economic Assessment Guidelines

Disclaimer-These guidelines are intended as a planning tool for Candidate Area Working Groups. These guidelines will be reviewed and revised from time to time.

I. INTRODUCTION

The Northwest Territories Protected Areas Strategy (NWT-PAS) outlines a series of eight steps for the planning and establishment of protected areas, one of which (Step 5) calls for a detailed evaluation of the area's ecological, cultural and economic values. The evaluation of the economic values includes the assessment of the social and economic effects that establishing a protected area might have upon the proposed area as well as the local and nearby communities.

These guidelines outline the principles, objectives and process for the assessment of socio-economic effects related to the designation of candidate protected areas. The socio-economic assessment will be carried out separately but will also build on the other cultural, ecological, non-renewable and/or renewable resource assessments as stipulated in Step 5 of the NWT- PAS. Results from Phase 3 of the non-renewable resource assessment will be incorporated into the socio-economic assessment.

As stated in the NWT-PAS, the Protected Areas Strategy will conform to all land claim agreements, Aboriginal/inherent and treaty rights, self-government agreements and overlap agreements. In the event of any unforeseen conflicts between this Strategy and such agreements, the latter take precedence over the Strategy.

The importance of social and economic values is stressed throughout the NWT-PAS. Within the first goal it is stated that:
Northern residents know best which lands and waters are most critical to sustaining

their land-based economies, values and cultures. (PAS Section A, 2.1 (a), page 7). Further, section 2.2 (k) "economic opportunities" describes a principle that bears directly upon socio-economic values:
(k) Recognize the potential contributions of renewable and non-renewable resource development to the economic and social well-being of northern residents. Wherever possible, protected areas proposals for core representative areas will give priority to areas of low commercial value.

In general, however, it is the social and economic effects which could result from the establishment of any protected area designation that are of particular interest and concern to residents, businesses and local groups in the NWT.

II. PURPOSE OF THE SOCIO-ECONOMIC ASSESSMENT PROCESS

To assess the social and economic effects associated with the potential establishment of protected areas under the NWT-PAS in order to contribute to informed decisions about the designation of any protected area and its boundaries.

III. OBJECTIVES OF THE SOCIO-ECONOMIC ASSESSMENT PROCESS

1. To describe and quantify the socio-economic implications of establishing protected areas in an effective, timely and cost-efficient manner.
2. To identify and describe the effects that protected area establishment can have upon the people and economy in the proposed protected area as well as in local/nearby communities and the territory with available knowledge at the time.
3. To improve the state of knowledge concerning socio-economic values for any area under consideration as a protected area.
4. To coordinate and standardize the activities of government agencies, communities and other stakeholders involved in planning and implementing socio-economic assessment activities for candidate protected areas.

IV. PRINCIPLES OF THE SOCIO-ECONOMIC ASSESSMENT PROCESS

1. The socio-economic assessment process should be consistent with the principles and goals of the NWT-PAS.
2. Socio-economic assessments should be based on the best available socio-economic surveys and studies where possible and made available for peer and public review.
3. The cost and complexity of each socio-economic assessment, and whether

fieldwork is required, should be determined on a case by case basis by the Candidate Area Working Group and Funding Partners.

4. Socio-economic assessments should make full use of published information as well as traditional knowledge.
5. Socio-economic assessments should seek maximum community consultation and involvement throughout the information gathering and assessment process.
6. The socio-economic assessment should concentrate its assessment on the candidate protected area, but should also assess the linkages and effects upon the local/nearby communities and consider where possible effects on the territory as a whole.
7. A work plan for the socio-economic assessment should be developed at an early stage in candidate protected area planning in Step 5, although the socio-economic assessment should be carried out once all other assessments are complete or nearing completion.
8. The work plan for the socio-economic assessment should be developed within the context of all assessment work plans to ensure no duplication of effort nor gaps in the analysis.
9. Consultations on results to communities should be ongoing, timely and in clear language.
10. Primary research, if required, should be conducted in such a way as to cause no impacts on the natural and cultural values of a candidate protected area.

V. FRAMEWORK FOR THE SOCIO-ECONOMIC ASSESSMENT PROCESS

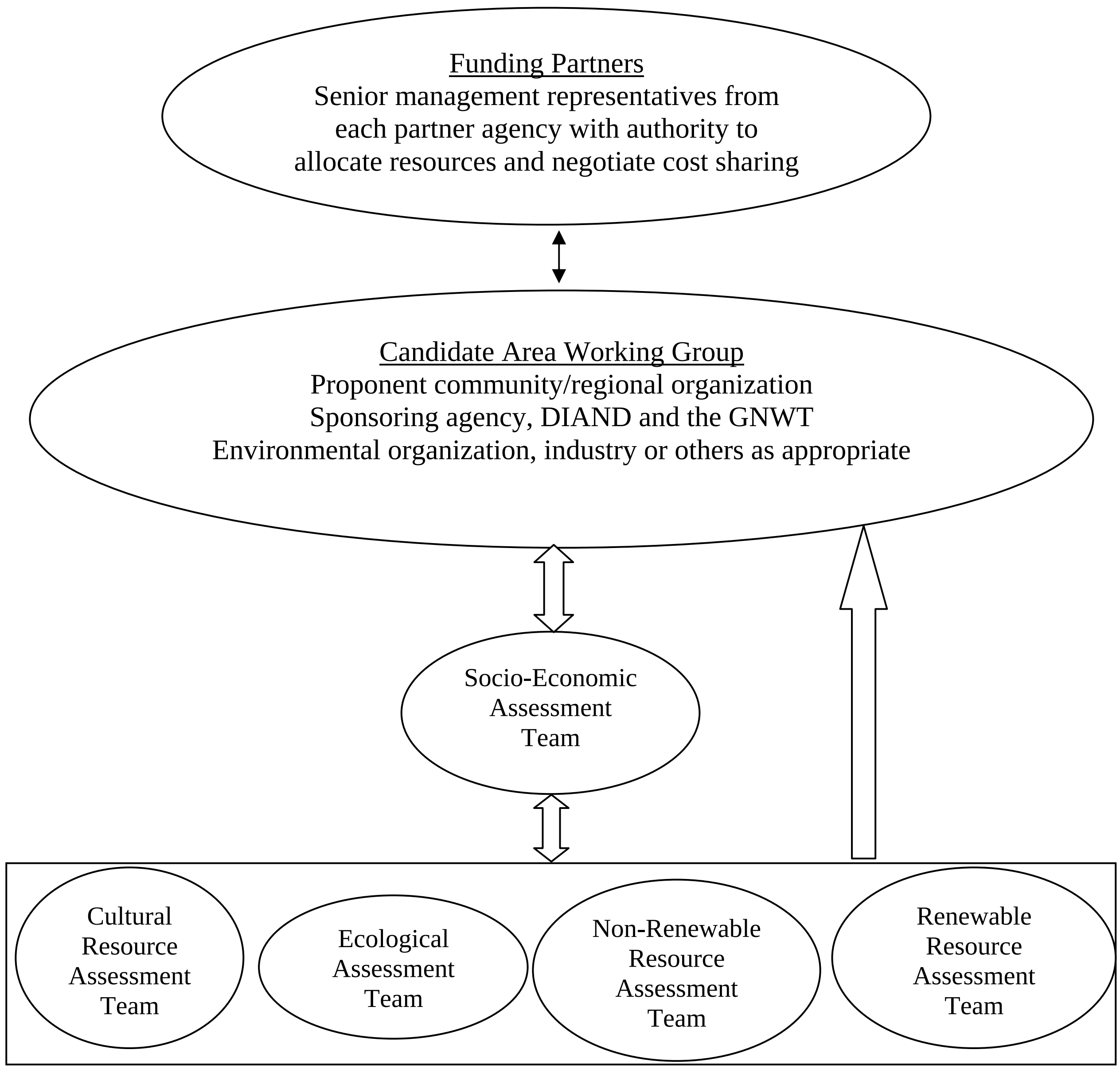
The framework diagram below shows how the socio-economic assessment fits within the overall framework of assessments that are carried out in the NWT-PAS process. Since it relies on other assessments for some of its data and analysis, the socio-economic assessment should be carried out late in the sequence of assessments.

The role of the Funding Partners is to review, amend and approve the work plans and budgets for the cultural, ecological, non-renewable and renewable resource and socio-economic assessments. Funds and resources are allocated according to their decisions.

The Candidate Area Working Group develops the overall work plan and budget for the cultural, ecological, non-renewable and renewable resource and socio-economic assessments. It also monitors and reviews progress of the assessments and ensure on-going community consultations.

The Candidate Area Working Group identifies a socio-economic assessment team to oversee the socio-economic assessment which can be undertaken by team members and/or by professional consultants. The Candidate Area Working Group ensures that pertinent results from the cultural, ecological, non-renewable and renewable resource assessments are available to the socio-economic assessment team.

When results are available from the various assessments, the Candidate Area Working Group coordinates consultation and reporting to communities, regional organizations, land-claim bodies, the public, industry and environmental organizations. The Candidate Area Working Group coordinates the preparation of a composite report that presents results and details the assessment process, and consults with the Funding Partners.



VI. SOCIO-ECONOMIC ASSESSMENT TEAM TERMS OF REFERENCE

1. Reports to a Candidate Area Working Group.
2. Develops an initial work plan and budget, and undertakes preliminary research on the socio-economic assessment work.
3. Through team members or through contractors, conducts a review of the reliability and relevance of available socio-economic information, including traditional knowledge, and provides a preliminary assessment report to identify information and data gaps to the Candidate Area Working Group, and possibly the affected communities.
4. Develops a secondary specific work plan and budget to fill data gaps, when necessary, for review and approval by the Candidate Area Working Group and Funding Partners.
5. Through team members or through contractors, conducts technical components of the socio-economic assessment work, writes a final report, and publishes for peer and public review with the approval of the Candidate Area Working Group.
6. Communicates results of the socio-economic assessment in uncomplicated terms directly to public meetings and to the Candidate Area Working Group.

VII. OUTLINE OF THE SOCIO-ECONOMIC ASSESSMENT PROCESS

The socio-economic assessment Team defines the study areas, and develops a specific work plan and budgets for the socio-economic assessment. The Candidate Area Working Group reviews this work plan and budget and recommends a budget allocation to the Funding Partners group. The Funding Partners negotiate the cost sharing arrangements for the Step 5 assessments. Funding for Step 5 assessments may also come from other organizations, such as environmental non-governmental organizations (ENGOs) or industry.

Socio-Economic Assessment Phase 1 - Situation Analysis, Part A

1. Define an initial study area that encompasses the primary area of concern, as defined by the candidate protected area.
2. Compile and evaluate all available existing social and economic data, including demographic, administrative, infrastructure, commercial, and economic characteristics in the defined study area (Table 1).
3. Organize and initiate a community consultation and information collection program that continues throughout the process, to ensure that all published and

unpublished information is collected and that traditional knowledge is incorporated into the assessment process.

4. Compile information on social conditions in and around the candidate protected area.
5. Identify gaps in existing socio-economic information.
6. Review the information gaps to identify those that are significant and require additional data through primary research studies and those that are not significant and require no additional data (Table 2).

The socio-economic assessment team reviews Phase 1, Part A results. The results are reported and presented to the Candidate Area Working Group along with recommendations on the scope and budget for a Part B component (if required) and for subsequent phases. The Candidate Area Working Group then makes a recommendation to the Funding Partners on whether to proceed to Phase 1, Part B or to subsequent phases.

Socio-Economic Assessment Phase 1 - New Data Collection, Part B (if required)

1. Prepare a research plan to gather the information and data identified as missing in Phase 1, Part A.
2. Undertake the research and consultations to fill the socio-economic information and data gaps identified.
3. Compile and evaluate all the data.

The Socio-economic assessment team conducts primary research programs (as required) in consultation with the Candidate Area Working Group and regional organizations/communities, in conjunction with and in addition to scientific and traditional knowledge research and monitoring conducted by other government agencies, communities, environmental organizations, industry and universities. The socio-economic assessment team reports the findings of the full situation analysis to the Candidate Area Working Group.

Socio-Economic Assessment Phase 2 - Assess Socio-Economic Impacts

1. Identify and describe the expected effects associated with changes in resource use within the candidate protected area as prescribed through the regulations associated with the designation being considered.
2. For each effect, identify the group(s) and/or the economic and social sectors of the area that will be affected (positive or negative or both).
3. Develop and agree upon the criteria for determining the significance of expected effects (Table 2).

4. Review the expected effects to identify those that are significant and worthy of detailed assessment and those that require no further consideration.
5. For each significantly affected sector or group, describe and quantify the expected impact (positive or negative or both).
6. For each significant socio-economic impact provide a complete description (quantitative and qualitative) of the impact and its importance or significance.
7. Recommend boundary modifications and area inclusions/exclusions giving due regard to the expected social and economic impacts, and/or recommend different regulations to apply to the candidate area (i.e. different designation), and/or recommend plans for mitigation of unacceptable socio-economic impacts.

The socio-economic assessment team reviews Phase 2 results. The results are reported and presented to the Candidate Area Working Group and the affected communities.

Socio-Economic Assessment Phase 3 – Socio-Economic Assessment Reporting, Consultation and Review

1. Compose and publish the Phase 2 report, as required. The draft report should be peer-reviewed on a confidential basis by critical readers within the federal and territorial governments, and by members of the socio-economic assessment team and Candidate Area Working Group.
2. Review of socio-economic assessment results by the Candidate Area Working Group, which develops the reporting and consultation approach for any additional review with the communities, regional organizations, land claim bodies, industry, environmental organizations and public.
3. A final report should be produced. The socio-economic assessment results should be released as part of the overall assessment process.

Table 1
Information Used in Socio-Economic Situation Analysis

Subject Area	Type of Information	Possible Source
Renewable Resources	- major and minor uses - commercial values of production - employment and income by use and area - traditional land uses - outfitting activities - economic impacts - characteristics of revenue flows - business/industry ownership - associated economic values*	Renewable Resource Assessment
Non-Renewable Resources	- major and minor uses - commercial values of production - employment and income by use - economic impacts - characteristics of revenue flows - business/industry ownership	Non-Renewable Resource Assessment
Cultural Values/Assets	- traditional land uses - traditional and cultural practices - associated economic values*	Cultural assessment document
Ecological Features	- inventory of important and distinguishing ecological features - importance of features - tourism/recreation capacity - ecological functions/ecosystem services - current area uses/users - associated economic values*	Ecological assessment document
Demographic Characteristics	age, education, employment, income, sex, housing, household structure, etc.	- Statistics Canada, Census - NWT Bureau of Statistics - Regional Economic Reports - Special Studies
Commercial Infrastructure	- types of retail and other commercial establishments - distribution of consumer goods and services - ownership characteristics	- Business licencing office - Chamber of Commerce - RWED & other GNWT - business directories

Table 1 Information Used in Socio-Economic Situation Analysis		
Subject Area	Type of Information	Possible Source
Utility Infrastructure: electrical, oil/gas, transportation, communications, municipal (water/sewer), pipelines, other utilities	- locations - importance - alternative routes - constraints - features	Utility Companies DIAND GNWT
Administrative Features	resource ownership management responsibility administrative authority	- GNWT - First Nations - DIAND & other Federal agencies
Economic Characteristics	- regional income (& sources) - regional employment - modern vs. traditional economy - seasonality - public services vs. private services - relevant economic/market trends and outside influences	- GNWT - Statistics Canada - DIAND - Published reports and special studies
* associated economic values are the quantifiable and unquantifiable values people associate with these resources and their use and non-use.		

Table 2 Impact Significance and SEA Action		
Impact Type	Significance*	Action
Positive	Substantial & Important	Further Consideration
	Indeterminate & Important	Further Consideration
	Somewhat Important	Possible Further Consideration
	Non-existent or Unimportant	No Further Consideration
Negative	Non-existent or Unimportant	No Further Consideration
	Somewhat Important	Possible Further Consideration
	Indeterminate & Important	Further Consideration
	Substantial & Important	Further Consideration
*** Significance can be based on different parameters such as: dollar value, number of people affected, uniqueness or frequency of occurrence, geographic area affected, or some other appropriate and mutually agreed measure.**		