

# TRANSITIONS PATHWAYS AND RISK ANALYSIS FOR CLIMATE CHANGE MITIGATION AND ADAPTATION STRATEGIES

## D2.3 - Identification and analysis of relevant stakeholder groups in case study countries

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# TRANSrisk

## Transitions pathways and risk analysis for climate change mitigation and adaptation strategies

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## Preface

Both the models concerning the future climate evolution and its impacts, as well as the models assessing the costs and benefits associated with different mitigation pathways face a high degree of uncertainty. There is an urgent need to not only understand the *costs and benefits* associated with *climate change* but also the *risks, uncertainties and co-effects* related to different *mitigation pathways* as well as *public acceptance* (or lack of) of low-carbon (technology) options. The main aims and objectives of TRANSrisk therefore are to create a novel assessment framework for analysing costs and benefits of transition pathways that will integrate well-established approaches to modelling the costs of resilient, low-carbon pathways with a wider interdisciplinary approach including risk assessments. In addition, *TRANSrisk* aims to design a decision support tool that should help policy makers to better understand uncertainties and risks and enable them to include risk assessments into more robust policy design.

## PROJECT PARTNERS

No	Participant name	Short Name	Country code	Partners' logos
1	Science Policy Research Unit, University of Sussex	SPRU	UK	
2	Basque Centre for Climate Change	BC3	ES	
3	Cambridge Econometrics	CE	UK	
4	Energy Research Centre of the Netherlands	ECN	NL	
5	Swiss Federal Institute of Technology (funded by Swiss Gov't)	ETH Zurich	CH	
6	Institute for Structural Research	IBS	PL	
7	Joint Implementation Network	JIN	NL	
8	National Technical University of Athens	NTUA	GR	
9	Stockholm Environment Institute	SEI	SE, KE	
10	University of Graz	UniGraz	AT	
11	University of Piraeus Research Centre	UPRC	GR	
12	Pontifical Catholic University of Chile	CLAPESUC	CL	

## Executive Summary

The purpose of this Deliverable is to present an initial overview of stakeholders identified by TRANSrisk partners who may be engaged during the analysis of each case study, as well as during other project activities (such as outreach activities targeted at policy and decision makers). For this, each partner has filled in a simple excel sheet, providing information about potential stakeholders. The spreadsheets completed by each partner have been combined into one single master table. The long list of information about these stakeholders (around 700 stakeholders in total) was then used to generate pivot tables for analysis of stakeholders according to their country of origin, type of organisation they work for and the sector or area they work in. At this stage of the project, it has been decided not to characterise stakeholders in terms of their interests and pressure points; this will be done during the individual stakeholder consultation in the case studies with input from stakeholder analysis tools in WP6.

The analysis shows that all case study countries are well-represented in the stakeholder overview, with at least 20 identified stakeholders per case study. It also shows that the partners as a whole have found an overall balance between ‘business’, ‘research/consultation’, and ‘government’ representatives. However, the overall balance does not necessarily reflect the distribution across professional areas in the individual case study countries. Some of the case study countries could undertake more work later on in the project to obtain more balance between different types of organisations. Considering the type of sector or areas, most of the potential stakeholders were identified in the Energy sector followed by the area of environmental protection. Environmental protection is a significant sector, which can be explained by the fact that several identified stakeholders fall into multiple sectors, but with environmental protection as main objective.

This Deliverable is a living document that will be further developed later on when case studies progress and more detailed stakeholder consultations are carried out. In such a way, stakeholder profiles can be further developed and potential interests and sensitivities can be identified.

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# 1 *EC SUMMARY REQUIREMENTS*

## 1.1 Changes with respect to the DoA

This deliverable is prepared in accordance with the DoA with one slight modification. Task 2.3 also calls for a description of stakeholder groups in terms of incentives, drivers, positions, so that a map of interests and pressure points can be drawn. Initially, TRANSrisk partners were asked to complete an Excel worksheet with indications of interest but, based on feedback from partners, it has been concluded that it is too early to make such an assessment, as partners have not yet worked with many stakeholders within TRANSrisk. D2.3 will be a living document that will be continuously updated to detail information on stakeholder incentives, drivers and positions (see introduction for further details). Partners are beginning to carry out their first round of generalist interviews over the period of June-November 2016. Partners will be providing updated inputs into D2.3 and the case studies work (D3.2 - Context of Country Case Studies) as they progress with their stakeholder engagement process.

## 1.2 Dissemination and uptake

This report on the stakeholder database for case study analysis and other participatory tasks in TRANSrisk will be disseminated within the project consortium. The report contains an overall analysis of basic stakeholder information (country, type of affiliation, sector), while the underlying Excel sheets will remain with the coordinator of WP2. These sheets can be checked, but, for confidentiality reasons, will not be distributed within the consortium or beyond.

## 1.3 Short Summary of results

See Executive Summary.

## 1.4 Evidence of accomplishment

Submission of this Deliverable on 30 June 2016.

## 2 INTRODUCTION

In TRANSrisk, stakeholders play an important role in the processes of generating (tacit) knowledge for robust scenarios and pathways for low-emission transitions in different country contexts. As explained in D2.4 - Stakeholder Engagement Plan, stakeholders will be involved in TRANSrisk work in a number of ways:

- To support the identification of aspects related to public acceptance of low-emission options (WP2, task 5).
- To participate in case study analysis in 14 countries<sup>1</sup> (WP3).
- To help the consortium identify preferred pathways for international low-emission development (WP4, task 2).
- To provide their views on low-emission transition risks within multiple contexts (WP5)
- To engage in activities related to innovation aspects in support of low-emission transitions (WP6).
- To test and review decision support tools developed or updated within TRANSrisk (WP7).
- To obtain key messages from the activities above for the benefit of their own professional activities.
- To be recipients of general TRANSrisk outreach activities (WP8).

This Deliverable, in its present form and, given the current stage of TRANSrisk, has a main focus on identifying and characterising stakeholders for the country case study work in WP3 and WP6. Later updates of the stakeholder identification table, on which this deliverable is based, will also contain specific stakeholder information for the other tasks mentioned above.

Task 2.3 (in WP2) supports the identification of stakeholders for these activities. As reflected in the Annex I (DoW) the stakeholder audience can be quite broad, as the main limitation is that stakeholders need to be involved in ‘climate-relevant’ decision-making (especially when this concerns enhancing public acceptance of low-emission options).

Task 2.3 also calls for a description of stakeholder groups in terms of incentives/ drivers/ positions, so that a map of interests and pressure points can be drawn. Initially, TRANSrisk partners were asked to complete an Excel worksheet with indications of interest but, based on feedback from partners, it has been concluded that it is too early to make such an assessment, as partners have not yet worked with many stakeholders within TRANSrisk.

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<sup>1</sup> Austria, Canada, Chile, China, Greece, India, Indonesia, Kenya, Netherlands, Poland, Spain, Sweden, Switzerland, and the UK

It has therefore been decided to consider this Deliverable a living document, to be developed according to the following steps:

1. Partners identify, from their own networks and case study contexts, potential stakeholders for the tasks they are involved in and characterise these with factual information: country, type of affiliation, and sector.
2. As case studies progress in WP3, additional stakeholders will be identified, either by partners or by already identified stakeholders (i.e. “you should also talk to ....”).
3. Based on consultation of, and collaboration with, stakeholders during case study analysis partners can add to the stakeholder profiles, their potential interests and capabilities. The proposed timing for this is:
  - a. After step 1 in the case study (consultation of ‘generalists’),
  - b. After Step 2 in the case study (consultation of specific stakeholders),
  - c. Before Step 3 (consultation of policy-level stakeholders).

The Stakeholder Attribute Matrix to be developed in Task 6.1 can be used for this.

The purpose of this Deliverable is therefore to present an overview of stakeholders that have been identified by TRANSrisk partners to be potentially engaged during the analysis of each case study and the other ways mentioned above. For each case study country, the most recent summary of stakeholder groups will be presented, focusing mostly on policy makers and other actors such as NGOs, academic and corporate stakeholders, media and the public.

### 3 LINK AND COMPLEMENTARITY WITH D6.1 AND WP3

Both D2.3 and D6.1 concern mapping stakeholders and identifying their interests. As explained above, at this stage stakeholder descriptions in D2.3 are not yet available but will follow at a later stage as work in several participatory tasks in TRANSrisk progresses.

The workflow connecting D2.3 and D6.1 is proposed as follows:

1. Within the framework of D2.3, stakeholders are identified by partners for several participatory tasks in TRANSrisk.
2. For the specific case study analysis, focussing on innovation aspects in Indonesia, Kenya and the Netherlands, detailed stakeholder attribute matrices will be completed, based on collaboration with stakeholders in these countries.
3. The stakeholder attribute matrix tool thus developed can be used as a template for partners when conducting the case studies in WP3, thereby using stakeholder overviews in D2.3.

4. The stakeholder attribute matrix can be used to monitor and evaluate consultation with stakeholders in case studies, and use this to identify stakeholder interests and pressure points.

## 4 OVERVIEW OF STAKEHOLDERS

### 4.1 Methodology for the overview of stakeholders

The overview of stakeholders is based on stakeholder lists that TRANSrisk partners have developed for this task. For this, a milestone was set for February 2016 in order to have a first overview of stakeholders based on partners' own professional networks. An Excel worksheet was developed and circulated for this purpose within the consortium. By February 2016 all partners had returned their stakeholder tables. Between February and June 2016 JIN, as WP2 and Task 2.3 leader, analysed the completed table by checking these for balance in terms of sectors and type of affiliations, as well as completeness of information provided in the tables. Where necessary, partners were asked to update and/or extend their stakeholder tables. During this work, consultations with partners took place, during which they argued that providing factual information was feasible, but that providing information about stakeholder interest based on partners' own judgement could be arbitrary (especially without consultation with these stakeholders, see explanation in section 1).

Each partner has filled in a simple Excel sheet (see below), providing all the relevant information on the identified potential stakeholders.

Whilst the Excel worksheets have been stored by JIN, some partners requested us not to share the names and contacts of stakeholders, as they have built up professional relationships with these stakeholders. As a result, the individual worksheets have been analysed by JIN in order to check whether the information provided is sufficient for conducting the participatory tasks at this stage in TRANSrisk and for the purpose of preparing overview tables.

For the analysis of stakeholder data worksheets, the pivot table technique has been used. A pivot table is a powerful data summarisation tool popularised by Microsoft Excel in 1994. This tool allows the extraction of significance from a large, detailed data set by automatically counting, sorting or giving the average or total of data stored in a spreadsheet. The end result is a separate table that shows the summarised data, which can be modified by dragging and dropping fields graphically.

In practice, this meant that TRANSrisk partners were asked to identify potential stakeholders relevant to their own case studies and characterise them by following an

Excel table template developed by JIN. An example of such a table is shown in Table 1. The table contains the name of the identified stakeholders, country of origin, the organisation and position they are affiliated in, the type of the organisation (e.g. government, business, research etc.) and the economic sector these stakeholders are active within (e.g. energy, environment, transport, finance etc.).

Name	Country	Organisation	Position	Type				Economic sector							
				Government	Research/consultancy	Business	Other	Energy	Industry	Transport	Agric./Forest	Environment	Financial/trader	Other	
Stakeholder 1	Sweden	Ministry of Environment	Head of department		x			x							
Stakeholder 2	Chile	National Energy Agency	Policy officer	x									x		
Stakeholder 3	Canada	Center for Renewable Energy	Advisor		x										x
Stakeholder 4	UK	Energy Company X	Project leader				x		x						
Stakeholder 5	Poland	University X	Researcher		x							x			
....		....	....												
....		....	....												
Etc.		Etc.	Etc.												

**Table 1. Example of the simple Excel sheet used by partners to characterise potential stakeholders relevant to their own case studies**

The spreadsheets completed by each TRANSrisk partner were collected by JIN and were combined into one single master table. The long list of information about these stakeholders (around 700 stakeholders in total) was then used to generate the pivot tables in order to analyse the stakeholders according to their country of origin, type etc. An example of such a pivot table for the analysis of stakeholders by the type of their affiliated organisation is shown in Table 2 (see also the visualisation of the table below in Figure 2). The analysis of the pivot tables will be discussed in section 4.2.

Count of Government	Count of Research/consultancy	Count of Business	Count of Other
205	231	214	124

**Table 2. Example of a pivot table for the characterisation of stakeholders by the type of their affiliated organisation**

## 4.2 Analysis of stakeholders

### 4.2.1 Analysis of stakeholders by country

Figure 1 shows how the 700 identified stakeholders are distributed by case study country. When instructing partners, it was recommended that the stakeholder identification should largely serve the purpose of case study analysis in their own countries. However, partners were free to consider contacts from international organisations as well if they were

relevant for TRANSrisk. From the overview, it can be concluded that all case study countries are well represented in the stakeholder overview, with at least 20 stakeholders initially identified per case study (See Figure 1 for Number of stakeholders analysed by their country of origin). Some countries have many more identified stakeholders. For example, the partner from Chile shared over 90 stakeholders which was largely due to their involvement in an earlier, similar, policy preparation project for the government of Chile (in preparation for COP-21). In the Netherlands, stakeholder identification could benefit from recent participatory work in complementary projects to TRANSrisk (e.g. CARISMA).<sup>2</sup> Moreover, in the Netherlands two case studies are planned in WP3: transition pathway with an enhanced role for solar technologies and a pathway based on manure management (for which stakeholder identification had been conducted in another EU-funded project, BIOTEAM<sup>3</sup>).

For this reason, the Dutch partner JIN was able to identify potential stakeholders not only from the Netherlands, but also 6 stakeholders from Belgium, 4 stakeholders from the UK, 3 from Germany, 2 from both the United States and Indonesia, and 1 each from France, Czech Republic, Belize, Egypt and Denmark. Besides the Netherlands, partners from Indonesia and Spain have identified some additional potential stakeholders outside of their respective countries. Indonesia has 1 potential stakeholder from Australia while Spain might benefit from the input of 2 stakeholders from the Netherlands and 1 from the UK. These stakeholders however might not only benefit the partners (the Netherlands and Spain) who identified them, but also other TRANSrisk partner countries where these stakeholders are located (e.g. UK, Indonesia, and the Netherlands).

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<sup>2</sup> <http://carisma-project.eu/>

<sup>3</sup> <http://www.sustainable-biomass.eu/>

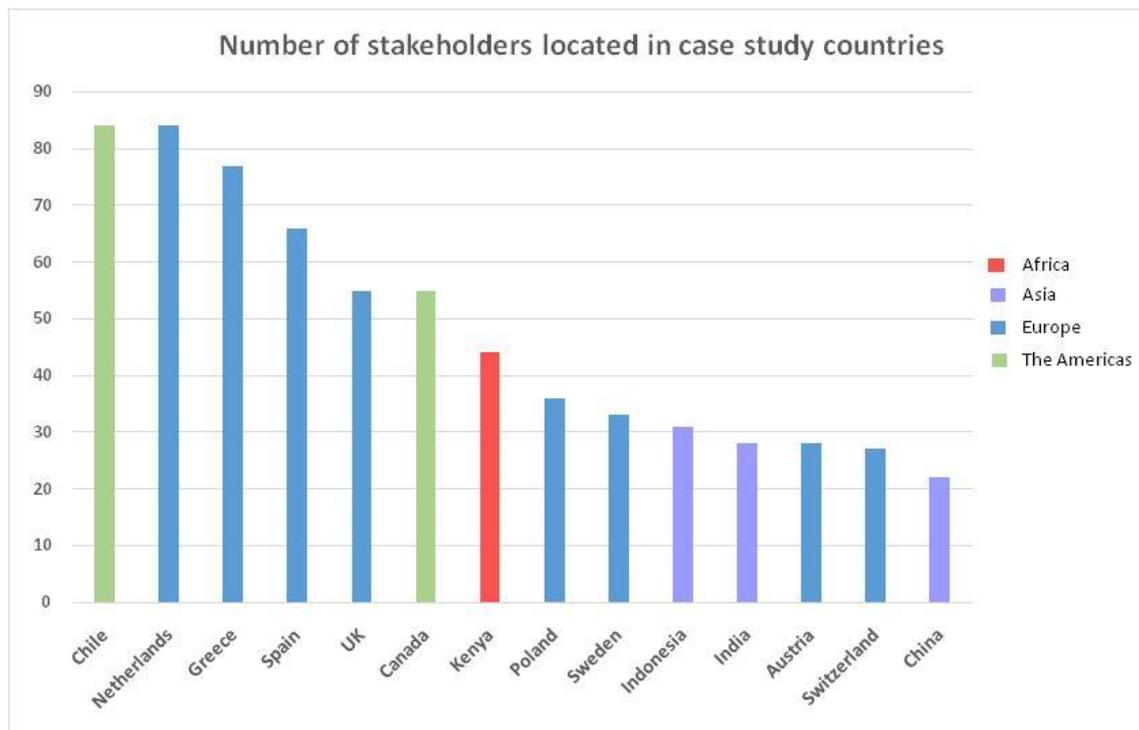


Figure 1. Number of stakeholders analysed by their country of origin

## 4.2.2 Analysis of stakeholders by the type of organisation

Figure 2 shows the overview of how the stakeholders identified are spread across different types of organisations. It shows, that overall, partners have found a balance between ‘business’, ‘research/consultancy’, and ‘government’ with around 210 to 240 stakeholders per category.

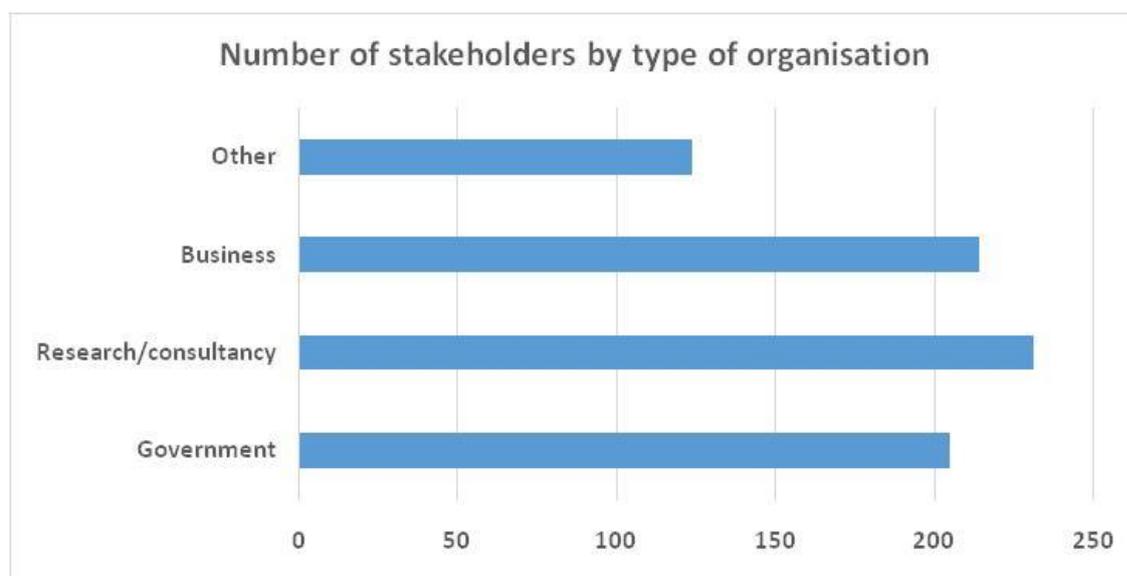
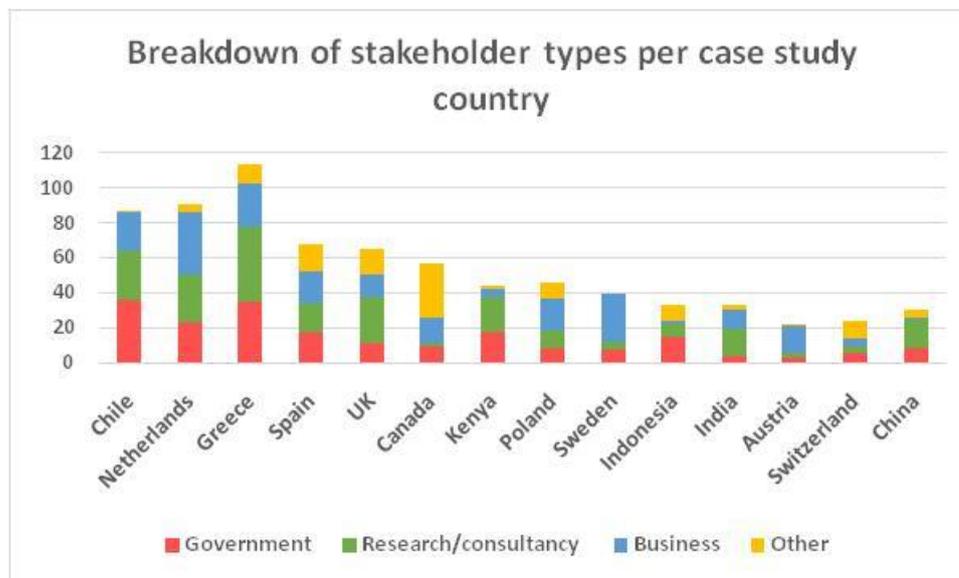


Figure 2. Number of stakeholders analysed by the type of organisation they work for

However, this does not necessarily reflect that a similar balance has been achieved for all case study countries, and in some countries the balance between types of organisations could be improved. Figure 3 shows the breakdown of stakeholder types for each case study country.



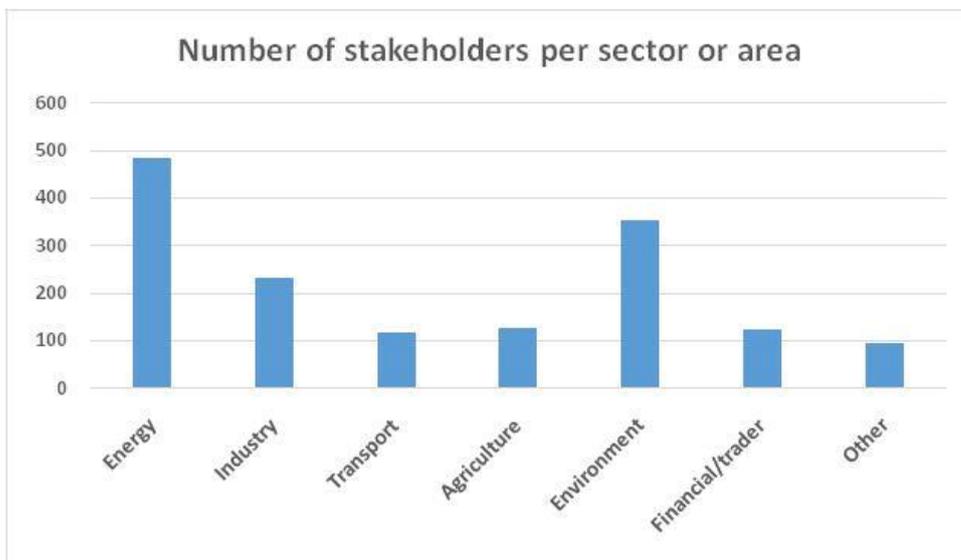
**Figure 3. Breakdown of stakeholder types for each of the case study countries**

For some of the partner countries such as Chile, the Netherlands, Greece, Spain, UK and Poland a reasonable balance has been found between stakeholders working for the government, research/consultancy and businesses. The remaining countries will be encouraged to make an effort to achieve a more balanced division during later stages of the project, including during case study analysis. For example, partners responsible for the stakeholder identification in Canada, Austria and Switzerland may try to identify more stakeholders working for research/consultancy organisations while partners from Kenya, Indonesia and China could broaden their stakeholder network by identifying more stakeholders working for business organisations. For the time being of this deliverable we have concluded that stakeholders overall are well represented from all organisation. Beyond this, a more balanced division will be targeted during later stages of the case studies.

One might notice that the number of organisations in Figure 2 and the number of stakeholders for some of the countries in Figure 3 are larger than the number of identified stakeholders shown in Figure 1. This is due to the fact that some stakeholders are affiliated with multiple organisations. For example, a stakeholder might be a researcher/consultant and at the same time have a business of his/her own or be part of an association or NGO group. This is especially striking in the case of Greece where multiple stakeholders are working for both the government and research/consultancy organisation at the same time.

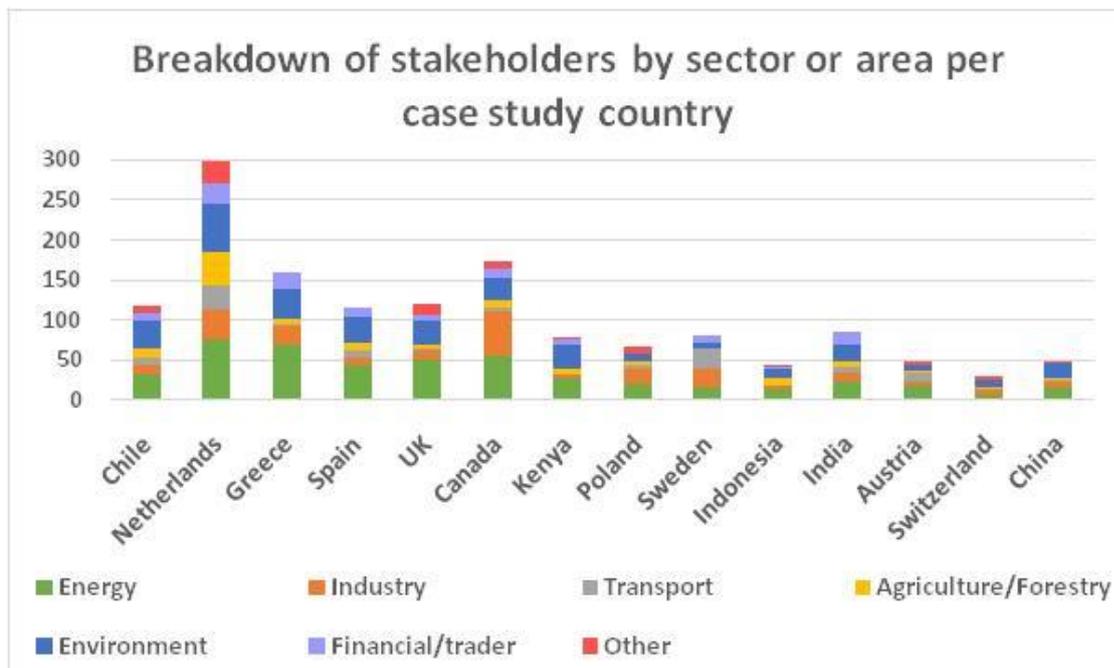
### 4.2.3 Analysis of stakeholders by the economic sector or area

Figure 4 shows the overall distribution of identified stakeholder per sector. It shows that most stakeholders have been identified in the energy sector, which is understandable as the starting point for most of the case studies is energy. Some case study countries will additionally focus on other sectors and stakeholders, for example those within the agricultural or industrial sectors. In the stakeholder template table we have included the `sector` of environmental protection next to the `traditional` sectors. This is because a number of stakeholders identified do not really fit in one sector, as they work, for example, as consultants, within environmental NGOs or as technology or service providers in multiple sectors, but with environmental protection as a main objective.



**Figure 4. Number of stakeholders analysed per sector or area they work in**

Again, this does not necessarily reflect that a similar balance has been achieved for all case study countries and in some countries the balance between types of sectors could be further improved later on when case studies progress. To see the balances for each of the case study countries, we have depicted the breakdown of stakeholders by sector per case study country in Figure 5.



**Figure 5. Breakdown of stakeholders by sector or area for each of the case study countries**

For most partners, most stakeholders have been identified for the energy and environment sectors. For Canada, Sweden and Poland a large number of stakeholders have been identified in the Industry sector as well (relative to the Energy and Environmental sectors). The breakdown shows that some of the case study countries such as Poland, Austria, Switzerland and China could try to identify more stakeholders working in the financial sector while the partner from Sweden could broaden their stakeholder network by identifying more stakeholders working in the area of environmental protection.

Similar to Figure 2 and Figure 3, the number of organisations and stakeholders in Figure 4 and Figure 5 is larger than the number of stakeholders in Figure 1. This can be explained by the same phenomenon that some of the stakeholders are active in multiple sectors. For example, a stakeholder might be working in the Energy sector as well as in the Transport or Industry sectors. This is especially striking in the case of The Netherlands where multiple stakeholders have been identified as being active in both the energy sector and the area of environmental protection.