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Reconciling nature, people and policy in the mangrove social-ecological system through the adaptive cycle heuristic

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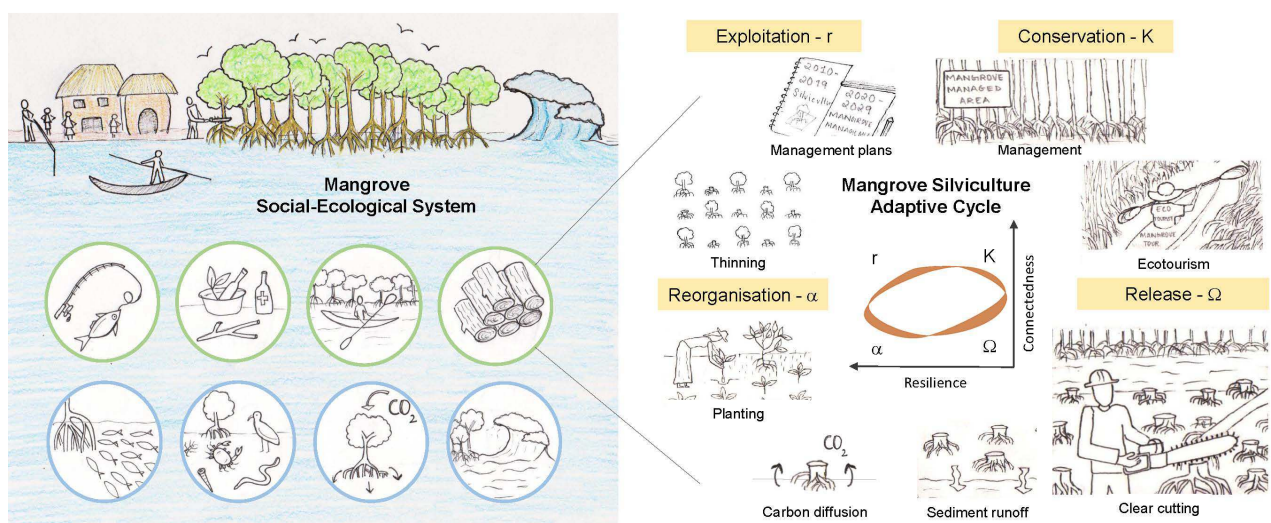
Abstract

While mangroves are increasingly described as social-ecological systems (SESs), performing SES research is so much more than merely documenting local resource utilisation patterns in case studies. The aim of this paper is to review and show how ecological, human and institutional resilience could be understood and fostered in an era of uncertainty, through the adaptive cycle (AC) heuristic. Uncertainties come in many forms and shapes: climate change, social and economic dynamics, natural disasters, political and institutional disruption and ever-increasing public demands for participation. Social-ecological studies form windows of experimentation that can provide insights beyond their case-specific context. In order to synthesise and structure the cumulative knowledge base arising from existing and future studies, the need for a suitable overarching framework arose. Here, the AC heuristic represents the connectedness between variables of the mangrove SES *versus* the mangrove's accumulated capital (natural, built, human and social). We posit that the AC heuristic can be used to interpret spatial and temporal changes (ecological, social, economic, political) in mangrove SESs and we exemplify it by using the 2004 Indian Ocean tsunami as well as a century-long silviculture case. The AC, combined with the SES scheme, allows integration of the spatial-temporal dynamics and the multi-dimensional character of mangrove SESs. We also reviewed the ecosystem functions, services and disservices of mangrove SESs, linking each of them to SES capital and variable (fast or slow) attributes, which in turn are closely linked to the different axes and phases of the AC. We call upon mangrove scientists from the natural, applied, social and human sciences to join forces in fitting diversified empirical data from multiple case studies around the world to the AC heuristic. The aim is to reflect on and understand such complex dynamic systems with stakeholders having various (mutual) relationships at risk of breaking down, and to prepare for interactive adaptive planning for mangrove forests.

Keywords

adaptive capacity, capital, India, Sri Lanka, Malaysia, Matang, Nicobar, panarchy, resilience, transformability, vulnerability.

Graphical abstract



Abbreviations¹

AC, MMFR, NTFP, SES, SES-ECO, SES-I, SES-GS, SES-O, SES-RS, SES-RU, SES-S, SES-U, VJR.

1. Introduction and review of concepts linking the mangrove social-ecological system to the adaptive cycle heuristic

The modern world is characterised by rapid changes in ecological, economic, social and political features, which result in the need to build resilience for an uncertain future in a wide variety of terrestrial and marine social-ecological systems. A social-ecological system (hereafter referred to as 'SES' or 'SESS' for plural), also known as a coupled human–environment system, is a system of interacting and interdependent physical, biological and social components, emphasizing the 'humans-in-nature' perspective (Chapin III *et al.*, 2009). Reconciling nature, people and policy in complex SESS requires forecasting or hindcasting their dynamics necessitating frameworks and heuristics such as the SES framework (Ostrom *et al.*, 2009) and the adaptive cycle heuristic (see Glossary for this and other definitions), which will be introduced in-depth in Sections 1.1 and 1.3. In this paper we focus on mangrove forests as a complex system (Section 1.2).

Cormier-Salem (1999) was one of the first scientists to highlight that the mangrove forest was also "*an area to be cleared... for social scientists*", rather than being 'cleared' for land reclamation or silviculture for example (Goessens *et al.*, 2014; Richards & Friess, 2016). She called upon cross-disciplinary approaches to develop conceptual and methodological frameworks, explicitly and jointly between natural and social scientists, rather than natural scientists only calling upon social scientists in the middle of a crisis to resolve conflictual situations or to provide solutions to stop over-harvesting (Cormier-Salem, 1999). Today, mangrove SESS are considered complex adaptive systems where actors with different values and interests interact with their natural environment (Hoque *et al.*, 2018). Unfortunately, since Cormier-Salem (1999) no major attempts have been made to develop a transdisciplinary conceptual framework linking mangrove SESS to spatio-temporal changes.

The Adaptive Cycle (hereafter referred to as 'AC' or 'ACs' for plural) is a heuristic that serves to explore the resilience of complex systems. The SES framework enables scientists and stakeholders to understand and structure a SES so as to provide a semi-standardized framework for systemic (mangrove) studies (Hugé *et al.*, 2016; Martinez-Espinosa *et al.* 2020). We believe that the AC is a good model to represent social-ecological changes in mangroves for several reasons:

- First, the management of mangrove SESS requires a clear understanding of both ecological and social interactions. As intertidal systems, mangroves are subject to the dynamics of coastal erosion and accretion, occasional storm surges, and the shifting boundaries of land and water. They are intrinsically dynamic environments – their very location and their blurred and dynamic system boundaries makes them even more dynamic than many other ecosystems – therefore offering a range of specific management challenges (Rog & Cook, 2017). Hence, the AC provides a well-suited

¹ **AC**: adaptive cycle; **MMFR**: Matang Mangrove Forest Reserve; **NTFP**: non-timber forest product; **SES**: social-ecological system; **SES-ECO**: Related ecosystems; **SES-I**: Interaction; **SES-GS**: Governance system; **SES-O**: Outcome; **SES-RS**: Resource system; **SES-RU**: Resource unit; **SES-S**: Social, economic and political setting; **SES-U**: User; **VJR**: Virgin Jungle Reserve. Plurals have a lowercase 's' added to the abbreviation. SES variables *sensu* Ostrom (2009).

heuristic to frame the dynamics of both the ecological and the social components of mangrove dynamics.

- Second, a range of ecological and social system components can be ‘plugged in’ to the AC heuristic to translate the stages of the adaptive cycle (see Section 1.3) into measurable and comparable variables based on the social-ecological variables *sensu* Ostrom (2009) and Vogt *et al.* (2015).
- Third, the AC heuristic enables us to easily conceptualise, identify and address mismatches between stages in a change process, and the model enhances the early detection of system failure (*cf.* Dahdouh-Guebas *et al.*, 2005a; Koedam & Dahdouh-Guebas, 2008; Lewis III *et al.*, 2016). For example, the mangrove ecosystem can be near to collapse (*e.g.* ‘cryptic ecological degradation’ *sensu* Dahdouh-Guebas *et al.*, 2005a), while the social (human) components of the system are still in a functional conservation stage. For instance, existing institutions and regulations may still be in place but are ineffective in dealing with the changing ecological conditions because of ineffective collective-choice rules or inadequate monitoring and sanctioning processes.
- Fourth, just using the SES model is not enough to integrate the temporal dynamics which characterize real-life systems. The SES scheme on its own is useful, but merely provides a static snapshot, in which some properties can be altered by spatial and temporal changes. The AC, combined with the SES scheme, allows integration of the spatial-temporal dynamics and the multi-dimensional character of mangrove systems.

The overall aim of this paper is to exemplify how the mangrove ecosystem is a model social-ecological system, and how ecological, social and institutional resilience can be better understood through the adaptive cycle heuristic. We do this by deliberately integrating ecological and social properties and demonstrating how these interact through time and space. The specific objectives of the paper are (i) to review the essential properties and concepts of SESs (Section 1.1), mangrove ecosystems (Section 1.2) and ACs (Section 1.3) for use by mangrove researchers, stakeholders and managers, (ii) to link the mangrove social-ecological system to the adaptive cycle heuristic (Sections 2, 3 and 4) and to apply the AC to two well-known and studied mangrove-related cases (the 2004 Indian Ocean tsunami in Section 4.1 and the century-long silviculture in Malaysia Section 4.2), in order to (iii) show the potential of such an approach to sustainably manage and preserve mangrove SESs (Section 4 and 5).

1.1. The Social-Ecological System

To link physical, biological and social components, Chapin III *et al.* (2009) visualised a comprehensive generic SES framework linking ecological and social system properties to exogenous controls and to spatio-temporal impacts (Fig. 1).

Exogenous controls, such as climate or the global economy, persist well over space and time and are hardly affected by system dynamics operating at small scales and short terms (*e.g.* canopy gaps in a forest or a single currency that devalues). However, at the regional scale, exogenous controls respond to global trends and influence slow variables at the scale of management (Fig. 1). These slow variables take a long time to establish, remain relatively constant over long time periods, yet strongly influence SESs. Examples of slow variables are soil resources, inundation regimes or faunal migration patterns on the ecological side; and wealth, trust, culture and spirituality on the social side. The weakness of (critical) slow variables is that they can quickly erode, literally (*e.g.* soil resources) and figuratively (*e.g.* trust in local economy, policy or management). Slow variables in turn

govern fast variables, such as soil nutrient concentrations, daily tidal inundation, and faunal population densities on the ecological side; and income, daily access to resources, and human population densities on the social side (Fig. 1). All of these variables respond sensitively to daily, seasonal, and interannual variation in exogenous or endogenous conditions. (Chapin III *et al.*, 2009). When changes in fast variables persist over long time periods and large areas, these effects cumulatively propagate upward to affect slow variables, regional controls, and eventually the entire globe. Changes in both slow and fast variables influence environmental impacts, ecosystem goods and services, and social impacts, which together are the factors that directly affect the well-being of human actors (Fig. 1).

The components of a SES are largely governed by different types of amplifying and stabilising feedback mechanisms. For instance, the predator-prey relationship is a typical example of a stabilising feedback, whereas the relationship between overharvesting of natural resources on the one hand and armed conflict on the other is a typical amplifying feedback (Dudley *et al.*, 2002). The development of system structure resulting from stabilising feedbacks among system components is known as self-organisation (Chapin III *et al.*, 2009), and is supported by numerous examples in biology (Camazine *et al.*, 2018).

Insert Figure 1 here.

The whole productive base of a SES including, natural, built, human and social capital is called the inclusive wealth, which needs to be maintained or increased over time in order for a SES to be sustainable (Arrow *et al.*, 2004; Chapin III *et al.*, 2009). Some of these capitals may be replaced by others of a different category (*loc. cit.*). For instance mangrove forests (natural capital) can offer wave attenuation functions that might otherwise require the construction of breakwater infrastructure (built capital), in the absence of which the shore may remain exposed and more vulnerable. Despite such replacement potential, in low-income countries the loss of natural capital has a disproportionate direct impact on sustainability, compared to a generally more manageable, indirect impact in high-income countries (MEA, 2005).

The sustainability of a SES further depends on reduced vulnerability, enhanced adaptive capacity, enhanced transformability, and increased resilience of a system (see Glossary). The first three properties can be exemplified by, respectively, the reduction of the exposure of fire-sensitive plants to wildfires (Beckage & Ellingwood, 2008), the increase in the natural capital of a mangrove forest to maintain the coastal protection function and ecosystem goods and services (Dahdouh-Guebas *et al.*, 2005b), and the wildfire-driven transformation of woodlands into herbaceous vegetation (Scheffer *et al.*, 2001). Resilience, the fourth property, will be elaborated in more detail because of its core role in the present paper's theoretical framework.

The resilience of a SES is its capacity to absorb disturbance and reorganise while undergoing change but retaining its essential core function, structure, identity, and feedbacks (Walker *et al.*, 2004). Olsson *et al.* (2015) thoroughly reviewed the history and multiple definitions of resilience. While the definition by Walker *et al.* (2004) represents but one of four different typologies of resilience definitions in ecology and social-ecological systems thinking (Olsson *et al.*, 2015), we follow Walker's definition which elaborates on the four aspects of resilience: latitude, resistance, precariousness and panarchy. In literature on alternative stable states, the first three have often been illustrated by a two-dimensional (stability) landscape with two basins of attraction, in which a marble

can freely roll (Scheffer *et al.*, 2001). In such a stability landscape, latitude can be represented as the width of the basin of attraction, resistance as the depth (and slope) of the basin of attraction, and precariousness as the proximity to the limit (threshold) that would cause it to roll into the second basin of attraction (Walker *et al.*, 2004). Finally, panarchy, refers to cross-scale interactions. For instance, local surprises and regime shifts at a focal scale can be triggered by external oppressive politics, invasions, market shifts, local sea-level rise or global climate change (Walker *et al.*, 2004; Cavanaugh *et al.*, 2019). This requires a clear definition of the scale and spatial limits of a SES.

Ostrom (2009) proposed a simple, adaptable conceptualization of a SES (Fig. 1) with an ecological core, consisting of Resource Systems (SES-RSs) and Resource Units (SES-RUs), while the social core is divided into Users (SES-Us) and Governance Systems (SES-GSs). Both ecological and social cores are framed within a Social, economic, and political setting (SES-S). In the ecological core, the SES-RSs refer to examples such as a particular protected area, a forest, a lake; whereas the SES-RUs refer to units such as trees, animals, amounts and flows of water that together make up the SES-RS. In the social core, Users (SES-Us) are the individuals who use the forest, the protected area or the lake, whereas the Governance System (SES-GS) refers to the rules regulating the use of resources, the government and other organisations that together shape the management of an area.

Interactions (SES-Is) between these subsystems then produce Outcomes (SES-Os) that describe the dynamics of the SES as a whole. These SES-Is and their SES-Os can be assessed, for example, regarding their sustainability (*cf.* Folke *et al.*, 2016). The analytical power of Ostrom's scheme also lies in the range of second-level variables that embody the different subsystems. For example, SES-RSs are described by their productivity, their predictability *etc.*, and SES-RUs can be described by their growth rates and mobility. SES-GSs can be described by their network structure, collective choice rules and so forth, and SES-Us by their socio-economic attributes and their social capital.

By going beyond integrating ecological and social components of (mangrove) systems – by the development of measurable variables – this scheme allows SES analysis to function and affect (mangrove) science across the world. For example, stakeholders may have divergent views about how to use and manage (mangrove) systems, which (mangrove) functions should be maximised, and who should make decisions regarding their management (Mukherjee *et al.*, 2014; van Oudenhoven *et al.*, 2015; Hugé *et al.*, 2016; Vande Velde *et al.*, 2019). At the same time, (mangrove) systems in different regions may show different levels of productivity, ecological connectivity, species interactions *etc.*

1.2. Mangroves as a model Social-Ecological System

Being present on all continents with (sub)tropical and warm temperate climates and contributing to the lives and livelihoods of millions of people, mangrove SESs provide an excellent backdrop to explore the nuances of the SES concept.

Mangroves can be found in >120 countries and territories (Spalding *et al.*, 2010). Modified from Mukherjee *et al.* (2014) 'mangroves' are plants that grow in tropical, subtropical and warm temperate latitudes along the intertidal land–sea interface, in bays, estuaries, lagoons and backwaters. Most of them are woody trees and shrubs, but some are non-woody (*e.g.* *Nypa* palm) or are herbaceous (*e.g.* *Acrostichum* and *Acanthus*). These plants and their associated organisms constitute the 'mangrove

forest community' or 'mangal'. The mangal and its associated abiotic factors constitute the 'mangrove ecosystem'. Like many ecosystem definitions, this one originated from a natural science point of view, centred on the ecological components of such a system, and did not include its human components.

In distinguishing between the ecological and the human components of mangroves, ecosystem processes and functions and ecosystem services may be defined according to Costanza *et al.* (2017) as: "*Ecosystem processes and functions contribute to ecosystem services, but they are not synonymous. Ecosystem processes and functions describe biophysical relationships that exist regardless of whether or not humans benefit. By contrast, ecosystem services – in the present paper referred to as 'ecosystem goods and services' – are those processes and functions that benefit people, consciously or un-consciously, directly or indirectly*". We deliberately maintain the difference between 'goods' and 'services' as we suggest that this defines the difference between what is tangible and what is not. Hence, wood and fish would be goods whereas coastal protection and scenic beauty would be services, for instance.

Given its unique diversity and complexity, there has been a range of studies investigating the mangrove ecosystem's processes and functions (Lee *et al.*, 2014; Friess *et al.*, 2016; Friess *et al.*, in press). We propose a subdivision of ecosystem processes and functions into (i) trophic processes and functions, (ii) processes and functions regarding non-trophic nutritional resources, (iii) functions regarding other resources, and (iv) non-resource functions, most of which would be categorised as SES-RSs or SES-RUs (Tab. A1 in Appendix A). Some key functions include the high carbon storage in mangrove trees and soils (Donato *et al.*, 2011; Rovai *et al.*, 2018), the attenuation of tidal and surge waves (Dahdouh-Guebas *et al.*, 2005b), and the creation of spatial niche dimensions for terrestrial and marine flora and fauna (Cannicci *et al.*, 2008; Nagelkerken *et al.*, 2008; Hayasaka *et al.*, 2012; Yates *et al.*, 2014). In particular, the characteristic extensive above-ground root system provides shelter for a variety of fish, shellfish and invertebrates (Barbier *et al.*, 2008; Nagelkerken *et al.*, 2008). Any two linked ecosystem processes and functions may involve stabilising or amplifying feedback mechanisms. An example of a stabilising feedback is given by mangrove trees and crabs, whereby shading trees offer protection to crabs that are at risk of dehydration and predation by birds (Vannini *et al.*, 1997), and crabs help to oxygenate the hypoxic or anoxic sediment by air circulating within their burrows at low tide (Koch & Nordhaus, 2010). An example of an amplifying feedback mechanism would be the outbreak of a mangrove pest such as a woodborer species (Jenoh *et al.*, 2019), whereby the pest infects susceptible trees, which allows the pest to multiply, which in turn infects more trees.

The wide range of ecosystem processes and functions in a mangrove produce a considerable array of ecosystem goods and services (Mukherjee *et al.*, 2014), which we categorised as wood products, non-timber forest products (hereafter referred to as 'NTFPs'), abiotic raw materials, and services (Tab. A2 in Appendix A). These goods and services (SES-RS) vary depending on location and population characteristics (existing species diversity and local norms). A key service is the protection of shoreline, lives and properties (Lee *et al.*, 2014; Feagin *et al.*, 2010; Hochard *et al.*, 2019). In the aftermath of several storms affecting SE Asia in the recent past (Amphan, Aila, *etc.*), the importance of mangroves has been increasingly recognised. Ecotourism in mangroves relies on the aesthetic services they provided (Avau *et al.*, 2011; Spalding & Parrett, 2019). The most widespread goods that come from a mangrove are the timber and NTFPs, particularly for house construction and traditional lifestyle practices (Walters *et al.*, 2008).

Since the paper by Dunn (2010) on “*the unspoken reality that nature sometimes kills us*”, research attention has been given to ecosystem disservices, here defined as the *ecosystem generated functions, processes and attributes that result in perceived or actual negative impacts on human wellbeing* (Shackleton *et al.*, 2016). The mangrove environment can be perceived to be harsh due to health risks, safety and security concerns, leisure and recreation-related dangers, and material and perceived mangrove disservices (Vaz *et al.*, 2017; Friess *et al.*, in press), the latter of which we believe to be inaccurate, ambiguous or in essence harmless to humans (Tab. A3 in Appendix A). Examples include disservices resulting from high salinity, anoxic conditions, high temperatures, tidal inundation, pests, foul smells, *etc.* (Friess, 2016; Friess *et al.*, in press), disease vectors such as mosquitoes (Friess, 2016; Ali *et al.*, 2019), risk of injury from sharp organisms and objects (Friess *et al.*, in press), human-wildlife conflicts (Badola *et al.*, 2012) among others. Along with mangrove goods and services, mangrove disservices would be strongly influenced by the SES-S and subject to path dependence.

1.3. The Adaptive Cycle: a conceptual approach to manage Social Ecological Systems

The long-term stability of systems depends on changes that occur during critical phases of cycles (*cf.* Berkes *et al.*, 2003; Chapin III *et al.*, 2009). In our era governed by different types of change and uncertainty, aspects related to a system’s temporal properties and cyclicity are important to elucidate, such as:

- what is meant by ‘short-term’ and ‘long-term’?
- what is the origin of a change?
- who are the actors who have the power to change the system at different points in time and space (SES-GS)?
- whether or not trajectories of change are unidirectional and, if not, what are the possible scenarios?
- changing social-economic dynamics, public awareness, regulation and social acceptance of local practices, laws, *etc.*

The AC is a heuristic model proposed by Gunderson & Holling (2002), and applied to various cases by Gunderson & Pritchard Jr. (2002), Holling & Gunderson (2002), Gunderson *et al.* (2009) among others, in which complex systems, *i.e.* self-organising systems, can be seen as following a cycle generally of four phases: exploitation (r), conservation (K), release (Ω), and reorganisation (α), organised into two loops.

Each loop of the AC comprises two phases. The first loop (or front loop), formed by phases r and K, is predictable and long in duration. Phase r (exploitation) represents a period of rapid exploitation and extraction of resources from a system’s assets. This means that the elements of a given system find, in this stage, the opportunity to establish through the usage of available resources. In this phase the AC is prone to be caught in the ‘poverty trap’, a situation in which a system cannot access enough activation energy to reach a state where positive feedbacks drive internal growth (Fath *et al.*, 2015). After initial establishment, the system enters phase K (conservation), usually the longest phase, in which there is resource accumulation in increasingly interconnected and strongly regulated ways. Excessively tight connections eventually make a system more rigid, and therefore less resilient and prone to collapse (Allen *et al.*, 2001; Allison & Hobbs, 2004). This is also referred to as the ‘rigidity trap’ (Carpenter & Brock, 2008).

The second loop (or back loop) of the AC is shorter in duration and highly unpredictable. It represents a critical moment in which the system may or may not change to another state or even another system (Walker *et al.*, 2004). Phase Ω (release or collapse) occurs when a certain level of disturbance surpasses the threshold of stability and the system collapses. Many elements of the system are set free and bonds between them are lost. Resources that were previously accumulated within the elements of the system, as well as their interactions, are then released. Failing to survive the Ω stage results in a complete break of the system cycle, termed the 'dissolution trap' (Fath *et al.*, 2015). If the system persists, the following phase α (reorganisation) provides great potential, as all the system's available elements are not yet coupled or bonded (Allen *et al.*, 2014). However, inability to reorient the components of the system or to reconnect its nodes is the main trap in this phase, also known as the 'vagabond trap' (Fath *et al.*, 2015).

Fath *et al.* (2015) exemplified what are the key features for success in each AC phase: in the r phase the capacity to grow needs activation energy; in the K phase the capacity to develop requires self-organisation to store information and capital; in the Ω phase the capacity to survive involves improvisation to maintain vital functions; and in the α phase the capacity to renew requires learning to reorient. In fact, the solutions to the traps of poverty, rigidity, dissolution and vagabond are embedded in all the other phases. Escaping the rigidity trap, for instance, requires growth-regulating stabilising feedbacks (typical of r phase), maintenance of diversity (typical of K phase) and of small-scale disturbances (typical of Ω phase), and buffer capacity within the system (typical of α phase), including stored capital and redundancy (*loc. cit.*).

The AC is usually shown in two dimensions with potential and connectedness as axes (Fig. B1A in Appendix B), but a third resilience axis can also be drawn (Fig. B1B in Appendix B). The three axes can be presented all at once in a 3D cube (Fig. B1B,C in Appendix B) or two by two (Fig. B1A in Appendix B), revealing that one sequential run through the AC causes capacity of the system to oscillate twice between low and high values (Fig. B1D in Appendix B), while both resilience and connectedness build up only once from Ω to K (Fig. B1E,F in Appendix B). The heuristic of the AC is based on observed system changes and does not imply fixed, regular, sequential cycling in a particular phase sequence. Systems can move back from K toward r, or from r directly into Ω , or back from α to Ω (Walker *et al.*, 2004). We would like to elaborate the AC heuristic by saying that the (blue) ribbons representing the AC (Figures 2 and 3) should also be considered as floating in the winds of change in the 3D cube. Similar to understanding a SES, interpreting the AC is dependent on the scale and spatial limits of the system, and on the social, economic, and political settings (SES-Ss). This is even more important when discussing panarchy in an AC context (Fig. B2 in Appendix B). The cross-scale interactions occur between nested subsystems that are at different stages of their adaptive cycles (Chapin III *et al.*, 2009). The entire system can thus be seen as being composed of different ACs stacked behind one another. This can cause a critical change in one adaptive cycle to escalate (Revolt) to a stage in a larger and slower one (Berkes *et al.*, 2003). Alternatively, the cross-scale interaction may facilitate the α and/or r phase by drawing on the memory (Remember) that has been accumulated and stored in a larger, slower cycle (*loc. cit.*) (Fig. B2 in Appendix B).

Following Ostrom's terminology, the set-up and the dynamics of the SES-RS (*e.g.* the equilibrium properties and the productivity) and the SES-GS (*e.g.* network structures) change throughout the various stages of the AC.

Before applying the AC to the complex adaptive mangrove system, we take wildfires in terrestrial forests as a relatively straightforward example to illustrate the AC phases. Throughout the Ω phase (hours to weeks) triggered by a wildfire, we can expect a surface or canopy fire, tree mortality, decreases in productivity, increasing runoff to streams, a loss of confidence in fire management, the collapse of various types of tourism, a loss of livelihoods, forced migration and displacement, and the establishment of disaster relief-oriented NGOs or state-initiatives (Chapin III *et al.* 2009; Lidskog *et al.*, 2019). Capacity, resilience and connectedness are then at their lowest values possible.

In the α phase, lasting months to years, new seedlings are recruited, new government policies for forest management are proposed and adopted, and livelihoods are changed, for instance from natural resource extraction to the service sector in nearby towns. At this point, the system is prone to the poverty trap, if there is a lack of social or ecological resources for example (*e.g.* ideas or nutrients). However, the α phase may also benefit from the legacy stored in intact neighbouring forests, from which resources such as seeds or functional guilds of animals can be recruited (Fig. B2 in Appendix B).

What follows is the incorporation of environmental resources into living organisms, and the high moisture content and low biomass of young trees reducing fire hazards, among this SES's ecological properties. Also among a SES's social features we find government policies becoming accepted, implemented and more readily enforced. In addition, NGOs that focus on post-disaster reconstruction and rehabilitation grow amidst constant changes in activities and personnel (if an NGO cannot cope with this it may disappear or change its mission), and even changes in land tenure. All these ecological and social SES properties may last decades and characterise the r phase. (Chapin III *et al.* 2009; Oloruntoba, 2013).

Finally, the K phase, in which most SESs typically spend nearly all of their time, is characterised by plant-mycorrhizae interactions and predictable patterns of recreation, hunting and harvesting. Governments and other organisations also become less flexible in their responses to changes in the economic or social climate. Therefore, we find increased levels of interconnectedness and rigidity within and between both natural/biological and human/socio-political/legal connections (*loc. cit.*). Such a forest is in a 'rigidity trap' and cannot change by endogenous processes but may be highly vulnerable to external disturbance by catastrophic wildfire (Carpenter & Brock, 2008).

Gunderson & Holling's (2002) AC is a metaphor (heuristic) for system dynamics that extends the traditional successional logistic curve ($r \rightarrow K$) to include the collapse and reorganization phases (Holling, 1986; Fath *et al.*, 2015). As mentioned above, a key parameter by which to assess and understand ACs is resilience.

The AC provides a framework to describe, understand and predict how disturbances in SESs drive disruption, reorganisation and renewal (Holling, 1986; Chapin III *et al.*, 2009). A disturbed system can be sustained by having a sufficient degree of resilience to return to a similar system state that existed before the disturbance (Lucas *et al.*, 2020). The disturbed system may also tip into an alternative (stable) state (Holmgren & Scheffer, 2001; Scheffer *et al.*, 2001). In case the system has a high degree of transformability it may shift regimes (*cf.* Cavanaugh *et al.*, 2019). Transformability is the capacity of a system to reconceptualise and create a fundamentally new system with different characteristics (Walker *et al.*, 2004).

2. The Adaptive Cycle in practice: what challenges can it (not) take on?

The AC heuristic is a thoroughly tested mechanism, both empirically and theoretically, that has significantly improved the current understanding of the behaviour of ecosystems and SESs on different spatio-temporal scales (Burkhard *et al.*, 2011; Sundstrom & Allen, 2019). This makes the AC of great potential for structuring meaningful policies for management to ensure long-term sustainability of SESs and its constituent components such as SES-RS, SES-RU, SES-GS and SES-U (Ostrom, 2009; Salvia & Quaranta, 2015).

The hypothetical approaches based on the AC principles can provide insights on the trajectories of multiple ecosystem services in different management regimes (Burkhard *et al.*, 2011). Similarly, systematic approaches using empirical data (qualitative and quantitative) have been useful tools to assess the connectedness, potential, functionality and capacity of SESs in terms of social, natural, and economic capitals in current, historic and prehistoric systems (Abel *et al.*, 2006; Thompson & Turck, 2009; Daedlow *et al.*, 2011; Salvia & Quaranta, 2015). Adaptive management practices that consider regional factors can greatly improve the resilience of ecosystems and landscapes (*cf.* Vandebroek *et al.*, 2020). The AC can also capture complex human behaviour as ‘enculturated’ and ‘enearthed’, co-evolving with socio-cultural and biophysical contexts (Schill *et al.*, 2019).

The outcomes of the actions that the actors (individuals, groups and organisations) or SES-U take to confront a complex environment are unpredictable (Hollnagel *et al.*, 2011; Fath *et al.*, 2015). In the process of adaptive management, people and organisations consistently need to adjust their activities. This in turn requires time, resources and information, all of which are usually restricted. Therefore, it is conceivable that the performance of such adjustment is variable and could even be unexpected, leading to undesirable outcomes (Hollnagel *et al.*, 2011). Though the AC heuristic is a thoroughly tested mechanism, developing an adaptive system is complex and such a system may fail (Hollnagel *et al.*, 2011).

Woods & Branlat (2011) propose that maladaptation can fall under three basic patterns. First is “*decompensation*” (*i.e.* when disturbances and/or challenges arise faster than the responses, the capacity to adapt is exhausted). Second is “*working at cross-purposes*” (*i.e.* the failure to coordinate different groups at different tiers). Third is “*getting stuck in outdated behaviours*” (*i.e.* overconfidence on past successes). For instance, there are findings showing that the availability of adaptation options may vary and could even be insufficient, which will affect the adaptation capacity (Abel *et al.*, 2006, Goulden *et al.*, 2013). These examples demonstrate the “*decompensation*” pattern of maladaptation. Another example of limitation has been seen in the case of German recreational fisheries where maladaptation could occur due to patterns of “*working at cross-purposes*” (Daedlow *et al.*, 2011). This study highlighted the fact that the AC model could need adjustment, and for this case, the inclusion of “*intergroup relation*” theory helped the adaptation processes (*loc. cit.*).

A case reported in the Solomon Islands shows that the adaptation to sustain overall resilience of a system (*e.g.* globalisation and land-tenure) may cause the system to be more vulnerable to low-probability hazards (*e.g.* tsunamis) and may require negotiation of trade-offs (Lauer *et al.*, 2013). The AC can greatly improve the understanding, the steering, and the management of such specified and general system resilience.

Nevertheless, some authors point to the limitations of the AC heuristic. Resilience thinking is presented as apolitical, lacking focus on power relations, and insufficiently focused on human vulnerability (Mikulewicz, 2019). Olsson *et al.* (2015) highlight issues regarding the extreme difficulty

of measuring the different elements of resilience and the AC using the same standards and point to the risk of disciplinary tensions between social and natural scientists. Challenges include the acknowledgement of heterogeneous values, interests and power of social actors, the anticipation of changes, the adjustment of policy goals, and the inclusion of all effects (Faber & Alkemade, 2011; Hoque *et al.*, 2017). In light of this, Burkhard *et al.* (2011) suggest a modification of the AC which is explored in detail by Fath *et al.* (2015) highlighting key features for success through each stage.

Gotts (2007) questions the link between connectedness and resilience in the AC. Abel *et al.* (2006) did not support the proposition that the four AC phases tend to be sequential, nor that Ω events are preceded by reduced resilience. Why we do not aim to downplay any of these criticisms? In fact, we will show later than we agree with some of these critics. However, we believe that the AC heuristic offers a simplified common terminology and approach to better understand the dynamics of SESs and we will discuss later the flexibility needed to interpret it in a local context.

3. Methodology

Relying on over 300 years of combined expertise of our authorship, we tabulated examples of drivers of change in mangrove ecosystems and classified them within the four phases of the AC (Tab. 1). Then, we reviewed the mangrove literature of the past 25 years (post-1995) by searching the term 'mangrove' in Web of Science® by Title, Abstract or Keyword fields (Author Keywords and KeyWords Plus), in combination with the keywords indicated in Table 1 in the same search fields, to provide but a few literature examples reporting the tabulated drivers. In addition, known examples from our experience were added where relevant. In addition, we included in Table 1 the SES variables (as defined by Ostrom, 2009) that can be affected by the drivers and that operate at various spatial and temporal scales.

Insert Table 1 here.

Next, we identified two mangrove case studies from our authorship's joint expertise from which we could synthesise current or future phases of the AC starting from drivers triggering a clear release event. These are the 2004 Indian Ocean tsunami, focused on Sri Lanka and the Nicobar Archipelago (part of the Union Territory of Andaman and Nicobar Islands, India), and the cyclic silviculture practices in Malaysia's Matang Mangrove Forest Reserve (hereafter referred to as 'MMFR'), the world's longest-managed mangrove forest, as evidenced by written Forest Department documents (Fig. 2).

Those two case studies were supported by (i) peer-reviewed literature, (ii) grey literature to which the authors had access through institutional contacts, and, above all, (iii) the hands-on societal and scientific experience of the authors in the respective sites for nearly 20 years. The scientific experience employed a suite of systematic and consolidated participatory methods such as face-to-face interviews, semi-structured interviews and questionnaires, focus group discussions, the nominal group technique, Q-methodology, the Delphi technique, Participatory Rural Appraisals, social network analysis and multi-criteria decision analysis (Mukherjee *et al.*, 2018). The methods used were often embedded in a conceptual framework such as Drivers–Pressures–State–Impact–Responses (DPSIR, Nassl & Löffler, 2015), Rights–Responsibilities–Revenues–Relationships (4Rs, Dubois, 1998), or the SES framework by Ostrom (2009). Finally, the research projects in which the authors were involved were

interdisciplinary and results were cross-checked with ecological methods from field ecology, vegetation science, biodiversity studies, and remote sensing (Dahdouh-Guebas & Koedam, 2008).

The societal experience includes local ecological knowledge, practiced traditional lifestyles, personal observations and perceptions of change, and forest management practices, among others. Both the scientific and societal experience enabled the authors to aggregate various types of knowledge, uncertainty and heuristics while making sound professional judgements (*cf.* Haas, 2003).

Insert Figure 2 here.

4. Results and Discussion

4.1. Case study 1: the 2004 Indian Ocean tsunami in Sri Lanka and India's Nicobar Archipelago

The Indian Ocean tsunami of 26 December 2004 was one of the worst disasters in modern history, responsible for immense destruction and loss of lives and livelihood. The response to the tsunami was overwhelming. According to Jayasuriya & McCawley (2008), approximately ten billion USD was raised in the aftermath of the disaster, making it the largest ever mobilisation of emergency aid.

The eastern and southern coasts of Sri Lanka were some of the most heavily impacted during this tsunami event (Tab. 2), with substantial inundation extended inland by as much as 2-3 km in some places (Liu *et al.*, 2005; Wijetunge, 2006). The Nicobar Archipelago, in addition to receiving high intensity tsunami waves resulting from its geographic proximity to the earthquake epicentre, was also heavily impacted by tectonic subsidence that ranged from 1.1 m to 3 m (Nehru & Balasubramanian, 2018). Both countries' SESs had to cope with and adapt to the new conditions after the tsunami (SES-S), differing in interactions (SES-Is) and outcomes (SES-Os) based on their local contexts. Actions were implemented to recover social and ecological (mangrove) systems by various means from government and from national and international agencies (SES-GSs).

Insert Table 2 here.

In pre-tsunami Sri Lanka, 33% of the total inhabitants were involved in diverse livelihoods involving coastal ecosystems (SES-Us). The tsunami resulted in a high number of deaths and displacements (Tab. 2) in the coastal areas (Nishikiori *et al.*, 2006; Mulligan & Shaw, 2007). Sri Lanka was already vulnerable (prone to release), as the country was in the middle of a 25-year civil war between the government and the Liberation Tigers of Tamil Eelam (LTTE) in the northern and eastern districts (SES-Ss). The catastrophe acted as an amplifying feedback, further destabilising the coastal SESs. The tsunami disproportionately affected the conflict areas and the people who had already been victimized by the civil war (Beardsley & McQuinn, 2009), thus weakening the capacity to recover. Soon after the tsunami, emergency aid was provided to the victims around the country and rehabilitation measures were implemented (SES-GSs).

There is not enough evidence to prove whether or not the aid from international NGOs was distributed equally in the war-affected areas that were also affected by tsunami (Bauman *et al.*, 2006, Fauci *et al.*, 2012). Government relief and reconstruction schemes had little or no coordination or consultation with other agencies (Wanasinghe, 2004; Mulligan & Shaw, 2007). With the increasing reliance on government and external aid, there was little room for the role of human and social

capital in the local communities. The emphasis was on rehabilitating the built capital of the SES. There was rapid development of infrastructure, new policies and land use regimes on a socio-economic and ecological scale. This led to the relocation and rebuilding of villages (Fig. 2B) for the victims of the war and tsunami (Näsström & Mattsson, 2011, Buultjens *et al.*, 2016) (SES-O). This reorganisation in the SES led to stabilizing the system ($\alpha \rightarrow r$).

Sri Lanka has become the first country in the world to protect all its mangroves by legislation irrespective of land tenure (Seacology, 2016) (SES-GS). New coastal development policies and property right rules set out by the government departments (SES-GS) created conflicts among coastal villagers (SES-U). These land conflicts are still ongoing. No-build zones were imposed along the coast where people were unable to prove their land tenure (SES-RS) due to the loss of evidence during the tsunami and war (Uyangoda, 2005; Bastian, 2005). However, the Land Reclamation Department of Sri Lanka has been actively involved in resolving land tenure issues, including communities subject to path dependence (their livelihoods coupled to coastal resources since generations). Moreover, Sri Lanka's Survey Department has launched an operation to confirm the boundaries of major land use types. Appropriate implementation of government policies and support from local government and non-governmental organizations (social capital) are essential for the sustainability of mangrove SESs in Sri Lanka. The evolution of the mangrove's SES in Sri Lanka closely adheres to the attributes of the different phases of the AC model (Table 2).

Unlike Sri Lanka, the Nicobar Archipelago is not well connected with the outside world. The islands are predominantly inhabited by the two indigenous communities (Nicobarese and Shompens), and a few settlers from mainland India (SES-U_s). Except the east coast of Great Nicobar Island, the rest of the archipelago is a tribal reserve, where entry by outsiders is tightly regulated by the government (SES-S). Prior to the tsunami, the life of indigenous people in the Nicobar Islands, numbering about 30,000 which equated to 20 persons per km², was self-sustaining and highly dependent on natural resources available such as mangroves (Singh *et al.*, 2018).

The tsunami triggered a collapse of the mangrove ecosystem (SES-RS) (Nehru & Balasubramanian, 2018) and a disintegration of the socio-economy and culture of the Nicobarese (SES-U_s) (Singh *et al.*, 2018). Moreover, the subsidence-related land drowning in Nicobar completely changed the topography of the archipelago (SES-RS) (*e.g.* intertidal zones became permanently inundated, and terrestrial zones turned to intertidal zones). This resulted in the permanent inundation of around 60% of mangrove habitat, decreasing mangrove cover by 97% (SES-RU) (Nehru & Balasubramanian 2018). By contrast, in Sri Lanka, the intensity of tsunami damage was comparatively less as there was no tectonic subsidence and therefore no land drowning. The estimated loss of mangrove cover in Sri Lanka was not well-documented at the country level although approximately 65% of the coast was highly affected (Department of Census and Statistics, 2015).

According to Fath *et al.* (2015), if a release phase exceeds the critical threshold of a system, it will lead the $\alpha \rightarrow r$ transition of the adaptive cycle towards a new regime, where the structure, function and feedbacks are based on a new set of rules. The effects of the tsunami were probably facilitating the evolution of a new regime different from the pre-tsunami conditions. For example, the mangrove habitats and species diversity have changed significantly, allowing new species to dominate. Additionally, a drastic change in the diet, livelihood and socio-cultural systems of Nicobarese has led to a new way of life. Therefore, the temporal scale in each phase of the AC of the Nicobar Islands might take longer than that of Sri Lanka. Also, temporal scales may not be uniform across the different sites within the two regions.

Insert Figure 3 here.

In both regions severe damage was inflicted on coastal communities and their environment, in AC terms (Fig. 3), suggesting the following narratives per AC phase:

Release (Ω). Release/collapse was triggered throughout a wide array of natural, social, economic, management and governance-related processes (SES-S) (Tab. 2). Areas where mangrove forests and other coastal vegetation were present offered protection and remained significantly less damaged compared to areas where human impacts had resulted in (qualitative) functional degradation more than in (a quantitative) reduction of mangrove forest area (Dahdouh-Guebas *et al.*, 2005a; Danielsen *et al.*, 2005) (SES-RU). The latter implies that fostering conservation of extensive mangrove areas is not enough. If the 'functionality' (here used as a synonym for 'capital', 'potential' or 'capacity') of these forests is jeopardised by cryptic ecological degradation, even large forest areas are unlikely to provide specific socio-ecological functions and goods and services, such as coastal protection (Tab. A2 in Appendix A). The same is true if mangroves are unable to regenerate on a site after the disruption. In this context Satyanarayana *et al.* (2017) investigated the island-wide coastal vulnerability of Sri Lanka to future ocean surges. This revealed the importance of sand dunes and beach vegetation in addition to or instead of mangroves.

Like other complex systems, mangrove SESs lose resilience as they develop a higher degree of self-organisation (Allison & Hobbs, 2004). A way to illustrate this is by referring to mangrove-dependent villages which had thinned or cleared much of the surrounding mangroves prior to the tsunami for diverse purposes, such as firewood collection, brush piles (for traditional Sri Lankan fish-aggregating devices) or the establishment of shrimp ponds. While this is a release in itself, in some cases it benefitted from the 'Remember' process in situations of panarchy (Fig. B2 in Appendix B). This means that thanks to adjacent forest patches from which propagules and seeds may be recruited, the AC may have quickly re-looped into a new K phase, running through the reorganisation (α) and exploitation (r) stages faster than expected or skipping them altogether. However, at a certain point, the remaining area of functional mangroves (*i.e.* not affected by exploitation or degradation) had become too small to cope with the intensity of this additional driver of system change (*i.e.* the tsunami itself). Therefore, forests and the human settlements within and beyond them were devastated by the height and strength of the waves. In some areas the tsunami left fewer trees than needed to have a healthy and functional ecosystem or to re-establish a new forest, resulting in a collapse of both human settlements and mangrove forest (Tab. 2). Confidence in coastal management was lost, disaster relief NGOs and projects started appearing in large numbers, some communities moved inland while others changed their occupation.

Reorganisation (α). The reorganisation phase was characterised by the rearranging of previous elements of the SES, such as remaining life forms (natural capital), infrastructure (built capital), the relocation (Fig. 2B) and rehabilitation of tsunami victims (human capital). In Sri Lanka, this phase was shorter. National plans for coastal development rapidly emerged. This included the establishment of a no-build zone 100m in from the coast, gazettement of new protected areas along the coast and demarcation of lands for coastal reserves. Some of the affected villages were rebuilt, copying the previous structure and organisation, whereas others reconceptualised their infrastructure (*e.g.* building dykes, walls, or leaving vacant spaces on the ocean-side of their development, none of which

were nature-based solutions) in case of a future tsunami. This was supported by the acceptance and implementation of the aforementioned policies (Mathiventhan, 2013). Marginal and politically invisible minority communities were unable to get benefits or voice their land related issues (Ruwanpura, 2009; Uyangoda, 2005; Telford & Cosgrave, 2007). The tsunami also allowed people to experiment with new forms of livelihoods in the coastal zone (Birkmann, 2011).

Natural post-tsunami secondary succession of the vegetation resulted in massive recruitment of less functional herbaceous mangrove associate species that were unable to fulfil the same coastal protection function as mangrove trees (Dahdouh-Guebas *et al.*, 2005b). Likewise, failed planting by institutions that did not apply scientific rehabilitation protocols ended up spending a lot of money in vain (*cf.* Lewis III, 2005; Kodikara *et al.*, 2017; López-Portillo *et al.*, 2017). Unlike in Sri Lanka, the α phase in the Nicobar Archipelago was quite long due to the complete loss of mangrove vegetation by the permanent submergence of the mangrove zone due to tectonic subsidence (Nehru & Balasubramanian, 2018). The magnitude of the tsunami and its tragic impacts allowed little time for planning and many planting failures occurred in the subsequent recovery phase, as they also failed in Sri Lanka. This highlighted the need to rethink how better planning mechanisms could have prevented such failures. To cite but three examples, two from Sri Lanka and one from the Nicobar Islands:

- Risvol (2006) concluded that, *“The experiences and observations from the aftermath of the tsunami illustrate an emphasis on rebuilding physical damages. Such a response reflects a two-fold problem which provides lessons for future disaster recovery: firstly, while focusing on physical assets, it is necessary to simultaneously strengthen local institutions, in order to achieve equity in the recovery process. Secondly, attempts to return to the pre-disaster scenario of narrow livelihood options should be reconsidered, and rather adapt to new situations in order to promote development in the affected communities”*.
- Kodikara *et al.* (2017) reported that, *“54% of planting attempts resulted in complete failure [0% survival] and roughly 40% of the sites chosen for planting had [almost] no success [1-10% survival] (survival rate of saplings after 5 years). Of the 14 sites that had some recruitment, 50% (i.e. 7 sites) had survival rates of less than 10%. These figures are of grave concern given that 13 million USD were invested in such planting efforts”*. The success rate of 8 year-old mangrove plantations along the eastern coast of Sri Lanka was 0.1% (Mathiventhan & Jayasingam, 2016).
- According to Singh & Hass (2013), ignoring the socio-cultural organisations of Nicobarese (the dominant indigenous community in Nicobar Islands) during the distribution of aid and rehabilitation programmes have led to a “complex disaster”, which *“refers to a state that has become more vulnerable than it was prior to the disaster itself, as a consequence of inappropriate human interventions leading to (a) a breakdown of institutional structures and thus a loss of reorganizing capacity, (b) failure of the society to maintain its material and energetic metabolism with its environment, and (c) creation of dependence on higher systems for continuous resource flows for its survival.”*

Exploitation (r). The resource availability, activation energy and driving force are critical to rebuild the system to a pre-disturbed condition or to build a new system, and avoid the poverty trap (Fath *et al.*, 2015). Availability of adequate seed sources to repopulate the destroyed areas or suitable leadership to act as a catalyst to mobilise the social capital and create stabilising feedbacks, could serve as activation energy in this phase. In many sites in Sri Lanka, there were enough surviving trees so transition to the exploitation phase was relatively fast compared to the Nicobar Islands where the mangrove forests declined by 97 % after the tsunami. A recent study in a tsunami affected area in the Nicobar Archipelago found an increase of 42 % mangrove cover (natural capital) in 15 years when

surviving mangrove patches (activation energy) were found nearby. Meanwhile, a site without any surviving vegetation or seed source has managed to increase the vegetated area by only 2.5 % (Prabakaran & Bayyana, unpublished data).

The resulting lack of a seed bank or residual trees for succession at the new intertidal areas formed along the new coastline made any 'Remember' (facilitated rapid recovery) process impossible (Fig. 2C, Fig. B2C in Appendix B). In some cases, the establishment of new mangrove trees was observed, but in other cases the cryptic (hidden) ecological degradation trend continued with vegetation dominated by species other than those that were dominant prior to the disaster (Dahdouh-Guebas *et al.*, 2005a,b). Once the relief phase was over, many disaster relief NGOs either disappeared or had to consciously transform into NGOs focussing on alternative livelihoods for fisherfolk. Initially NGOs did not have local knowledge and experience, and in their mission to spend the funds in haste, ended up disregarding local circumstances and community needs (Jayasuriya *et al.*, 2006). Cost escalations that produced funding gaps combined with institutional and procedural bottlenecks hindered the distribution of available tsunami funds in Sri Lanka (Jayasuriya & McCawley, 2008).

Conservation (K). The new dynamics of villagers and other stakeholders (*e.g.* tourists, visiting fishermen, industries, decision-makers, *etc.*) becomes ever more predictable. While some stakeholders may be affected by legacies creating path dependence (*i.e.* they are affected by past events, in this case the tsunami that has laid the foundations for future social-ecological dynamics decades after the event), for other stakeholders there has been such a turn-over of the population living along the coast that their collective memory has "forgotten" the disaster of the tsunami. They need to be continually reminded of the potential risks associated with living on the coast or the risks of destroying the natural capital. In the K-phase we expect stakeholders to be less flexible in their responses to changes in ecological, social, economic and political settings (SES-S). Government measures to re-arrange land use or establish policies that deal with the new setup, may play a major role in the system's development, *i.e.* conservation. In Sri Lanka, the open-hearted community spirit of people just after the tsunami soon converted to self-interest and social hierarchy (Fauci *et al.*, 2012; Fernando & Hilhorst, 2006). Development activities started to slow down along the coast as they were impeded by land scarcity. Many land titles were under dispute (Fletcher *et al.*, 2005; Uyangoda, 2005; Telford & Cosgrave, 2007; Ruwanpura, 2009; Arunatilake, 2018). In total, 30% of the households in Galle and 70% of the households in Batticaloa needed more than two years to recover from the tsunami, if they did at all, due to changing livelihoods, poverty and war (Birkmann & Fernando, 2008).

4.2. Case study 2: cyclic silviculture in Matang Mangrove Forest Reserve in Malaysia

The Matang Mangrove Forest Reserve (MMFR) in Peninsular Malaysia is well known for being the world's longest-managed mangrove forest (documented by written forestry archives since 1902) for pole and charcoal production from *Rhizophora apiculata* Bl. and *Rhizophora mucronata* Lamk. stands. It is managed by the Perak Forest Department (SES-GS) for the sale and export of poles and charcoal (SES-S). MMFR's silvicultural management uses a patchwork of 2.2 ha concessions or coupes (SES-RS/SES-RU), each coupe of a different age, operated on 30-year rotation cycles with two thinning events at 15 and 20 years after clear-felling. For each coupe reaching 30 years of age, the clear-felling involves clearing of the entire forest coupe, after which subsequent forest growth within the coupe

takes place through a combination of natural regeneration and/or replanting depending on site conditions (Ariffin & Mustafa, 2013; Goessens *et al.*, 2014; Otero *et al.*, 2019; Lucas *et al.*, 2020). In this context, as many as 70 pole contractors (for the thinning) and 144 charcoal contractors (for the clear-cutting), along with several hundred locals hired by the contractors, depend on the MMFR for their income generation and livelihood (SES-U). Even more depend on the ecosystem processes and functions, and on the goods and services provided by the mangrove ecosystem (SES-RS) (Tab. A1 and A2 in Appendix A).

The MMFR has a total area of 40,288 ha and is divided into four different administrative zones: the protective, the productive, the restrictive productive and the unproductive zone. The productive and restrictive productive zones are under silvicultural management and are the only areas where wood extraction occurs. The protective zones (Fig. 2A), such as those registered under 'old-growth forest' or 'Virgin Jungle Reserve' (hereafter referred to as 'VJR') are composed of diverse mangrove genera including, but not limited to, *Avicennia*, *Sonneratia*, *Bruguiera* and *Rhizophora*. Patches of dryland forest exist within the protective zones (SES-ECO). The unproductive zones are represented by lakes and infrastructure areas, including villages, charcoal kilns and administrative buildings. (Otero *et al.*, 2019).

To exemplify the use of the AC in the MMFR, we will focus on three levels: the AC reflecting what happens ecologically within a single forest coupe in a productive and a protective zone; the AC reflecting what happens ecologically in the entire MMFR; and the AC representing the wider MMFR SES. Each of these will be framed in a historic context looking at one AC axis at a time (Fig. 4 and Supplementary Material) and as a synthesised representation combining AC axes (Fig. 5). Analysing the AC using these differential spatial limits enables us to show how small-scale adaptive cycles embedded in our focal scale interact with each other (*cf.* Fig. B2 in Appendix B). Please note that all encircled numbers refer to Fig. 5, which was not repeated each time to avoid disrupting the text flow.

4.2.1. The adaptive cycle of a single forest coupe

Starting with the clear-cutting in the productive zone, the forest in K phase (Fig. 2A and 4A) collapses into the Ω phase, in which natural capital is essentially destroyed (Fig. 2D), and basic processes and functions such as primary productivity are halted (*cf.* Tab. A1 in Appendix A). In contrast to the above-mentioned examples of wildfire or tsunami disasters, this release phase is planned and strengthens confidence and trust in the management rather than weakening it. In fact, as leisure and educational visitors continue to visit clear-cut areas, eco-tourism persists even in those areas. As natural capital (trees) is converted into built capital (charcoal), and as human capital (education) is sustained, the inclusive wealth of the SES stays relatively stable. However, some natural capital is lost as fauna such as macrobenthos and birds lose their habitat, which otherwise would have created spatial niche dimensions (Tab. A1 in Appendix A). Macrobenthos will face a shift in community structure and composition. From previous studies carried out in Indo-Pacific mangroves, it is reasonable to assume, for resident microbenthic organisms, a change from litter-feeding towards macrobenthos-feeding crabs (Cannicci *et al.*, 2009), and from species less tolerant to dehydration to more tolerant ones (Cannicci *et al.*, 2018). Birds on the other hand, will be forced to move (temporarily) away, limiting their role in import and export of C-compounds and non C-resources, higher tropic transfers, *etc.* at least temporarily (Tab. A1 in Appendix A). It has been demonstrated

that all avifaunal functional guilds are represented in MMFR coupes aged over 17 years (Sleutel, 2016). Considering that these results were obtained after the first thinning event, avifaunal recolonization by all functional guilds probably occurs earlier than that.

The α phase typically lasts 2 years – the period after which regeneration is aided by planting in the event of insufficient natural regeneration (*cf.* vagabond trap). Note that in the α phase the capital peak is lower in productive ❶ as opposed to protective zones ❷ (Fig. 5 A,B). The recruitment of propagules and seeds in the α phase is an excellent example of how panarchy works in patchy, managed ecosystems (see Section 4.2.2). We believe that the capacity of the entire SES in the α phase remains relatively low due to the management regime aimed at harvesting tall trees ❶, because a young forest is “quite useless” for charcoal production. Neither the natural capital (the trees) nor the built capital (the charcoal) reaches its maximum capacity at this stage. However, with the increase of natural capital invested in tree growth, a slow variable, the potential of the SES increases steadily throughout the early α and r phases. Small losses in capital, resilience and connectedness in the late r phase coincide with thinning events related to mangrove pole trade ❸ (Fig. 5A,B).

In the K phase, the capacity of the system is at its maximum and resilience at its minimum (Fig. 4A and 7A), which follows resilience theory in the AC (Gunderson & Holling, 2002). However, the resistance component of resilience (see Section 1.1) is very strong due to the steady-state resource management. The broken-circle aspect of the AC in Figure 5B was drawn to hypothesise an entrance into the K phase at a much higher resilience than usually displayed in ACs. The maximum capital and resilience in the K phase are nevertheless lower in productive ❹ as opposed to protective zones ❺ (Fig. 5A,B). The strong resistance component of resilience is evidenced by the monospecific nature of the coupes aimed at maximising yield. Other factors contributing to a very strong resistance are the historic MMFR objective, the single equilibrium state of the coupes, the managerial reduction of variability and the overall protection of current management goals (Chapin III *et al.*, 2009; Hugé *et al.*, 2016). This makes each coupe in K phase largely unresponsive to change and prone to the rigidity trap (see Section 1.3), increasing its vulnerability. Such steady-state resource management is fundamentally different to resilience-based stewardship in which the SES-GS might manage a forest for fundamental SES properties, with variability, diversity and even disturbances being fostered. Furthermore, SES-Us must work together to define goals and sustain multiple potential (stable) states and future options (Chapin III *et al.*, 2009).

A final observation is that 15 and 20 years after clear-cutting the coupes are thinned and therefore lose some natural capital ❸ (Fig. 5A,B). At that moment the AC is in r phase, but it is debatable whether thinning results in a new Ω phase. If it does, it corroborates the view of Walker *et al.* (2004) that the AC can move from r directly into Ω phase (Fig. 5C). Alternatively, thinning can just incur a loss of capital within the r phase. However, even a loss in inclusive wealth can be debated, as the natural capital (the trees) lost from the system is converted into built capital (the charcoal), which may be considered as a stabilising feedback mechanism (Fig. 5).

The AC of the protective zone is very different. The VJRs have not been disturbed since approx. the 1920s, resulting in the report of 26 mangrove species (Khamis *et al.*, 2005), an additional 30 dryland forest species (Wong, 2005), and total plant richness of up to 70 species (Khamis *et al.*, 2005). This higher diversity, plus the probable functional redundancy of species resulting from 2-4 congeneric species for major and minor mangrove genera such as *Avicennia*, *Barringtonia*, *Bruguiera*, *Rhizophora* and *Sonneratia*, should lead to a higher resilience of protective as opposed to productive zones in the α ❷ and K phase ❺ (Fig. 5A,B). At this point, we recall that the AC is a heuristic that

should be flexible and is to be interpreted in a local context. The resilience in some SESs can remain high in the K phase and should be considered flexible ⑥ (Fig. 5C). Likewise, the maximum of the capital peak in the α phase ⑦ (Fig. 5C) depends on the SES. In this particular situation, we believe that the resilience in the K phase is not necessarily low and may result from the forest's legacy (④ and ⑤ in Fig. 5A,B and ⑥ in Fig. 5C). The latter is based on efficient processes and functions related to trophic and non-trophic resources as well as to non-resource components (Tab. A1 in Appendix A). High resilience preceding the Ω phase was also observed in cattle and wildlife ranching SESs in Zimbabwe, and in an Aboriginal hunter-gatherer SES and a wool-bearing sheep pastoral SES in Australia (Abel *et al.*, 2006).

Insert Figure 4 here.

4.2.2. The adaptive cycle of the entire Matang Mangrove Forest Reserve

Looking at the entire MMFR and at the interactions between two coupes, we can well exemplify panarchy and self-organisation. As indicated in Section 1.3 a SES is to be regarded as being composed of several subunits that all have their own AC. Hence, in a mangrove under silviculture management such as in MMFR each forest coupe is in a different stage of its own AC. The entire system can thus be seen as being composed of different ACs stacked behind one another as indicated in Fig. B2 (Appendix B). Because of the patchwork of coupes in the entire MMFR, the focal clear-cut coupes are often surrounded by older productive coupes or even protective old-growth stands (Lucas *et al.*, 2020) that are in a larger, slower AC somewhere between the r and far K phases (Fig. 2D and 4A). By drawing on their legacies, these mature mangrove stands facilitate the α and r phases of the adjacent clear-cut coupe (*i.e.* the panarchy Remember arrows in Fig. B2 in Appendix B and Fig. 4A), for instance by providing propagules that can re-seed clear-cut patches (Otero *et al.*, 2020). Where such cross-scale panarchy facilitation exists, the r phases of the productive zones experiencing a smaller drop in natural capital (grey 'Remember' arrows in Fig. 4A). This largely prevents the system from getting stuck in a poverty trap due to a deficiency of nutrients or of ecosystem processes and functions (Tab. A1 in Appendix A). Stabilising feedbacks between two adjacent coupes operate at a significantly different time scales (more than a decade apart). The focal clear-cut coupe benefits from the adjacent mature coupe as described above, and by the time this adjacent coupe will be ready for harvest ($K \rightarrow \Omega$) the focal coupe will be mature (K phase) and be able to facilitate the recovery of its neighbouring clear-cut coupe. This is an example of temporal self-organisation which is aided by the spatial patchwork of coupes (SES-GS). However, the first essential condition for these stabilising feedbacks to occur is the presence of a relatively undisturbed hydrological connectivity between the coupes (Bosire *et al.*, 2008; Van der Stocken *et al.*, 2019).

Since MMFR has been managed for over 100 years (Ismail *et al.*, 2005; Wong, 2005), the ecological capacity is seemingly steady at the scale of the entire MMFR. While we currently disclaim any causal relationships between natural capital (production) and the years of historic events (Fig. 4B and Supplementary Material), we suggest future research to investigate this in detail. For now we can confidently conclude that as long as there is production, the MMFR is in an almost continuous K phase, albeit with gradual decrease of natural capital over time in the productive as opposed to the protective zone ④ (Fig. 4B and 5A,B). This can be evidenced from vegetation data (Goessens *et al.*, 2014), remote sensing data (Ibharim *et al.*, 2015), theoretical modelling (Fontalvo-Herazo *et al.*,

2011), and information obtained from local managers (Harry Yong, pers. comm., June 2019) and can be considered a form of cryptic ecological degradation *sensu* Dahdouh-Guebas *et al.* (2005a).

Other hidden problems include the negative effect that the steady-state resource management of monospecific stands has on avifauna (see Section 4.2.1). In spite of all functional guilds being present (Section 4.2.1), there is a lower avifaunal species richness in the productive zones as opposed to the protective zones (Sleutel, 2016). Whereas birds are probably less linked to specific mangrove trees, the links between mangrove trees and crabs are much stronger (Sivasothi, 2000; Dahdouh-Guebas *et al.*, 2002; Ng *et al.*, 2015). Therefore, we expect the same for patterns of macrobenthos between different-aged stands, with a lower richness in arboreal crab fauna in younger coupes, for instance (Sivasothi, 2000; Lee *et al.*, 2015; Ng *et al.*, 2015). This is subject to in-depth research in forests with stands of different ages. Such stands can not only be found in forest coupes in the productive zone, but also in canopy gaps recovering from lightning strikes in protective zones.

Both clear-cutting and lightning strikes are drivers of change, potentially causing the AC to enter the Ω phase (Fig. 4A, Tab. A2 in Appendix A). Clear-cut coupes are at least 22,000 m² (Otero *et al.*, 2019) and the process of clear-cutting undeniably triggers release. However, lightning-induced canopy gaps range between 390 m² and 5,112 m² (Aldrie Amir, 2012) and may be small enough to rely on the forest's legacy and cope with such disturbances in r and K phases, provided the system is not in a poverty trap (Fig. 5C,D) or the rigidity trap ③ (Fig. 5C,D). The rigidity trap is built up during the K phase. Small scale disturbance below the threshold indicated by the dashed grey line in Figure 5C,D (*cf.* K_{lim} in Fath *et al.*, 2015) may leave the system to bounce back. If the rigidity is too high, this threshold may shift and the AC may collapse from $K \rightarrow \Omega$ ③ (Fig. 5C,D). In this context we highlight that in just the same way as MMFR is composed of coupes, a coupe may be seen as a patchwork of sub-coupes. When no lightning strikes affect the coupe the ACs of these sub-coupes are all synchronised. However, when a sub-coupe is struck by lightning, we can recognise the same panarchy interactions with the unaffected sub-coupes. Note also that lightning gaps occurring in the productive zone suffer the combined impacts of harvesting and thinning legacies, as well as lightning. In younger coupes this may lead to the vagabond trap (Fig. 5C,D).

Finally, Note also the $\alpha \rightarrow \Omega$ ⑨ and $r \rightarrow \Omega$ shortcuts ⑩ (Fig. 5C,D). The latter may happen when a first natural disaster (*e.g.* a tsunami in year 1) is closely followed by a second one (*e.g.* a pathogen outbreak in year 3) giving the system no chance at all to have moved into the K phase.

Insert Figure 5 here.

4.2.3. The adaptive cycle of the wider Matang Mangrove Forest Reserve social-ecological system

The social components at coupe level (Section 4.2.1) or at the level of the entire MMFR (Section 4.2.2) foster a continuation of the current K phase, which is characterized by a seemingly stable (but slowly degrading) single-resource management aimed at producing timber and charcoal. However, when considering the wider MMFR SES involving all stakeholders (SES-Us), *i.e.* workers involved in charcoal production (tree cutters, boat drivers, pole bearers, fire monitors, charcoal packagers, lorry drivers, supervisors), fishermen and fishmongers involved in fish, shrimp and cockle fisheries, restaurant owners, shopkeepers and eco-tourism employees (Martínez-Espinosa *et al.*, 2020), we get more insight into the AC of the entire SES.

A first point of importance is that, while present, none of the mangrove disservices (Tab. A3 in Appendix A) have been reported to influence the AC. Due to asymmetries in social power some actors have power over others, creating distributional inequities (Ingalls and Stedman, 2016). This differential power distribution among key stakeholders can be obscured by the relative consensus on the way ahead regarding the management of the system as a whole (Hugé *et al.*, 2016).

The dominance of conservative (as in: maintaining current management practices) stances among key stakeholders carries the danger of a rigidity trap, a situation in which the system cannot innovate anymore and gets 'stuck' in the current management regime despite the shortcomings that become ever-more visible and impactful (Fig. 4C). Avoiding the rigidity trap requires to prepare for different future scenarios.

At present, we do not see any signs of a dissolution trap for single coupes or for the MMFR as a whole. A heightened awareness and preparedness to exogenous factors which may influence the system is necessary to maintain the overall resilience of the MMFR SES. The most likely causes for an unintended transformation might come from a total collapse of the social properties (*e.g.* public health-related, as highlighted by Vandebroek *et al.*, 2020), a total collapse of international trade and/or charcoal demand, or a total collapse of the ecological properties (*e.g.* large scale natural hazard destroying the entire MMFR) (Fig. 4C). We recall at this point that Fath *et al.* (2015) highlighted that the ingredients to avoid the dissolution, vagabond, poverty and rigidity traps come from all four phases of the AC.

5. The Adaptive Cycle as a persuasive narrative to re-frame mangrove management for policymakers

In order to assess the power of the AC heuristic (*cf.* Angeler *et al.*, 2015) we call upon mangrove scientists from the basic, applied, social and human sciences to join forces in a global exercise to fit a diverse array of empirical data from numerous case studies from all continents with mangroves to the AC. This initiative would feed the framework presented in this paper. To the best of our knowledge this has never been published in mangrove-focused peer-reviewed papers, which makes it currently very difficult to analyse all aspects of change in a mangrove SES. In fact, a search of the Web of Science® using 'mangrove' and 'adaptive cycle' as keywords in title, abstract and keyword fields generated 26 results (search done on 21/05/2020) but all of these papers investigated the life 'cycle' or tidal 'cycle' in combination with 'adaptive' metabolism, 'adaptive' capabilities of species, 'adaptive' significance *etc.* Not a single paper dealt with the AC *sensu* Gunderson & Holling (2002), Gunderson & Pritchard Jr. (2002), Chapin III *et al.* (2009), and Gunderson *et al.* (2009) among many others. However, unpublished literature such as conference presentations (*e.g.* Abuchahla & Schaeffer-Novelli, 2016) and MSc. theses (*e.g.* Jonsson, 2017) exist and we aim at including them in the meta-analysis endeavour which we all request.

We maintain that an analysis or meta-analysis of these data through the AC heuristic will encourage mangrove scientists to synthesise data into cyclic patterns, and *vice versa* inspire researchers who discover cyclic patterns (*cf.* Cintrón *et al.*, 1978; Cavanaugh *et al.*, 2019) to frame them within an AC.

In order to do so we created an online platform where scientists are briefly introduced to the core idea of a SES and are invited to identify which of their datasets can fit into the four phases of the AC heuristic. The URL of the platform is:

http://www.ulb.ac.be/sciences/biocomplexity/research/AC_mangrove.html

This will in turn aid scientific, management and governance stakeholders to understand a SES as dynamic and as complex as mangroves, with stakeholders having various (mutual) relationships at risk, such as the reciprocal links between SES-Us and SES-GSs in the tsunami case study or the trade-offs between natural and built capital in the mangrove silviculture case study. It will also help interactive adaptive planning and identification of priorities for management and governance for uncertain futures.

Glossary

- Adaptive capacity** (synonymous with adaptability): Capacity of human actors, both individuals and groups, to respond to, create and shape variability and change in the state of a system. (Chapin III *et al.*, 2009).
- Amplifying feedback** (synonymous with positive feedback): Feedback that augments changes in process rates and tends to destabilize a system. It occurs when two interacting components cause one another to change in the same direction. (Chapin III *et al.*, 2009).
- Built capital** (synonymous with manufactured capital): The physical means of production beyond that which occurs in nature (*e.g.* tools, clothing, shelter, dams and factories). (Chapin III *et al.*, 2009).
- Capital**: The human, manufactured and natural assets or productive base of a social-ecological system, including natural capital, built capital, human capital and social capital. (Chapin III *et al.*, 2009). Some authors use this term as synonymous with ‘potential’ but in our opinion ‘potential’ denotes capital that has not been used yet.
- Complex adaptive system**: System whose components interact in ways that cause the system to adjust (*i.e.* “adapt”) in response to changes in conditions. (Chapin III *et al.*, 2009).
- Conservation (K) phase**: Phase of an adaptive cycle during which interactions among components of the system become more specialized and interconnected. (modified from Chapin III *et al.*, 2009).
- Connectedness**: The tightness of coupling among the system elements and controlling variables that determine the system’s ability to modulate external variability. (modified from Gotts, 2007).
- Cryptic ecological degradation**: functional ecological degradation that involves a qualitative decline of typical, stenotopic, vulnerable, valuable and functional species that is masked by a quantitative increase of less typical, eurytopic, disturbance-resistant, less valuable and less functional species. In a more general context, it is a qualitative ecological and socio-economic degradation of one ecosystem component that is masked by an easily detectable quantitative *status quo* or even increase of another. (modified from Dahdouh-Guebas *et al.*, 2005a; 2005b).
- Dissolution trap**: Failure to survive the adaptive cycle’s release (Ω) phase resulting in a complete break of the system cycle. (Fath *et al.*, 2015).
- Exploitation (r) phase** (synonymous with growth phase): Phase of the adaptive cycle during which environmental resources are incorporated into living organisms, and policies become regularized. (Chapin III *et al.*, 2009).
- Fast variable**: Variable that responds sensitively to daily, seasonal, and interannual variation in exogenous or endogenous conditions. (Chapin III *et al.*, 2009).

- Inclusive wealth** (of a system): Total capital (natural, manufactured, human and social) that constitutes the productive base available to society. (Chapin III *et al.*, 2009).
- Heuristic**: A thinking strategy that enables quick, efficient judgment (Meyers & Twenge, 2019). Heuristics are frugal - that is, they ignore part of the information. Unlike statistical optimization procedures, heuristics do not try to optimise (*i.e.* find the best solution), but rather satisfice (*i.e.* find a good enough solution). (Gigerenzer, 2008).
- Human capital**: Ability of people to accomplish their goals given their skills at hand, which can be increased through various forms of learning. (Chapin III *et al.*, 2009).
- Latitude** (in resilience): [A three-dimensional representation of] The maximum amount a system can be changed before losing its ability to recover. (Walker *et al.*, 2004).
- Legacy**: Stored past experiences of the dynamics of social-ecological systems. (Chapin III *et al.*, 2009).
- Natural capital**: Non-renewable and renewable natural resources that support the production of goods and services on which society depends. (Chapin III *et al.*, 2009).
- Panarchy**: Mosaics of nested subsystems that are at different stages of their adaptive cycles, with moments of interaction across scales. (Chapin III *et al.*, 2009).
- Path dependence**: Effects of historical legacies on the future trajectory of a system, or more narrowly, the co-evolution of institutions and social-ecological conditions in a particular historical context. (Chapin III *et al.*, 2009).
- Poverty trap**: Situation in which a system cannot access enough activation energy [in the r phase] to reach a state where positive feedbacks drive growth internally. (Fath *et al.*, 2015).
- Precariousness** (in resilience): [A three-dimensional representation of] How close the current state of the system is to a limit or threshold. (Walker *et al.*, 2004).
- Release (Ω) phase** (synonymous to collapse phase): Phase of an adaptive cycle that radically and rapidly reduces the structural complexity of a system. (Chapin III *et al.*, 2009).
- Remember** (in adaptive cycle): Facilitation of renewal and reorganisation by drawing on the memory (*cf.* legacy) that has been accumulated and stored in a larger, slower cycle. (Berkes *et al.*, 2003).
- Reorganisation (α) phase** (synonymous to renewal phase): Phase of an adaptive cycle in which the system gradually reorganises through the development of stabilizing feedbacks that tend to sustain properties over time. (modified from Chapin III *et al.*, 2009).
- Resilience**: The capacity of a system to absorb disturbance and reorganize while undergoing change so as to retain its essential core function, structure, identity and feedback [loops]. Resilience contains four aspects: Latitude, Resistance, Precariousness and Panarchy. (modified from Walker *et al.*, 2004).
- Resistance** (in resilience): The ease or difficulty of changing the system; how “resistant” it is to being changed. (Walker *et al.*, 2004).
- Revolt** (in adaptive cycle): The connection between scales that can cause a critical change in one adaptive cycle to cascade up to a stage in a larger and slower one. (Berkes *et al.*, 2003).
- Rigidity trap**: A situation in which a system becomes so refined in its processes [in the K phase] that there is little room for further innovation or change. (modified from Fath *et al.*, 2015).
- Self-organization**: The development of system structure or function as a result of stabilizing feedbacks among system components. (modified from Chapin III *et al.*, 2009).
- Slow variables**: Variables that strongly influence social-ecological systems but remain relatively constant over years and decades. (Chapin III *et al.*, 2009).
- Social capital**: Ability of groups of people to act collectively to solve problems. (Chapin III *et al.*, 2009).
- Stabilizing feedback** (synonymous with negative feedback): Feedback that tends to reduce fluctuations in process rates, although if extreme, can induce chaotic fluctuations. A stabilizing

feedback occurs when two interacting components cause one another to change in opposite directions. (Chapin III *et al.*, 2009).

Transformability: The capacity to create a fundamentally new system when ecological, economic or social (including political) conditions make the existing system untenable. This can be done by introducing new components and ways of making a living, thereby changing the state variables, and often the scale, that define the system. (Walker *et al.*, 2004).

Vagabond trap: Inability to reorient the components of the system or to reconnect its nodes [in the α phase]. (Fath *et al.*, 2015).

Vulnerability: Degree to which a system is likely to experience harm due to exposure to a specified hazard or stress. (Chapin III *et al.*, 2009).

Appendices

Appendix A: Mangrove ecosystem process and functions, goods and services and disservices

Table A1. Ecosystem processes and functions of mangroves in four categories (shaded in grey): trophic processes and functions, processes and functions regarding non-trophic nutritional resources, functions regarding other resources, and non-resource functions, most of which would be categorised as SES-RS or SES-RU (Fig. 1). For each process and function, one or more examples are given and for each example one or more literature references are provided in a non-exhaustive way (See Appendix A). All examples are part of the natural capital that constitutes the productive base of a SES. Finally, it is indicated whether the example constitutes a slow or fast SES variable.

Ecosystem processes and function depending on biota	Example	Reference example(s)	Type of variable
Trophic functions			
primary productivity	mangrove trees	Rivera-Monroy <i>et al.</i> (2019)	fast
	diatoms	Costa-Boddeker <i>et al.</i> (2017)	fast
	phytoplankton	Bouillon & Dehairs (2000), Chew <i>et al.</i> (2012)	fast
	cyanobacteria	Holguin <i>et al.</i> (2001), Granek & Ruttenberg (2008)	fast
	seagrasses	Twilley <i>et al.</i> (1992), Sheaves (2005), Sheaves <i>et al.</i> (2006)	fast
herbivory <i>sensu lato</i>	snails	Plaziat (1984), Fratini <i>et al.</i> (2004)	fast
	crabs	Cannicci <i>et al.</i> (1996a, 1996b), Dahdouh-Guebas <i>et al.</i> (1998), Feller & Chamberlain (2007)	fast
	caterpillars	Duke (2002)	fast
	leaf miners	Chen <i>et al.</i> (2017)	fast
	ants	Jenoh <i>et al.</i> (2016)	fast
	terrestrial herbivores	Thompson & Rog (2019)	fast
	plant parasites	Orozco <i>et al.</i> (1990)	fast
higher trophic transfers ('carnivory')	cuttlefish	Farid Dahdouh-Guebas (Pers. obs. in Gazi Bay, Kenya)	fast
	crabs	Cannicci <i>et al.</i> (1998), Alberts-Hubatsch <i>et al.</i> (2016)	fast
	spiders	Soriano (2006)	fast
	snakes	Das (2013), pers. obs. by multiple co-authors in different countries	fast

Ecosystem processes and function depending on biota	Example	Reference example(s)	Type of variable
	fish	Nagelkerken <i>et al.</i> (2015)	fast
	primates	Saroyo <i>et al.</i> (2017)	fast
	cats	Thaung <i>et al.</i> (2018)	fast
	birds	Sodhi <i>et al.</i> (1997)	fast
	ants	Offenberg (2004), Tang <i>et al.</i> (2019)	fast
DOM breakdown and remobilization of nutrients (<i>e.g.</i> feeding pellets, exuviae)	bacteria	Bouillon <i>et al.</i> (2004)	fast
	fungi	Sarma & Hyde (2001), Jones & Pang (2012)	fast
	monitor lizard	Pers. obs. in Kenya, Sri Lanka, Malaysia, <i>etc.</i>	fast
	crabs	Lee (1997)	fast
import and export of C-compounds from the system specifically effectuated by organisms (thus connecting systems)	larval stages of mangrove biota	Sheaves <i>et al.</i> (2012), Skov <i>et al.</i> (2005)	fast
	migratory animals	Hill (1994)	fast
	mangrove trees	Van der Stocken <i>et al.</i> (2018)	fast
Functions regarding non-trophic nutritional resources			
nitrogen fixation	cyanobacteria	Kyaruzi <i>et al.</i> (2003)	fast
	other bacteria	Goncalves Reis <i>et al.</i> (2017)	fast
nitrogen mobilization into the biota (nitrogen uptake)	crabs	Chen & Gu (2017)	fast
phosphorus mobilisation into the biota (phosphorus mobilization and uptake)	micro-organisms	Thatoi <i>et al.</i> (2013)	fast
mobilization other limiting elements into the biota (Si, K,...)	crabs	Chen & Gu (2017)	fast
import and export of non C-resources from the system specifically effectuated by organisms (thus connecting systems)	larval stages of mangrove biota	Sheaves <i>et al.</i> (2012), Skov <i>et al.</i> (2005)	fast
	migratory animals	Hill (1994)	fast
	mangrove wood	Wolswijk <i>et al.</i> (2020)	fast
Functions regarding other resources			

Ecosystem processes and function depending on biota	Example	Reference example(s)	Type of variable
creation of spatial niche dimensions (e.g. substrate for epiphytes, root complex as refuge areas)	mangrove trees	Bishop <i>et al.</i> (2012), Hayasaka <i>et al.</i> (2012)	slow
	mud lobster	Dahdouh-Guebas <i>et al.</i> (2011)	fast
	algae	Steinke <i>et al.</i> (2003)	fast
	acari	Pfingstl <i>et al.</i> (2020)	fast
	mudskipper	Macnae (1968)	fast
	leaf rollers	Cannicci <i>et al.</i> (2008)	fast
	crabs (burrows)	Ridd (1996), Gillikin <i>et al.</i> (2001), Vannini <i>et al.</i> (2003); Stieglitz <i>et al.</i> (2013)	fast
	corals	Yates <i>et al.</i> (2014)	slow/fast
oxygenation	mangrove trees	Marchand <i>et al.</i> (2003)	slow
	crabs	Koch and Nordhaus (2010)	fast
	mud lobster	Hossain <i>et al.</i> (2019)	fast
	mudskipper	Aguilar <i>et al.</i> (2000)	fast
light attenuation (resource decrease)	trees	Smith III (1992)	fast
	herbaceous and suffruticose mangrove species (fern, <i>Acanthus</i> ,...)	Dahdouh-Guebas <i>et al.</i> (2005c)	fast
freshwater collection, dew delivery	mangrove leaf buds	Cannicci <i>et al.</i> (1996a, 1996b)	fast
	mangrove tree trunk crevices	Catesby & McKillup (1998), Nowak (2008)	fast
	canopy	Lovelock <i>et al.</i> (2017)	fast
Non-resource functions			
pollination	bats	Stewart & Dudash (2017)	fast
	birds	Wee <i>et al.</i> (2015)	fast
	butterflies	Raju & Kumar, 2016	fast
	honeybees	Hermansen <i>et al.</i> (2014)	fast
	other insects	Sánchez-Núñez & Mancera-Pineda (2012)	fast
diaspore dispersal	crabs	Sousa <i>et al.</i> (2007)	fast

Ecosystem processes and function depending on biota	Example	Reference example(s)	Type of variable
	other animals	Marcos César de Oliveira Santos (Pers. obs.)	fast
bioturbation	crabs	Thongtham & Kristensen (2003), Kristensen & Alongi (2006), Kristensen (2008), Penha-Lopes <i>et al.</i> (2010), Bartolini <i>et al.</i> (2011)	fast
	mud lobster	Dahdouh-Guebas <i>et al.</i> (2011), Sarker <i>et al.</i> (2020)	fast
	shrimp	Sarker <i>et al.</i> (2020)	fast
shading and temperature buffering (general physicochemical setting through cooling by canopy)	trees	Vannini <i>et al.</i> (1997), Seghers (2014)	slow
siltation and geomorphological processes incl. wave and current attenuation or effects	trees	Dahdouh-Guebas <i>et al.</i> (2005b), Adame <i>et al.</i> (2010)	slow/fast
	seagrasses	Guannel <i>et al.</i> (2016)	slow/fast
fragmentation, shredding of matter and displacement/redistribution of matter (organic and inorganic)	crabs	Guest <i>et al.</i> (2006)	fast
	ants	Pers. obs.by multiple co-authors in different countries	fast
salinity and pH buffering	vegetation	Sippo <i>et al.</i> (2016)	fast

Table A2. Ecosystem goods and services from mangroves in four categories (shaded in grey): wood products, NTFPs, abiotic raw materials, and services, most of which would be categorised as SES-U (Fig. 1). For each good or service one or more examples are given, and for each example one or more literature references are provided in a non-exhaustive way (See Appendix A). The SES productive base that each example is part of, is given as N = natural capital, B = built capital, H = human capital, S = social capital. Finally, it is indicated whether the example constitutes a slow or fast SES variable.

Ecosystem goods & services	Example	Reference example(s)	Type of capital	Type of variable
Wood products				
Construction wood / timber	Construction wood <i>sensu lato</i>	Palacios & Cantera (2017)	N,B	slow
	Roof beams	Dahdouh-Guebas <i>et al.</i> (2000)	N	slow
Fuelwood	Firewood <i>sensu lato</i>	Walters (2005a,b), Nfotabong Atheull <i>et al.</i> (2009)	N	slow
	Charcoal	Estoque <i>et al.</i> (2018)	B	fast
Other wood products	fishing material	Gallup <i>et al.</i> (2020)	N,B	slow
	furniture and other objects made out of wood	Dahdouh-Guebas <i>et al.</i> (2000)	B	slow
	paper and fibres	Al-Maruf & Sarwar (2015)	B	fast
Non-timber forest products (NTFPs)				
Chemical substances of medicinal or other interest	medication	Bandaranayake (1998)	N	slow/fast
	tannins and dyes	Dahdouh-Guebas <i>et al.</i> (2006a)	N	slow/fast
	ointments	Walters <i>et al.</i> (2008)	N,B	slow/fast
	insecticides	Dahdouh-Guebas <i>et al.</i> (2000)	N	slow/fast
	fertilizer	Morton (1965)	N	slow/fast
	fish poison	Dahdouh-Guebas <i>et al.</i> (2006a)	N	slow/fast
Food and drinks	fruit juice	Jayatissa <i>et al.</i> (2006)	B	fast
	cakes and pastries	MAP (2006)	B	slow/fast
	marmalade	Jayatissa <i>et al.</i> (2006)	B	slow/fast
	ice cream	Jayatissa <i>et al.</i> (2006)	B	slow/fast
	tea	Hernández-Cornejo <i>et al.</i> (2005)	B	slow/fast

Ecosystem goods & services	Example	Reference example(s)	Type of capital	Type of variable
	alcohol	Rasco (2010)	N	slow/fast
	vegetables	MAP (2006)	N	slow/fast
	salad	UNEP (2014)	N	slow/fast
	fodder	Dahdouh-Guebas <i>et al.</i> (2006b)	N	slow/fast
Abiotic raw materials				
Soil extraction	sand (mining)	Nfotabong Atheull <i>et al.</i> (2011)	N	slow
	lime / coral stone	Scales <i>et al.</i> (2018)	N	slow
Services				
Fishing/hunting	fishing area	Lee <i>et al.</i> (2014)	N	slow
	hunting area	McNally <i>et al.</i> (2016)	N	slow
Animal rearing	livestock browsing	Kokwaro (1985), Dahdouh-Guebas <i>et al.</i> (2006b), Hoppe-Speer <i>et al.</i> (2015)	N	slow/fast
	beekeeping	Frank <i>et al.</i> (2017)	N,B	fast
	aquaculture	Richards & Friess (2016)	N,B,H	fast
Protection of lives and properties	coastal protection against ocean surges	Hochard <i>et al.</i> (2019)	N	slow
	protection against erosion	Krauss <i>et al.</i> (2003)	N	slow
	refuge from other people/authorities	Mastaller (1997), Satyanarayana <i>et al.</i> (2013)	N,S	fast
Enjoyment	(eco)tourism	Avau <i>et al.</i> (2011), Spalding & Parrett (2019)	H	fast
	social media	Spalding & Parrett (2019)	H,S	fast
	scenic/decorative plants	Himes-Cornell <i>et al.</i> (2018)	N	fast
Socio-cultural services	Spirituality / existentiality	Mastaller (1997), Uddin <i>et al.</i> (2013), Friess (2016)	H,S	slow
	Heritage	Uddin <i>et al.</i> (2013), Cormier-Salem (2017), Vandebroek <i>et al.</i> (2020)	H,S	slow
	Education	Rosa & Di Maio (2018)	H	slow/fast

Table A3. Mangrove ecosystem disservices in five categories (shaded in grey): health-related, safety and security-related, leisure and recreation-related, and material mangrove disservices *sensu* Vaz *et al.* (2017) and Friess *et al.* (in press), and perceived mangrove disservices which we believe to be inaccurate, ambiguous or *in se* harmless to humans. Most of these would be categorised as SES-U and be subject to SES-S (Fig. 1) For each disservice one or more examples are given (elaborated from Friess *et al.*, in press) and for each example one or more literature references in a non-exhaustive way are provided (See Appendix A). It is indicated whether the example constitutes a slow or fast SES variable.

Disservices	Example	Reference example(s)	Type of variable
Health-related mangrove disservices			
Diseases caused by Protozoans	malaria transferred by mosquitos	Friess (2016)	fast
Viral diseases	Mayaro, Chikungunya, Zika and West Nile virus transferred by mosquitos	Ali <i>et al.</i> (2019)	fast
Bacterial diseases	cholera, often adhering to chitinous or mucilaginous organisms such as plankton, shrimps and blue green algae	Neogi <i>et al.</i> (2012), Rebaudet <i>et al.</i> (2013)	fast
Fungal diseases	Lethargic crab disease causing mass mortality in <i>Ucides cordatus</i> (an important food source) by the ascomycete <i>Exophiala cancerae</i>	Seyedmousavi <i>et al.</i> (2018), Simith & Diele (2008)	fast
Diseases caused by other organisms	toxic dinoflagellates, cyanobacteria, algae <i>sensu lato</i> , <i>etc.</i> and their vectors (<i>e.g.</i> molluscs)	Guidi-Rontani <i>et al.</i> (2014), Grizzle <i>et al.</i> (2018), Duran-Riveroll <i>et al.</i> (2019)	fast
Safety and security-related mangrove disservices			
Danger of water	drowning, damage to equipment	Von Rosenberg (1867)	slow/fast
Danger of water / Risk of injury	floating debris	Cochard <i>et al.</i> (2008, 2011)	slow
Risk of injury	roots with razor-sharp oysters	Friess <i>et al.</i> (in press)	slow
	Blind-your-eye mangrove <i>Excoecaria agallocha</i> L.	Chan <i>et al.</i> (2018)	slow
Conflicts with wild animals	crocodiles, tigers, snakes, <i>etc.</i>	Badola <i>et al.</i> (2012), Das (2013), Naha <i>et al.</i> (2016)	slow
Danger of losing way	root labyrinth in all directions	Friess (2016)	slow/fast
Dangerous people	dangerous indigenous communities	Mastaller (1997)	slow/fast

Disservices	Example	Reference example(s)	Type of variable
Leisure and recreation-related mangrove disservices			
Reduction, disruption, or inhibition of recreational interactions with nature	Obstructed landscape/seascape view	Friess (2016), Friess <i>et al.</i> (in press)	slow/fast
Reduction in recreational access	Ecosystem components that reduce recreational opportunities due to perceived or actual disservices (see other disservice categories)	Friess <i>et al.</i> (in press)	slow/fast
Material mangrove disservices			
Danger of salt	damage to equipment	Personal experience	slow/fast
Physical damage to built infrastructure or equipment caused by ecosystem components	damage by crabs, monkeys, <i>etc.</i>	Dahdouh-Guebas <i>et al.</i> (1997)	fast
Perceived mangrove disservices (inaccurate, ambiguous or <i>in se</i> harmless to humans)			
Fear of dangerous people	legacy of indigenous communities that once were dangerous, or that were perceived as aggressive	Mastaller (1997), Friess (2016)	slow/fast
Bad smell	source of putrid exhalations	Darwin (1839)	slow
Sounds	shrimp-borne clicking sounds	Staaterman <i>et al.</i> (2017), Friess <i>et al.</i> (in press)	slow
Dirty	reluctance to walk through muddy waters and soils	Jayatissa <i>et al.</i> (2002)	slow
Unappealing	“dark”, “gloomy”, “fetid”, “dismal”	Friess (2016), Friess <i>et al.</i> (in press)	slow
Impenetrable forest	root labyrinth	Friess (2016)	slow
Uninhabitable forest	place for punishment and exile	Expedition Robinson (a.k.a. Survivor) International reality game show	slow
Landward mangrove extension (into terrestrial/inhabited/cultivated areas)	bad omen for sea-level rise	Unpublished data from Kenya	slow

Appendix B: The adaptive cycle and its cross-scale interactions (panarchy)

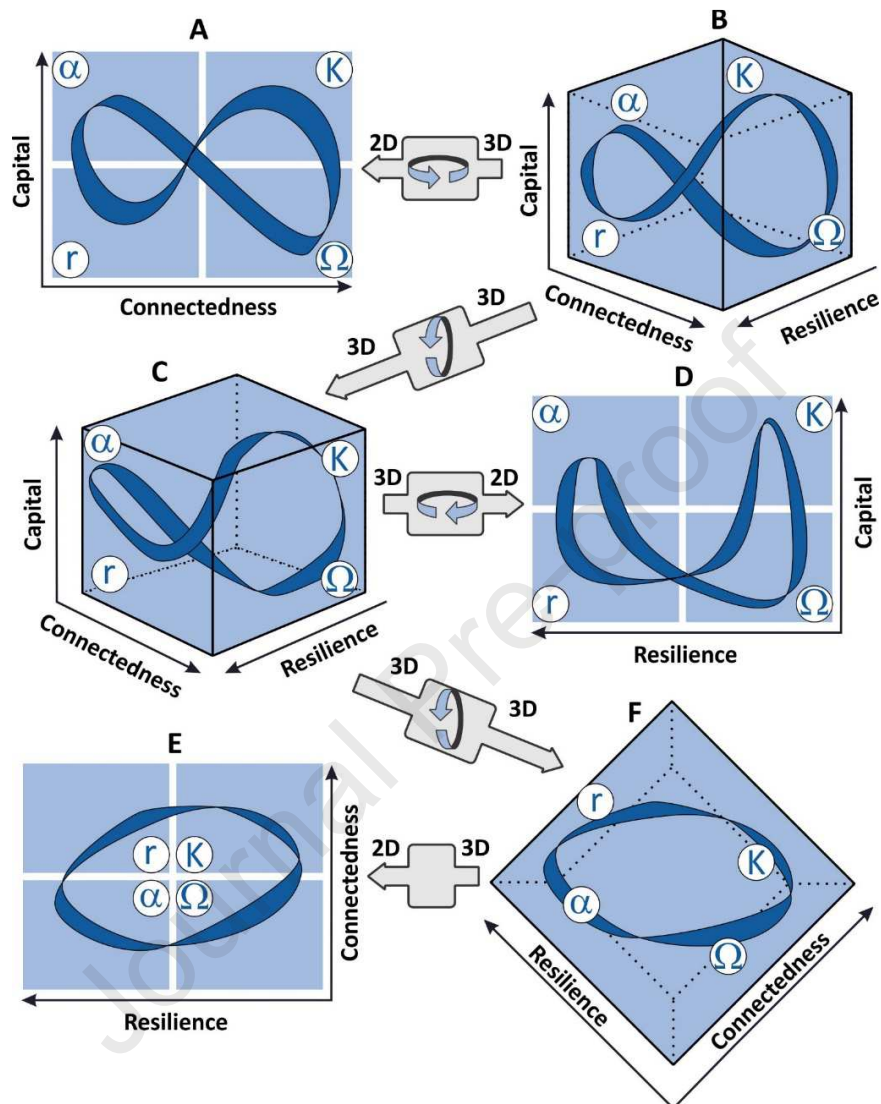


Figure B1. The adaptive cycle. Representation of the AC in two and three dimensions with capital (also named ‘potential’, ‘(functional) capacity’ or ‘inclusive wealth’), connectedness and resilience as axes. The most common representation of the AC is the infinity-like, figure of eight shape in 2D with connectedness as the X-axis and capital as the Y-axis (A). However, this is but a 2D representation of the 3D cube that also includes resilience as the Z-axis (B). By rotating this cube from a side-view to a bird’s-eye-view (C) one can begin to see the 3D pattern of the AC, which now has a U-shape. By rotating the cube clockwise and viewing it from the side one can see the 2D view with resilience as the X-axis and capital still as the Y-axis (D). By rotating the cube further upward one can get a 3D bottom-view with resilience and connectedness as axes (F) and capital as depth (axis not shown). The latter is also given in 2D (E), in which the AC has become a circle. The ‘infinity’, ‘U’ and ‘circle’ shapes representing the AC viewed from different angles will be used again in Figure B2 in Appendix B without their axes. In part, adapted from Holling *et al.* (2002). The phases of the AC symbolised as follows: Ω : Release (collapse), α : Reorganisation (renewal), r : Exploitation (growth), K : Conservation. See Glossary for definition of terms.

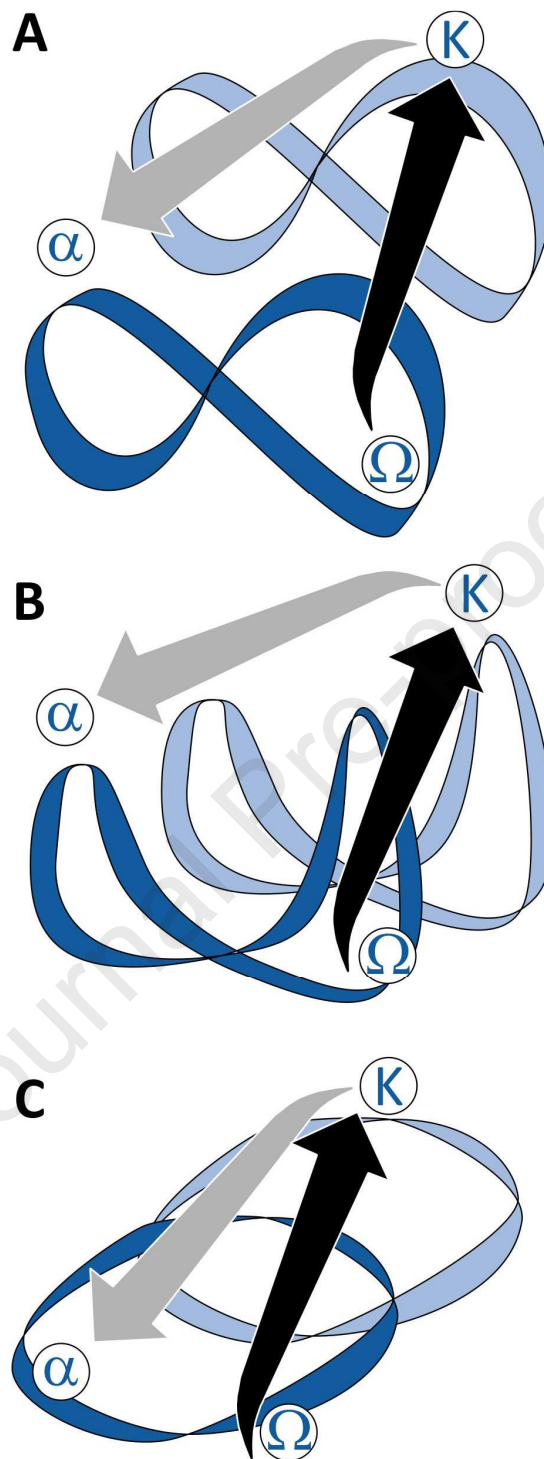


Figure B2. Panarchy. A SES is to be regarded as being composed of several subunits that all have their own AC, here shown for the three 2D views discussed in Figure B1 in Appendix B (axes not shown), with the connectedness vs. capital (A), resilience vs. capital (B), and resilience vs. connectedness (C). When release (Ω -phase) is triggered in the focal AC (in dark blue), the disruption may cascade (revolt) to the (slower) K-phase of the neighbouring AC (black arrow). Inversely, non-affected ACs in a (slower) K-phase, may help affected ACs reorganise. This is shown by a 'Remember' (grey) arrow with the dark blue AC being the focal one. In part adapted from Holling *et al.* (2002).

CRediT Author Contributions

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Table 1. Drivers able to trigger release or contribute to reorganisation, exploitation or conservation phases of the AC and SES variables that can be impacted by the driver. The Ω phase drivers serving as an exit point for the AC in which the SES was are indicated as intended (●) or unintended transformation (○). The SES variables listed are not meant to constitute an exhaustive list. The references do not form an exhaustive list either but serve as example of studies that did not involve the AC, but the reported variables of which can be framed into the AC heuristic according to the present paper. The peer-reviewed references can be found by the search string mentioned in the text AND (= Boolean operator) the driver term in bold. Grey literature references were added where relevant. The names of the variables have been taken from Ostrom (2009) and Vogt *et al.* (2015), or, if missing, proposed here. SES-ECO = Related ecosystems; SES-I = Interactions; SES-GS = Governance systems; SES-O = Outcomes; SES-RS = Resource systems; SES-RU = Resource units; SES-S = Social, economic and political settings; SES-U = Users.

Phase of the adaptive cycle	Drivers of system change	Examples of SES variables that can be impacted by the change	Reference examples
Release (Ω)			
disturbance / collapse (hours-days) creating an opportunity for change	Mangrove conversion to aquaculture , agriculture or (non-mangrove) silviculture. ●	SES-RS : clarity of system boundaries (<i>e.g.</i> fragmentation, fringing mangroves burnt to expand paddy cultivation) SES-RS : storage characteristics (<i>e.g.</i> loss of C stock) SES-RU : economic value SES-GS : property-rights systems (<i>e.g.</i> change of power relations) SES-U : importance of resource SES-I : lobbying activities SES-RU : growth or replacement rate (<i>e.g.</i> tree death) SES-RU : interaction among resource units (<i>e.g.</i> barriers block water exchange and dispersal of propagules) SES-ECO : pollution patterns (<i>e.g.</i> agricultural effluents in mangrove)	Foell <i>et al.</i> (1999), Orchard (2014), Richards & Friess (2016), Arifanti <i>et al.</i> (2019)

Phase of the adaptive cycle	Drivers of system change	Examples of SES variables that can be impacted by the change	Reference examples
	River diversion (hydrology) , construction of highways, roads , pavements	SES-RS : predictability of system dynamics (<i>e.g.</i> siltation) SES-RU : interaction among resource units (<i>e.g.</i> reduced connectivity between mangrove patches)	Dahdouh-Guebas <i>et al.</i> (2005a), Lewis III (2005), Spalding <i>et al.</i> (2010), UNEP (2014), Hayashi <i>et al.</i> (2019)
	Subsidence or uplift ○	SES-RU : Resource unit mobility (<i>e.g.</i> tree death in areas not appropriately inundated)	Ray & Acharyya (2011), Nehru & Balasubramanian (2018)
	Ocean surges (from tsunami or cyclone / hurricane origin)	SES-RS : clarity of system boundaries (<i>e.g.</i> decreased/damaged fringing mangroves) SES-RS : size of resource system	Badola & Hussein (2005), Dahdouh-Guebas <i>et al.</i> (2005b), Danielsen <i>et al.</i> (2005), Tanaka <i>et al.</i> (2006), Jayatissa <i>et al.</i> (2016)
	Wind (from cyclone / typhoon / hurricane origin)	SES-RS : clarity of system boundaries SES-RU : growth or replacement rate (<i>e.g.</i> tree death, defoliation, windthrow of fringing mangroves)	Fritz & Blount (2007), Vogt <i>et al.</i> (2012), Villamayor <i>et al.</i> (2016)
	Frequent flood events	SES-RS : clarity of system boundaries (<i>e.g.</i> soil erosion in frontal/creek-ward mangrove fringes)	Mathiventhan & Jayasingam (2014)
	Lightning strikes	SES-RU : growth or replacement rate (<i>e.g.</i> electrocution (and possible death) of biota)	Aldrie Amir (2012), Pers. obs.
	Sea-level rise	SES-RS : productivity of system SES-RU : growth or replacement rate (<i>e.g.</i> frontal mangrove mortality) SES-RS : clarity of system boundaries (<i>e.g.</i> landward extension or coastal squeeze (depending on topography, salinity & sediment))	Gilman <i>et al.</i> (2006), Gilman <i>et al.</i> (2007, 2008), Ellison (2015), Lovelock <i>et al.</i> (2015)
	Waste accumulation and pollution	SES-RU : growth or replacement rate (<i>e.g.</i> death of biota) SES-I : conflicts among users SES-ECO : pollution patterns	Cannicci <i>et al.</i> (2009), Spalding <i>et al.</i> (2010), Pehna Lopes <i>et al.</i> (2011), UNEP (2014)

Phase of the adaptive cycle	Drivers of system change	Examples of SES variables that can be impacted by the change	Reference examples
	Selective cutting , over-exploitation	SES-RU : economic value (<i>e.g.</i> dominance shift from preferred to less preferred species, local extinction and impairment of new recruitment of economically important species) SES-RU : growth or replacement rate SES-I : harvesting levels of diverse users	Walters (2005a,b)
	Security issues from illegal or harmful activities (<i>e.g.</i> aquaculture, poaching, encroachment, production of illegal substances, <i>etc.</i>)	SES-RU : economic value SES-I : conflicts among users SES-ECO : pollution patterns	pers. obs.
Reorganisation (α)			
renewal (months-years), possible regime shift	Residual trees, dispersal , recruitment , changed frequency and duration of inundation and flooding , soil seed bank	SES-RS : productivity of system (<i>e.g.</i> degradation of existing mangrove patches, colonisation of new areas by seedlings, recruitment of new faunal species and larvae) SES-RS : equilibrium properties	Dahdouh-Guebas & Koedam (2002), Lewis III (2005), Ragionieri <i>et al.</i> (2015), Van der Stocken <i>et al.</i> (2019), Cannicci <i>et al.</i> (2019)
	Increased CO₂	SES-RS : productivity of system (<i>e.g.</i> increased productivity) SES-RS : storage characteristics	Farnsworth <i>et al.</i> (1996)
	Replanting, regeneration	SES-RS : storage characteristics SES-I : investment activities (<i>e.g.</i> aided seedling establishment)	Goessens <i>et al.</i> (2014), Sillanpää <i>et al.</i> (2017)
	Abandoned shrimp ponds	SES-RU : growth or replacement rate (<i>e.g.</i> natural regeneration in some places) SES-RS : productivity of system SES-RS : storage characteristics SES-U : history of use	Stevenson <i>et al.</i> (1999), Arifanti <i>et al.</i> (2019)
Exploitation (r)			

Phase of the adaptive cycle	Drivers of system change	Examples of SES variables that can be impacted by the change	Reference examples
growth (decades), insensitivity to potential agents of disturbance, or high level of resilience	Propagule availability, potential habitats , competition for spatial and food resources	SES-RS : predictability of system dynamics (<i>e.g.</i> rejuvenation, degradation of existing mangrove patches or colonisation of new areas by seedlings)	Fontalvo-Herazo <i>et al.</i> (2011), Gueters <i>et al.</i> (2014), Ragonieri <i>et al.</i> (2015), Nehru & Balasubramanian (2018), Cannicci <i>et al.</i> (2019)
	Land tenure , ownership	SES-GS : property-rights systems (<i>e.g.</i> private areas delimited and fenced) SES-U : history of users	Lovelock & Brown (2019)
Conservation (K)			
steady-state with specialised and complex interactions	Plant-animal interactions (tree- crab interactions)	SES-RS : productivity of system (<i>e.g.</i> decreased rejuvenation due to propagule predation) SES-RU : interaction among resource units (brachyurophily and brachyurochory pollination and seed dispersal by crabs) SES-RU : spatial and temporal distribution	Pers. obs., Clarke & Kerrigan (2002), Fratini <i>et al.</i> (2005),
	Protection and (co)- management through policies, lower perturbation regime	SES-RS : productivity of system SES-RU : growth or replacement rate (<i>e.g.</i> sustained natural regeneration of mangroves) SES-GS : operational rules SES-GS : monitoring and sanctioning processes	Tompkins & Adger (2004), Sillanpää <i>et al.</i> (2017), Trzaska <i>et al.</i> (2018)
	Regularised uses of mangroves (timbers, NTFPs, fisheries, recreation , <i>etc.</i>)	SES-S : government resource policies SES-GS : operational rules SES-RS : predictability of system dynamics (predictable mangrove utilisation at various spatial and temporal scales) SES-U : importance of resource	Spalding <i>et al.</i> (2010), UNEP (2014), Spalding & Parrett (2019)

Phase of the adaptive cycle	Drivers of system change	Examples of SES variables that can be impacted by the change	Reference examples
	Alternative for mangrove uses	SES-S : government resource policies SES-GS : operational rules SES-U : importance of resource (<i>e.g.</i> less reliance on mangrove products)	Omodei-Zorini <i>et al.</i> (2004), Nfotabong-Atheull <i>et al.</i> (2011), Badola <i>et al.</i> (2012)
	Replanting schemes (mono and poly-specific), replanted mangroves, nursery	SES-RS : size of the resource system (<i>e.g.</i> increasing mangrove cover) SES-RS : productivity of the resource (<i>e.g.</i> secondary floristic succession) SES-RU : resource unit mobility SES-ECO : flows into and out of focal SES (<i>e.g.</i> faunistic recruitment)	Huxham <i>et al.</i> (2004), Kirui <i>et al.</i> (2008), Mathiventhan & Jayasingam (2016)
	Awareness of local people	SES-I : information sharing among users (<i>e.g.</i> building adaptive capacity)	Bosire <i>et al.</i> (2008), Ramalanjaona (2011), Das (2013), Trzaska <i>et al.</i> (2018)
	Monitoring, assessment	SES-GS : monitoring and sanctioning processes (<i>e.g.</i> early warning systems)	Ramalanjaona (2011), MacKenzie <i>et al.</i> (2016), Bunting <i>et al.</i> (2018)

Table 2. A comparison of the characteristics of the adaptive cycle phases in the mangrove SESs of Sri Lanka and the Nicobar Islands, following the 2004 Indian Ocean tsunami.

Adaptive cycle phase	Sri Lanka	Nicobar Islands
Release (Ω)	<ul style="list-style-type: none"> • The maximum height of the tsunami waves was 6.8m (Shibayama <i>et al.</i>, 2005) • 78% of mangroves were lost in the eastern region of Sri Lanka (Patel <i>et al.</i>, 2014) • Around 30,000 deaths and 500,000 people displaced; 65% of the coastline was affected (Nishikiori <i>et al.</i>, 2006; Mulligan & Shaw, 2007) • More than 130,000 houses affected, of which more than 99,000 were completely destroyed (Sri Lanka, 2005) • 150,000 people lost their primary source of livelihood particularly in fisheries (Jayasuriya <i>et al.</i>, 2006) 	<ul style="list-style-type: none"> • Wave height reached up to 10m (https://earthobservatory.nasa.gov/images/14404/earthquake-spawns-tsunamis; Sankaran, 2005) • 1.1m to 3m of subsidence resulted in extensive land loss across coastal areas • More than 60% of mangrove forests were permanently lost due to land submergence (Porwal <i>et al.</i>, 2012) • 97% of mangrove cover disappeared (Nehru & Balasubramanian, 2018) • More than 3,500 human casualties; the southern Nicobar group of islands lost nearly 40% of inhabitants (Sankaran, 2005; Singh, 2009) • Many villages were submerged and four islands (Kondul, Pilo Milo, Trinket and Bombuka) were abandoned • The high dependency of coastal dwelling indigenous communities (Nicobarese) on mangroves and other natural resources was broken (Patankar <i>et al.</i>, 2015), Singh <i>et al.</i>, 2018)
Reorganisation (α)	<ul style="list-style-type: none"> • Mangrove conservationists proposed to establish an operational center to provide necessary advice for mangrove planting • Technical guidelines for the mangrove practitioners provided by the state universities • Suitability maps showing the most appropriate places for mangrove restoration/rehabilitation prepared by the Ministry of Environment and Wildlife Resources • Despite the above three points, very few replanting projects were run through the operational center and suitability maps were not optimally used • Numerous mangrove replantation projects initiated 	<ul style="list-style-type: none"> • Partial mangrove colonization at the submerged habitats that were terrestrial zones prior to the tsunami • Initial colonization was mostly by the surviving mangrove propagules. Also, restoration projects were implemented at few sites • The soil substratum and unstable tidal regime in the new inter-tidal habitats hindered immediate regeneration of mangroves (Fig. 2C) • The self-sustaining indigenous communities became dependent on the outside world, through government and private aid for livelihood until 2009 (Singh, 2009) • For many Nicobarese, it was a first life experience of receiving aid from

	<ul style="list-style-type: none"> • 1,000-1,200ha of mangroves replanted (Kodikara <i>et al.</i>, 2017) • 100m no-built buffer zone imposed without consultation with locals created stress and conflict. People were unable to access the coastal forests (Uyangoda, 2005) • Skills and knowledge transferred to help establish new forms of livelihoods along the coast (Mulligan & Shaw, 2007) • Relocation of both tsunami and war victims (Fernando, 2010) (see Fig. 2A) • Sri Lanka is now identified as the first country to officially protect all its remaining mangrove forests and has embarked on an ambitious plan to restore 10,000ha of wetland including mangrove forests, during the United Nations Decade of Ecosystem Restoration 	<p>government and the outside world</p> <ul style="list-style-type: none"> • The local economy changed to a complex, cash-intensive system and social conflicts increased (Saini, 2013) • The Nicobarese were provided housing away from coasts by the government • The aid system led to socio-cultural changes (Saini, 2013). For example, the communal living of extended families changed into small nuclear families • There were changes in diet preferences, with increased dependence on supplies from the outside world • Raising new coconut plantations, commercial fishing and working for daily wages on construction projects provided some livelihood. • Nicobarese started building new canoes and boats for travelling between islands
Exploitation (r)	<ul style="list-style-type: none"> • Continuation of mangrove restoration projects • Assistance from NGOs for basic needs (Shaw, 2014) • Restoration of major pipelines, electricity lines, roads, bridges in tsunami-affected areas (UNICEF, 2009) • Local and international tourism opportunities for coastal communities were (re)established in tsunami-affected areas (Robinson & Jarvie, 2008) 	<ul style="list-style-type: none"> • The initial naturally regenerated / planted mangroves attained reproductive maturity in around five years, acting as seed sources for further colonization, <i>i.e.</i> activation energy of the exploitation phase (Fath <i>et al.</i>, 2015) • The soil substratum and tidal regime stabilized in the new habitats allowing the proliferation of mangroves, a process that took almost 10 years at many sites • Initial phase of mangrove colonization was relatively slow due to unstable conditions (<i>e.g.</i> soil substratum and tidal regime) and the lack of propagules – most of the sites had no surviving mangroves nearby • 24% of the potential area for mangrove colonization currently vegetated. However, 76% remains unvegetated (unpublished). • Nicobarese resettled in the previously abandoned islands and villages on their own, mainly after 2009 when most of the aid stopped. By 2019, although the

		<p>number of households in such islands had increased this number is still incomparable to that of the pre-tsunami era</p> <ul style="list-style-type: none"> • Gradual increase in the utilization of mangrove resources (<i>e.g.</i> for construction poles and food resources like crabs, oysters, fish <i>etc.</i>) and coconut plantation yields • Construction of traditional houses using natural resources (mangrove poles, <i>Nypa</i> leaves for thatch roofing) on the rise • Harvesting and export of mangrove crab <i>Scylla serrata</i> (Forsskål, 1775) mostly after 2015 providing new livelihood options
Conservation (K)	<ul style="list-style-type: none"> • Less than 10% survival in more than 75% of the mangrove plantations; only about 200–220ha of mangrove planting was successful (Kodikara <i>et al.</i>, 2017) • The urban situation became ‘build back faster’ rather than ‘build back better’ (Kennedy <i>et al.</i>, 2008) • Disappearance of relief NGOs (Hertzberg, 2015) • Pollution of coasts (Jayapala <i>et al.</i>, 2019) • Land tenure impeded as poor people could not prove their land ownership (Arunatilake, 2018) • Establishment of policies on conservation and sustainable utilisation of mangrove ecosystems • Establishment of guidelines on expansion and rehabilitation of mangrove areas • Establishment of Mangrove Ecosystems and Livelihoods Action Group (MELAG), Commonwealth Blue Charter 	Not applicable. We presume that the mangrove systems in the Nicobar Islands are still in the AC’s exploitation phase r

Figure captions

Figure 1. Integration of social-ecological system frameworks with black text adapted from Chapin III (2009) and colour panes with abbreviations adapted from Ostrom (2009). Diagram of a mangrove

SES (dashed rectangle) that is affected by ecological (left-hand side) and social properties (right-hand side). In both subsystems there is a spectrum of controls that operate across a range of spatio-temporal scales, with respective examples (see text in Section 1.1 for details). Colour panes and abbreviations (in line with Ostrom, 2009) are for SES variables (for the sake of clarity the 'SES' was dropped from the following abbreviations list): S = Social, economic and political settings; RS = Resource Systems; RU = Resource Units; GS = Governance Systems; U = Users; I = Interactions; O = Outcomes; ECO = Related Ecosystems. The green colours indicate that these components are mutually interacting; the black text is adapted from Chapin III *et al.* (2009).

Figure 2. Map showing the case study locations. Map of the Bay of Bengal and the Andaman Sea showing the locations of the case studies in Sri Lanka ①, the Nicobar Archipelago ②, and the Matang Mangrove Forest Reserve (MMFR) in Peninsular Malaysia ③. **(A)** View inside MMFR's Virgin Jungle Reserve, a forest in the protective zone that has not been disturbed for nearly 100 years and is in K phase (F.D.-G., June 2019). **(B)** Post-tsunami housing area for fishermen relocated away from the coast in Panama on Sri Lanka's east coast (F.D.-G., February 2006). **(C)** Complete loss of mangrove cover in Trinket Island (Nicobar Archipelago) due to the 2004 Indian Ocean tsunami, now stuck in a poverty trap with hardly any recolonization (N.P., November 2010). **(D)** Ongoing clear-cutting (Ω phase) in a 30 year-old coupe of the MMFR near Kuala Sepetang, Malaysia (F.D.-G., June 2019). Background extracted on 29/05/2020 from Google Earth; Image: Landsat / Copernicus 14 Dec. 2015; Data: SIO, NOAA, U.S. Navy, NGA, GEBCO.

Figure 3. Tsunami adaptive cycle. Four phases of the adaptive cycle indicating the key conditions or properties characterising the respective phases in the aftermath of the tsunami in the aftermath of the tsunami in Sri Lanka and Nicobar Archipelago (India). Absence of any flag indicates the point is valid in both countries; presence of one flags indicates the point is only valid for the respective country.

Figure 4. Silviculture adaptive cycle in a historical context. Adaptive cycle suggested for the Matang Mangrove Forest Reserve displaying partial or total capital in function of time (in contrast to Fig. B1 in Appendix B this is one-dimensional view with time on the X-axis). Historic events on the X-axis are detailed in Supplementary Material. **(A)** AC within the focal scale of a single forest coupe with emphasis on natural capital. In contrast to clear-cutting events thinning events and their associated losses in natural capital are not shown but are discussed in the text. **(B)** AC within the entire MMFR with emphasis on natural capital on the focal scale of all coupes together. The inset shows current/future management scenario's *sensu* Hugé *et al.* (2016) in terms of human capital. **(C)** AC of the entire MMFR SES and surrounding communities incl. the tertiary service sector in villages, with possible scenarios for achieving higher inclusive wealth (N.B. the 20th century section of the X-axis is interrupted to allocate more detail to the 21st century section). Refer to Section 4.2 for detailed explanations. Refer to Figure B1 in Appendix B for the theoretical background. Full lines: productive zone; Dotted lines: protective zone such as the VJR; Dashed lines: forecasted scenarios.

Figure 5. Synthesised adaptive cycles. **(A and B)** Adaptive cycle suggested for the Matang Mangrove Forest Reserve, displayed as two coupled two-dimensional views with both capital **(A)** and connectedness **(B)** as a function of resilience, in productive zones (full lines) and protective zones (dotted lines). Pie charts indicate the proportional distribution between natural capital (in green) and built/human capital (in orange) in the productive zones; one pie chart per phase and two for the r

phase (one corresponding to the early r phase and one to the thinning events). The pie chart in dotted lines corresponds to the K phase of the protective zone. The arrows in **A** and **B** indicate the “normal” direction of the AC. The blue panes in **A** and **B** attempt to visualise the time the AC spends in each phase (the blue panes correspond to 2D views of a 3D space: the larger the 3D space, the more time the AC spends in that phase). Refer to Figure B1 in Appendix B for the theoretical background. (**C** and **D**) The same views as **A** and **B** for a generic AC indicating the possible traps. The one-way arrows show the ‘expected’ direction of the AC, but the double arrows in opposing directions emphasise that the AC can move back and forth. Encircled numbers refer to detailed explanations in Section 4.2. Line styles in AC and pie charts as in Figure 4.

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Figure 1.

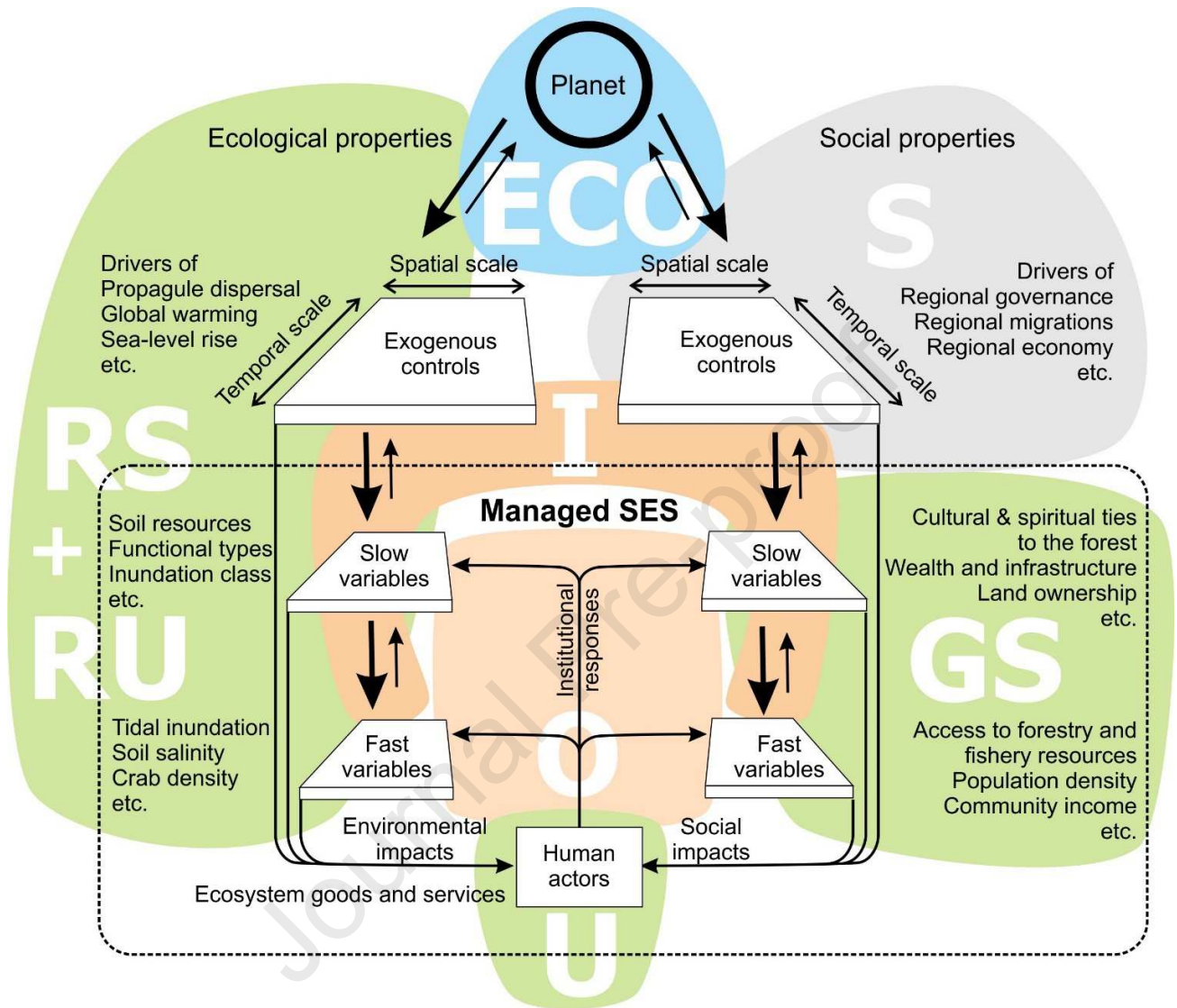


Figure 2.

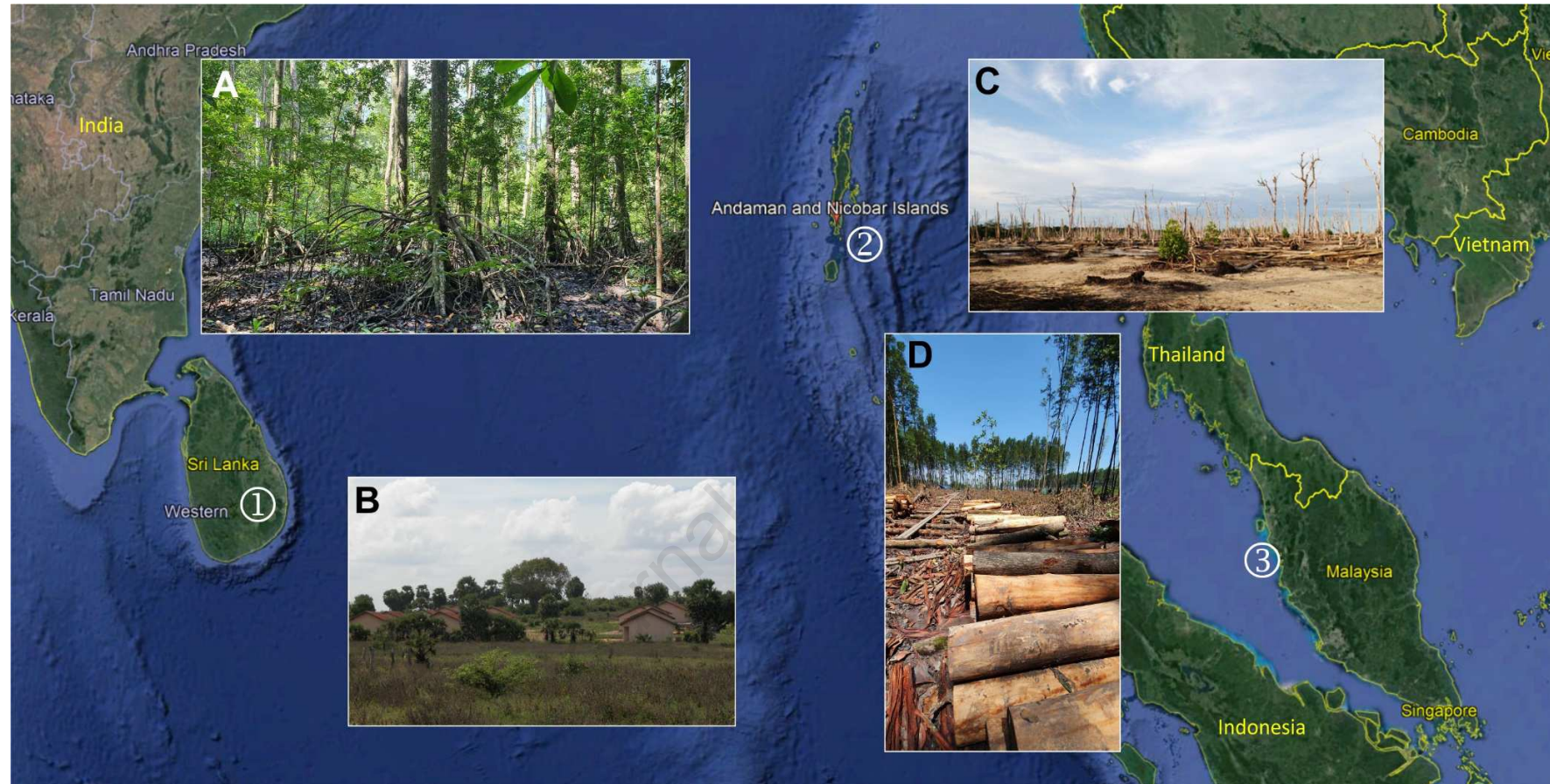


Figure 3.

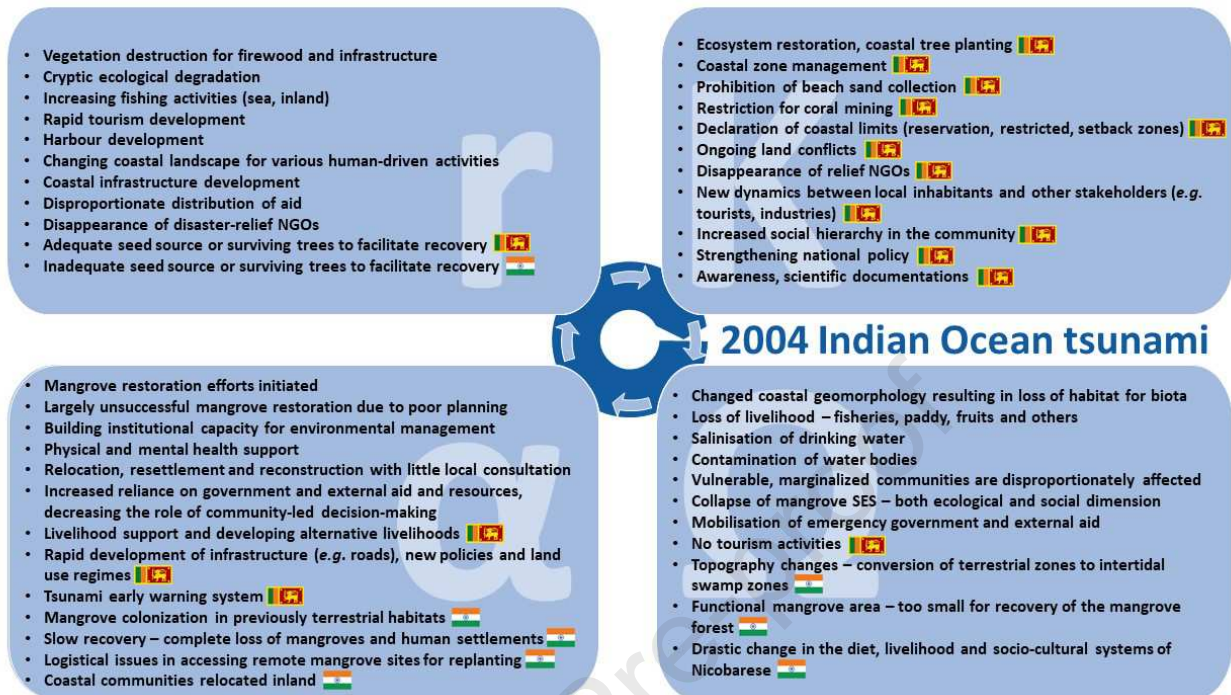


Figure 4.

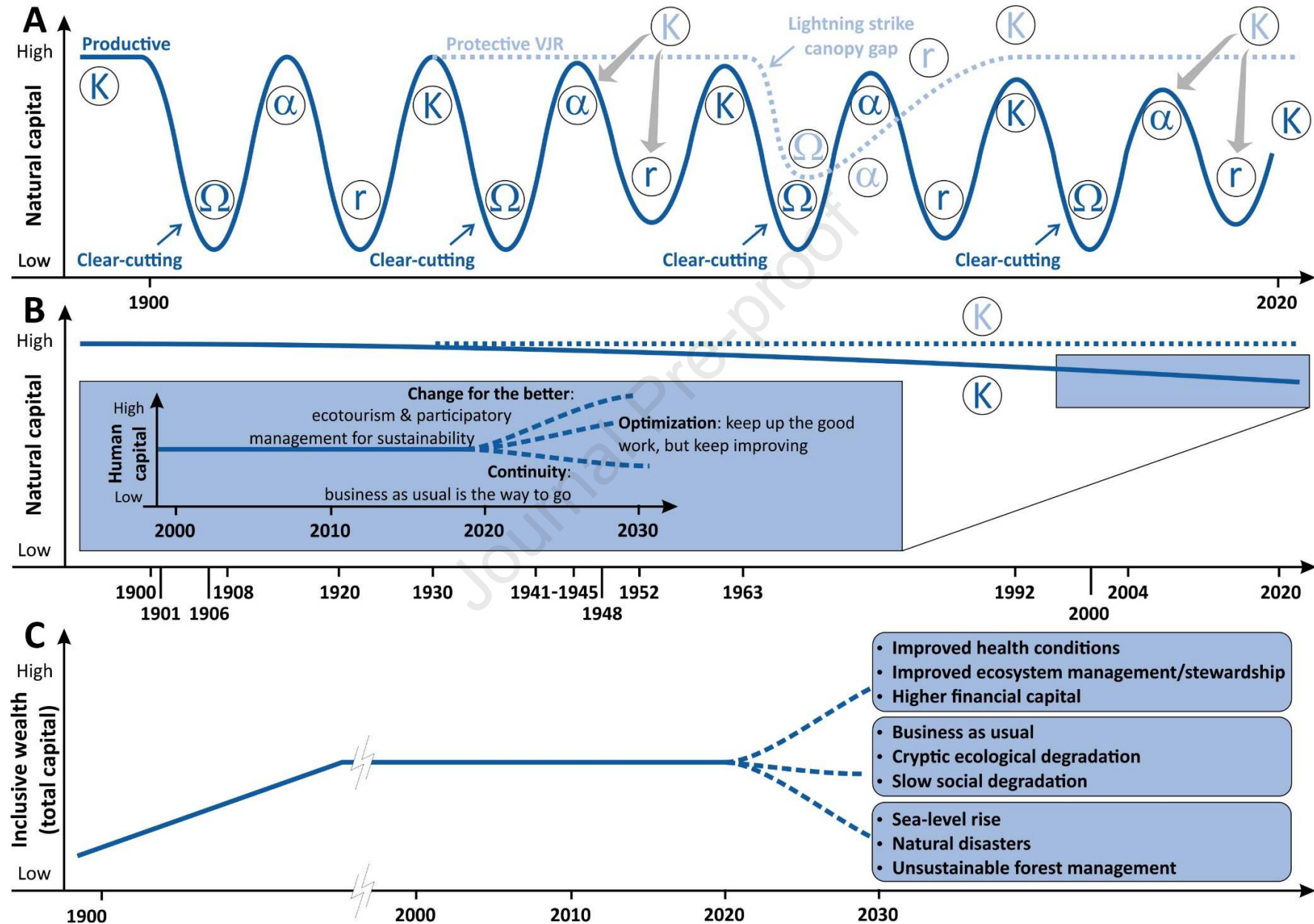
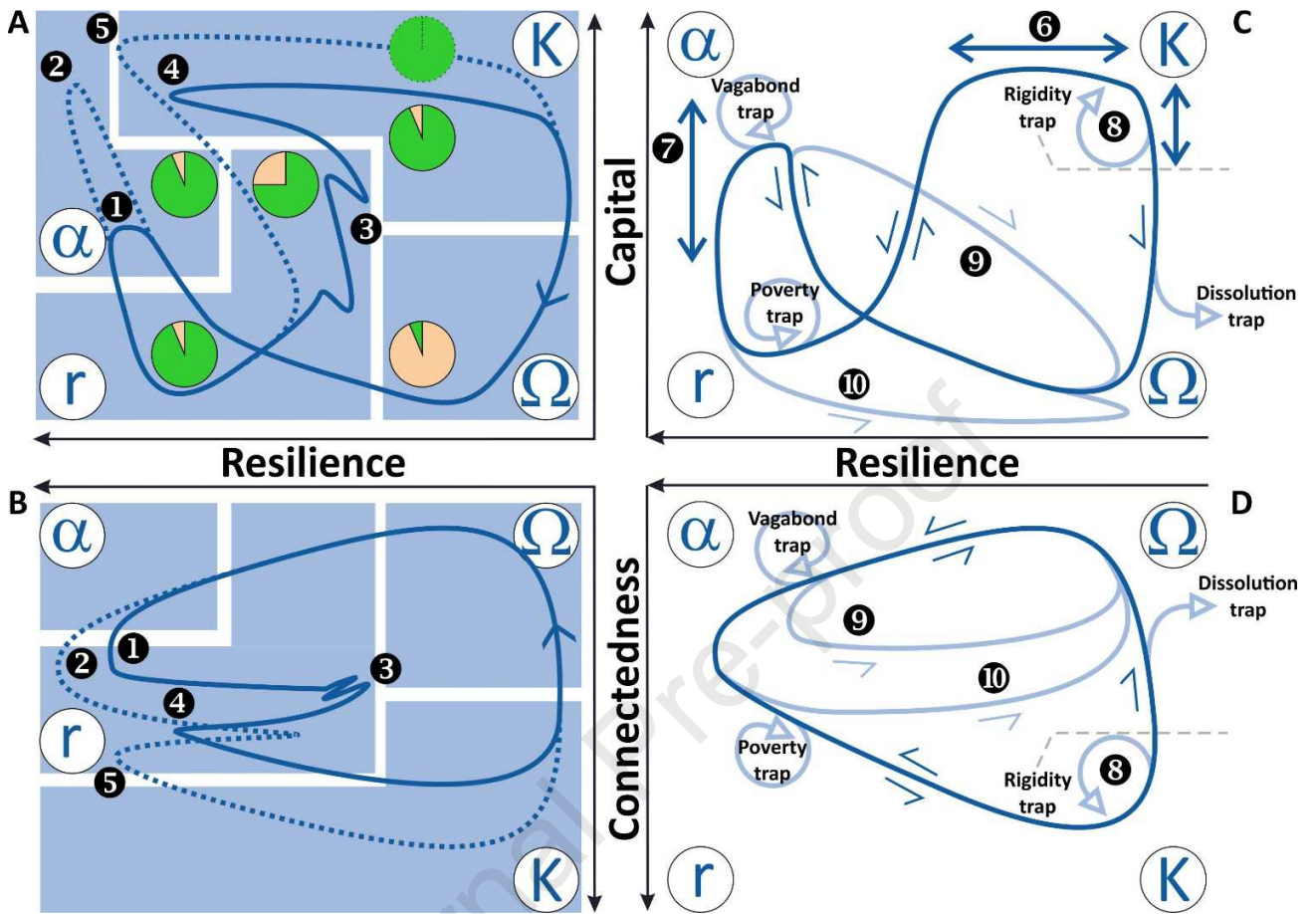


Figure 5.



Highlights

- The adaptive cycle (AC) represents connectedness vs natural/social capacity of a system
- The AC can be used to interpret spatio-temporal changes in a social-ecological system (SES)
- We identify change drivers/variables in mangrove SESs using Ostrom (2009) framework
- We exemplify it by using tsunami and silviculture impact as cases
- We call upon mangrove scientists to fit empirical data to the AC

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Declaration of interests

The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

The authors declare the following financial interests/personal relationships which may be considered as potential competing interests:

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