HANDS ACROSS BORDERS

An International Workshop on Transboundary Conservation

Alternative Mechanisms to Establish and Govern Transboundary Conservation Initiatives

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Defining Governance

- Graham et al. (2003) define governance as

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

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Governance vs. Management

Governance ⟶

process

- o Who decides what the objectives are
- o How to bring together the appropriate people with the best available information to determine what ought to happen
- o How the decisions are taken
- o Who holds power, authority, and responsibility
- o Who is accountable
- o Reconciling differences between and among stakeholders
- o Deciding amongst choices that lead to trade-offs

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- o What is done in pursuit of given objective
- o The means and actions to achieve objectives
- o Generate, implement, and assess the effectiveness of alternative policies, programmes, and plans

Management ⟶

substance

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IUCN's Types of Protected Area Governance

- Governance by government
  - Multiple levels ... national, regional, local
  - May delegate responsibilities to NGOs, communities, etc.

- Private governance
  - Individual landowners
  - NGOs
  - For profit organizations

- Indigenous/local governance
  - Indigenous initiatives
  - Community-based efforts

- Shared governance
  - Collaborative
  - Joint

Transboundary Governance

- A type of *shared governance* in which various actors from two or more countries share power, authority and responsibility in the decision-making process

- It normally involves:
  - Multiple actors
  - Diverse levels of authority
  - Informal and/or formal arrangements

- No single model, but key characteristics

Defining Characteristics of TBC Governance

1. Leadership

2. Public participation

3. Representation

4. Function and scope

5. Authority, legitimacy and accountability

6. Learning

7. Decision-making

8. Conflict resolution

9. Adaptive management

10. Financing

UNDP Characteristics of Good Governance

Characteristic	Description
Participation (legitimacy and voice)	All men and women should have a voice in decision-making, either directly or through legitimate intermediate institutions that represent their interests. Such broad participation is built on freedom of association and speech, as well as capacities to participate constructively.
Consensus Orientation (legitimacy and voice)	Good governance mediates differing interests to reach a broad consensus on what is in the best interests of the group and, where possible, on policies and procedures.
Strategic Vision (direction)	Leaders and the public have a broad and long-term perspective on good governance and human development, along with a sense of what is needed for such development. There is also an understanding of the historical, cultural and social complexities in which that perspective is grounded.
Responsiveness (Performance)	Institutions and processes try to serve all stakeholders.
Effectiveness and Efficiency (Performance)	Processes and institutions produce results that meet needs while making the best use of resources.
Accountability (Accountability)	Decision-makers in government, the private sector and civil society organizations are accountable to the public, as well as to institutional stakeholders. This accountability differs depending on the organization and whether the decision is internal or external to an organization.
Transparency (Accountability)	Transparency is built on the free flow of information. Processes, institutions and information are directly accessible to those concerned with them, and enough information is provided to understand and monitor them.
Equity (Fairness)	All men and women have opportunities to improve or maintain their well-being.
Rule of Law (Fairness)	Legal frameworks should be fair and enforced impartially, particularly the laws on human rights.

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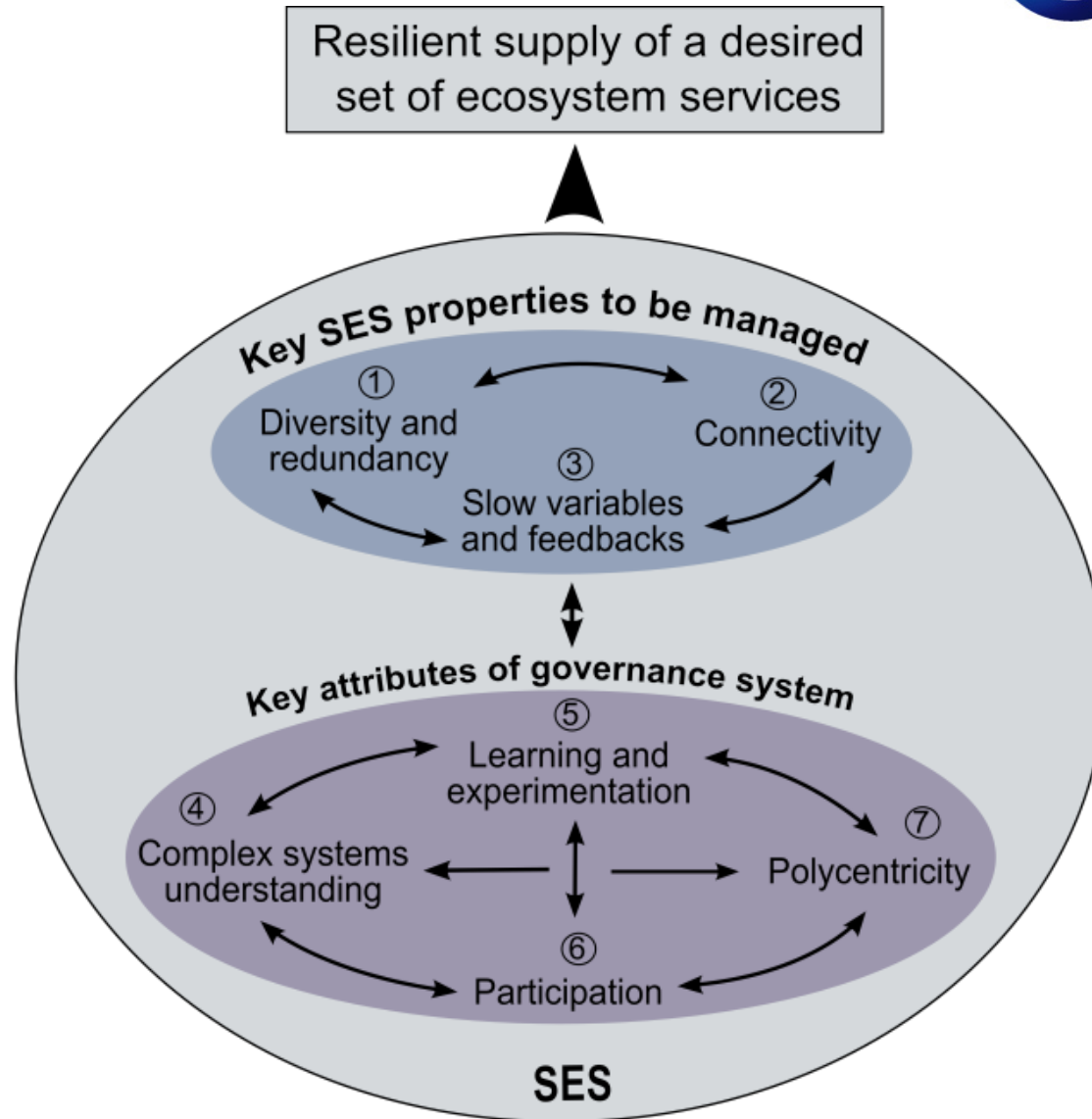
Ostrom's Design Principles

Design principles illustrated by long-enduring CPR institutions

Clearly defined boundaries for users and resource
Congruence between appropriation and provision rules and local conditions
Collective-choice arrangements for most individuals (information and ability to modify the rules)
Monitoring users and resources
Graduated sanctions for violators
Conflict-resolution mechanisms that are rapidly accessible
Minimal recognition of rights to organise
Nested enterprises, in case of resources that are parts of larger systems

Source: Ostrom 1990

Resilience and Ecosystem Services

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3 Trends in Successful TBC Governance

- Increasingly **collaborative** - engagement of diverse players & sectors
- Increasingly **nested** - includes distinct but linked systems at two or more levels of social organization
- Increasingly **adaptive** - learn by doing and create an expectation of learning as we go

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(Some) Obstacles to TBC Governance

- Lack of:
  - Public awareness & understanding
  - A compelling story
  - Civic & political will
  - Trust among potential partners
  - Local capacity and civil society experience
  - Capacity to integrate culture, community, and conservation interests
- Incompatible missions & mandates, making it difficult to align common goals and aspirations
- Competition within the same region for limited resources
- Challenge of moving from ad hoc project funding to more sustainable operational funding

Five Key Take-home Lessons

- No single model, but key elements

- Let form follow function; create homegrown solutions

- Be intentional, yet flexible and adaptive

- Promote accountability via open, inclusive, transparent processes

- Govern at the scale of the problem

Leadership for TBC

- The willingness and ability to share power, mobilize people, synthesize ideas, and assemble resources

- The ability to …
  - forge alliances with people holding diverse interests, viewpoints, and mandates
  - invite people to develop and take ownership of a shared vision and values;
  - bridge differences and nourish relationships

- The need for different types of leaders to catalyse, enable, and sustain action
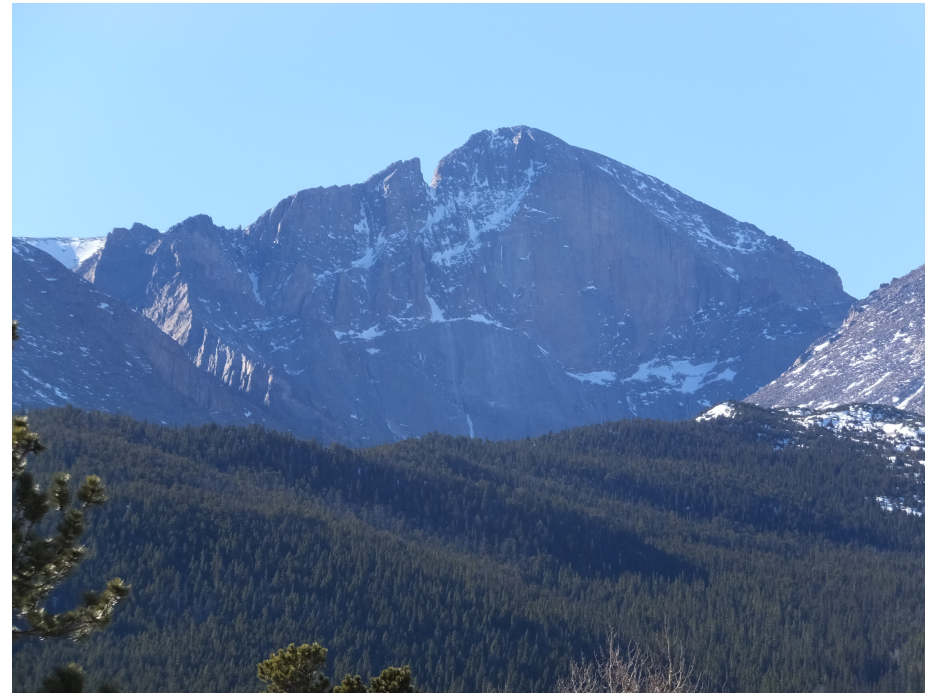
Types of Leadership For TBC

Problems (yellow circle) — Roles (green rectangle)

1. How to get started?
2. How to build identity, resources and capacity?
3. How to cope with problems that arise?

1
- Pioneer — to catalyze action and recruit others
- Sponsor — to establish credibility and legitimacy

2
- Thought leader — to provide expertise and credibility
- Networker — to engage people across jurisdictions, sectors, and interests

3
- Steward — to coordinate activities and ensure results
- Facilitator — to bridge differences and build agreement