

# Negotiating a Settlement



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### Contents

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Introduction	101
Planning for negotiations	101
Negotiations preparation	103
Claimant negotiation team	103
Tribal leaders, Kaumatua and Kuia – role in negotiations	103
Claimant advisors	104
Types of advisors	104
Claimant work groups	104
Conducting negotiations	104
Negotiation briefs	105
Negotiating team	106
Fall-back positions	106
Negotiation tactics	106
Interest based negotiations	108
Seven ‘rules of negotiation’	108
Crown negotiation team	108
Political environment	108
Office of Treaty Settlements	109
Department of Conservation	110
Other Crown agencies involved in negotiations	110
Third parties involved in negotiations	110
Roles of Ministers and Cabinet	110
Information disclosed by the Crown	110
Conclusion	110
<b>Diagrams</b>	
1 Negotiations: Indicative timetable and planning arrangements	102
2 Negotiating a settlement package	105
<b>Tables</b>	
1 Negotiation tactics	107
2 Key Crown agencies in Treaty settlements	109
3 Roles of Office of Treaty Settlement officials	109



#### KEY POINTS

- This is self evident – to negotiate you need a mandate from your people which the Crown recognises and signed Terms of Negotiation
- you need to do your homework, that is, be prepared
- read the *Guide for Claimants* and talk with claimant groups who have concluded their negotiations
- assemble a competent and experienced negotiation team to achieve the optimum settlement in the most efficient way
- the onus is on the mandated body and negotiators to strongly advocate the interests of the wider claimant group; it is not the Crown's role or responsibility
- understand the Crown's negotiating position and settlement policies (read the Red Book and previous settlements) and plan your negotiating strategy accordingly
- know your own strengths and weaknesses and those of the Crown, have alternative options prepared and analysed in advance
- know when and which negotiation tactics are being applied and how to combat, respond, or exploit them to your advantage
- control communications, keep critical information confidential to the mandated claimant group. Listen and question at negotiation meetings.



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## Negotiating a Settlement

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### INTRODUCTION

The task of negotiating a Treaty settlement is a serious business and should not be undertaken lightly:

- It is not a simple exercise.
- It is not a quick process.
- It requires a good mix of skills in the negotiation team.

Negotiation requires the claimant group's mandated body and the Crown to exchange views, policy positions, interests, rights and information. It will require compromise by both parties to reach a settlement.

but that was exceptional and trends are not suggesting that this timeframe will be easily achieved in other negotiations.

### PLANNING FOR NEGOTIATIONS

Negotiating a settlement costs time and money. Diligent investment in the planning and preparation stage can minimise costs and reduce the length of time to reach the all important settlement date when settlement assets are transferred.

Claimant groups will need to consider strategic and micro issues at the planning stage, including:

1. Overall goals and outcomes sought:
  - the negotiating team
  - expected timeframes for negotiations, and
  - alignment with any tribal vision or strategy (public document)
2. Detailed information relating to:
  - potential settlement assets
  - cost/benefit analyses
  - cultural sites
  - tribal demographics, etc (confidential)
3. Alternative options to a negotiated settlement (confidential)
4. Internal management planning and support systems such as delegations, communications and resources.

Claimant groups will have some planning and support systems used to achieve the first milestones of Deed of Mandate in place, for example, the registration system and communications strategy. Additional systems will need to be developed for maximum efficiency in achieving the subsequent milestones:

- Agreement in Principle (AiP), and
- Deed of Settlement.

Figure 5.1 below illustrates some of the ongoing planning and systems claimant groups will require on an ongoing basis and at different stages of the negotiations process.

It also indicates a timeframe (from 5 to 11+ years) for achieving the settlement milestones, from mandate through to passing settlement legislation, and settlement date. The Te Uri o Hau settlement took only three years

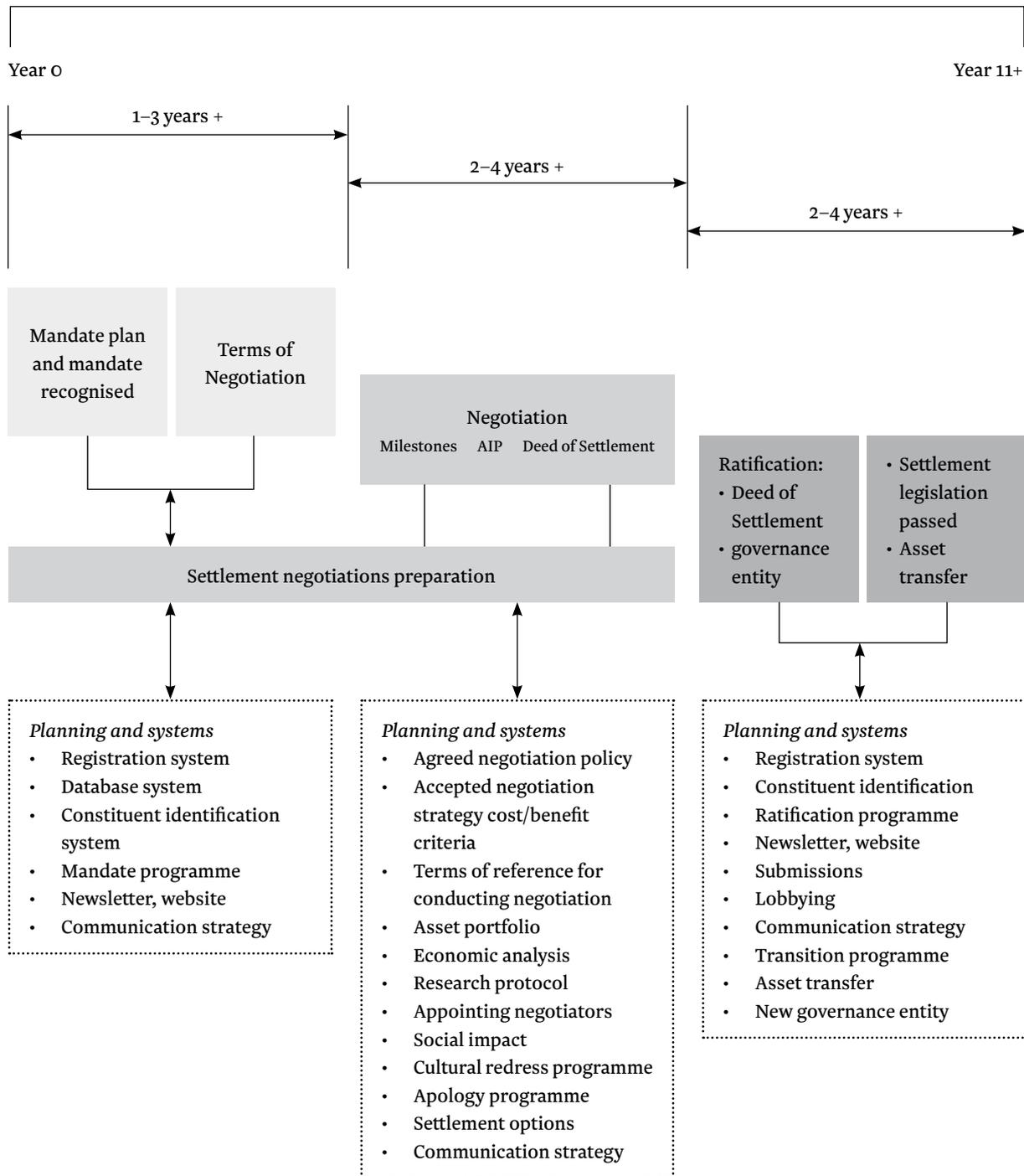


Diagram 5.1: Negotiations – indicative timetable and planning arrangements

## Negotiating a Settlement

### NEGOTIATIONS PREPARATION

There is no right way to negotiate as all settlement negotiations are unique. However, a key requirement for all stages is the need for preparation.

A claimant group should consider all aspects of the negotiation process, in particular, the long-term consequences of decisions.

The preparation of claimant group interests and positions, identifying mutual solutions, and time to consider offers or counter offers is important. Responding impulsively must be avoided.

It is up to the mandated body to determine how much and what type of information will be needed to support their negotiations. Knowing that the settlement will be 'final' and have serious, long-lasting consequences should indicate the depth of preparation required.

#### *Confidentiality*

All members of the mandated body will need to agree to maintain confidentiality as part of the Terms of Negotiation. Likewise, any of the negotiators or advisors appointed by the mandated body will be bound by a confidentiality agreement.

To be effective, a mandated body needs to:

1. understand the Crown's drivers and interests and to build its strategy and tactics accordingly
2. be smart, organised, and well-informed to compensate for its weaker position
3. appoint the best negotiation team  
(*the negotiation team appointed by a mandated body may / may not be members of the mandated body*).

### CLAIMANT NEGOTIATION TEAM

Key attributes of a successful claimant negotiation team are:

- *Competent negotiators*  
Appointing negotiators with the right range of skills and experience is critical to the success of negotiations. The key attributes of a negotiator are: integrity, political judgement and influence, business acumen, experience of closing deals and excellent communication skills. Also critical is the ability to think strategically with a future focus and 'an achievement attitude' (as opposed to a grievance attitude).
- *A leader or lead negotiator*  
A leader or lead negotiator is someone who has the trust of the mandated body, someone who keeps an overview perspective and provides the leadership or

chairperson role. They are usually a senior member of the claimant group and may or may not be a member of the mandated body. The lead negotiator must be politically aware (tribal and Government) and be provided with all information to ensure consistency across all aspects of negotiations and alignment with the mandated body's agreed negotiations strategy.

- *Able to work as a team*  
Different types of settlement redress (cultural, commercial, apology) may require different sets of skills and technical advisors. As new people get involved the dynamics can change within the team and across the table. It is fundamental that individuals do not pursue their own agenda or personal passion at the expense of the overall settlement package. Everyone needs to know the rules of engagement. The lead negotiator must monitor and control behaviour and have the authority to manage the way that negotiations are conducted.
- *A project manager (or project management team)*  
This person (or team) is responsible for providing the negotiation team with all the necessary administrative and technical support. They are usually the conduit between the Crown, the negotiation team/mandated body, and the wider claimant group. This position requires a sound knowledge of the settlement process combined with efficiency, reliability, administrative expertise and exceptional skills in relationship management. Project managers must be prepared to work to the instructions of the negotiation team and be capable of producing quality advice and information within tight timeframes and tight resources.

#### *Time required*

The claimant negotiation team should expect to spend many hours preparing for and attending negotiation meetings over a span of months and often years. Patience, tenacity, tolerance and good physical health are qualities that each member of the team will require in abundance.

### TRIBAL LEADERS, KAUMATUA AND KUIA – ROLE IN NEGOTIATIONS

From time to time, a claimant group in negotiations is likely to seek the guidance and advice of its own tribal leader(s), kaumatua, and kuia. The role of kaumatua / kuia in the confidential negotiations process is up to the mandated body to decide according to tikanga and the rules the group has agreed for negotiation.

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## Negotiating a Settlement

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### CLAIMANT ADVISORS

Claimant advisors provide valuable technical input to negotiations. Advisors must have clear terms of engagement and instructions from the mandated body. This will usually take the form of a Contract for Services, which should contain explicit instructions that set out:

- the specific advice or options the claimant group needs
- how the group expects to receive that advice
- the method and timeline for delivery of that advice, and
- the price the group has agreed to pay (hourly or total contract amount).

To ensure the claimant group receives value for money, it may wish to tender the work and seek proposals from two or more providers with clear criteria against which proposals will be measured.

For all advisors there are a number of core competencies that should be met:

- professional and technical competence is critical
- experience in settlement negotiations is a priority, and
- objectivity is important.

Advisors with the ability to quickly understand a claimant group's particular circumstances and tailor their advice accordingly are likely to save the group time and money.

### TYPES OF ADVISORS

The types of advisors often called on during negotiations include:

- lawyers (sometimes a team)
- economists
- environmental scientists
- historians
- political strategists
- policy analysts (familiar with the Crown's settlement policies)
- valuers
- property investors
- property developers
- public relations experts
- investment advisors.

**Note:** sometimes sector specialists are required, for example if negotiating a forestry settlement, engage economists or valuers familiar with the forestry sector.

### CLAIMANT WORK GROUPS

As well as the teams mentioned, it is common to have a second level of negotiation work occurring. This

may involve bringing together a team of people from the wider claimant group to assist with information for negotiations, for example claimant work groups providing input to the Historical Account / Apology and Cultural Redress sections of a draft Deed of Settlement.

Claimant work groups can also provide a way for named Wai-number claimants to contribute to negotiations – the working group approach may make it possible to identify appropriate cultural redress mechanisms to accommodate their claims.

It may be possible for some claimant work group members to sit at the negotiation table for a specific aspect of negotiations, subject to their agreement to maintain confidentiality.

Other options for including input from the wider claimant group include open forum, cultural redress hui and surveying claimant group interests, ie:

- named claimants given the opportunity to present their specific interests to the negotiation team and the Crown in an open forum (useful if claims were not heard by the Tribunal)
- cultural redress hui and workshops (useful for involving kaumātua/kuia)
- survey claimant group interests via newsletter, website, hui (useful for maintaining mandate, allows registered and non-registered members to participate and feel included).

In summary, it is up to each claimant group to decide how it will organise its negotiation team. There will be many variations.

(see the A, B and C Team approach used by Ngāi Tahu [www.ngaitahu.iwi.nz/About Ngāi Tahu/The Settlement/The Negotiators](http://www.ngaitahu.iwi.nz/About%20Ngāi%20Tahu/The%20Settlement/The%20Negotiators))

### CONDUCTING NEGOTIATIONS

The old adage 'knowledge is power' is important. The negotiation team will need as much information as possible as early as possible to achieve the specific redress objectives and the overall settlement package. Figure 5.2 gives a breakdown of the parts of a negotiated settlement package. This will of course, be different for each claimant group according to the circumstances of their claims and the nature of the Treaty breaches in their area of interest.

As the figure illustrates, the negotiation briefs are determined by the negotiation strategic goal and various redress objectives.

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**NEGOTIATION BRIEFS**

Negotiation briefs (instructions for the negotiation team) are documents which clearly outline the redress specifications to be negotiated. They will include:

1. what redress the claimant group must have
2. what redress the claimant group would like to have
3. what redress would be great to have, and
4. what redress other claimant groups have already negotiated (precedents).

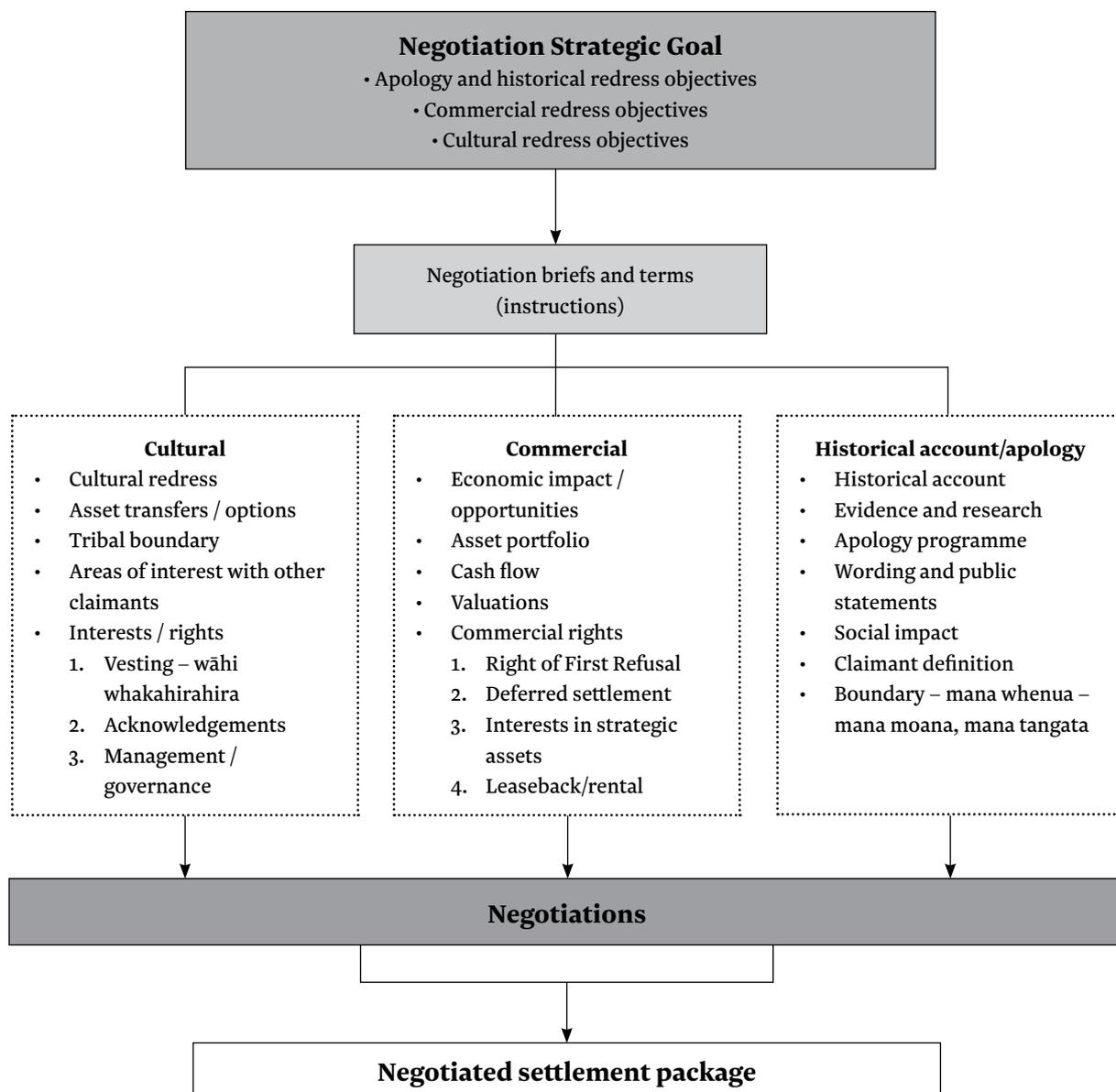


Diagram 5.2: Negotiating the settlement package

### THE NEGOTIATING TEAM

The negotiation team must know:

- Exactly what it wants and what it does not want – be absolutely precise and crystal clear on the objectives and rationale
- What the Crown wants and does not want – do the homework and identify common interests and creative solutions
- What its fall-back position is and what it is prepared to give away – the give and take. If the claimant group is to give up rights, look for what can be gained from the Crown as a concession
- Its points of leverage – the alternatives it has and how best to exercise these or to compel the Crown without the actual application of the alternatives
- The background and experience of the Crown negotiators including their technical skills, knowledge of te reo and tikanga, interpersonal skills and personal values
- Its own negotiating strategy, policies and negotiation briefs to a high degree of understanding and have the ability to articulate these clearly with discipline.

#### *Negotiation briefs*

The content and format of negotiation briefs are up to each mandated body to develop and are likely to be drafted by the project manager (or team) with assistance from technical advisors.

Negotiation briefs may also outline the expected behaviours, delegations and parameters, remembering that negotiators are appointed to negotiate an offer which has the best chance of being ratified by registered adult members of the claimant group.

The negotiation team should meet and be briefed before each negotiation meeting with the Crown. This is where tactics, statements, information, and possibly speaking rights are discussed and finalised.

### FALL-BACK POSITIONS

A key consideration for any mandated body's negotiations strategy is its fall-back position. In negotiations these are called:

- BATNA (Best alternative to a negotiated agreement), and
- WATNA (Worst alternative to a negotiated agreement).

Claimant groups need to consider whether the Crown's offer is better than what could be gained by the BATNA. If the negotiations are giving the group less value than its BATNA, then the claimant group may decide to stop negotiating and pursue the alternative.

### NEGOTIATION TACTICS

Some common negotiation tactics are presented in Table 1 below. It pays to be aware of them before negotiating. Choosing the right tactics and the right time to use them is critical. Likewise it is important that negotiators can identify when a tactic or series of tactics are being applied to them and what course of action is best to counter and bring the negotiations back on line.

**Negotiating a Settlement**

<b>Tactic</b>	<b>Approach</b>
Control the environment (venue)	Have the environment/setting well prepared - be mindful of what you want to achieve. You will likely be hosted by Crown in their offices at times. If hosting, consider venue, seating, desk space for papers, lighting and PowerPoint facilities if necessary. Set your own housekeeping rules.
Control the communication (particularly your communication)	Be well prepared, have a series of notes and questions. Identify what you will not say and who is to speak. Prepare key questions; think through the scenario of responses (beforehand). Be absolutely succinct and concise when you speak - avoid over-talking.
Take time to respond	There is no reason to answer immediately – take time and consider your answer or position. Avoid impetuous statements.
Use silence	Silence is a powerful tool – it is part of your armoury so take your time and watch their body language carefully.
Time out (caucus) – break out groups	Call for time-out where your team wants to discuss an issue that has come up in negotiations – it is a powerful tool.
Body language	Observe body language. Be sure that when you deliver a message your body language and gestures are appropriate for that message.
Listen carefully	Listen more than talk – use as few words as possible to get to the point without being blunt – then listen very carefully and gain more information.
Good cop/bad cop	One person takes the hard-line, another is the reconciler.
Limited authority	At negotiations, Crown officials have limited authority - the final decisions are made by Cabinet Ministers. It is important to access the decision-makers frequently.
Red herring	This is when something is put up for discussion or many minor issues must be dealt with prior to substantive issues.
Offer – conditional	Make a good first offer. Once the environment changes towards acceptance, apply additional conditions.
Aggressive or outrageous behaviour	This will rattle the other party – a high risk tactic that is unlikely to achieve what you want.
Time delay	Defer meeting times or attend meetings without key information.

Table 5.1: Negotiation tactics

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## Negotiating a Settlement

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### INTEREST BASED NEGOTIATIONS

Treaty settlement negotiations use an interest based negotiation model, sometimes referred to as principled negotiation (see Fisher, Ury and Patton) or a *win-win* approach where the goal is to reach a lasting agreement, rather than traditional positional (*win-lose*, or *zero-sum game*) bargaining. The elements of principled negotiation are:

- **People:** separate the people from the problem.
- **Interests:** focus on interests rather than positions.
- **Options:** generate a variety of possibilities before deciding what to do.
- **Criteria:** insist that the result be based on some objective standard.

These approaches sound like common-sense and have been tried and tested successfully by negotiators around the world.

Claimant negotiators will have little difficulty in identifying their interests and preferred options but need to bear in mind that these will often be tempered by the Crown's interests and fairly strict policies on the use of particular land and resources for redress purposes.

#### *Agreement and the art of settlement*

Inevitably there will be cross-table discussions, exchange of information to support the interests of each party, and ultimately an agreement on the best type of redress that will accommodate both sets of interests. This is the art of settlement negotiations. It may take negotiators a series of meetings to reach agreement on a single item of redress, particularly where interests are not easily balanced, for example, culturally significant sites on land of high conservation value or commercial value.

### SEVEN 'RULES OF NEGOTIATION'

#### 1. View from the balcony

Look beyond the negotiators immediately in front of you and consider what is driving the Crown's statements and interest positions. Consider the wider political, social and regional influences on settlement negotiations.

#### 2. Whole list

Seek all the information you require from the Crown to prepare your negotiating brief. Put the whole list of issues you want addressed in the settlement on the table; take the front foot rather than reacting to what the Crown is prepared to offer.

#### 3. Pitch high

Negotiators who have done their homework and understand what has been achieved in past settlements will be able to bargain hard.

#### 4. Price/package

Given the quantum limitations discussed above, mandated bodies will look to how to maximise their settlement in a whole package approach.

#### 5. Give/receive

Settlements are final so do not sign anything away unless the Crown is prepared to give some concession elsewhere.

#### 6. Nothing agreed until everything is agreed

A settlement is not binding until ratified, the Deed of Settlement signed and legislation passed. Be careful that the Deed of Settlement and legislation include everything that was agreed in negotiations.

#### 7. Protect the Golden Bridge

A fair and durable Treaty settlement must recognise the mana of the claimant group, restore the honour of the Crown, and improve the relationship between the Treaty partners.

**Note:** These 'rules' form part of the New Zealand Institute of Management negotiations training.

### CROWN NEGOTIATION TEAM

#### Political environment

Crown negotiators are focussed on negotiating a settlement that endeavours to meet the interests of the claimant group, while protecting the interests of the New Zealand public.

Public interests are often represented by varied and sometimes competing stakeholders. These include, for example, city, district and regional councils, Crown agencies, Crown entities, and influential lobby groups and community organisations, whose support for settlement may range from high to zero.

Furthermore, the Crown has at its disposal a wide pool of resources including policy analysts, political advisors, lawyers, land managers, economists, and other specialists who are employees or contracted as service providers to the various Ministries and Departments.

**Negotiating a Settlement**

<b>Key Crown agencies in Treaty settlements</b>	<b>Area of advice</b>
Office of Treaty Settlements (OTS)	Lead role in negotiations and settlement policies
Treasury (TRY)	Fiscal risk
Crown Law Office (CLO)	Protect Crown interests, risk analysis, legal
Department of Conservation (DoC)	Conservation land, flora and fauna, cultural redress properties
Te Puni Kōkiri (TPK)	Mandating and governance
Land Information NZ (LINZ)	Landholdings including the administration of Crown Forest Licensed Land, public works, disposals
Ministry of Fisheries (MFISH)	Non-commercial fisheries
Ministry for the Environment (MfE)	Resource management
Ministry of Culture and Heritage (MCH)	Protected Objects Act – Taonga Tūturu
Parliamentary Counsel Office (PCO)	Drafting settlement legislation

Table 5.2: Key Crown agencies in Treaty settlements

**OFFICE OF TREATY SETTLEMENTS**

Office of Treaty Settlements is the Crown's lead agency for settlement negotiations. Claimant negotiators will become intimately acquainted with their particular Office of Treaty Settlements negotiation team over the course of many meetings, exchange of documents, and the general discourse that accompanies the negotiation. Claimant negotiators should be aware that, although not holding ultimate decision-making authority, officials do influence the settlement outcome through advice to their Minister, the Minister in Charge of Treaty of Waitangi Negotiations.

<b>Roles in OTS</b>	<b>Function</b>
Chief Crown negotiator (manager or appointed negotiator)	Leads negotiations
Team manager (at least 4 teams each with one or more claimant groups in active negotiations)	Senior official responsible for a negotiations/policy team of four to six. Reports to Deputy Directors and Director of OTS. Briefs the Minister in Charge of Treaty of Waitangi Negotiations. Principal contact for claimant groups, oversees all documents relevant to negotiations.
Policy analysts (each team a mix of seniors and policy analysts with varying degrees of experience)	Responsible for writing correspondence, policy documents, option papers, Ministerial briefings, minutes of negotiation meetings, and co-ordinating input from other Crown agencies. Performs day to day negotiation tasks.
Historians	Responsible for advice on historical account / apology. Researches and checks evidence to support proposed cultural redress.
Land and Implementation advisors	Responsible for providing land information on specific sites, land bank administration and transfer and disposal of land for settlement.

Table 5.3: Roles of Office of Treaty Settlements officials

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## Negotiating a Settlement

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### DEPARTMENT OF CONSERVATION

Officials from the Department of Conservation Head Office Treaty team will generally attend negotiation meetings where cultural redress relating to Department of Conservation land or indigenous flora and fauna is to be discussed. They may give general policy advice on what form of cultural redress, if any, the Crown considers appropriate on land administered by the Department of Conservation.

### OTHER CROWN AGENCIES INVOLVED

#### IN NEGOTIATIONS

Other agencies may have representatives present at particular negotiation meetings depending on the nature of discussions. These may include relationship protocols with Ministry for the Environment, Ministry of Culture and Heritage, Ministry of Fisheries, Ministry for Economic Development and possibly, Defence, Ministry of Agriculture and Forestry, and Land Information New Zealand.

### THIRD PARTIES INVOLVED IN NEGOTIATIONS

The Crown may bring experts to assist in presenting technical information to the claimant group, for example, valuers for commercial redress. Either Office of Treaty Settlements or the claimants may bring representatives of city, district and regional councils to negotiation meetings. This is especially so where cultural redress involves Crown land that is managed by a council.

### ROLES OF MINISTERS AND CABINET

The Minister in Charge of Treaty of Waitangi Negotiations is responsible for leading Treaty settlement negotiations on behalf of the government:

- attend ceremonies and sign the Terms of Negotiation and Deed of Settlement on behalf of Crown
- meet with the mandated body and claimant group leaders to discuss high level issues
- sign off important correspondence to claimant groups
- receive regular briefings from OTS officials on the negotiation progress
- make decisions with Cabinet colleagues on major issues relating to mandate, overlapping claims, settlement policy, quantum, and the Crown offer of redress
- with Cabinet colleagues, approve the Deed of Settlement.

Other Ministers with a close involvement in negotiations are the Minister of Māori Affairs, the Minister of Finance and the Minister of Conservation. Each Minister will receive regular briefings on negotiations from their

respective officials and, together with their other Cabinet colleagues, approve any Crown offer presented to the claimant group.

### INFORMATION DISCLOSED BY THE CROWN

After the Terms of Negotiation, the Crown may agree to provide the claimant group with a comprehensive list of legal descriptions for *all* Crown, Crown entity, State-owned enterprise land and Crown forest land within the claimant group's area of interest.

This information will enable the claimant group to:

- prepare its negotiation strategy, and
- undertake a mapping exercise to identify potential sites for redress.

#### *Due diligence*

Full 'due diligence' information will only be disclosed by the Crown after the claimants have signed an Agreement in Principle, and only for those properties offered as redress in the AiP.

#### *Cultural redress*

In relation to cultural redress properties, Office of Treaty Settlements and the Department of Conservation will provide mandated bodies with information on properties that might be available for cultural redress.

It is noted that the Crown's current policy is that the conservation estate is not generally available for settlement, apart from small, discrete sites of special cultural significance to the claimants. Mandated bodies will need to be armed with in-depth evidence to support vesting redress of sites that are administered by the Department of Conservation.

#### *Department of Conservation information*

The Department of Conservation should provide copies of the relevant Conservation Management Strategy, site-specific management plans, indigenous species management plans, the application of the Reserves Act or Conservation Act in the claimant group's area of interest, and other information within the responsibility of the Department. It is useful to request this information as early as possible in negotiations.

### CONCLUSION

Claimant groups may be interested in these comments on the treaty negotiations process in Canada.

*No negotiating party should be compelled to divulge its bottom line before it is ready, but First Nations who understand sooner rather than later*

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**Negotiating a Settlement**

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*the basis on which offers will be made can make rational decisions as to whether the treaty process promises enough to warrant continued investment of the financial and personal resources that such negotiations demand.*

(*Looking Back Looking Forward: A Review of the BC Treaty Process*, BC Treaty Commission's review of eight years of treaty negotiations. 2001)

**FURTHER READING**

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**WEBSITES**

- *Negotiating a favourable outcome on the Environmental Society website at <http://www.rmaguide.org.nz/rma/usefulskills/negotiating.cfm>*
- *The Negotiators on Te Rūnanga o Ngāi Tahu website [www.ngaitahu.iwi.nz/About Ngāi Tahu/The Settlement/The Negotiators](http://www.ngaitahu.iwi.nz/About_Ngāi_Tahu/The_Settlement/The_Negotiators)*
- *Planning for Prosperity: First Nations, Intergovernmental Cooperation and Treaties – A Leaders' Forum*, September 9, 2004. on Simon Fraser University website [http://www.sfu.ca/dialog/pdf/Planning\\_for Prosperity.pdf](http://www.sfu.ca/dialog/pdf/Planning_for_Prosperty.pdf)

