



# TRAINING MODULE ON INITIATING TRANSBOUNDARY CONSERVATION TRAINER'S MANUAL

## Overview

### Background to the module

“The national divisions of today may coincide to some greater or lesser extent with ethnic, religious, linguistic, or ideological groupings. What they do not very often coincide with is units determined by ecological factors, that is, ecosystems or ecogeographical regions” (Westing 1993). By expanding conservation efforts beyond national jurisdiction, Transboundary Conservation Areas (TBCAs) can achieve benefits for biodiversity conservation on an ecosystem basis. Globally, there is growing emphasis on larger protected areas, TBCAs, connectivity and landscape approaches (cp. Dudley et al. 2014 in Protected Planet Report 2014). The high global interest in TBCAs is due to their conservation potential in cases where important ecosystems or populations are dissected by borders, their ability to deliver on ecosystem services at a larger scale, but also due to their potential to contribute to conflict resolution and prevention, as well as to the cultural and socio-economic situation of local populations. Making transboundary conservation work could be a very important contribution to increasing the effectiveness of protected areas, an objective central to the “Promise of Sydney” and Aichi Biodiversity Target 11.

Conservation of biodiversity in border areas is fraught with unique challenges as well, key ones being the dependence upon political commitment, community engagement and the existence of established communication channels, and the need for substantial investments into stakeholder involvement. Proponents have to carefully check preconditions and to develop strategies before engaging in a transboundary conservation process. In spite of the high interest in initiating a TBCA, there is often a lack of capacity for transboundary conservation on the local and national level. This has prompted the need for an internationally standardised approach to transboundary conservation and has led to the development of, inter alia, IUCN WCPA Best Practice Protected Area Guidelines (Transboundary Conservation: A systematic and integrated approach, 2015), IUCN practitioner's guidelines (Initiating effective transboundary conservation, 2012) with a diagnostic tool for assessing TBCA feasibility prior to their establishment, and a training for

practitioners in Glacier National Park, USA in 2016. Despite this general guidance, there are still insufficient tools and training material available that is tailored specifically to experts and practitioners interested in initiating and institutionalising management of a TBCA. In order to address this gap and to harness the full potential of TBCAs for achieving multiple benefits, a project for developing a training module on transboundary conservation was initiated by the German Federal Agency for Nature Conservation (BfN) with funding of the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU), implemented by IUCN Regional Office for Eastern Europe and Central Asia (ECARO), IUCN WCPA Transboundary Conservation Specialist Group (TBC SG), IUCN Environmental Law Centre (ELC) and reviewed by a steering group consisting of the following persons:

- Clara Bocchino, Network Coordinator and Facilitator, SADC TFCA
- Goran Gugić, Senior Adviser NATURA2000 and Protected Areas, GIZ/CIM-IF
- Alois Lang, Public Relations and Ecotourism Expert, Neusiedler See-Seewinkel National Park
- Bert Lenten, Former Deputy Executive Secretary of the Convention on the Conservation of Migratory Species of Wild Animals (CMS) and former Executive Secretary AEWA, Lenten Conservation Consultancy
- Andrea Strauss, International Academy for Nature Conservation, German Federal Agency for Nature Conservation

The views expressed in this publication do not necessarily reflect those of BfN and steering group members.

## **Rationale and objective**

The project focussed on developing, collating and disseminating training material that can help develop capacity within conservation project and programme managers on initiating and institutionalising management of a TBCA. Within the project, a new training module was developed aiming at:

- Strengthening national and local authorities, protected area managers, and enabling communities/stakeholders to be able to assess the feasibility of establishing a TBCA
- Enabling conservation practitioners to develop strategies to address critical issues, more precisely, the 5 most important factors for success in the process of establishing a TBCA and agreeing on joint management objectives and approaches, and to develop a clear, result-oriented and time-defined road map
- Ensuring an interactive approach, including cases and scenarios where relevant. The module includes all training material with detailed training notes so that the training can be replicated in different settings.

## **Factors of success and necessary competencies**

The training module is organized around 5 key factors of success in the process of initiating transboundary conservation. For being able to initiate transboundary conservation, conservation practitioners should possess the following competencies:

1. Assess the enabling environment to pursue transboundary conservation
2. Define the transboundary context and relationships affecting the achievement of the conservation targets and the resulting geographic extent

3. Identify and involve stakeholders, obtain support of decision makers and ensure political will and buy-in
4. Agree on common values and joint vision
5. Determine common transboundary management objectives and develop cooperative agreements.

## **Learning outcomes**

- Learners understand basic concepts and terminology related to planning, establishment, management and governance of transboundary conservation initiatives
- Learners can access and use international best practices for TBCA establishment and management
- Learners are aware of how to determine the geographic scope and extent of a transboundary initiative
- Learners recognize the necessity to identify and engage with relevant authorities and stakeholders in their own jurisdiction and adjacent countries and are aware of ways to engage with them
- Learners understand the need to work with partners, stakeholders and experts (scientific, legal, etc.) to assess and design a transboundary conservation initiative, taking into account socio-economic, political, historical and ecological contexts
- Learners can develop a joint vision and identify management objectives for transboundary conservation
- Learners have developed knowledge of steps to be taken to achieve an appropriate legal instrument (MoU, Agreement, Contract) for transboundary conservation, including an understanding of when and how to engage appropriate legal support.

## **Nature of the module**

This is a generic, globally applicable training module on initial phases of transboundary conservation and steps towards institutionalizing transboundary conservation. It is intended to be used as appropriate and customized by educators depending on countries and circumstances.

The module will enable practitioners on national, regional and local level to effectively plan, initiate and institutionalize transboundary conservation. This module is designed to be used for face-to-face instruction led by a trainer. Other formats, e.g., an online training module will be explored.

It shall be an open knowledge source and accessible for all interested training providers with a view to creating a multiplier effect, including the International Academy for Nature Conservation and the WCPA TBC SG.

## **Audience and training needs**

This module targets individuals and institutions engaged in supporting, planning, designing and facilitating the transboundary conservation process, such as:

- Policymakers
- Government officials

- Protected area staff as per the IUCN 'Global Register of Competences for Protected Area Practitioners' (2016)
- Border police
- Civil society organizations
- Community representatives
- Scientists and conservationists.

Different skill levels, technical language competency and basic conservation knowledge should be taken into account in addressing different target audiences. When addressing the different target groups, their different level of prior knowledge and skills needs to be taken into account. It is recommended to tailor the present training module for the specific needs of each target audience, e.g., by excluding or extending parts of the training module.

The module in its present form is directed to the above listed audience, fluent in English, and requires a knowledge of basic nature conservation concepts and approaches.

## **Didactical approach**

The training module will build capacity through three interconnected teaching mechanisms:

- Knowledge transfer: knowledge will be gained through seminar-style discussion guided by a presentation by an expert on the topic. The presentation will use a question and answer style to examine ideas and key concepts and encourage learners to apply them to their own country and work situation.
- Skills development: learners will put concepts into practice in interactive exercises based around one or more fictional case study. The fictional case, drawn from problems encountered in real life scenarios, will allow examination of difficult topics and issues in a less political context.
- Experience sharing: opportunities will be created for formal and informal sharing of perspectives and experiences.

The training is recommended for a group size of maximum 20-25 persons.

## **Trainers and resource persons**

It is recommended that the training involves 1-2 trainers and at least 2 resource persons. Resource persons are experts with experience in different aspects of transboundary conservation who can answer questions, provide input and advice, guide discussions, and help facilitate group exercises.

Trainers should have the following competencies:

- Knowledge in key concepts and approaches in protected areas and natural resource management
- Training skills and experience
- Experience in transboundary conservation
- If possible, experience in the target geographic region.

In some cases, some of these competencies can be provided by a combination of trainers and resource persons. For example, one trainer with natural resource management

knowledge and training experience could work with a resource person with experience in transboundary conservation in the target geographic region.

## Structure and key content

The module is divided into eight lessons, with accompanying exercises. Together the lessons can be used in a three day training course. The lessons and exercises can be modified to work in a longer or shorter time. It is recommended that the lessons be used together, but if desired, particular aspects or exercises can be modified to be used as standalone modules.

Lesson	Content	Materials
Introduction: Overview and Objectives	<ul style="list-style-type: none"> <li>• Introduction to the project and development of the module</li> <li>• Overview of lessons to be covered</li> <li>• Template for inclusion of information on the specific training</li> </ul>	Presentation: Introduction Template
Lesson 1: Introduction and background	<ul style="list-style-type: none"> <li>• What do we mean by transboundary conservation?</li> <li>• Importance and benefits of transboundary conservation</li> <li>• International frameworks and approaches</li> <li>• Transboundary conservation process in brief</li> </ul>	Presentation 1 Discussion Assessment Questions
Lesson 2: Typology of Transboundary Conservation Areas	<ul style="list-style-type: none"> <li>• Models of cooperation in Transboundary Conservation Areas</li> <li>• Typology of Transboundary Conservation Areas and case studies</li> </ul>	Presentation 2 Discussion Assessment Questions
Lesson 3: Initiating transboundary conservation: Diagnose the situation	<ul style="list-style-type: none"> <li>• Assessing the enabling environment</li> <li>• Assessing the feasibility for transboundary conservation</li> </ul>	Presentation 3 Exercise 1: Applying the Diagnostic Tool
Lesson 4: Transboundary conservation governance	<ul style="list-style-type: none"> <li>• What is transboundary conservation governance?</li> <li>• Characteristics of transboundary conservation governance</li> <li>• Formal and informal approaches in transboundary conservation governance and case studies</li> <li>• Implementing transboundary conservation governance</li> </ul>	Presentation 4 Discussion Assessment Questions Problem-solving clinic 1
Lesson 5: Initiating	<ul style="list-style-type: none"> <li>• Determining leadership</li> <li>• Involving people and generating political</li> </ul>	Presentation 5

transboundary conservation: Design the process I	support <ul style="list-style-type: none"> <li>Defining the geographic extent</li> </ul>	Exercise 2: Defining the geographic extent and mapping stakeholders
Lesson 6: Management objectives and planning	<ul style="list-style-type: none"> <li>Defining management</li> <li>Defining cooperative management in a transboundary context</li> <li>Characteristics of transboundary cooperative management</li> <li>Ways to enhance transboundary cooperative management</li> </ul>	Presentation 6 Discussion Assessment Questions Problem-solving clinic 2
Lesson 7: Initiating transboundary conservation: Design the process II	<ul style="list-style-type: none"> <li>Negotiating a joint vision</li> <li>Developing common management objectives and a case study</li> </ul>	Presentation 7 Exercise 3: Negotiating a joint vision and management objectives
Lesson 8: Next Steps and Final Thoughts	<ul style="list-style-type: none"> <li>What comes next in the transboundary conservation process?</li> <li>Reflections on initiating transboundary conservation</li> <li>Thoughts and ideas from the participants' regions/sites</li> </ul>	Presentation 8 Discussion

## Ideas for trainers

The following are some general recommendations and ideas for trainers using this course:

- Provide name tags or name plates for all participants: this is useful for groups which do not know each other previously
- Provide participants with copies (electronic or paper) of the IUCN WCPA Best Practice Protected Areas Guidelines No. 23 (Transboundary Conservation: A systematic and integrated approach), which form the key text for this lesson
- Aim at holding the training in an existing TBCA, which can ensure availability of resource persons and examples
- Provide learners with printed copies of the module slides with space for note-taking at the beginning of the training, so they can browse the material during group work and take notes during the presentations
- Hand out a copy of the Glossary, to help learners with unfamiliar words
- Trainers and resource persons prepare 1-2 slides introducing their institution/protected area and their role for the first day

- Use an interactive icebreaker for introducing participants to each other during Day 1; e.g., the “Hello” icebreaker by Sivasailam Thiagarajan ([interactive icebreaker online](#))
- Map participants’ background and expectations, if possible through survey distributed before the workshop
- Use a form of a “transboundary café” to learn about the participants’ needs and interests. For example, each participant may have 2 minutes to introduce transboundary conservation initiative she/he is working on, highlight challenges and opportunities and clarify needs and interests related to the content of the workshop. This interactive session will enable all participants to learn more about each other’s work related to transboundary conservation. It is most suitable to hold this session after the introduction of the participants through the interactive icebreaker.
- In the beginning of the Day 2 and Day 3, present a slide with a recap of the main messages and lessons learned of the previous day.

## **Adaptation and customization**

The module is intended to be adaptable for different regions, and suitable to be taught by diverse actors in nature conservation. It will need to be adapted to target groups in terms of skill level, geographical context, level of expertise, language and training needs.

In customizing the module, the trainer should take into account at what stage in the process of initiating transboundary conservation learners are involved, and what parts of the training are most needed at that point.

Resource persons should carefully be selected to fit the audience in question in order to cover aspects which are not covered by the present module. Different levels of knowledge of different target groups need to be taken into account.

The module includes case studies on different regions that illustrate different aspects of transboundary conservation. In addition, the exercises are based around fictional case studies. These can be replaced with case studies proposed by the participants or provided by the trainer, as appropriate.

The module is currently available in English. Trainers are encouraged to use these lessons and exercises as a basis for trainings in other languages. Trainers are also encouraged to adapt the language in accordance with the language skills of participants.

If the module is adapted, users are asked to share any customized version with IUCN ([Boris Erg](#)) and BfN ([Andrea Strauss](#)). Users are encouraged to share any case studies developed with IUCN and BfN, and to make them available for use by others. Users are also encouraged to share materials developed from these case studies in other languages.

Any modified versions must be distributed non-commercially and pursuant to the [Commons License CC-BY-NC-SA](#).

Modified versions should include attribution to IUCN and BfN and should indicate that it has been changed by them in the presentations.

Any modified versions of the training module should include the following attribution to IUCN and BfN: This training module is based on the “Training module on initiating transboundary conservation”, funded by the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) through the German Federal Agency for Nature Conservation (BfN) and developed by IUCN Regional Office for Eastern Europe and Central Asia (ECARO), IUCN WCPA Transboundary Conservation Specialist Group (TBC SG), IUCN Environmental Law Centre (ELC) in 2019.

## **Main sources of literature recommended for use by trainers and learners**

- Vasilijević, M., Zunckel, K., McKinney, M., Erg, B., Schoon, M., Rosen Michel, T. (2015). [Transboundary Conservation: A systematic and integrated approach](#). Best Practice Protected Area Guidelines Series No. 23, Gland, Switzerland: IUCN.
- Erg, B., Vasilijević, M. and McKinney, M. (eds.). (2012). [Initiating Effective Transboundary Conservation: A Practitioner’s Guideline Based on the Experience from the Dinaric Arc](#). Gland, Switzerland and Belgrade, Serbia: IUCN Programme Office for South-Eastern Europe.
- Vasilijević, M. (2012). [Diagnostic Tool for Transboundary Conservation Planners: Suggested Questions to Determine Feasibility for Transboundary Conservation](#). In: Erg, B., Vasilijević, M. and McKinney, M. (eds.). *Initiating Effective Transboundary Conservation: A Practitioner’s Guideline Based on the Experience from the Dinaric Arc*. Gland, Switzerland and Belgrade, Serbia: IUCN Programme Office for South-Eastern Europe.
- Lausche, B. (2011). [Guidelines for Protected Areas Legislation](#). IUCN, Gland, Switzerland.
- Lausche, B., Farrier, D., Verschuuren, J., La Viña, A. G. M., Trouwborst, A., Born, C-H., Aug, L. (2013). [The Legal Aspects of Connectivity Conservation](#). A Concept Paper, IUCN, Gland, Switzerland.

## **Additional reading including publications with case studies**

- Dudley, N. (ed.). (2008). [Guidelines for Applying Protected Area Management Categories](#). Gland, Switzerland: IUCN. With Stolton, S., Shadie, P. and Dudley, N. (2013). IUCN WCPA Best Practice Guidance on Recognising Protected Areas and Assigning Management Categories and Governance Types. Best Practice Protected Area Guidelines Series No. 21. Gland, Switzerland: IUCN.
- Borrini-Feyerabend, G., Dudley, N., Jaeger, T., Lassen, B., Pathak Broome, N., Phillips, A. and Sandwith, T. (2013). [Governance of Protected Areas: From Understanding to Action](#). Best Practice Protected Area Guidelines Series No. 20. Gland, Switzerland: IUCN.



- Sandwith, T., Shine, C., Hamilton, L. and Sheppard, D. (2001). [Transboundary Protected Areas for Peace and Co-operation](#). Gland, Switzerland and Cambridge, UK: IUCN.
- E-Learning Module 3 “[Transboundary protected areas and regional networks](#)” of the Secretariat of the Convention on Biological Diversity (CBD)
- Vasilijević, M. and Pezold, T. (eds.). (2011). [Crossing Borders for Nature. European Examples of Transboundary Conservation](#). Gland, Switzerland and Belgrade, Serbia: IUCN Programme Office for South-Eastern Europe.
- Clamote Rodrigues, D. and Fischborn, M. (eds.). (2016). [Solutions in Focus: Transboundary protected area solutions](#). Gland, Switzerland: IUCN.
- McKinney, M. and Besanon, C. (eds.). (2016). Hands Across Borders: An International Workshop on Transboundary Conservation. Montana, USA: Center for Natural Resources & Environmental Policy.

## Glossary

**Biological diversity:** the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part

**Compelling reason to undertake transboundary conservation:** a reason or motive that is convincing enough to undertake transboundary conservation and engage in transboundary cooperation

**Connectivity:** extent to which plants and animals can move between habitats and to which ecosystem linkages and environmental flows are maintained

**Constituency for change:** a critical mass of people who are aware of a common challenge and ready to work together in response

**Contiguous protected areas across international boundary:** protected areas adjoining across international boundary

**Ecosystem integrity:** the ability of an ecosystem to support biodiversity and maintain natural components and processes

**Ecosystem resilience:** the ability of an ecosystem to survive and adapt to changing pressures

**Governance:** the interactions among structures, processes and traditions that determine how power and responsibilities are exercised, how decisions are taken and how citizens and other stakeholders have their say

**Management Authority:** institution with competence and responsibility for management of a protected area

**Management Plan:** document which sets out management approach and goals to apply in a specific protected area over a given period of time

**Multiple resource use area:** areas under governmental, communal or private control, used for a variety of purposes (e.g., agriculture, forestry, aquaculture) and sustainably managed

**National sovereignty:** the authority of a state to govern itself or another state

**Park for Peace:** special designation that may be applied to any of the three types of Transboundary Conservation Areas dedicated to the promotion, celebration and/or commemoration of peace and cooperation

**Protected area:** A clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values

**Sympathetic land use:** in the context of transboundary conservation, land management in one of the neighbouring countries that is compatible with conservation goals, and thus may form a TBCA with a protected area in another neighbouring country

**Transboundary conservation:** a process of cooperation to achieve conservation goals across one or more international boundaries

**Transboundary Conservation Landscape and/or Seascape:** an ecologically connected area that includes both protected areas and multiple resource use areas across one or more international boundaries and involves some form of cooperation

**Transboundary Migration Conservation Area:** wildlife habitats in two or more countries that are necessary to sustain populations of migratory species and involve some form of cooperation

**Transboundary Protected Area:** a clearly defined geographical space that includes protected areas that are ecologically connected across one or more international boundaries and involves some form of cooperation

**Wildlife habitat:** natural and/or semi-natural areas populated by species of animal, plant and/or other types of organism and containing suitable living conditions for the species

# Lesson 1: Introduction and Background to Transboundary Conservation Areas

## Purpose of Lesson

- Introduce learners to transboundary conservation
- Discuss the nature and general principles of transboundary conservation
- Share ideas on why transboundary conservation is important
- Get a sense of learners' experience with transboundary conservation
- Provide overview of process covered in the course

## Overview of Key Content

This lesson will address:

- Defining transboundary conservation
- Importance, benefits and challenges of transboundary conservation
- International frameworks and approaches
- Overview of the transboundary conservation process

## Structure and Duration

- The lesson consists of a presentation, with points for discussion
- Duration: 1-1.5 hours, depending on length of discussion

## Reading and Resources

- IUCN WCPA Best Practice Guidelines: Transboundary Conservation: A systematic and integrated approach (Pgs. 2–5)
- IUCN, Initiating effective transboundary conservation: a practitioner's guideline based on the experience from the Dinaric Arc. (Pgs. 6–11)
- IUCN Guidelines for Protected Areas Legislation (PA Guidelines) (Pgs.1–5, 11–14)
- IUCN, Crossing Borders for Nature (Pgs. 22-25)

## Materials and Preparation

- There are opportunities for discussion within the presentation. You may take notes directly on the slides, or on a whiteboard or flipchart.
- If international and regional frameworks for transboundary conservation are not relevant, slides 14-16 may be omitted from the presentation.
- You may want to make copies for the participants of the following pages of the Best Practice Guidelines:
  - Box 5, p. 23
  - Box 6, p. 24
  - Box 8, p. 28
  - Case Study 2, p. 25
  - Box 9, p. 30
  - Case Study 3, p. 31

- Case Study 4, p. 33
- Box 10, p. 36
- Case Study 5, p. 37
- Box 16, p. 67
- Case Study 9, p. 77
- Case Study 10, p. 87
- An additional useful case study is found on p. 22 of Crossing Borders for Nature.
- Alternatively, provide a case study from the participant's region. Use 1-2 case studies that demonstrate each type of benefits mentioned.
- It may be helpful to print out slide 17 as a handout for participants.

### **Sample Assessment Questions**

1. What is transboundary conservation?
2. What are some of the elements of transboundary conservation?
3. What are the benefits of transboundary conservation?
4. What are the challenges of transboundary conservation?
5. What are the four stages in the transboundary conservation process?

# Lesson 2: Typology of transboundary conservation areas

## Purpose of Lesson

- Introduce learners to different types and models of TBCAs
- Help learners understand the nature and characteristics of different types of TBCAs
- Share information and experiences on initiating, applying and developing transboundary conservation methods and models to relevant typologies of TBCAs

## Overview of Key Content

This lesson will address:

- Models of cooperation for initiating, developing and implementing TBCAs
- Types of TBCAs
- Understanding TBCA operations in practice

## Structure and Duration

- The lesson consists of a presentation, with points for discussion
- Duration: 1-1.5 hours, depending on length of discussion

## Reading and Resources

- IUCN WCPA Best Practice Guidelines: Transboundary Conservation: A systematic and integrated approach (Pgs. 6-14)
- IUCN, Initiating effective transboundary conservation: a practitioner's guideline based on the experience from the Dinaric Arc (Pgs. 6-8)
- IUCN Guidelines for Protected Areas Legislation (PA Guidelines) (Pgs. 268-267, 283-288)

## Materials and Preparation

- There are opportunities for discussion within the presentation. You may take notes directly on the slides, or on a whiteboard or flipchart.
- If typology for TBCAs is not relevant for a specific audience, slides 10-14, and 16 may be omitted from the presentation. However, it is recommended to include them.
- You may want to make copies for the participants of the following pages of the Best Practice Guidelines:
  - Box 1, p. 9
  - Box 4, p. 20
  - Box 6, p. 24
  - Box 8, p. 28
  - Box 16, p. 67
  - Box 19, p. 73
  - Case study 4, p. 33
  - Case study 5, p. 37

- Case study 6, p. 48
- Case study 8, p. 68
- Case study 10, p. 87
- Alternatively, provide a case study from the participant's region. Use 1-2 case studies that demonstrate different models of cooperation and types of TBCAs.
- It may be helpful to print out slides 9 and 16 as handouts for participants.

## **Sample Assessment Questions**

### **Cooperation Models:**

1. What are the four models of cooperation in transboundary conservation?
2. Can there be more than one model in the same site?

### **Typology:**

1. What are the three different types of TBCAs?
2. What is a Park for Peace? How does it relate to other TBCAs?
3. Are all parts of TBCAs protected areas? Describe.

# Lesson 3: Initiating Transboundary Conservation: Diagnose the Situation

## Purpose of Lesson

- Introduce the first stage of the transboundary conservation process: Diagnose the Situation
- Provide key concepts relevant to the context and planning of TBCAs
- Introduce the steps in assessing the enabling environment and analysing the feasibility of transboundary conservation
- Practice using the Diagnostic tool for transboundary conservation planners

## Overview of Key Content

This lesson will address:

- Assessing the enabling environment
- Analysing feasibility for transboundary conservation
- Exercise: Applying the Diagnostic tool for transboundary conservation planners

## Structure and Duration

- The lesson consists of a presentation and interactive exercise
- Duration:
  - Presentation: 20 minutes, depending on length of discussion
  - Exercise: 1.45-2 hours, depending on length of individual/group work

## Reading and Resources

- IUCN WCPA Best Practice Guidelines: Transboundary Conservation: A systematic and integrated approach (Pgs. 59-64)
- IUCN, Initiating effective transboundary conservation: a practitioner's guideline based on the experience from the Dinaric Arc (Pgs. 24-42)
- IUCN WCPA, Diagnostic Tool for Transboundary Conservation Planners: Suggested Questions to Determine Feasibility for Transboundary Conservation
- IUCN Guidelines for Protected Areas Legislation (PA Guidelines) (Pgs. 281-292)

## Materials and Preparation

- Refer to the instructions for Exercise 1, which includes detailed information on the exercise as well as handouts.
  - The Exercise is based on the Diagnostic tool developed by IUCN WCPA for planning transboundary conservation. A link to that tool is available on the [website](#).
  - Feedback on the Diagnostic tool can be sent to [Maja Vasiljevic](#).
  - The Exercise is based on a previously prepared case study featuring potential TBCA in Africa. It is also possible that the learners use their own case studies, in which case more time for preparation should be planned

- Slide 13 provides an introduction to Exercise 2, which can be used to discuss how to determine whether there is a compelling reason to act. Alternatively, this discussion can take place during Lesson 5, in which case Slide 13 should be omitted.

## **Lesson 4: Transboundary Conservation Governance**

### **Purpose of Lesson**

- Introduce concepts and general principles of transboundary conservation governance
- Describe the nature of transboundary conservation governance as a shared governance type and its defining characteristics
- Define and differentiate formal and informal governance structures and discuss the advantages and disadvantages of these structures with respect to transboundary conservation governance

### **Overview of Key Content**

This lesson will address:

- Definition of governance and key concepts, including components of governance, types of governance and the relationship between governance and management
- Characteristics of transboundary conservation governance including key characteristics of effective transboundary governance
- Formal and informal approaches in transboundary governance, and the relative merits of different approaches
- Notes and suggestions for implementing transboundary governance in practice

### **Structure and Duration**

- The lesson consists of a presentation, with points for discussion
- Duration: 1-1.5 hours, depending on length of discussion

### **Reading and Resources**

- IUCN WCPA Best Practice Guidelines: Transboundary Conservation: A systematic and integrated approach (Pgs. 45-55)
- IUCN Guidelines for Protected Areas Legislation (PA Guidelines) (Pgs. 40-46)
- IUCN Best Practice Guidelines: Governance of Protected Areas: From Understanding to Action (Pgs. 10-29, 32-36)

### **Materials and Preparation**

- There are opportunities for discussion within the presentation. You may take notes directly on the slides, or on a whiteboard or flipchart.
- Slide 5 may be omitted, if an explanation of the difference between governance and management is not considered necessary for an understanding of governance. This slide is repeated in Lesson 6.
- The presentation includes example case studies for different models of governance (formal and informal). Alternatively, provide a case study from the participant's



region. Use 1-2 case studies that demonstrate different governance models, and how they can change over time.

- It may be helpful to print out slides 13 and 15 as handouts for participants.

### **Sample Assessment Questions**

1. What is shared governance? What are the key characteristics of shared governance?
2. What are the differences between formal and informal governance structures?
3. What are the key characteristics of effective transboundary governance?
4. What are some of the strengths of formal governance? What are some of the weaknesses?
5. What are some of the strengths of informal governance? What are some of the weaknesses?

# **LESSON 5: INITIATING TRANSBOUNDARY CONSERVATION: DESIGN THE PROCESS PART I: ENGAGE THE RIGHT PEOPLE AND DEFINE THE GEOGRAPHIC EXTENT**

## **Purpose of Lesson**

- Introduce the second stage of the transboundary conservation process: Design the process
- Introduce learners to the concepts of engaging the public, generating political support, and defining the geographic extent of the transboundary conservation initiative
- Help develop understanding of how to actively and effectively engage relevant stakeholders, mobilize communities, and identify leadership
- Discuss and analyze the different tasks required to define the geographic extent
- Practice identifying key stakeholders and considering factors in determining geographic extent

## **Overview of Key Content**

This lesson will address:

- Determining leadership, including leadership types and functions
- Key considerations and approaches in involving people and generating support
- Concepts and processes in defining the geographic extent of TBCAs

## **Structure and Duration**

- The lesson consists of a presentation and interactive exercise
- Duration:
  - Presentation: 20 minutes, depending on length of discussion
  - Exercise: 2 hours

## **Reading and Resources**

- IUCN WCPA Best Practice Guidelines: Transboundary Conservation: A systematic and integrated approach (Pgs. 46-47, 62-64)

## **Materials and Preparation**

- Refer to the instructions for Exercise 2, which includes detailed information on the exercise as well as handouts.
- You may want to make copies for the participants of Box 15, p. 64 of the Best Practice Guidelines, as an example of defining the geographic extent of TBCAs.

# Lesson 6: Cooperative Management in Transboundary Conservation

## Purpose of Lesson

- Introduce concepts and general principles of cooperative management
- Describe the nature and characteristics of cooperative management in the context of different models of cooperation and governance types
- Discuss how cooperative management can be implemented and enhanced

## Overview of Key Content

This lesson will address:

- Management definition and concepts including clarification of the difference between management and governance
- Defining cooperative management in a transboundary context as a discussion of what cooperative management is and how it relates to the models of cooperation introduced in Lesson 1
- Characteristics of transboundary cooperative management including key principles, frameworks, challenges and benefits of cooperative management
- Notes and suggestions for enhancing transboundary cooperative management

## Structure and Duration

- The lesson consists of a presentation, with points for discussion
- Duration: 1-1.5 hours, depending on length of discussion

## Reading and Resources

- IUCN WCPA Best Practice Guidelines: Transboundary Conservation: A systematic and integrated approach (Pgs. 65–69)
- IUCN, Initiating effective transboundary conservation: a practitioner's guideline based on the experience from the Dinaric Arc. (Pgs. 24–41)
- IUCN Guidelines for Protected Areas Legislation (PA Guidelines) (Pgs. 270–271, 280–292)
- IUCN Best Practice Guidelines: Governance of Protected Areas: From Understanding to Action (Pgs. 10-12)

## Materials and Preparation

- There are opportunities for discussion within the presentation. You may take notes directly on the slides, or on a whiteboard or flipchart.
- You may want to make copies for the participants of the following pages of the Best Practice Guidelines:
  - Box 6, p. 24
  - Table 17, p. 66
  - Box 16, p. 67

- It may be helpful to print out slides 13 and 15 as handouts for participants.

### **Sample Assessment Questions**

1. What is the difference between governance and management?
2. What is cooperative management and how is it different from other types of management?
3. What are the necessary enabling factors for establishing cooperative management?
4. What kinds of frameworks for cooperative management exist, and how do they relate to governance models?
5. What types of activities can enhance cooperative management?

# **Lesson 7: Initiating Transboundary Conservation: Design the Process Part II: Negotiate a joint vision and develop management objectives**

## **Purpose of Lesson**

- Introduce learners to initiating and negotiating a joint vision and developing management objectives for transboundary conservation initiatives
- Help develop understanding of the nature of cooperative management and approaches to developing management objectives
- Practice negotiating a joint vision and determining management objectives

## **Overview of Key Content**

This lesson will address:

- Practical approaches and processes for developing a framework for cooperative management
- Content and structure of management planning workshops

## **Structure and Duration**

- The lesson consists of a presentation and interactive exercise
- Duration:
  - Presentation: 20 minutes, depending on length of discussion
  - Exercise: 2 hours

## **Reading and Resources**

- IUCN WCPA Best Practice Guidelines: Transboundary Conservation: A systematic and integrated approach (Pgs. 65–69)
- IUCN, Initiating effective transboundary conservation: a practitioner's guideline based on the experience from the Dinaric Arc. (Pgs. 24–41)
- IUCN Guidelines for Protected Areas Legislation (PA Guidelines) (Pgs. 270–271, 280–292)

## **Materials and Preparation**

- Refer to the instructions for Exercise 3, which includes detailed information on the exercise as well as handouts.
- You may want to make copies for the participants of the following pages of the Best Practice Guidelines:
  - Table 16, p. 65
  - Table 17 p. 66

# Lesson 8: Final Thoughts

## Purpose of Lesson

- Provide an overview of the next steps in transboundary conservation process
- Provide final thoughts on initiating transboundary conservation
- Give learners a final opportunity to ask questions or raise points for discussion

## Overview of Key Content

This lesson will address

- Next steps in transboundary conservation process
- Lessons and advice in initiating transboundary conservation

## Structure and Duration

- The lesson consists of a presentation and interactive exercise
- Duration:
  - Presentation: 20-30 minutes, depending on length of discussion
  - Training evaluation: 30 minutes

## Reading and Resources

- IUCN WCPA Best Practice Guidelines: Transboundary Conservation: A systematic and integrated approach (Pgs.70– 82)
- IUCN, Initiating effective transboundary conservation: a practitioner's guideline based on the experience from the Dinaric Arc. (Pgs. 24–41)
- IUCN Guidelines for Protected Areas Legislation (PA Guidelines) (Pgs. 270–271, 280–292)

## Materials and Preparation

- The Educator may use one of the case studies introduced in the exercises as an example in discussing the overview of next steps in the process (e.g., how commitments and capacity would be secured for the new TBCA).
- This lesson provides an opportunity for a training evaluation. A sample evaluation is included in these materials. The evaluation should be done prior to the final round of comments.

# PROBLEM SOLVING CLINIC: GUIDELINES FOR EDUCATORS

## Objectives

- Problem-solving clinics track the two topics of the training module:
  - Transboundary Governance
  - Cooperative Management
- The intent of the problem-solving clinics is to allow participants to work in small groups to (put this on a flip-chart and review at the beginning of each clinic):
  - Build and share knowledge on what catalyzes; what enables; what constrains; and what sustains [governance, cooperative management]. Some of the topics that could be discussed within transboundary governance topic include: informal and formal models of governance, financing, engaging with actors beyond conservation. Some of the topics that could be discussed within cooperative management topic include: differences in capacity, resources and management skills, negotiating a joint vision and management objectives, cooperation between civil society and government.
  - Address specific challenges and problems that participants have related to each topic through peer-to-peer consultation. Note that addressing specific challenges put forward by the learners is appreciated by them.

## Composition of small groups and organizational aspects

- Organizing Principles
  - Keeping the groups small enough to allow for candid, constructive conversation.
  - Being flexible and adaptive, allowing/encouraging people to change small groups as appropriate.
  - Success of this exercise relies on resource persons and the Educator needs to make sure there are some present in the group.
- Print the attached clinic forms for each session and hand them out to the learners early enough for the Educator to be able to analyze the forms and organize the clinics.
- The Educator will review the completed clinic forms on Tuesday night (Day 1) and organize each clinic so that people with similar interest are placed in one group. Formulate the work group questions (e.g., 3 topic per group) in written and on a flip chart - the more clearly the question is formulated, the more easily participants will engage in the discussion.

## Educator's responsibilities

- At the beginning of each clinic, the Educator could:
  - Quickly review:
    1. Objectives of the clinic (see 1 (b)).
    2. Ground rules ("respect" the process, each other (including introverts), the Educator(s); no side conversations; Educator(s) reserve the right to

interrupt to keep the clinic moving forward; don't dominate the dialogue and ensure everyone has a chance to participate; etc.)

3. Ask one or two participants to volunteer to present the findings of each clinic during the following plenary session.
4. Note the menu of topics generated by the participants on their clinic forms.
  - Ask each person to:
    1. Clarify the problem, provide any necessary background, and be specific of what type of advice they are seeking.
    2. Ask the participants to then generate and evaluate options through peer-to-peer dialogue.
    3. Finally, summarize the results before moving on to the next person and topic.
- During each clinic, the Educator might consider employing one or more of the following facilitation techniques to ensure that everyone has an opportunity to participate and that no single person dominates the discussion:
  - Round robin: ask for each person at the table to provide feedback on a particular question or issue.
  - Individual check-in: ask specific people who have not had the opportunity to speak if they have additional thoughts, ideas, or experiences they would like to share.
  - Capture and re-direct: break into a conversation by capturing or re-phrasing an idea or thought, providing an opportunity for others to weigh in and/or to re-direct the conversation.

### **Additional notes to the educator**

- In order to diversify the teaching methods, the Educator can implement one problem-solving clinic (e.g., on transboundary governance) and one world café session.
- The goal is to get through all of the issues or topics during each clinic (so time management is a huge task).



## **PROBLEM SOLVING CLINIC 1: FORM FOR TRANSBOUNDARY GOVERNANCE**

To help us (and you) prepare for the Problem-solving Clinic on Transboundary Governance, please complete this form and bring it with you to the clinic. You may choose to answer one or both questions.

YOUR NAME:

1. If you would like some input and advice on a particular challenge or opportunity that you are currently facing with respect to governing arrangements for your transboundary conservation initiative, please explain the situation very concisely and identify what type of input and advice you are seeking from your peers.
2. Alternatively, if you are interested in learning more about transboundary governance arrangements, please tell us what you would like to learn more about.
3. Please provide 1-3 words to identify your case.

## **PROBLEM SOLVING CLINIC 2: FORM FOR COOPERATIVE MANAGEMENT**

To help us (and you) prepare for the Problem-solving Clinic on Cooperative Management, please complete this form and bring it with you to the clinic. You may choose to answer one or both questions.

YOUR NAME:

1. If you would like some input and advice on a particular challenge or opportunity that you are currently facing with respect to cooperative management, please explain the situation very concisely and identify what type of input and advice you are seeking from your peers.
2. Alternatively, if you are interested in learning more about strategies to catalyze, enable, and sustain cooperative management, please tell us what you would like to learn more about.
3. Please provide 1-3 key words to identify your case.

# EXERCISE 1: APPLYING THE DIAGNOSTIC TOOL FOR TRANSBOUNDARY CONSERVATION PLANNERS

## Lesson 3: Initiating transboundary conservation: Diagnose the situation

### Nature of the Exercise

- Small group work (2-3 people)
- Analysis of the case study
- Partial completion of the Diagnostic tool for transboundary conservation planners
- Diagnostic tool report analysis
- Group discussion

### Purpose of the Exercise

- Raise awareness about the Diagnostic tool for transboundary conservation planners that rapidly assesses the feasibility for transboundary conservation
- Provide Learners with an opportunity to test the Diagnostic tool
- Build analytical skills of Learners revolving around the examination of a provided case study and extracting responses to be inserted in the electronic Diagnostic tool
- Familiarize the Learners with key issues relevant for assessing the feasibility of establishing a Transboundary Conservation Area

### Structure of the Exercise

- Introduction to Exercise (10 minutes)
- Individual Work (60 minutes)
- Joint Group Discussion (30 minutes)
- Consolidation (5 minutes)

### Methodology/Procedure

- Provide each Learner with an electronic version of:
  - The Diagnostic tool for transboundary conservation planners (excel spreadsheet)
  - A previously prepared case study (printed version can also be handed out)
- Introduce the Exercise - facilitated by the prepared PowerPoint presentation (10 minutes)
  - Explain the purpose of the Exercise
  - Explain the structure of the Exercise
  - Show a form filled out for an existing case study site and describe on this example how the information was gathered for this particular area
  - Explain the origins, purpose, content and structure of the Diagnostic tool for transboundary conservation planners:
    - *Origins:* The Diagnostic tool for transboundary conservation planners was initially developed for the purpose of the IUCN publication Erg, B., Vasilijević, M., McKinney, M. (eds.) (2012). Initiating effective

transboundary conservation: A practitioner's guideline based on the experience from the Dinaric Arc. Gland, Switzerland and Belgrade, Serbia: IUCN Programme Office for South-Eastern Europe, within a project supported by the Ministry for Foreign Affairs of Finland. The Diagnostic tool was developed by Maja Vasiljević, in consultation with Boris Erg and IUCN WCPA Transboundary Conservation Specialist Group, by partially adapting the UNEP's Assessing the Feasibility of Establishing Transboundary Protected Area - Gap and Opportunities Analysis. After the initial version published in the IUCN book, the Diagnostic tool was technically advanced into an electronic version that allows easier assessment, quantitative and qualitative approach, and automated report generation. This electronic version is freely available at ([website of the Transboundary Conservation Specialist Group](#)) and will be used for the purposes of this workshop.

- *Purpose:* The purpose of the Diagnostic tool for transboundary conservation planners is to help transboundary planners to relatively rapidly, objectively and in a participatory way assess the feasibility for establishing Transboundary Conservation Areas.
- Content and Structure
  - The Diagnostic tool for transboundary conservation planners consists of the “Introduction and instructions”, “Questionnaire”, “Report” and “Annex: Examples of potential fields and benefits of transboundary cooperation”.
  - The Diagnostic tool's “Questionnaire” consists of 91 carefully selected questions.
  - The “Report” is structured in four parts including: 1) Compelling reason to act transboundary, as TBC planners see it; 2) Stakeholders (determining who is interested in or affected by the issue); 3) Geographic reach, regional stability, and complexity of the issue; and 4) Capacity to work across boundaries.
- Introduce the Task
  - Ask the Learners to form small groups of 2-3 people and work together in this Exercise. Alternatively, if the Educator wishes, the Exercise can be implemented individually by each Learner, however, it is advisable that the Learners work together to enable interaction.
  - Each small group will familiarise herself/himself with the electronic spreadsheet of the Diagnostic tool for transboundary conservation planners, in particular by:
    - Quickly reading the “Introduction and instructions”
    - Checking how the “Report” looks before completing the unanswered questions
    - Browsing through the set of questions in the “Questionnaire”.
  - Each small group will carefully read Annex A – Case study prepared in advance. The case study presents a potential Transboundary Conservation Area called Lower Awash Lake Abbe Transboundary Conservation Landscape (Djibouti-Ethiopia).

- Having done so, each small group will seek to complete the following questions of the Diagnostic tool:
  - Questions 3b, 7-11, 19a, 20-26, 30, 32, 35, 46-49.
  - Most of the questions will be pre-answered to save on time and ensure efficient implementation of the Diagnostic tool. The Learners will primarily respond to questions related to the introductory part, part 1 (“Compelling reason for transboundary conservation”), and part 2 (“Stakeholders”).
  - Each small group will have 60 minutes to complete the unanswered questions in the Diagnostic tool and check the final report that will be automatically generated.
- Small Group Work (60 minutes)
  - During this time the Learners will complete the above task
  - The Educator will rotate himself/herself equitably between the Learners to answer any queries.
- Joint Group Discussion (30 minutes)
  - Upon completion of the task, the Learners will come together as a group and the Educator will facilitate the joint discussion on the Diagnostic tool.
  - The discussion will include various aspects of the Exercise, including:
    - Debate on the information provided in the case study in relation to the questions in the Diagnostic tool
    - Technical aspects of the Diagnostic tool
    - Final report (product) of completing the Diagnostic tool
    - Thoughts on the value of the Diagnostic tool in a real case situation and what such a tool can do not only in planning the transboundary initiative, but also in generating a sense of team spirit while completing the tool in a participatory way
    - Any challenges encountered.
  - Note that the case study used in this exercise was developed from a real case in Africa which, after the results of the Diagnostic tool showed there is a compelling reason to establish a Transboundary Conservation Landscape, there is enabling legal and policy framework with associated institutional structures that will be able to take the initiative forward, a number of opportunities and limited risks, the parties agreed to develop a Management Plan for Lower Awash-Lake Abbé Transboundary Conservation Landscape (in 2016).
- Consolidation (5 minutes)
  - The Educator will briefly provide concluding remarks about the Exercise and the needs for future edition of the Diagnostic tool.

## Resources

- Introductory Presentation
- Annex A – Case Study (The context and the task)
- Excel spreadsheet of the Diagnostic tool for transboundary conservation planners

# EXERCISE 1: ANNEX A – CASE STUDY

## THE CONTEXT

Transboundary conservation proponents from Djibouti and Ethiopia have been discussing the delineation and designation of a Transboundary Conservation Area located at the Horn of Africa around Lake Abbe Afar Region in the lower Awash River bordering the two countries. Currently the area includes two proposed protected areas, Lake Abbé Community Protected Area in Djibouti and Mile Serdo Wild Ass Reserve in Ethiopia. Based on the preliminary assessment, it is suggested that the area includes about 35,000 km<sup>2</sup> of shared drylands, including Lake Abbe that spans the international boundary. However, it is clear that the exact boundary will change based on future stakeholder discussions and field examinations. During the latest stakeholder meeting, it was agreed that the future transboundary area would be named Lower Awash Lake Abbe Transboundary Conservation Landscape.

In terms of the natural values, the dryland ecosystem hosts Soemmerring Gazelle (*Nanger soemmerringii*), a species that is endemic to Ethiopia, Djibouti and Somalia. The area is also Birdlife's Important Bird Area due to the high population of Lesser Flamingo (*Phoenicoparrus minor*). Both Soemmerring Gazelle and Lesser Flamingo that occur in both countries are assessed Threatened according to the IUCN's Red List of Threatened Species and transboundary cooperation is needed to help improve their conservation status. One of the main features of the shared ecosystem is Lake Abbe which attracts high numbers of migratory bird species. Both Lake Abbe and the volcanic geological formations are considered to be a distinctive phenomenon for this transboundary region.

Apart from the shared natural values, the area benefits from friendly relations between the local communities and there do not seem to be any disputes on access to resources. Nomadic pastoralism of the Afar community is the key cultural element which defines the common regional identity. While transboundary relations between the local governments are neutral, the governments are working towards sedentarisation of the traditionally nomadic people, which causes irreversible land degradation and which to a certain extent could be tackled by improved transboundary cooperation. Land ownership in the proposed Transboundary Conservation Area presents no difficulty for the establishment of a transboundary site.

The stakeholders from the two countries identified a number of opportunities for transboundary cooperation, including the joint control of invasive species through sharing of equipment and knowledge, management and restoration of rangelands, monitoring of species, tourism development and management (including visa facilitation), conflict resolution, sharing of wildlife management knowledge, and development of interpretive and promotional material. Many of these opportunities would highly benefit the local communities. Today, livestock grazing forms the basis of the local economy. To some extent, there is potential for developing, exchanging and promoting traditional products in the region, while there is much unexplored potential in tourism cooperation.

Based on the performed stakeholder analysis, the following groups of stakeholders were detected as important to be involved in the transboundary initiative or will be affected by it: national governments, regional governments, the Afar community, tourism operators, local non-governmental organisations (NGOs), international organisations such as IUCN and Birdlife International, intergovernmental organisation IGAD, and scientific community. Those that have the decision-making role include national and regional governments and Afar community leaders.

The latter is an important stakeholder for natural resource management, tourism development and operations, access control, creating and maintaining enabling environment, and distribution of benefits within the communities. IGAD is seen to have a role in facilitating transboundary cooperation and facilitating currently different legal and policy frameworks. NGOs and international organisations are important for capacity building and resource mobilisation, while scientific community is important for scientific research, knowledge management, monitoring and evaluation. Finally, tourism operators will be in charge of development and marketing of the destinations and activities as well as the distribution of benefits to the communities depending on the nature of the agreements with the communities.

#### LEARNERS' TASK

- (1) Familiarise yourself with the Diagnostic tool for transboundary conservation planners
  - Open the excel spreadsheet and familiarise yourself relatively quickly with the five sheets that form integral part of the Diagnostic tool
  - Read the “Introduction and instructions”
  - Check how the “Report” looks like before completing the unanswered questions, pay attention to the missing text in the introductory part, part 1 (“Compelling reason for transboundary conservation”), and part 2 (“Stakeholders”)
  - Browse through the set of questions in the “Questionnaire” section of the tool
- (2) Read Annex A – Case study
  - Take your time to carefully read the prepared case study
- (3) Complete the Diagnostic tool
  - To save on time, most of the questions in the Diagnostic tool have been answered in advance, thus focus on completing the remaining questions in the “Questionnaire” section: questions 3b, 7-11, 19a, 20-26, 30, 32, 35, 46-49
  - Check the final report that has been generated automatically while completing the questions

## **Exercise 2: Defining the geographic extent and mapping stakeholders**

### **Nature of the Exercise**

- Group Exercise
- Case Study
- Analysis
- Discussion Forum

### **Purpose of the Exercise**

- Build capacity to define the transboundary context and relationships affecting the achievement of the conservation targets and resulting geographic extent (Success Factor 2)
- Practice identifying stakeholders and considering interests and how to involve them (Success Factor 3)

### **Structure of the Exercise**

- Introduction to the Exercise and Case Study (20 minutes)
- Group Work (50-80 minutes) [depends on whether Part 1 is used]
- Joint Class Discussion (40 minutes)
- Consolidation (10 minutes)

### **Methodology/Procedure**

- Divide Learners into groups of 4-5. Assign groups carefully based on the experience/knowledge of the participants. It can be helpful to have a resource person or more experienced learner in each group.
- Hand out a copy of the following documents to the Learners:
  - Case Study Narrative and Questions (Annex A) – 1 per learner
  - Map of the Case Study Area, ideally printed on large paper (Annex B) – 1 per group
  - Blank Matrix of Relevant Stakeholders (Annex C) – 1 per learner
- Introduction to the Exercise (20 minutes)
  - Explain the nature and purpose of the Exercise.
  - Briefly introduce the Case Study (Annex A).
  - Introduce the Task
    - Highlight to the Learners that there is no one correct answer and that the purpose of the Exercise is to think practically about the case study and apply what the Learners have learned.
    - Emphasize that the focus should be on discussion, rather than filling in the answers. Learners should be prepared to justify their choices to the larger group.
- Group Work
  - Part 1: Identify whether there is a compelling reason to act (30 minutes)

NOTE: This part may be used as part of Lesson 3 or Lesson 5, or omitted.

- 1) Consider whether there is a common aim and reason to work together
  - 2) Consider options for a potential TBCA
  - 3) Consider alternatives to a TBCA
- Part 2: Define geographic boundaries and map stakeholders (50 minutes)
    - 1) Assume stakeholders decided to work towards a transboundary conservation landscape (TBCL)
    - 2) Agree on a proposal for boundaries of the TBCA and draw it on the map;
    - 3) Identify relevant stakeholders, their interests, and how the interests can be addressed;
    - 4) Revisit the proposed area and change if needed.
  - The Educator should rotate him/herself equitably between the Learners with a view to answering questions.
  - If Part 1 and Part 2 are used together, there should be a discussion between Part 1 and Part 2.
- Joint Class Discussion (40 minutes)
    - The Learners come together as a group and the Educator facilitates a discussion.
    - Deal with each of the tasks one at a time. Learners are not expected to make a formal presentation of their answers, but should be prepared to defend their choices in discussion.
    - Capture the ideas on the white board, black board, flipchart or screen.
  - Consolidation (10 minutes)
    - What did you think of the exercise? Was anything particularly interesting or noteworthy?
    - What questions did you have while doing the exercise? What additional information would have been helpful?
    - How does this exercise compare to actual practice? What would be different in a real world situation?

## **Additional Notes to the Educator**

- This Exercise is based on a fictional case study with a view to ensuring that it remains universally relevant and contemporary. The Educator may want to substitute the fictional case study with an actual case from their region/jurisdiction in which case he/she would need to adapt the three Annexes accordingly.
- The Educator may want to edit/simplify the fictional case study depending on the level of capacity of the Learners in which case he/she would need to adapt the three Annexes accordingly.
- This case study may be introduced in Lesson 3, as an exercise in identifying whether there is a compelling reason to act. In that case, use Part 1 in Lesson 3, and begin the exercise in Lesson 5 with Part 2. Otherwise, Part 1 can be used in Lesson 5, or omitted entirely.
- If time is limited, the Educator may begin with Part 2 Question 2, filling in the stakeholder matrix. Once the stakeholder matrix is filled in, the Educator can facilitate an open discussion about the boundaries of the TBCA.



## **RESOURCES**

- Introductory Presentation
- Case Study Narrative and Questions (Annex A)
- Map of the Case Study Area (Annex B)
- Summary of Possible Responses (Annex C)

## EXERCISE 2: ANNEX A – CASE STUDY

You are exploring a potential new Transboundary Conservation Area, between the Nzuri Republic and the Zintle Republic. Their border is formed by the Muddy River – which separates the Nzuri Republic (to the North) and the Zintle Republic (to the South). The Muddy River is home to the rare and beautiful Brown-Bellied Ducks, as well as several species of river fish.

### *Nzuri Side*

Just North of the Muddy River on the Nzuri Side is Nzara National Park. The Park was declared in 2005 by the Minister of Environmental Affairs, and is managed by the National Parks Agency (NPA). It is an IUCN Category 1a Protected Area. The NPA has developed a comprehensive management plan for the Nzara National Park, prioritizing the conservation of the Brown-Bellied Duck as well as the elusive Purple Heron that lives in the marshland in the eastern part of the Park. The Muddy River Estuary, east of the Park is a Ramsar Site.

The Westyo Community live just outside the western borders of the national park in an area called the Westyo Community Area. The Community has an agreement with the Ministry of Environmental Affairs and the local municipality that guarantees access to the Nzara National Park to harvest firewood and building materials, particularly natural grasses for thatching. The Westyo Community engages primarily in subsistence farming and river fishing, though recently community members have begun to experiment with more intensive forms of agriculture.

### *Zintle Side*

Just south of the Muddy River lies the Mudland Wilderness Area (MWA), an IUCN Category 1b Protected Area. The MWA is managed by the Mudland Wilderness Authority. According to the MWA's management plan, activities within the MWA are highly restricted in order to conserve the Brown-Bellied Ducks and Purple Heron, as well as several indigenous species of marsh grass.

West of the MWA lies the Mudland Trust Private Nature Reserve (MTPNR), an officially recognized private protected area owned by the Mudland Trust, an NGO which purchased the land with a view to conserving it in perpetuity. The fence between the MWA and the MTPNR has been removed, and the area is managed as an open system by the Mudland Trust Co-Management Authority, comprising equal representation of the Mudland Trust and the Mudland Wilderness Authority. The Mudland Trust Co-Management Authority operates very effectively due to equality in the capacity and resources of its members.

In order to finance their management costs, the Mudland Trust sold concessions for two exclusive tourist lodges in the MTPNR. These lodges are operated by two private companies, LuxuryCo and HolidayCo. Tourists engage in sportfishing, birdwatching, and rafting in the Muddy River. Several farmers living adjacent to the MTPNR have been granted contracts by LuxuryCo and HolidayCo to provide services and goods to these lodges.

South of the MWA lies the Mudland Community Conserved Area (MCCA), owned by the Mudland Community and formally recognized as a protected area. The community and the Mudland Wilderness Authority co-manage the area through the Mudland Community Co-

Management Authority, comprising equal representation from the community and the Mudland Wilderness Authority.

Finally, east of the MWA lies the Mudland Marine Protected Area (MMPA) managed by the Department of Fisheries. Fishing is not allowed within the Marine Protected Area, but the Mudland Community engages in subsistence and small scale commercial fishing to the south.

### *The Problem*

Recently, pollution and sedimentation levels in the muddy river have been increasing. This has begun to affect populations of fish in the river as well as fish and turtles along the coast. Tourists staying in LuxuryCo and HolidayCo resorts have complained about the look and smell of the river, and reported finding dead fish. Studies in the Mudland Marine Protected Area have noted a decline in fish populations, with pollution as a possible cause. The Mudland Community have also noticed a decline in population of fish adjacent to the Mudland Marine Protected Area, which they claim is connected to the reduced populations within the Protected Area.

The exact source of the pollution is not clear. The Nzuri National Parks Agency blames the farms located to the East of the Mudland Trust Private Nature Reserve on the Zintle side of the River, which have begun to use pesticides and fertilizers to increase production. The farmers claim that they are using the same practices as the Westyo Community on the opposite side of the river, and shouldn't be blamed. Both the Westyo Community and the LuxuryCo and HolidayCo resorts use outdated sewage treatment solutions, which could also contribute to degradation of the river.

Conservationists have noted a decline in populations of the Brown-Bellied Ducks who inhabit the river. They attribute the decline to overfishing as well as the deteriorating water quality. Purple Heron populations are also, and it is suspected they are being hunted, though it is not clear whether it is by tourists or members of the Mudland or Westyo Communities. Last year, the Brown-Bellied Ducks were listed on the IUCN Red List, and there is a push to list the Purple Herons as well. Concerned conservationists from both countries have suggested the need for a transboundary solution to manage activities impacting ecosystems along the river.

### LEARNERS' TASK

#### *Part 1: Identifying a compelling reason to act*

Read through the above context carefully, and discuss the following questions:

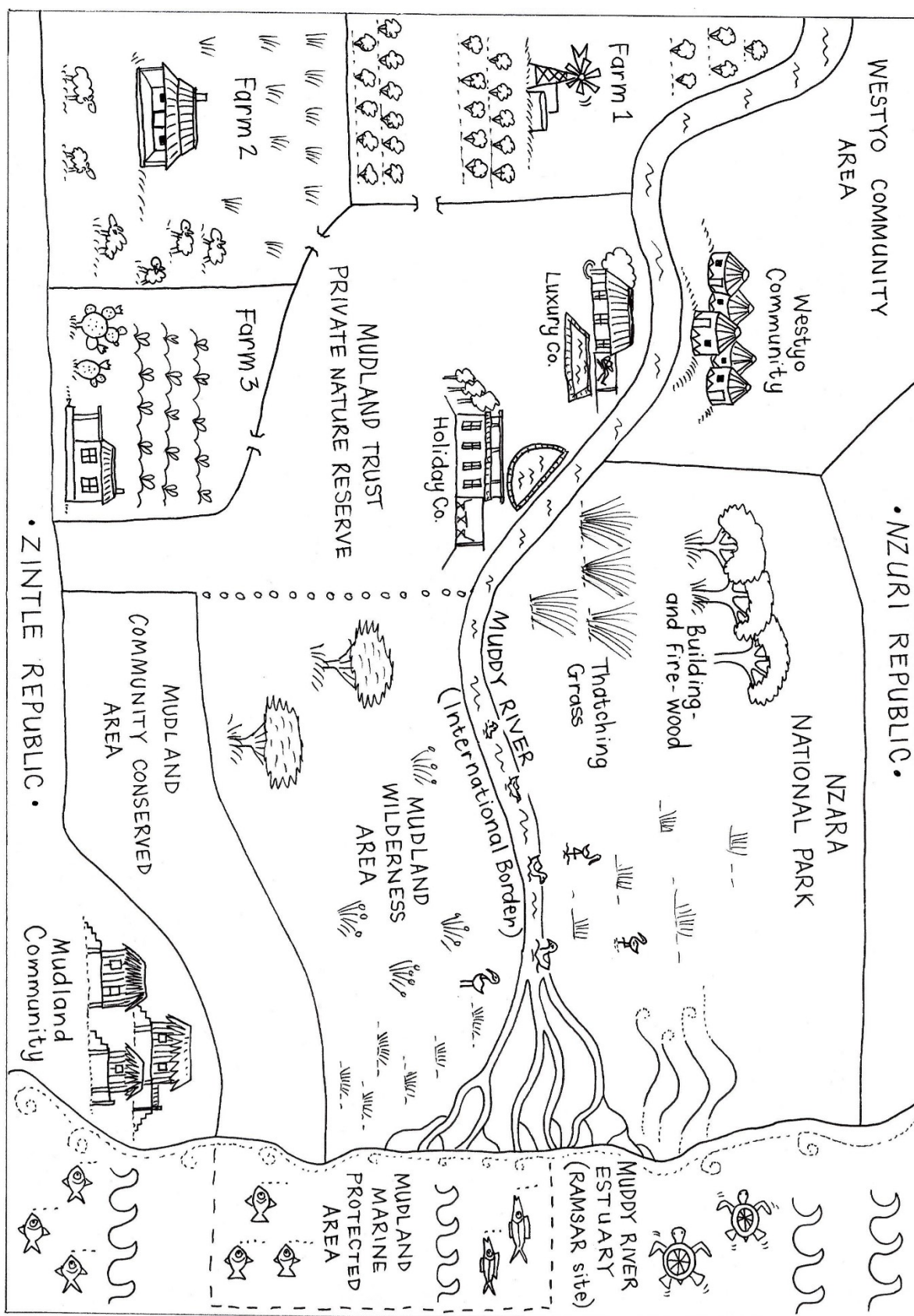
- 1) Is there a compelling reason to act? Consider whether there are common aims and a reason to work together
- 2) What are the potential benefits of transboundary conservation in this case?
- 3) What are the potential costs and challenges of transboundary conservation in this case?
- 4) What are the options for transboundary conservation? What type of TBCA could be created?
- 5) Are there alternatives to transboundary conservation? Would they achieve the same result?

#### *Part 2: Defining the geographic extent and mapping stakeholders*

Assume that stakeholders from both sides have decided to move forward with a transboundary conservation landscape. Do the following tasks, in order, in your group.

- 1) Draw a proposed Transboundary Conservation Area on the map. Discuss the following questions:
  - a) What parts of each country could be included in the TBCA?
  - b) What are the implications of including an area? Of leaving an area out?
- 2) Fill in the stakeholder matrix in Annex C. Consider the following questions:
  - a) Who is interested in or affected by the proposed TBCA?
  - b) How will these stakeholders benefit from or be negatively affected by the creation of a TBCA?
  - c) How can their interests be taken into account in development of the TBCA?
- 3) Look again at the map. Based on the stakeholder mapping, does your proposal change? You may redraw the boundaries if desired.

## EXERCISE 2: ANNEX B – MAP



## EXERCISE 2: ANNEX C - MATRIX OF STAKEHOLDERS

Stakeholder	Interest/Concern	How can interests be addressed in TBCA?

# Exercise 3: Negotiating a Joint Vision and Management Objectives

## Nature of the Exercise

- Role Play
- Mock Negotiation

## Purpose of the Exercise

- Enhance understanding of the challenges posed by negotiating a common vision for TBCAs (Success Factor 4)
- Practice determining transboundary management objectives and understanding what goes into cooperative agreements (Success Factor 5)

## Structure of the Exercise

- Introduction to the Exercise and Case Study (20 minutes)
- Group Work (30 minutes)
- Mock Negotiation (60 minutes)
- Consolidation (10 minutes)

## Methodology/Procedure

- Divide Learners into three groups.
  - Two groups will represent the governments of two neighbouring jurisdictions, Aurora and Borealis. The third group represents an environmental NGO whose interests and objectives are described below.
  - Assign groups carefully based on the experience/knowledge of the participants. It can be helpful to have a resource person or more experienced learner in each group.
- Hand out a copy of the following documents to the Learners:
  - Case Study (Annex A) – 1 per learner
  - The Mandate for each respective group (Annex B(1); B(2) and B(3), respectively. NOTE: do not provide all negotiating mandates to each learner, as this will undermine the exercise. – 1 per learner (depending on group)
  - Map of the Case Study Area (Annex C) – 1 per learner
- Introduction to the Exercise (20 minutes)
  - Explain the nature and purpose of the Exercise.
  - Briefly introduce the Case Study (Annex A). Go through the details of the map carefully together with the groups before beginning the exercise.
  - Introduce the Task (described below)
- Group Work (30 minutes)
  - Familiarize yourselves with the case study and your specific mandate
  - Prepare a strategy for participation in the discussion, including ideas about potential objectives and key constraints

- Appoint lead representatives for each topic to lead the discussion
- The Educator should rotate him/herself equitably between the Learners with a view to answering questions
- Mock Negotiation (60 minutes)
  - The Learners come together as a group and the Educator facilitates a discussion.
  - The target will be to reach broad consensus on a joint vision and one or two broad management objectives on each topic
- Consolidation (10 minutes)
  - What did you think of the exercise? Was anything particularly interesting or noteworthy?
  - Was the exercise challenging? Which part?
  - What questions did you have while doing the exercise? What additional information would have been helpful?
  - How was it to play the part you were assigned? Did you ever feel that your own views did not match that of the role you played?
  - How does this exercise compare to actual practice? What would be different in a real world situation?

### Additional Notes to the Educator

- This Exercise is based on a fictional case study with a view to ensuring that it remains universally relevant and contemporary. The Educator may want to substitute the fictional case study with an actual case from their region/jurisdiction in which case he/she would need to adapt the three Annexes accordingly.
- The Educator may want to edit/simplify the fictional case study depending on the level of capacity of the Learners in which case he/she would need to adapt the three Annexes accordingly.
- The Educator may wish to introduce this case study earlier, as practice for identifying a compelling reason to act and/or mapping stakeholders. Using just one case study for the full workshop may save time. In that case, the Educator may need to elaborate the case study to facilitate the stakeholder mapping.
- The Educator may choose to appoint negotiators from each group rather than allowing the group to decide on its own.

### RESOURCES

- Introductory Presentation
- Case Study (Annex A)
  - Negotiation instructions for each group. **Note that there are three sets of negotiation instructions, one for each of the three groups** – the Aurora Government; the Borealis Government; and the NGO Bigger Landscapes are Better Landscapes. (Annex B(1); B(2); and B(3))
- Map of the Case Study Area (Annex C)



## EXERCISE 3: ANNEX A – CASE STUDY

Aurora and Borealis are neighbouring States. Aurora is comparatively well-resourced, with a well-developed system of protected areas and legal framework for conservation. Communities in Aurora generally support conservation, and the country has a great deal of experience regarding establishment and management of protected areas. In Borealis, on the other hand, protected areas law is largely undeveloped and there is limited evidence of support for protected areas by communities in the country. As a result, management and operational experience are limited.

There is a history of informal co-operation between protected areas managers and officials in Aurora and Borealis, particularly between the management authorities of Aurora's Plateau Park and Borealis's Deep Valley Game Reserve. However, relations are limited by language barriers, the lack of formal frameworks for cooperation, and the difficulty of crossing the border due to harsh terrain and lack of infrastructure.

Both countries enjoy significant economic benefits from visitors from North America and Europe. Typically, visitors arrive in small aircraft to land on grass runways on either side of the border. Not many visitors actually cross the border because the terrain is really difficult. Aurora's tourism facilities and infrastructure are more developed, but Borealis has unique biodiversity that attracts visitors to its modest tourism operations.

The Deep Valley Game Reserve provides habitat for Great Galumphs, rare large mammals that spend most of their time wallowing in the Green River, which originates in the mountains of Aurora. Great Galumphs occasionally cross the border, and are a significant tourist attraction, considered one of the "Big Six" species of the continent. The Galumphs enjoy a symbiotic relationship with the Swooping Warbler, a unique bird species that feeds on the ticks and other insects that live on the Galumphs' skin. The annual Swooping Warbler Migration is one of the biggest draws of tourists to Aurora. The NGO Bigger Landscapes Are Better Landscapes Always (BLABLA) have recently published a report showing an alarming decline in Galumph populations, possibly owing to illegal hunting and destruction of habitat in the Deep Valley Game Reserve.

There is an old fence that marks the border between the countries, but it has fallen into severe disrepair. BLABLA and other conservation organizations have called for its removal, citing potential danger to Galumphs and other mammals that may get caught in it while trying to cross.

International airlines flying into Aurora and Borealis are now pushing for a new airport, to be located on Aurora's Plateau region, but outside the Park. If this project goes ahead, the majority of visitors may stay on Aurora's Plateau, which would become much easier to access. This could have implications for tourism and conservation on both sides of the border.

The governments of both countries have agreed that there is an opportunity to develop a Transboundary Conservation Area to support conservation of transboundary species and promote cooperation in tourism development. Following extensive rounds of assessment, consultation and mapping, representatives of the two countries are coming together to participate in a workshop to negotiate a joint vision and outline management objectives for a new Transboundary Conservation Area. They have invited the NGO BLABLA to participate and observe.

## EXERCISE 3: ANNEX B(1) – INSTRUCTIONS FOR AURORA GOVERNMENT REPRESENTATIVES

You represent the state of Aurora in upcoming discussions concerning a proposed TBCA with Borealis, the neighbouring country. Aurora is a comparatively well-resourced state with a well-developed protected areas law. Your country has substantial experience regarding the establishment and management of protected areas. On the basis of this background and experience you and your colleagues in the Government of Aurora have decided that Borealis should welcome the opportunity to proceed quickly towards the creation of a TBCA framework.

General support of the local communities for establishing protected areas is high. Business owners show significant concern for conservation of wildlife with high tourism value, and recognize the need for transboundary cooperation. While the new airport would potentially provide a significant boost to the tourism sector and local economy, some Aurora businesses are worried that, if the Borealis tourism economy collapses, Borealis will have little incentive to maintain the Deep Valley Game Reserve. Since many species range across the border, this could affect biodiversity, and therefore tourism, in Aurora as well. However, the government has already decided to go forward with the new airport, though this is not yet widely known.

In national consultations, stakeholders from Aurora have shown a tendency to blame citizens of Borealis for biodiversity loss, particularly through habitat destruction and hunting of Great Galumphs. They believe communities in Borealis have been grazing cattle within the Deep Valley Game Reserve, and suspect that they would cross into Aurora as well if they could. They would like to see strong commitments to conservation backed by binding legal frameworks, strong transboundary management measures and enforcement mechanisms. Border residents of Aurora are in favour of removing the border fence, but only if Borealis agrees to impose and enforce a complete ban on hunting of Great Galumphs and other transboundary wildlife, and to prevent Borealis cattle herds from entering Aurora to graze.

### LEARNERS' TASK

- 1) Designate at least two lead representatives. These representatives will be responsible for leading the discussion on behalf of your country, and ensuring that the agreed vision or objectives align with the interests and capacity of the country.
- 2) Read the case study and the description above, and consider the following:
  - a. What are your country's main interests? What are the interests of your constituents? What elements do you definitely want to see reflected in the vision/goals and objectives?
  - b. What are your limitations (in terms of capacity, resources, etc.)? What elements would you not be prepared to accept as part of the vision/goals and objectives?
  - c. What are the areas for compromise? What elements do you think could be included to ensure a workable transboundary arrangement?
- 3) Prepare a strategy for participation in the discussion.
  - a. Identify priorities for the overall vision and goals, and 2-3 priority management objectives.

- b. You are not expected to agree on specific language in the allotted time. The target is to reach consensus broadly.
- c. Anticipate what you expect the other country to bring to the table, and how to respond to their positions in order to reach agreement.

## EXERCISE 3: ANNEX B(2) – INSTRUCTIONS FOR BOREALIS GOVERNMENT REPRESENTATIVES

You represent the state of Borealis in upcoming discussions concerning a proposed TBCA with Aurora, the neighbouring country. In Borealis, protected areas law is largely undeveloped and there is limited evidence of support for protected areas. As a result, management and operational experience are limited. The government of Borealis is certainly willing to move forward with legal and management arrangements but does not wish to over-commit, particularly where unanticipated expenditures may arise. Borealis is therefore apprehensive about the discussions and fearful that Aurora will insist on arrangements that you are currently unable to implement.

Local communities in the vicinity of the Deep Valley Game Reserve are accustomed to using the resources, particularly in the form of subsistence hunting of Great Galumphs. Such hunting is technically illegal within the reserve, but enforcement capacity is limited, and such enforcement would prove unpopular with local communities. In addition, communities in the vicinity of the reserve have begun to encroach on the reserve for the purpose of grazing cattle and clearing land for farming. You are not aware of any impact on the population of Great Galumphs, but due to resource constraints, monitoring has been inconsistent. In any case, most Borealis stakeholders believe that the livelihood of communities is much more important than the conservation of wildlife.

Developing the tourism industry is a priority for the Borealis government. The existing tourism industry in Borealis already provides employment and income to communities around the protected area, and you see potential for growth. You understand the importance of conservation, but alleviating poverty is a more pressing problem. You are also concerned about the plans for the new airport, which could draw tourists away from your side of the border. You are hopeful that a benefit-sharing arrangement could help address this imbalance and support the economic growth that is so desperately needed.

### LEARNERS' TASK

- 1) Designate at least two lead representatives. These representatives will be responsible for leading the discussion behalf of your country, and ensuring that the agreed vision or objectives align with the interests and capacity of the country.
- 2) Read the case study and the description above, and consider the following:
  - a. What are your country's main interests? What are the interests of your constituents? What elements do you definitely want to see reflected in the vision/goals and objectives?
  - b. What are your limitations (in terms of capacity, resources, etc.)? What elements would you not be prepared to accept as part of the vision/goals and objectives?
  - c. What are the areas for compromise? What elements do you think could be included to ensure a workable transboundary arrangement?
- 3) Prepare a strategy for participation in the discussion.
  - a. Identify priorities for the overall vision and goals, and 2-3 priority management objectives.

- b. You are not expected to agree on specific language in the allotted time. The target is to reach consensus broadly.
- c. Anticipate what you expect the other country to bring to the table, and how to respond to their positions in order to reach agreement.

## EXERCISE 3: ANNEX B(3) – INSTRUCTIONS FOR BIGGER LANDSCAPES ARE BETTER LANDSCAPES ALWAYS

Your NGO enjoys considerable respect from both Aurora and Borealis. BLABLA has a particular interest in endangered species and considerable concern about illegal hunting and habitat destruction, as well as current proposed developments in the area.

You have been working towards a Transboundary Conservation Area between the two countries for years. While there is little solid data available, particularly from Borealis, you believe that if current practices continue, the Great Galumphs are in danger of significant population decline, which would in turn impact the Swooping Warblers. You also recognize significant ecological connectivity between Plateau Park and the Deep Valley Game Reserve downstream that warrants conservation. You are determined to get both sides to agree to remove the border fence, which you feel creates an unacceptable obstacle to connectivity.

You are prepared to support both countries in developing the legal and management frameworks and capacity necessary to successfully implement this agreement, contingent on funding. However, you are confident that a commitment from both sides to a common vision and broad objectives will greatly help in securing necessary funds.

BLABLA is anxious to see its objectives achieved and is keen to encourage best practices in administration and operation of a possible TBCA. However, you are aware that this important opportunity might be lost if Aurora and Borealis are unable to reach agreement so it may be important to think of compromise arrangements that could be offered to avert a stalemate. Moreover, as an observer, you are aware that the countries have no obligation to listen to you, and if you are too forceful you may undermine your legitimacy in the eyes of both Parties. However, you see your role as providing advice and possible solutions to the conflicts that may arise.

### LEARNERS' TASK

- 1) Designate at least two lead representatives. These representatives will be responsible for leading the discussion behalf of BLABLA.
- 2) Read the case study and the description above, and consider the following:
  - a. What are your main interests? What elements do you definitely want to see reflected in the vision/goals and objectives?
  - b. What are the interests of the two countries? What will they be prepared to accept, or not?
  - c. What are the areas for compromise? What elements do you think could be included to ensure a workable transboundary arrangement?
- 3) Prepare a strategy for participation in the discussion.
  - a. Identify priorities for the overall vision and goals, and 2-3 priority management objectives that you think will be acceptable to both Parties.
  - b. You are not expected to agree on specific language in the allotted time. The target is to reach consensus broadly.
  - c. Anticipate what you expect the Parties to bring to the table, and how to respond to their positions in order to reach agreement.

### EXERCISE 3: ANNEX C – MAP OF THE CASE STUDY

