

Figure 2.1: Location of OpenNESS Case studies (No=27).

## 2.1. Summary of stakeholder involvement and use of ES concept in the case studies

*Francis Turkelboom, Jan Dick, Wim Verheyden and Hans Keune*

The following sections summaries the individual questions as written in the reporting template which was focused in a chronological order. The order has been changed slightly to groups question into subheadings for analysis these are:

### 2.2.1. Stakeholder involvement in the case studies

- 2.2.2. Establishment of the CAB
- 2.2.3. Functioning of the CAB
- 2.2.4. CAB activities
- 2.2.5. Use of ecosystem services and natural capital concepts
- 2.2.6. Expected outputs/deliverable and possible risks

Some of the questions lend themselves to numerical analysis while others are more descriptive. The reader is encouraged to read the complete reports in section 2.2 to obtain a full understanding of each case study.

### 2.2.1 Stakeholder involvement in the case studies

**Q6: In which phase is this sub-project?**

- |  |                   |
|--|-------------------|
| 1. Starting up   | 5. Planning       |
| 2. Identifying stakeholder positions and problem formulation | 6. Implementation |
| 3. Resource mobilisation                                     | 7. Evaluation     |
| 4. Development of a shared vision                            |                   |

In total 22% of the case studies reported they were in project phase 1 Starting up; 41% were at project phase 2: Identifying stakeholder positions and problem formulation while 18% reported they were at project phase 4: Development of a shared vision (Fig x). The remaining projects 8 projects reported a range of project phases (Fig x)

The reporting of a range of project phases reflects that currently the ecosystem service a concept is not simply following a stepwise progression with the project phases effectively overlapping.

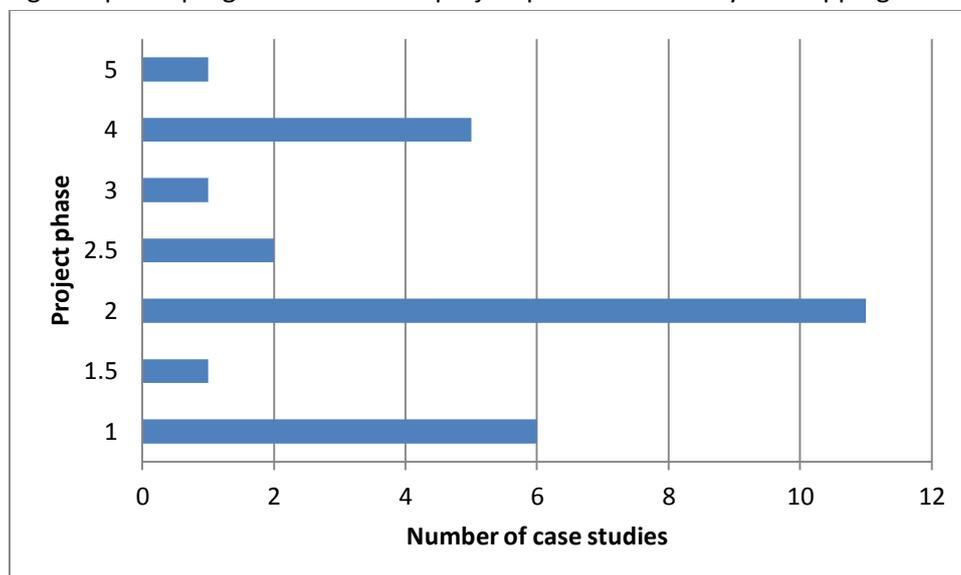


Figure 2.2: Frequency of project phase of the 27 OpenNESS projects on October 2013 (note if more than one project phase reported the mid-point is reported).

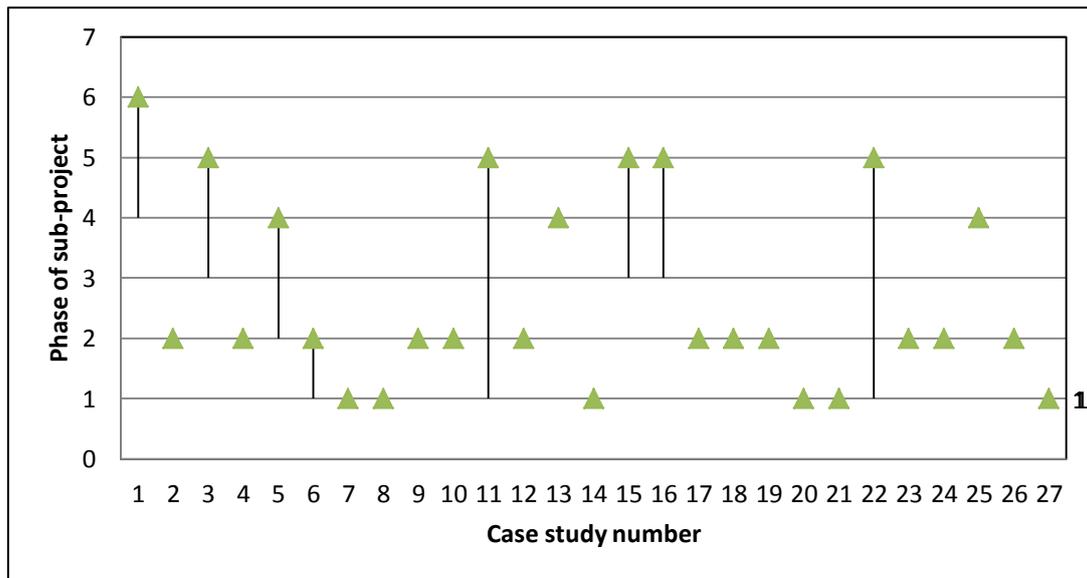


Figure 2.3: Project phase of the 27 OpenNESS projects on October 2013.

**Q9: Who will benefit from the results of this sub-project?**

**Q10: Who will be negatively affected from the results of this sub-project?**

Over the 27 case studies, 12 types of affected stakeholder groups could be distinguished. As most projects are in a starting phase, these answers reflect the anticipated effects by the case coordinators. The most often mentioned beneficiaries are - not surprisingly - natural resources management organizations and local communities. Typical sectors that make use of the open space are also mentioned, such as agriculture, fishery, forestry, recreation and tourism, conservation organizations, and business. On the policy level, all levels of policy making were mentioned: local decision- and policy makers, national governments and EU. Finally, also scientists and consultants were mentioned as a separate beneficiary group. Some explanation on the expected impact on the most important groups is summarized here:

- **Local communities:** In more than half of the cases, local communities are expected to benefit from the project. Examples are: nearby communities, downstream communities, water customers, and various user groups. In some cases, local people could also be negatively affected: e.g. people over-exploiting natural capital for short-term gain, people who might dislike changes in the structure of the landscape, or communities who lose access to nature (e.g. by offsetting in other areas). A special group is the land owners. Although they might benefit as the rest of the community of the improved ES delivery, they also might face restrictions on their property rights, and/or a decline or increase in the real estate prices.

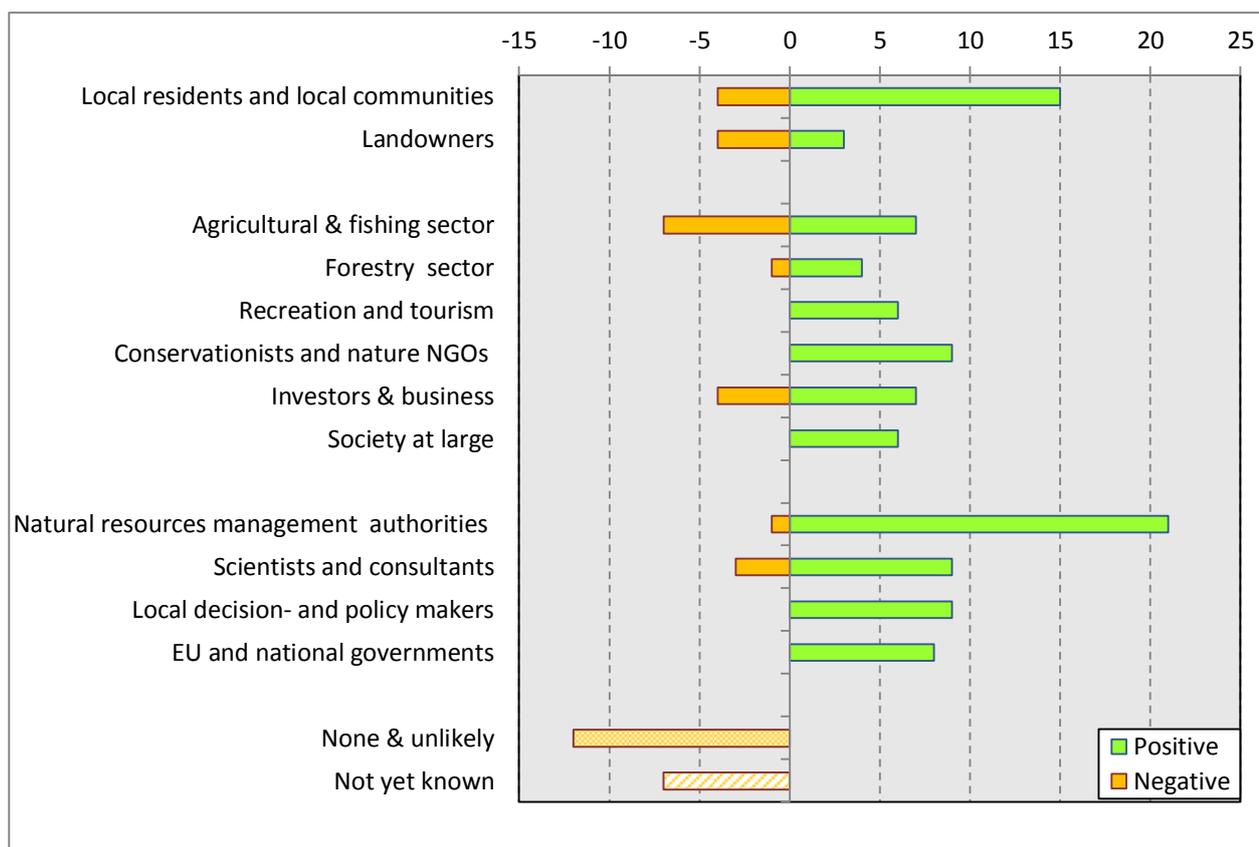


Figure 2.4: Expected positive and/or negative impacts on stakeholders groups in OpenNESS cases, measured on October 2013 (No=27). (One project = 1 counting. Sub-projects were counted separately, if the answers to the question were different for the different sub-projects).

- Agriculture, forestry and fishery: These sectors are expected to be affected both positively and negatively (depending on the case). Farming and forestry sectors could benefit from more sustainable delivery and/or management of ES needed for agricultural production, but could also benefit from alternative opportunities (e.g. shared use of land, agricultural landscape management, certification, payments to generate ES or to create nature on their land). On the other hand, some fragile areas might be taken out of production or some intensively managed agricultural lands could face from some restrictions.
- Investors and business: Opportunities were mentioned for businesses which require a reliable water flow or which are prone to flooding, e.g. the off-setting sector and bio-energy producers. On the other hand, conventional grey infrastructure designers or investors which are seeking benefit from unsustainable use of targeted ES and NC stocks might experience restrictions.
- Society at large: These benefits mainly refer to reduction of carbon dioxide emissions, more cost efficient way of managing nature and landscapes, maintenance of desired ES, and better protection of biodiversity.
- Natural resources management organizations: These include forest administrations, protected area managers, water management bodies, environmental agencies, urban planning agencies... Their benefits are mainly indirect. By more accurate information about the processes, quantity and/or value of ES/NC, these agencies will have better data to base their strategies/plans on, or to justify their protection. In some cases, they are also expected to benefit directly, by better delivery

of desired ES. On the other hand, agencies which have a very sectorial approach might perhaps be less receptive to the results of the project (mentioned in 1 case).

- Policy support and policy makers at different levels are expected to benefit from more accurate information and better planning tools.

### 2.2.2. Establishment of the Case Study Advisory Board (CAB)

#### Q14: What do you expect from involving stakeholders in your CAB?

Expectations from the case coordinators of involving stakeholders in the case studies via a case study advisory board (CAB) in OpenNESS cases can be sub-divided in 4 main categories:

- Problem solving (37%): This is perceived as the most important advantage by the case coordinators. It is expected that better opportunities, wins-wins, conflict solving solutions, better suggestions for planning or policy could be found. In this way, the final research findings are expected to have a higher relevance, credibility, legitimacy, ownership and (institutional and/or public) support from the stakeholders. Finally, it is expected to smoothen the dissemination and implementation of the project results.
- Increased interaction between actors (31% of all the provided answers): Ten cases mention that one of the major benefits of working together within a CAB will be improved consultation, dialogue, collaboration, deliberation among the main stakeholders and the researchers. This is expected to improve the co-development of knowledge, to raise awareness (regarding sustainable land-use, use of ES concept), to set research priorities, to ensure that the research is close to the actual knowledge needs, and to guide the next steps.
- Support research process (20%): Several case coordinators also see direct benefits to their research activities. Working with the CAB is expected to provide support for research from the key stakeholders, easier access to data and knowledge, feedback to the research results, and testing and validation of results or proposed policy instruments.
- Diagnosis (12%): Engagement with all involved actors is expected to get a better picture of the issues at stake, such as: policy-making and management, dynamics in the region, complexity, conflicts and underlying values and interests of different stakeholders, constraints related to the operationalization of ES.

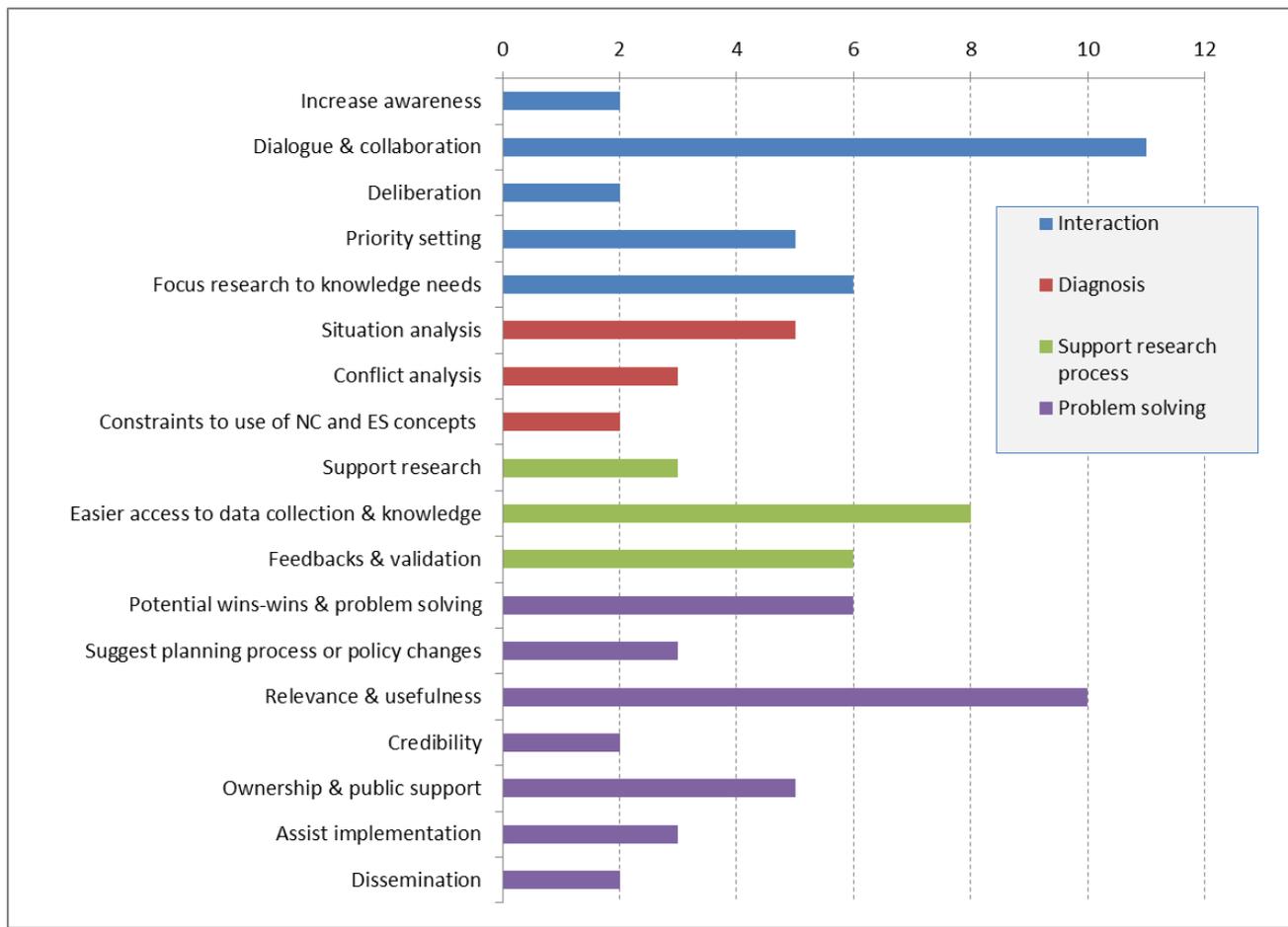


Figure 2.5: Expectation of the OpenNESS case coordinators regarding the involvement of stakeholders via the case-study advisory board (CAB), measured on October 2013 (No=27). (One project = 1 counting. Sub-projects were counted separately, if the answers to the question was different for the different sub-projects).

**Q13: Have you already established a Case study Advisory Board (CAB)? If not please explain your strategy over the next 12 months?**

In total 59% of the case studies report that they had not yet formally established a case study advisory board (CAB). However, the majority report that they had already worked with individuals or institutions who they considered would be part of the CAB (see question 16), and are currently in an informal phase of establishing their CAB.

**Q1: Role of research leader in relation to the case study**

In 15 case studies out of 27, there will be only one research leader. In the other cases, there were 2 persons selected for this role. Most of these research leaders indicated that their role in relation to the case study is that of research coordinator for the case study, and/or for a specific task within the case study (for instance based on specific expertise, especially when there is more than one research leader). In two case studies, the director of the organization is selected as research leader.

Only twice, the tasks of the research leader were described in more detail, such as: the coordination of the case study team, chairmanship of different councils, contacts with relevant stakeholders and the Case Advisory Board (CAB), client-partner-communication in general, dissemination, capacity building, collaboration with WP5 and process documentation.

**Q2: Role of case study representative in relation to the case study**

In 20 out of 27 case studies, representatives have been selected. In most cases, this will be one or two persons. Their roles include: *“representation of the Case Advisory Board (CAB), responsible for communication and public relations”* and *“continuous monitoring and support to the execution of the working plan and validation of obtained results”*.

In 3 case studies the contact person has not been chosen yet (for instance because the Case Advisory Board (CAB) was not yet established), or this box was left empty. In two cases, the organization that will deliver this representative was already decided, but specific individual was not yet selected. Another case study mentioned that the selection of a contact person was not relevant because this did not apply to their Advisory Board (which has a dynamic composition), but they also expected that some kind of “leader” might probably arise more naturally after a while.

**Q16: Which of the CAB members have you worked with before the start of OpenNESS project?**

In total, 89% of all case studies reported that they had already worked with several of the stakeholder who would constitute their CAB. None reported that there was a problem of engaging stakeholders. However, one case (Wadden Sea, The Netherlands, No.20) reported that; *“We have consulted local policy makers involved with the case. Up to now they have not been convinced that including ES is of benefit in their case.”*

**Q15: Who are the members of your case study CAB i.e. affiliations?**

Most cases have already established a Case Advisory Board (CAB), formally or informally. In some of the case studies, the CAB was (partially) based on a pre-existing group or partnership. Nevertheless, almost every case study gave a (first) indication of the partners who are expected or who declared their interest to join the CAB. The exact composition of the CAB was strongly related to the specific focus and/or other criteria. For example, one case study will focus specifically on local and the regional or national level, so their CAB members will be mainly policy makers. Another case explicitly made the distinction between “CAB-members” and “non-CAB contacts” (aiming for instance at direct contacts with high level representatives).

Two cases mentioned that they have a ‘distributed CAB’: for ‘Sustainable forestry in Tierra del Fuego’ (No.25) the reason was that their CAB members are spread out all over the county; while for ‘Restoration Warwickshire’ (No.11) and ‘Restoration of Essex coast’ (No.22) it was rather because they operate in a business context.

<b>Q17: How were the CAB members selected?</b>
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CAB members were selected because of different reasons. Most of the times, CAB-members are representatives from stakeholders groups, which fulfil one more of the following criteria:

Table 2.1: Considered criteria for inviting stakeholders in the CAB of the respective OpenNESS case studies.

<b>Relevant organizations</b>	<ul style="list-style-type: none"> <li>• Organizations <b>responsible</b> for planning and /or management and/or conservation in the area (or in the nearby surroundings) (e.g. water management, forest management, planners, decision makers).</li> <li>• Large <b>experience</b> in the topic and/or relevant professional background (especially regarding selection of scientists and policy makers).</li> </ul>
<b>Local stakeholders</b>	<ul style="list-style-type: none"> <li>• <b>Locally</b> or regionally embedded organisations.</li> <li>• <b>Providers</b> of (specific) ES in the area.</li> <li>• Stakeholders with conflicting interests.</li> <li>• <b>Users</b> of (specific) ES in the area, considering the degree to which different groups depend on ecosystem services for their livelihood, income and well-being.</li> </ul>
<b>Process-based criteria</b>	<ul style="list-style-type: none"> <li>• <b>Power</b> to influence decisions over ecosystem services management and governance.</li> <li>• Organizations with a known or assumed <b>interest</b> in the area, in the theme and/or in the ES/NC-approach.</li> <li>• <b>Involvement</b> in (collaborative) structures that have been already established earlier in relation to the project area.</li> <li>• Their <b>willingness</b> to cooperate in the project.</li> <li>• <b>Previous working experience</b> with particular stakeholders and/or good relationship with the case study research leaders.</li> <li>• <b>Recommended</b> by other stakeholders.</li> <li>• <b>Number</b>: from minimum 8 and no more than 20 partners</li> </ul>

Stakeholder involvement can also vary over time: In one of the case studies, a first selection of both topics and stakeholders was done by the researchers, but during the first CAB meeting the focus of the case study was refined both spatially and thematically. Based on these refinements, new additional stakeholders will now be invited to join the CAB. This is a good example of using the feedback of participants for both problem framing and stakeholder representation. Another case study mentioned that membership will be reviewed annually (based on needs or changing circumstances). One case study has neither a fixed composition nor a fixed number of participants, because this is part of their strategy for the CAB to gain slowly the confidence of all stakeholders. Finally, there is a case study where no real CAB will be set up, but where they will work together with partners to the extent to which these partners are critical to the effective development of the business model.

Interestingly, one case study referred to a specific law which describes how members involved in a participatory process should be selected.

**Q18: Is there anyone (or group) not represented? If yes, why?**

There is wide range of replies related to absence of stakeholders:

- In some cases, this was answered with a clear “No” or was left blank.
- “We don’t know yet” or “Not yet applicable”.
- In some cases, it was a deliberate choice to limit the number of stakeholders at the CAB, based on the focus and/or the targets of the project (e.g. representation based on relevance of partners for forest management and biodiversity). Another reason is to limit the CAB into a manageable size.
- Some cases were aware of a problem of under-representation, but they were still working on a solution (for instance by looking for additional representatives).
- Case study leaders mentioned that they could only invite the stakeholders, but they actually did not know if they will show up (on the longer term). Stakeholders groups could decline participation due to lack/loss of interest or due a low “willingness to negotiate and compromise”. These are common problems with participatory approaches. In one of the case studies, a stakeholder deliberately chose not to become actively involved, but preferred to stay only a corresponding member at the moment.

It was interesting to see that some of the case study leaders also mentioned a strategy to include a wider group of stakeholders in the project through other ways of involvement (apart from the CAB), so that their opinions can also be integrated.

**Q24: How do you perceive the level of trust between the different CAB members?**

In 13 of the case studies (48%) the perceived level of trust among stakeholders was high, although some cases realized that the real issues are not yet addressed or that some important stakeholders are not yet included (e.g. stakeholders with direct personal stakes). In this way, it is possible that distrust and conflicts could potentially appear in the future.

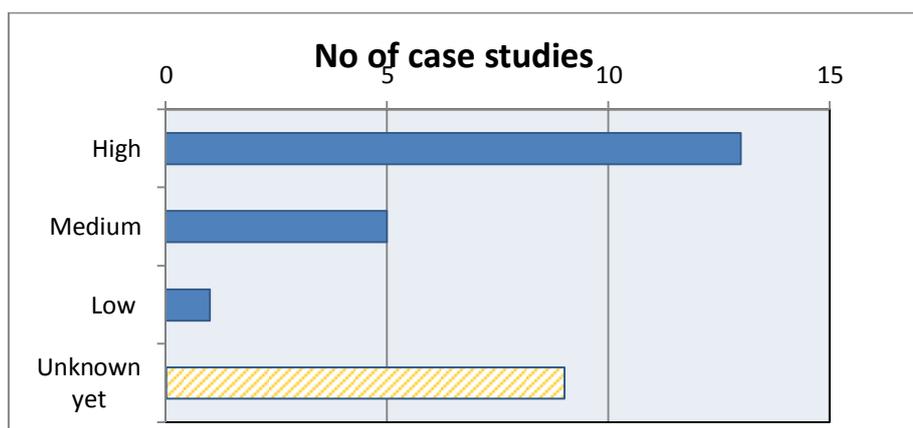


Figure 2.6: Perceived level of trust among the different CAB members in 27 OpenNESS case studies, estimated at October 2013.

In 6 cases, the level of trust was low or medium, mainly due to historical reasons. In one case, there was fear that involvement in a research project might expose some non-compliance related to certain

environmental laws. Two cases mentioned that they will use the help of another organization that can act as a trustworthy mediator in the process. For 9 cases it was still too early to make a judgment about this topic.

### 2.2.3. Functioning of the Case study Advisory Boards (CAB)

**Q25: Why was the topic(s) for further investigation in OpenNESS selected (i.e. the sub-project)?**

There is quite a diversity in the answers. Some are addressing combinations of arguments in their statements. Actor-specific arguments being mentioned concern the relevance or importance to researchers, to planners, to the CAB, and/or to stakeholders (more in general or by several of these groups). In line with actor-specific arguments, connection to current policy practice and/or demand is mentioned several times, as is connection to the OpenNESS goals and expertise.

A second group of reasons are instrumental (goal-related) arguments, which are quite similar as those addressed under question 11 (see below in this document): making ES explicit, uptake in management/planning, awareness raising, conflict resolution, etcetera.

Table 2.2: Arguments for selecting the topic(s) for investigation in the OpenNESS cases (number refers to the frequency this argument was mentioned).

#### *Actor-specific arguments:*

Connection to current policy practice/demand/targets	4
Connection to OPENNESS goals and expertise	4
Good opportunity for a project occurring in practice	4
Agreed by the CAB	3
Based on stakeholder consultation	3
Project researchers consider it to be important/interesting/promising	2
Interest amongst the planners to maintain nature/ES	1
Postponed until the CAB is established	1

#### *Instrumental (goal-related) arguments:*

Need for awareness raising with respect to the concept	2
To support societal-policy debate on an important current societal issue	2
Need for integration of ES in planning	1
To support conflict resolution	1
Need for more information on these ES	1
Lack of attention for these ES	1
Need for better understanding multi-interest decision making	1

**Q26: Who was involved in the selection of this issue/topic?**

In most cases, researchers, the case study team and/or the CAB have selected and/or agreed on the topics/issues. In two of the case studies, this choice has been made after a stakeholder-wide consultation process (although we do not know which stakeholders were involved here). Sometimes, also managers and directors were involved in this choice.

Twice, there is a reference made to a previous project, where the needs of managers and local stakeholders were expressed or which responded to national and regional objectives and conflicts.

**Q20: How are decisions made within the CAB?**

In most cases, there was a clear choice to avoid voting as much as possible. Consensus building (also called “common agreement” or “deliberation”) was chosen by almost all the case study leaders as the way for decision-making within their CAB. One stakeholder explained that when a high degree of acceptance is needed, voting has to be avoided, because this would not be a good start for sustainable management in the area. A few procedures for consensus building were mentioned: negotiation between the demand and supply sides of ES, and ‘action-support coaching’ based on inputs from actors in the CAB (e.g. “territory game”).

Only a few case study leaders indicated that a democratic vote was the normal procedure (although many issues are agreed without a formal vote) or that democratic and/or informal votes are expected as alternative procedures for decision making. In some cases, a decision-making-procedure was not yet defined.

It was also mentioned twice that the CAB will not make any real decision at all. The role of the CAB in one case was limited to establish a forum for dialogue and information exchange and to support the corresponding Ministry of Agriculture and Forestry in broad and important forest policy questions. In the other case study, the actual decisions will be made by the relevant planning authorities. Probably, this might be also the same for several of the other cases (considering that the mandate of the CAB is mostly limited to an advisory role - see Q21). So there might be some differences in the interpretation of this question about decision-making: decision about the advice, or decision about the implementation of the advice?

**Q21: Does the CAB have an official mandate to tackle the concerned topic?****Q22: Which organization (in or outside the CAB) has the authority to implement the decisions of the CAB?**

Only in a few cases, the CAB itself has real implementation power. In most cases (15 out of 27, 55%), the CAB has no (official) implementation power. On the other hand, their advisory role might be crucial, and some of the involved stakeholders do have a mandate to implement specific actions. In that way, there is a wide variety of stakeholders that have a responsibility in the implementation after all. These responsibilities can be very diverse.

However, not all cases are not yet sure what kind of mandate they will have. Some cases mentioned that their implementation power will depend on the results of the investigation and the decided actions.

## 2.2.4. CAB activities

### Q27: What has already happened since the beginning of OpenNESS (i.e. since Dec 2012)

All case studies reported that they had made progress since Dec 2012. This varied between identifying the issues (~90%); the methodology to be tested (~75%); conducting preliminary data gathering and field visits (~25%); to not yet consulting the stakeholders but formulating models considered relevant (~5%).

It was noted that the opportunities to engage with stakeholders was a factor controlling the progress of the work since Dec 2012.

### Q19: Dates of meetings with the CAB (representatives)

Several of the case studies reported having several meetings. Four cases have met with their CAB four times, while most had only met once (19 case studies, Figure 2.7). This again reflects the early stage of many of the case studies.

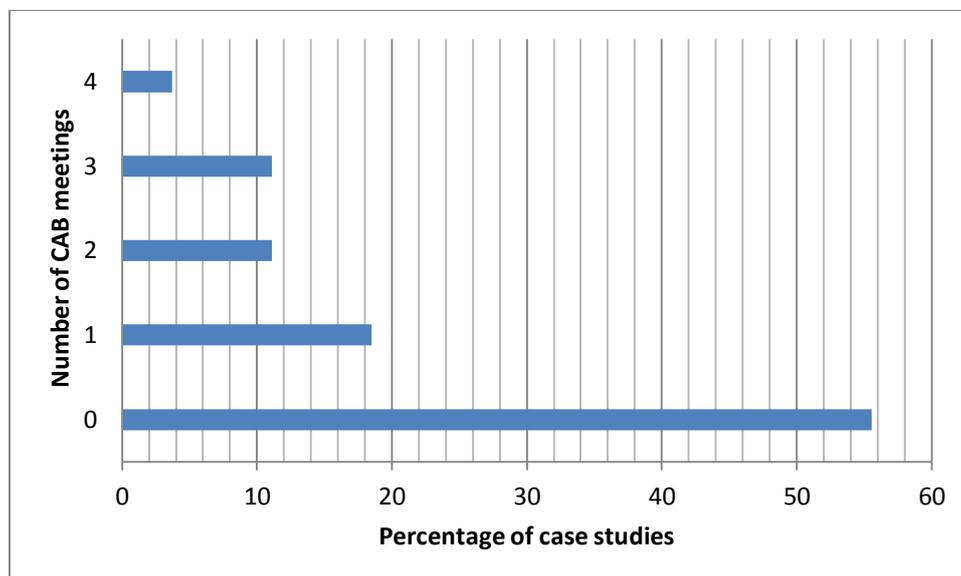


Figure 2.7: Number of the meetings with the CAB in 27 OpenNESS cases, measured on October 2013.

Several case studies have however forecasted that their first meeting will take place by February 2014. A time trend of the occurrence of the first CAB meeting reveals a healthy increase, with around 50% of the case studies having a fixed date of meeting their CAB (Figure 2.8).

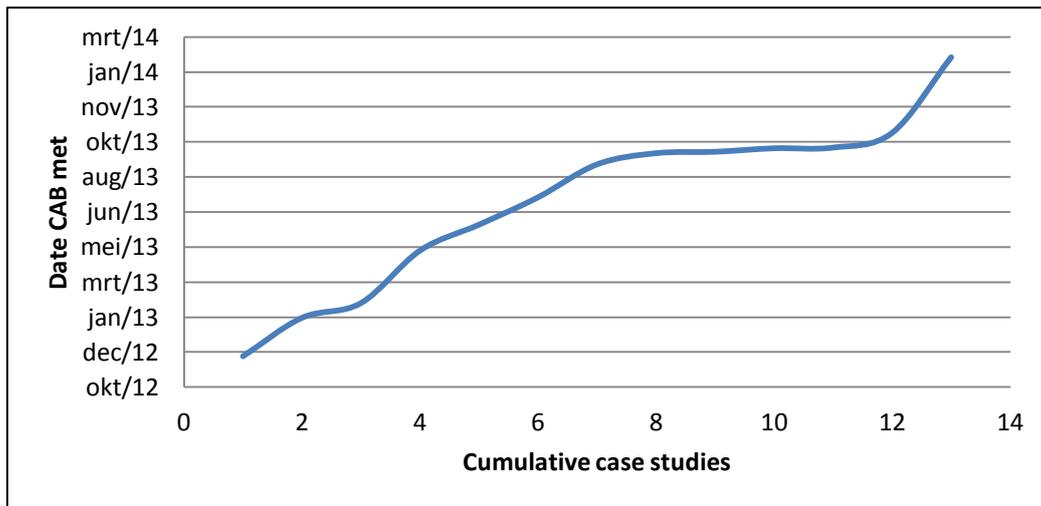


Figure 2.8: The anticipated first CAB meeting of OpenNESS cases (cumulative).

### Q31: Planned consultation steps with CAB and stakeholders

92% of case studies will have held some form of CAB consultation within the next 3 months. This shows the progress of the projects.

### Q23: How will you maintain records of the consultation steps and decisions taken in relation to the CAB and wider stakeholder engagement? (e.g. logbook, minutes of meetings,...)

70% of the case studies reported that they will or intend to keep minutes of formal CAB meetings, as a means to record decisions.

## 2.2.5. Use of ecosystem services and natural capital concepts

### Q11: Why do you use the ecosystem service and natural capital concepts in your project? What do you hope to achieve differently compared to earlier concepts/approaches?

Clearly usefulness and innovativeness of the concepts for integrating nature in planning/management, as well as the holistic character of the related approach, appeals to most of the respondents. Related to that are the expected capacities that the concepts will: 1) make ES explicit that often are not highlighted or ignored, 2) identifying community benefits, 3) linking societal preferences with land use management options, 4) awareness raising, 5) support to conflict resolution, and 6) to be action-oriented.

Two research perspectives are also mentioned: 1) the need for better understanding of these concepts, and 2) the belief that science based on these concepts can provide objective and/or independent knowledge input in the management/policy process.

Table 2.3: Arguments for using ecosystem service and natural capital concepts in the OpenNESS cases (number refers to the frequency this argument was mentioned).

**Expectations of the concept**

ES is useful/innovative for integrating nature in planning/management	11
ES is a more holistic, multi-faceted and dynamic approach than traditional concepts	10
ES is useful/innovative for identifying and providing community benefits	6
Make ES explicit, e.g. highlighting services that currently seem ignored or undervalued in planning	5
To link societal preferences and land-use decisions with the use and impacts on natural resources	4
Awareness raising + shared understanding	4
Support conflict resolution	3
Action oriented	1
Objective/independent knowledge input in management/policy process	1
The need for better understanding of these concepts	1

**Demand**

Stakeholder showed an interest	1
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**Specific applications**

Better understanding of the effects of climate change to biodiversity and ES gains	1
Support a diversity of specific ES applications, such as biodiversity offsetting and PES	1

**Q12: What might be (potential) barriers to the use of the ecosystem services approach in your project?**

Not all respondents indicate they envisage barriers, but the ones who do, refer to quite a diversity of issues, sometimes in combination. The complexity of the concepts and related approach is mentioned several times. Related to that is the rather abstract character of the concepts, which make it difficult to relate to from every day practice and, partly perhaps because of unfamiliarity, also leads to misunderstandings and miscommunication. Still, even when it is relatively clear what the concepts may bring to practice, practice may not be eager to embrace it. One reason that is referred to several times is a resistance to change, which is common to many practices, including land use management.

Another reason may be the suspicion that the use of the concepts may lead to results that are in contrast with one's own interest (e.g. groups benefiting from destructive harvesting practices). In fact, the approach may also be discredited if only conservationist criteria are taken into account, potentially neglecting other land uses. For nature conservation groups, they may be sceptical to the concepts for other reasons, e.g. the anthropocentric nature of the concept, disregarding the intrinsic value of nature, and financial turn often taken in ES approaches.

Finally, a group of research challenges are mentioned as barriers, such as: contradictory scientific evidence, methodological challenges, problems of limited data, limited availability of resources and time, and lack of historical perspective.

Table 2.4: (Potential) barriers to the use of the ecosystem services approach in the OpenNESS cases (number refers to the frequency this argument was mentioned).

**No barriers yet**

No barriers detected or envisaged yet	5
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**Concept (mis)understanding**

Complexity of the ES approach	4
Misunderstanding/lack of common understanding stakeholders	4
Novelty of the concept, unfamiliarity with the concept amongst stakeholders	4
ES is abstract, does not seem directly relevant to practice/life	2

**Lack of public engagement**

Lack of interest/support from stakeholders	4
Lack of public participation	1

**Controversy**

Anthropocentric character of the concept. Lack of taking into account the intrinsic values is criticized.	3
Resistance to change in current practices: <ul style="list-style-type: none"> <li>- Incorporate ES into the existing planning tradition which is based on traditional nature elements</li> <li>- Unwillingness for changing existing rules in the planning and in legislation processes</li> <li>- A strong emphasis on timber production</li> </ul>	3
Conflicting interests (e.g. parties who profit from (nature) destructive activities)	1
The money component (e.g. regarding financial compensation)	1
Disagreement regarding the role of traditional practices	1
Using only conservationist criteria	1

**Research challenges**

Lack of data/information	7
Limited availability of resources, time	3
Methodological challenges: Difficulties in establishing the links and relations underlying the 'cascade' model	2
Contradictory scientific evidence	1
Lack of historical perspective	1

## 2.2.6. Expected outputs/deliverable and possible risks

### Q33: Expected outputs/deliverable relevant for the aims and objectives of OpenNESS

While all case studies are ultimately testing the usefulness of the ecosystem service concept, over 50% of the case studies reported this as the expected outputs/deliverable from the project. About 20% expected to deliver a scientific paper, and 3 reported they would deliver a report or demonstration leaflet with the key results and lessons learned.

**Q32: Possible risks or obstacles for the planned research**

Lack of data was reported as the most likely risk to the delivery of the projects (33% of the case studies). This indicates that several case studies are indeed attempting to tackle risky but realistic issues (and not only the 'low-hanging fruits' which they can guarantee to deliver). Human resources were also highlighted by 25% of the case studies. This covered several aspects including: (i) commitment of the CAB, (ii) as these case studies are working within an active decision making context, there is some fear that there is insufficient human resources to complete the planned studies in time to satisfy CAB.

18% of the case studies reported that they considered it a risk that the CAB would not fully engage, due to perception of too much academic bias, or lack of trust between CAB members.