

Appendix A

The protocol for data collection was developed within the EU project CONSOLE. This appendix presents an excerpt from the Deliverable 2.1.

Protocol for data collection - Contents and structure of diagnostic case studies' factsheets

The factsheets prepared on basis of the data collection consist of 4 main clusters of information (case study description, contract information/data and facts, context features, Analysis of success), including 12 main content elements, which are detailed below:

Case study description:

- The case study in a nutshell
- Summary of the case study
- (Environmental) objectives and initial situation
- Problem description/statement

Contract information/Data and facts:

- Contract type(s)
- Public goods addressed (AECPGs and further)
- Data and facts on the contract solution (including e.g. participation, management requirements, controls/monitoring, conditions of participation, risks/ uncertainties, funding/payments)

Context information:

- Location
- landscape and climate
- farm structure/system

Assessment of success factors:

- Reasons for success and failure
- SWOT analysis, bullet points for strengths, weaknesses, opportunities and threats

1. Information at a glance

In order to enable a quick overview of the contents of the contract solution, the factsheets contain the following elements:

Heading

The name of the case study, often derived from national language, allows a clear identification of each case study.

Contract solution in a nutshell

Each factsheet starts with a very short paragraph, informing the reader on the main aspects of the case study and the contract solution presented.

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Infoboxes

The factsheets contain infoboxes placed along the page margins. These infoboxes enable a fast understanding of the contract type(s) as well as the features it is based on, the public goods addressed, and some main information about payment mechanisms, contract conclusion, start, end and length of the program/initiative/project presented as case study. Depending on the individual case study, the infoboxes might include additional information.

The three main **contract types** are displayed in the infobox on the first page using the symbols shown in Figure 1. It has to be highlighted that single symbols are used for case studies, clearly representing one contract type. Multiple symbols are used if the contract types show features belonging to more than one type (e.g. a result-based contract solution combined with a collective approach of implementation would display the symbol for result-based as well as collective). Also, the contract type symbols are used even if the contract solution described in the case study does not fully qualify for it – or is not (yet) implemented, but has – or will have – features strongly directed towards one contract type (e.g. a strongly result-oriented solution where farmers monitor biodiversity, but payments are still granted per area).

Result-based/ Result-oriented	Collective/ Cooperative	Value chain
		

Figure 1: symbols of contract types

Also, the fourteen **AECPGs** are displayed using symbols (see Figure 3). Normally, AECPGs displayed in the infoboxes are those directly addressed by the contract solution. However it is clear, that contracts solutions for the improvement of one specific AECPG can have impacts of the provision of another. Particularly when these effects are strong or obvious, also indirectly addressed AECPGs might be displayed in the infoboxes.

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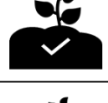
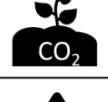
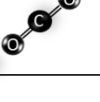
	Landscape and scenery		Rural viability and vitality
	Recreational access / Improvements to physical and mental health		Cultural heritage
	(Farmland) biodiversity		Quality and security of products
	Air quality		Farm animal health and welfare
	Soil quality (and health)		Water quality
	Climate regulation- carbon storage		Water quantity (e.g. water retention)
	Resilience to natural hazards		Climate regulation- greenhouse gas emissions

Figure 2: Symbols of AECPGs

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2. Description of contract solution case study

The factsheets aim at giving short but precise descriptions of the contract solution case study, as well as information on its design and effects. To this aim, the following content elements are covered:

Summary (of contract solution)

The summary includes the main case study features and describes aspects such as which public goods are addressed, which parties are involved, which payment mechanisms are applied, and which region/area/agricultural system/forestry system is covered. As such, the summary provides the reader with an overview of the contract solution and hints to its innovative elements.

(Environmental) objectives

The factsheets display specific environmental objectives and the AECPG(s) targeted by the contract solution in a textbox usually placed in the middle of the first page. In most cases the objectives are presented as bullet points.

Problem description

The problem description outlines the basic conditions/problems/issues that led to the implementation of the contract solution, considering the state/history of the agricultural/forestry system as well as that of the environmental conditions. In doing so, the problem description indicates the driving forces behind the development and establishment of the contract solution.

3. Contract information/Data and facts

A major part of the factsheets is devoted to giving insights on how the contract solution actually works. Information is given on:

- Participation: Informs on who are the participants implementing the contract solution (e.g. farms/foresters/contractees), what is the number of participants, what is the geographic expansion/area of implementation.
- Involved parties: Informs on the parties involved in the conclusion of the contract and the benefits they derive from the contract solution.
- Management requirements: Informs on the land use requirements along with the implementation of the contract solution, such as specific techniques or measures to achieve environmental objectives, etc.
- Controls/monitoring: Informs on the implementation of monitoring and controls.
- Contract conclusion: Informs on the way the contract is technically concluded, such as written agreements, verbal agreements, etc.
- Conditions of participation: Informs on specific conditions to be fulfilled to be able to enter the contract solution.
- Payment mechanism: Informs on the type of payment and/or payment mechanism (e.g. auctions, tradable emissions certifications, incentive payments, product prices, etc.).
- Funding/payments: Informs on the system of payments, origin of funding, payment modalities, etc.

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- Risks/uncertainties for the participants: Informs about potential risks arising for the contractee when implementing the contract solutions (e.g. price risks, delivery quantity, investments, husbandry risks, risk of not reaching objectives).
- Duration of contract: Informs on duration of single contracts, as well as on the overall length the contract solution existed or is foreseen to exist.

4. Context information

The descriptive part of the factsheets ends with a description of the context and basic conditions, under which the contract solution is implemented. Main aspects addressed are natural conditions of a country/a region like landscape and climate, as well as the farm/forestry systems targeted by the contract solution:

- Landscape and climate: Informs on landscape and the climate of the region where the contract solution is implemented including a description of specific scenic and ecological characteristics (habitat, landscape elements).
- Farm/forestry system targeted: Informs on the farming system and/or type of farming/forestry, which is targeted by the contract solution. Descriptions may include information on agricultural/forestry practices such as management form, average farm/forest size, share of organic farms, intensity of farming/forestry (e.g. frequency of cutting), shares of landuse, ownership structure, full-time/part-time farmers/foresters).

5. Assessment of success factors

All factsheets end with a final page containing an assessment of the success (and failure) factors of the contract solution case study presented. The focus is put on the effectiveness of the contract solution in reaching the (environmental) objectives targeted. Thereby, the contract solutions can be classified as “successful”, “failure” and “unclassifiable”.

Definition “successful”: The term “success” is directly related to the term “effectiveness”. A contract solution is successful, if the case is “environmentally effective”, which means it reports improvement of the AECPG’s (in the best case, long-term improvements). Moreover, if AECPG’s improvements are not foreseeable yet (e.g. due to short running time of the program etc.), also successful implementation could be an indicator. Matzdorf et al. 2014 defines successful PES as follow: “A successful PES would achieve a clearly defined environmental objective effectively and efficiently”.

Definition “failure”: If the case reported a clear failure in environmental improvements or even deteriorations (based on Cox et al. 2010)

Definition “unclassifiable”: The contract solution can neither be called as a success or as a failure. For example, situations where for one reason or another the participation is much lower than the potential, or for example situations where there are trade-offs between various public goods, or where the case is ongoing and results are not yet reported / available.

Moreover, the assessment includes an identification and description of the main reasons for either failure or success.

Finally, this section is concluded by an analysis of strengths, weaknesses, objectives and threats of the case study, displayed in an easy-to-read textbox format.