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DG MARE

Ex post evaluation of the transitional financial programme of the Integrated Maritime Policy (IMP) and of two preparatory actions for maritime spatial planning

FINAL REPORT (VOLUME II)



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List of abbreviations and acronyms

AAR	Annual Activity Report
ADRIPLAN	ADRIatic Ionian maritime spatial PLANning
BG	Blue Growth
Bucharest	The Convention for the Protection of the Black Sea of 1992 – the Bucharest Convention
CFP	Common Fisheries Policy
CIS	Common Implementation Strategy
CISE	Common Information Sharing Environment
DCF	Data Collection Framework for Fisheries
DG MARE	Directorate General for Maritime Affairs and Fisheries
DG ENV	Directorate General for Environment
DG MOVE	Directorate General for Mobility and Transport
EEA	European Environment Agency
ENV	Environment
EMFF	European Maritime and Fisheries Fund
EMODNet	European Marine Observation and Data Network
EMSA	European Maritime Safety Agency
EU	European Union
GES	Good Environmental Status
GMES	Global Monitoring for Environment and Security Initiative
HELCOM	The Convention on the Protection of the Marine Environment in the Baltic Sea Area of 1992 – the Helsinki Convention
ICZM	Integrated Coastal Zone Management
INSPIRE	Infrastructure for Spatial Information in the European Community
IMP	Integrated Maritime Policy
IMS	Integrated Maritime Surveillance
MASPNOSE	Maritime Spatial Planning in the North East Atlantic / North Sea / Channel area
MS	Member States
MSFD	Marine Strategy Framework Directive
MSP	Maritime Spatial Planning
Nordregio	Nordregio – Nordic Centre for Spatial Development
OSPAR	The Convention for the Protection of the Marine Environment in the North-East Atlantic of 1992 – the OSPAR Convention
Plan Bothnia	Preparatory action on Maritime Spatial Planning in the Baltic Sea

PSI	Public Sector Information
RSC	Regional Sea Conventions
SEIS	Shared Environmental Information System
SSN	SafeSeaNet
SYKE	Finnish Environment Institute
SWF	Swedish Board of Fisheries
TFP	Transitional financial programme for the IMP
ToR	Terms of Reference
UNEP-MAP	The Convention for the Protection of the Marine Environment and the Coastal Region of the Mediterranean of 1995 – the Barcelona Convention
VASAB	State Regional Development Agency of Latvia
WFD	Water Framework Directive
WISE	Water Information System for Europe

1 Introduction

The Directorate General for Maritime Affairs and Fisheries has commissioned an "Ex post evaluation of the transitional financial programme of the Integrated Maritime Policy (IMP) and the two preparatory actions for maritime spatial planning". The study was launched under the framework contract for impact assessments and evaluations, referenced MARE/2011/01 Lot 1 Maritime Policy. The ex post evaluation was conducted from September to December 2014 and was carried out by a team of evaluation consultants from COWI and E&Y.

Evaluation Focus

This is the second part (Task 2) of the assignment assessing the results and impacts of two preparatory actions undertaken for the Baltic Sea and the North Sea:

- › "Preparatory action on Maritime Spatial Planning in the Baltic Sea" (Plan Bothnia).
- › "Preparatory action on Maritime Spatial Planning in the North East Atlantic / North Sea / Channel area" (MASPNOSE).

Task 1, assessment of the transitional financial programme of the Integrated Maritime Policy (IMP) (hereafter the TFP) is included in Volume I of this report.

Aim of evaluation

The overall aim of Task 2 is to provide DG MARE with an evaluation of the results of the two preparatory actions and conclusions on whether or not the objectives of the call were achieved. The preparatory actions evaluation was carried out parallel with Task 1 in order to ensure that the evaluations' results were integrated into the assessment of, in particular, Objective (d).

Attribution

It is important to bear in mind that there are other actions and activities in support of the IMP, which have taken place both prior to, and parallel with or after, these preparatory actions, for example under the TFP or other EU programmes. Where possible, also with regard to interviews, the evaluators have tried to avoid attributing results from actions funded outside this framework. However, it is apparent that this cannot fully be avoided, as many stakeholders find it difficult to distinguish between the various actions/initiatives and are not always aware of which budgets provide funding.

This Report is structured as follows:

- Chapter 2 This chapter provides the background and context for the preparatory actions.
- Chapter 3 In this chapter the methodology of the evaluation is presented.
- Chapter 4 This chapter contains the analysis of Plan Bothnia including summaries of conclusions for each evaluation criteria.
- Chapter 5 This chapter contains the analysis of MASPNOSE including summaries of conclusions for each evaluation criteria.
- Chapter 6 In this final chapter, the conclusions and combined and aggregated recommendations and lessons learned of the two preparatory actions are presented. Note that the recommendations and lessons learned from each of the preparatory actions are presented under each action in chapters 4 and 5.
- Appendixes

2 Background, context, and objectives

This section describes the background and context of the preparatory actions as well as their objectives. The aim is to provide the necessary background information that will allow the reader to follow the history, objectives and development of the action under evaluation. The overview also provides an understanding of why the preparatory actions were funded.

The political framework

The Integrated Maritime Policy (IMP) was introduced in 2007¹ after DG MARE (in the Green Paper of 2006)² pointed to the strategic importance of the seas and oceans for Europe, and the need to balance the economic and competitive development of the EU's regional seas with sustainability and environmental protection, while ensuring the livelihood of its citizens. For a number of areas, policies were developed at regional, national and EU level with varying levels of coordination and common vision.

Objectives of IMP

A comprehensive and cross-sectorial approach should enable Europe to reach the desired results. The objective of the IMP, therefore, is to develop and implement this integrated approach. In particular, the IMP aims to: 1) promote integration of governance structures; 2) support the implementation of integrated policies by providing the required knowledge base and cross cutting tools; 3) to improve synergies and coherence across sectors; 4) take account of specificities of the regional seas around Europe.

The preparatory actions

In the years 2008-2010, the Integrated Maritime Policy was funded, through preparatory actions, for a total volume of €20,461,933. The Financial regulation³

¹ Communication from DG MARE to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions - An Integrated Maritime Policy for the European Union ('Blue Book'), COM(2007) 575

² "A Maritime Policy for the Union: Towards a future vision for the oceans and seas" - COM(2006) 275

³ Council Regulation (EC, Euratom) No 1995/2006 of 13 December 2006 amending Regulation (EC, Euratom) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities (OJ L 390/2006 of 30 December 2006), hereinafter referred to as 'the Financial Regulation' and Commission Regulation (EC, Euratom) No 478/2007 of 23 April 2007 amending Regulation (EC, Euratom) No 2342/2002

provided the funding for pilot projects and preparatory actions for IMP. A list of preparatory actions is included in Table 2-1. The Council and the European Parliament expressed their support through financing additional activities. To prepare the foundation for more action on MSP, DG MARE therefore developed an Action Plan that called for actions related to stock-taking (reports, studies) and preparing the groundwork for future actions.

Table 2-1 List of preparatory actions⁴

Type	Budget year	Project	Total	Unit
preparatory	2008	EMODNET 1	975,000	c
preparatory		EMODNET 2	925,000	c
preparatory		EMODNET 3	699,000	c
preparatory		EMODNET 4	850,000	c
preparatory		Habitat mapping	795,000	c
preparatory		AIS	890,000	d
preparatory		Regional funding	546,980	a3
preparatory		Regional funding travel	894	b
preparatory	2009	Atlas of the Sea	949,600	c
preparatory		Sea bed mapping	1,200,000	c
preparatory		Economic benefits MSP	199,730	e
preparatory		Study MSP Mediterranean	379,206	e
preparatory		MSP Baltic preparatory action	400,000	e
preparatory		MSP North Sea/North Atlantic	450,000	e
preparatory		Regional database IT	60,000	a3
preparatory		Upgrading stakeholders tool	150,000	c
preparatory	2010	CBA maritime zones in Mediterranean	398,146	d
preparatory		Surveillance AAR with JRC	600,000	d
preparatory		Atlas of the Sea	650,000	c
preparatory		MSP benefits	300,000	e
preparatory		EMODNET-physics	1,000,000	c
preparatory		IT stakeholders tool	100,000	c
preparatory		Future sources of growth	871,000	a1
preparatory		Evaluation of EMODnet	45,000	c
preparatory		TOTAL 11 09 01		all
preparatory		(includes carry-over)		
pilot	2008	IT stakeholders tool	299,995	c
pilot		Blumassmed	3,581,748	d
pilot	2009	Marsuno	1,896,810	d

DG MARE assessed that “activities of EU Member States in implementing MSP at national or regional level, cross-border cooperation between Member States

laying down detailed rules for the implementation of Council Regulation (EC, Euratom) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities

⁴ Received from DG MARE (January 2015)

remains limited”⁵. Acknowledging the importance of integrated cross-border coordination in maritime areas, DG MARE launched two calls for proposals (2009/16 and 2009/17)⁶ for preparatory projects that could stimulate the development of a common model of cross-border and ecosystem-based approach towards MSP. The two preparatory projects focused on the North Sea/North Atlantic and the Baltic Sea.

The Roadmap

Among other things, the two preparatory actions were to assess the 10 key principles for MSP that had been identified in DG MARE’s Communication "Roadmap for Maritime Spatial Planning: Achieving common principles in the EU"⁷. This roadmap was adopted by DG MARE on 25 November 2008 and outlines the instruments for, and defines a common European approach to, MSP. The 10 key principles from the Roadmap formed the basis for future MSP planning and cooperation.

More specifically, the Roadmap outlines an approach to decision-making that involves balancing sector interests while achieving sustainable use of marine resources through **a process** of data collection, stakeholder consultation and the participatory development of an implementation plan. This approach is in line with the EU’s Integrated Maritime Policy (IMP) that stresses the need for local strategies and specific measures due to the peculiarity/individuality of each of Europe’s maritime cross-border regions.

Legal context

On a global scale, UNCLOS is the legal basis for human activity in maritime areas. UNCLOS and UNESCO IOC provided the guidelines that were included in DG MARE’s Roadmap and in the Calls for Proposals for the preparatory actions. In the EU context, the Marine Strategy Framework Directive (MSFD), Natura 2000 (Habitats- and Birds Directives) and the Common Fisheries Policy (CFP)⁸ all regulate human activities in maritime areas.

Other interventions

Several initiatives related to MSP were supported by different EU programmes. This includes a study on the legal aspects of MSP⁹, several INTERREG projects (e.g. Baltcoast, Plancoast, Balance, BaltSeaPlan and MESH) and a number of other initiatives and projects funded by other EU means (MESMA, OURCOAST and WINDSPEED).

⁵ DG MARE Call for Proposals 2009/17

⁶ Call for Proposals – Mare 2009/16 – Preparatory action on Maritime Spatial planning in the Baltic Sea

Call for Proposals – Mare 2009/17 – Preparatory action on Maritime Spatial planning in the North East Atlantic / North Sea / Channel area

⁷ COM (2008) 79 final

⁸ COM(2009) 163

⁹ http://ec.europa.eu/maritimeaffairs/spatial_planning_en.html

Objectives in call
2009/17 and
2009/16

DG MARE's calls 2009/16¹⁰ and 2009/17¹¹ for preparatory actions on MSP were almost identical in terms of objectives, available financing and structure of assignment (5 components). The overall objective of the intervention was the following: "The preparatory action seeks to develop a common model, cross-border, ecosystem based approach towards maritime spatial planning in the North Sea/North East Atlantic (or the Baltic)." ¹² This main objective was supported by four specific objectives in both calls:

- › Encourage concrete, cross- border cooperation between European countries on MSP;
- › Test the applicability in practice of the 10 key principles identified by the abovementioned Roadmap¹³;
- › Test MSP key principles in a cross-border context and identify possible gaps or lessons to be learned, notably through the development of MSP in sea areas shared by several Member States and by drafting maritime spatial plans for selected areas;
- › Identify potential barriers in the implementation of MSP and work out additional recommendations in view of the further development of a common approach towards the application of MSP.

These Call for Proposals stressed the need for certain deliverables, including a demonstration of MSP processes in a specific cross-border area in the Baltic Sea and the North Sea. The demonstration should lead to the formulation and development of a maritime special plan for this area. In addition, the calls stressed the need to develop a methodology to test the 10 key principles identified in the Roadmap. This included the assessment and evaluation of the 10 principles, as well as an overall evaluation and monitoring plan and approach for MSP processes. Apart from the plan, outputs should be in the form of reports containing the above information.

The two actions

MASPNOSE and Plan Bothnia were each awarded up to 450,000 EUR to address the objectives in the call. Both projects proposed that concrete, cross-border cooperation between European countries on MSP be encouraged, thereby testing the applicability in practice of the 10 key principles identified by the aforementioned Roadmap. Through this process, the project would be able to identify lessons learned and eliminate barriers hindering cooperation in the practical drafting of maritime spatial plans for selected areas.

¹⁰ Call for Proposals – Mare 2009/16 – Preparatory action on Maritime Spatial planning in the Baltic Sea

¹¹ Call for Proposals – Mare 2009/17 – Preparatory action on Maritime Spatial planning in the North East Atlantic / North Sea / Channel area

¹² <https://webgate.ec.europa.eu/maritimeforum/fr/node/232>

¹³ The Communication "Roadmap for Maritime Spatial Planning: Achieving common principles in the EU" (the Roadmap) was adopted by DG MARE on 25 November 2008 as COM (2008) 791 final.

3 Evaluation approach and methodology

This section describes the evaluation approach and methodology for Task 2 and the assessment included in this report (Volume II). The overall approach for the whole evaluation is included in Volume I.

Evaluation framework

The evaluation structure is based on a set of questions set out in the specific section of the Terms of References related to Task 2. These questions were further developed and refined in the inception report, which also presented a full evaluation framework. The evaluation framework included refined judgement criteria and indicators (see appendix A). The evaluation framework was used to formulate the interview questions (see appendix D).

Document review

During the inception phase, documents were collected and screened prior to further analysis. After reviewing the documents, the evaluators used the information gathered to supplement and enhance knowledge about the projects funded, as well as prepare for the subsequent interviews. As documents are a non-reactive data source, they are primarily used to validate and triangulate data from interviews. Documents seldom answer an evaluation question, but they substantiate claims made by interviewees and information found in other data sources.

Project documents are the main source of terms of reference (calls or similar) and project reports (progress, interim and final). Project documents are documents that were produced during the implementation of the project or that are highly relevant for the project implementation (such as the terms of reference). A list of documents used in this study is available in Appendix B. For a number of project outputs (final and interim), websites or portals have also been reviewed and analysed. The documents are organised and structured using COWI's Intranet. A substantial number of project documents were received directly from project implementers (contractors).

Some documents took time to retrieve, including the proposals for the two preparatory actions. The proposals were important in order to establish exactly which objectives were set, and which planned outputs should result from the interventions.

Intervention logic analysis

Documents have played a particularly important role when assessing effectiveness. Starting from project proposals, the planned outputs were documented and then compared to actual outputs. To support this analysis, an intervention logic was developed for each action in order to illustrate the link between expected outputs, results and effects. The intervention logic looked at the baseline assumptions for outputs, results and effects (Task 2) stated in the Call for Proposals and compared them with the actual proposal results submitted to DG MARE.

The evaluation distinguishes between results and effects. Results are related to the project and its objectives and outputs (e.g. a report (output) generating knowledge (result)). However, the effects are external. They are the consequences resulting from project initiatives/outputs (e.g. knowledge gained from a project often leads to a policy proposal (effect)). Effects typically materialise once a project has been completed.

A scoring tool was developed in order to assess the level of effectiveness based on the number of achieved outputs. For both actions, project objectives can be linked to outputs that support the attainment of the objectives. An overall score on the attainment of objectives can be devised according to the percentage of outputs achieved under each objective. The scores are as follows: 1) no attainment (no outputs produced), low (<50% outputs produced), medium (50%-75% outputs produced) and high (>75% outputs produced). These scores were given for each objective and provide a good indication as to what extent the project attained its objectives.

Interviews

In the inception phase, a number of exploratory interviews were conducted in order to increase general knowledge and to get information on potential interviewees and documents. An interview guide was developed (see Appendix D) and interviewees were contacted to set up one-hour interviews.

In total, 13 stakeholders were interviewed, primarily over the phone. A list of interviews is included in Appendix C¹⁴.

Of the 13, seven were interviewed solely in relation to MASPNOSE and five were interviewed solely in relation to Plan Bothnia. One interviewee provided answers on both projects. Five of those interviewed had not been directly involved in either of the two preparatory actions.

For both preparatory actions, interviewees were difficult to locate and several interviewees did not respond to the invitation to participate. Due to the deadline constraints, several interviewees had difficulty in finding time for an in-depth interview at short notice. Some interviewees had retired or could not be located due to employment changes.

An overview of requested and concluded interviews is included in Volume I.

¹⁴ 21 stakeholders were contacted specifically for Plan Bothnia and MASPNOSE – interviews were conducted with 13.

Anonymity All interviews were conducted according to the principle of anonymity, guaranteeing that stakeholders would not be identified. This was an important condition for many interviewees. Stakeholders have not been broken down into smaller groups as this could allow identification of a particular stakeholder. The types of stakeholders interviewed are listed in table 2-1.

Table 3-1 List and description of types of stakeholders interviewed


Name of stakeholder	Profile	Role in programme
European Commission	DG MARE, DG REGIO, DG ENV, DG MOVE, DG RTD	Programme manager; participation in steering committee; participation in working groups
Representative of member states	National authorities involved in the IMP	Implementing IMP; participation in working groups; implementing projects
Other external stakeholders	Scientific community, business community, NGOs	Lobbying; users of outcomes, implementing projects, advocacy,
Project implementers	Consulting companies, universities, NGOs	Implementing projects, project management, participation in steering committee

Important note on references to interviews When reference is made to 'stakeholders interviewed' this refers to the majority of the stakeholders interviewed for that preparatory action (who could answer the question). 'Some interviewed stakeholders or several' refers to around half of the stakeholders; 'a few' refers to around a quarter or less of the interviewed stakeholders. Information pertaining to interviews with Commission stakeholders is referenced as 'Commission officials'.

Triangulation approach Throughout this evaluation, the evaluators have balanced interview data with document data in order to validate information and thereby increase reliability. In the analysis of the preparatory actions, information has been linked to a specific data source (interviewee or reference to document). As mentioned before, some stakeholders were not available for interviews. However, interviewed stakeholders were knowledgeable and the amount of assessable data was substantial. Combining the two data sources enabled the evaluators to triangulate information and increase the reliability of findings.

4 Preparatory action 1- Plan Bothnia

Table 4-1 Fact sheet about Plan Bothnia

Budget	500,000 EUR
Requested grant from DG MARE	400,000 EUR (80% co-finance)
Outputs	Facilitation of MSP processes, including the generation of maps and an MSP plan
Duration	2010-2013
Geography	<p>Baltic Sea Region - Bothnian Sea</p>  <p>The map shows the Baltic Sea region, including parts of Sweden, Finland, and Poland. A red rectangular box highlights the Bothnian Sea area, which is labeled 'BOTHNIAN SEA' in red text.</p>

4.1 Project summary

Plan Bothnia¹⁵ was a Preparatory Action on Maritime Spatial Planning (MSP) co-funded by DG MARE under call for proposals 2009/16.¹⁶

Partnership	A consortium led by HELCOM, bid for the assignment ¹⁷ . It began on the 30 th April 2010 and ended in June 2012. The other partners of the consortium were the State Regional Development Agency of Latvia (VASAB), Nordregio, Swedish Board of Fisheries, University of Turku, Swedish Board of Housing and Finnish Environment Institute (SYKE).
Geography	The area covered by Plan Bothnia ¹⁸ is the Bothnian Sea ¹⁹ . Geographically, the Bothnian Sea is a sub-basin of the Baltic Sea between Finland and Sweden. Major neighbouring bodies of water are the Bothnian Bay, also called the Bay of Bothnia, to the north, and the Baltic proper to the south. Together the Bothnian Sea and Bay, divided by the narrow Northern Quark passage, make up a larger geographical entity called the Gulf of Bothnia. Plan Bothnia tested, and evaluated, the added value of a cross-sectoral, trans-boundary and ecosystem-based MSP process in the Baltic Sea Region using the offshore Bothnian Sea as the area of focus. The analysis included MSP in relation to ecological and biological features, as well as resource exploitation in the entire Bothnian Sea.
Objective	<p>The overall objectives identified in the Plan Bothnia proposal submitted to DG MARE on the 30th April 2010²⁰, are the following:</p> <ol style="list-style-type: none">1) Initiate and facilitate a Bothnian Sea platform based on MSP cooperation;2) Collate and assess a data basis for Bothnian Sea MSP;3) Test MSP approaches and produce a draft plan for the Bothnian Sea;4) Carry out dialogue on the findings in the Baltic Sea and beyond;5) Carry out external evaluation of the Plan Bothnia MSP process.

4.2 Analysis

This project evaluation analyses the effectiveness, efficiency, EU added value and coherence of the project. The analysis of effectiveness and coherence is supported by the intervention logic of the Plan Bothnia Project. The intervention logic

¹⁵ <http://planbothnia.org/>

¹⁶ Call for Proposals – Mare 2009/16 – Preparatory action on Maritime Spatial planning in the Baltic Sea

¹⁷ HELCOM, Grant Application Form for the MARE 2009/16 action proposal "PLAN BOTHNIA"

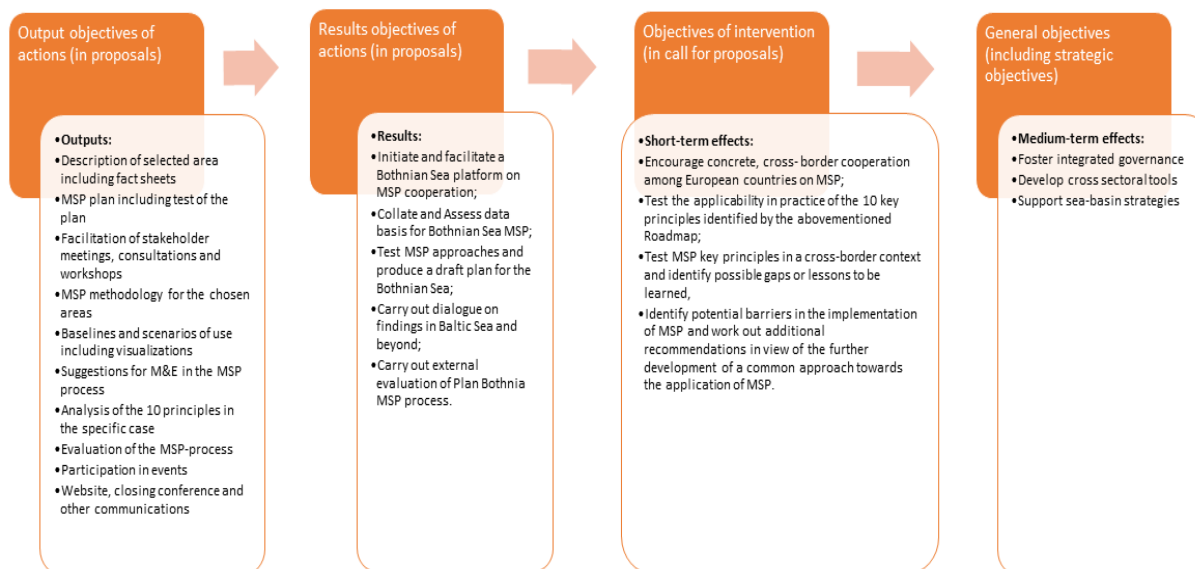
¹⁸ Plan Bothnia (2013); Planning the Bothnian Sea. Helcom (digital edition).

¹⁹ <http://planbothnia.org/>

²⁰ HELCOM, Grant Application Form for the MARE 2009/16 action proposal "PLAN BOTHNIA"

illustrates the planned outputs, results and effects of the intervention (for further illustration see Appendix E).

Figure 4-1 Plan Bothnia intervention logic



Because the intervention logic describes the planned outcomes of the intervention, the reality is likely to differ from the theoretical model. Therefore, the analysis in the following sections will refer to the intervention logic and note those cases where the reality did not match the model, either negatively (project did not achieve the objectives) or positively (objectives were achieved as planned or the project over-achieved).

In each section of the following analysis, conclusions for each evaluation criterion are presented first.

4.2.1 Effectiveness

Box 4-1 Summary of findings related to effectiveness

In summary, Plan Bothnia was an effective project. The project produced its planned outputs and achieved its own and DG MARE's objectives. The project also had medium-term effects with wider implications for integrated governance and sea-basin strategies. The project initiated, and facilitated, a much appreciated platform for MSP processes in the Bothnian Sea which enabled the involvement of all major stakeholders. This cooperation was supported by data analyses, produced by the project team to inform and guide the stakeholders towards producing a plan in a transparent and open manner. One key result was the production of a draft MSP plan for the Bothnian Sea that also tested the 10 key principles of MSP cooperation. The project succeeded in creating effects that support the sea basin strategy for the Baltic Sea (EUSBSR) and it fostered the concept of integrated governance of the Bothnian Sea through the establishment of networks and implementation of lessons learned through the project.

Evaluation

question 1. To which extent are the activities carried out and results obtained by the two grant actions funded, coherent with the activities, outcomes and results indicators foreseen by the proposals?

The analysis of effectiveness naturally commences with the objectives found in the DG MARE call (2009/16)²¹, and the proposal that was drafted to meet the call.²² In the proposal, the consortium, led by HELCOM²³, specifies the objectives, tasks and outputs (deliverables) of the project. A comparison between these planned outputs and the actual outputs forms the basis for the assessment of the extent to which the related objectives were attained and, ultimately, whether or not the Plan Bothnia project was effectively executed.

The project consisted of five components, each with specific objectives and deliverables (outputs), as mentioned above. The assessment to which extent planned outputs were produced is summarised in Table 4-2. Furthermore, the table also contains an assessment of the attainment of project objectives (results).

Outputs and results of Plan Bothnia

Table 4-2 to Table 4-6 illustrate that all planned outputs were produced during the project's lifetime and shows how well the project, which produced a substantial amount of outputs, achieved its objectives. This section also analyses how outputs were used and by whom. This is important in order to gauge the contribution of the project outputs in relation to the achievement of project objectives.

It should be noted that the project proposal did not specify results indicators.²⁴ The objectives of the project were also scoped as outputs, rather than as results. For this reason it would not be completely accurate to say that the project results were good. Therefore, the analysis was carried out on the basis of the actual outputs delivered by the project (see e.g., Table 4.2) in order to gauge the results.

Table 4-2 provides an overview of the components and planned outputs and the overall attainment of those outputs in relation to the first component-specific objective.

²¹ Call for Proposals – Mare 2009/16 – Preparatory action on Maritime Spatial planning in the Baltic Sea

²² HELCOM, Grant Application Form for the MARE 2009/16 action proposal "PLAN BOTHNIA"

²³ <http://helcom.fi/>

²⁴ HELCOM, Grant Application Form for the MARE 2009/16 action proposal "PLAN BOTHNIA"

Table 4-2 Level of goal attainment for component 1: Initiate and facilitate a Bothnian Sea platform on MSP cooperation

Component specific objectives	Planned outputs (output indicators)	Output produced	Attainment of project objectives
Initiate and facilitate a Bothnian Sea platform on MSP cooperation	Rationale and description of selection process for chosen sea area	√	High
	4 high-quality fact sheets with specifications and spatial information	√	
	Description and analysis of human activities	√	
	1 maritime spatial plan	√	
	4 high quality maps	√	
	6 coordination meetings	√	
	Model test case of function and usefulness of maritime spatial plan	√	
	Efficient project management	√	
	Communication and dissemination plan	√	
	Attractive and useful project website	√	
	Kick-off event	√	
	MSP instruments	√	
	Coverage of relevant ministries	√	

The objectives identified in the Plan Bothnia proposal were all very concrete (see Table 4-2).²⁵ Firstly, the project aimed to initiate and facilitate a Bothnian Sea platform on MSP cooperation. This was achieved and all stakeholders of Plan Bothnia, including the Swedish national authorities, were eventually included in the process and invited to/attended meetings. Table 4-3 shows how outputs relating to the first objective, such as maps and meetings, support this achievement.²⁶

According to interviewed stakeholders, the facilitation process was very well organised and relevant for all stakeholders, partly due to the data and maps collected from, for example, the Finnish and Swedish authorities. Due to these factors, the effectiveness related to achieving this objective was categorised as high.

Table 4-3 Level of goal attainment for component 2: Collate and assess data basis for Bothnian Sea MSP

Component specific objectives	Planned outputs (output indicators)	Output produced	Attainment of project objectives
Collate and assess data basis for Bothnian Sea MSP	Bothnian Sea MSP GIS maps	√	High
	Visual tool showing maritime uses on maps	√	

²⁵ HELCOM, Grant Application Form for the MARE 2009/16 action proposal "PLAN BOTHNIA"

²⁶ HELCOM, Interim report I, 30 August, 2011
HELCOM, Interim report II, 29 February, 2012

The second objective was to collate and assess the data basis for the Bothnian Sea MSP. This was also achieved through collaboration between the Finnish and Swedish authorities in relation to geo-spatial data, as described above. Maps were made accessible on the project website. Compiling data and maps was a new initiative; one made possible through cooperation between the national authorities of Finland and Sweden who granted access to national GIS data. For these reasons, the effectiveness related to achieving this objective was high.

Table 4-4 Level of goal attainment for component 2: Test MSP approaches and produce a draft for the Bothnian Sea

Component specific objectives	Planned outputs (output indicators)	Output produced	Attainment of project objectives
Test MSP approaches and produce a draft for the Bothnian Sea	Description of experience gained	√	High
	Suggestions for an M&E process	√	
	MSP assessment for the Bothnian Sea	√	
	Description of specific needs and challenges of the MSP process	√	
	Description of methodology	√	
	Analysis of the 10 key principles	√	
	Description of application experience with the principles	√	
	Analysis of the 10 key principles	√	
	Evaluation of 10 key principles and their application	√	
	Evaluation concept	√	
	High quality recommendations for set-up of MSP	√	
	Description of the effectiveness of the methodology	√	
	Description of stakeholder involvement	√	
	Identification of additional requirements and gaps	√	
	Plan Bothnia Final Report	√	
Report about model cross-border MSP	√		

The third objective relates to testing MSP approaches and producing a draft action plan for the Bothnian Sea. This was based on a bottom-up approach to stakeholder engagement, which gave all stakeholders access to the same spatial information. Additional outputs supporting the testing of the MSP approach, including an analysis of the 10 key principles, and a thorough description of the application, methodology etc., boosted this achievement.²⁷

²⁷ HELCOM, Planning the Bothnian Sea. 2013

Evaluation

question 2. How have the projects' results and deliverables been used and for what? By whom were they used?

The Swedish Agency for Marine and Water Management uses Plan Bothnia in its preparation for the Swedish implementation of the MSP Directive.²⁸ According to interviewed stakeholders, the work on the Swedish MSP is clearly inspired by the results of Plan Bothnia. According to the same interviewees, Plan Bothnia was presented to the Swedish authorities after the project was completed, and the authorities were able to use the project as a pilot for the Swedish MSP framework.²⁹

The Regional Councils (Sweden) and some of the municipalities (Finland) around the Bothnian Sea are using the project results for their MSPs and in preparation for the implementation of the Directive. According to one interviewee, the project's results will probably be used more and more as the implementation of the MSP directive proceeds. According to another interviewee, the approaches and methods are likely not to be used in the same way by regional and local authorities adjacent to the Bothnian Sea, due to differences between Sweden's and Finland's legal frameworks.

Interviewed stakeholders claimed that the project provided inspiration but not a final toolkit or action plan for use by public authorities. As an example, the extensive GIS data provided by the project does highlight the gaps which future planning will have to fill. Though not confirmed directly, stakeholders interviewed assumed that the network and contacts, established during the project, are of an ad hoc and temporary character as staff-turnover is widespread in the planning agencies and authorities on both sides of the Bothnian Sea.

Recommendations

The project made the following key recommendations for future MSP processes:

- › transparency in the MSP process is a key factor for buy-in of stakeholders and for the information flow during a project. It is necessary that all stakeholders have access to the same information so that they can act upon this. Otherwise, the legitimacy of the project dwindles and stakeholders will opt out.
- › uneven capacity amongst stakeholders – there are major differences between stakeholders in terms of their influence and capacity; e.g. the fishing sector was fragmented in comparison to the wind energy and shipping sectors. Not everyone has equal opportunity to participate in and/or influence long cooperation and policy-making processes.

According to interviewed stakeholders, the plan was produced as a trial plan with no obligations for authorities to implement it. However, this was also not necessarily resulting from the project deliverables. Overall, the effectiveness of the project, in relation to this objective, was high.

²⁸ <https://www.havochvatten.se/en/swam/eu--international/marine-spatial-planning/within-the-eu.html>

²⁹ <https://www.havochvatten.se/en/swam/our-organization/press-and-media/press-releases/press-releases/2013-12-03-anticipation-of-new-eu-and-national-legislation-sparks-dialogue-on-how-to-use-marine-waters.html>

Table 4-5 Level of goal attainment for component 3: Carry out dialogue on findings in the Baltic Sea and beyond

Component specific objectives	Planned outputs (output indicators)	Output produced	Attainment of project objectives
Carry out dialogue on findings in the Baltic Sea and beyond	Monthly progress notes	√	High
	3 articles in relevant media	√	
	4 events participated in	√	
	Description of knowledge from the project	√	
	Results discussed in international fora	√	
	Closing conference	√	
	Attendance and dialogue at European and international meetings	√	

Dissemination

As fourth objective, the project managed to instigate dialogue on findings in the Baltic Sea both during and beyond the project. During the project, networks were facilitated through two conferences in Helsinki and Riga³⁰, numerous stakeholder meetings, presentations and events. The project results were presented to DG MARE and at the European Maritime Day³¹. For dissemination purposes, Plan Bothnia was presented at several events, for example in relation to the BaltSeaPlan project³², and the project results were disseminated on the website, which is still active and updated.³³ The dissemination activities resulted in a substantial number of newspaper articles and the project benefitted from considerable public attention. For these reasons, the effectiveness related to achieving this objective was high.

Table 4-6 Level of goal attainment for component 4: Carry out external evaluation of Plan Bothnia MSP process

Component specific objectives	Planned outputs (output indicators)	Output produced	Attainment of project objectives
Carry out external evaluation of Plan Bothnia MSP process	External review report	√	High

Finally, Plan Bothnia commissioned an external evaluation of the project's MSP process. Through this review, which, overall, is positive, this objective was also achieved.

³⁰ <http://www.vasab.org/index.php/events/item/182-baltic-msp-forum-riga>

³¹ <http://ec.europa.eu/maritimeaffairs/maritimeday/en/cross-border-maritime-spatial-planning-lessons-southern-north-sea-and-bothnian-sea>

³² One example is the presentation "Towards a coherent Maritime Spatial Planning in the Baltic Sea, Gdansk, Poland (May, 2011) or "Maritime Spatial Planning in the Baltic Sea - current initiatives", Berlin, Germany (January, 2012)

³³ <http://maps.helcom.fi/website/PlanBothnia/index.html> and <http://planbothnia.org/>

According to a majority of interviewed stakeholders, and the document review, Plan Bothnia exceeded the number of planned outputs. A few examples are a Vietnamese translation of the final report,³⁴ several articles in local media and a very advanced and detailed online GIS-map.³⁵ Some of the costs for these extra outputs were covered directly by HELCOM itself.

Because the project delivered all its planned outputs and more, there is a strong indication that the project also achieved its objectives, both in relation to the objectives set in the proposal and DG MARE’s objectives for the intervention (in the call for proposals).

The results of Plan Bothnia relate to the project objectives formulated in the project proposal and summarised in the intervention logic. This section analysed the extent to which outputs and results were achieved, based on the effects resulting from the project. Consequently, the overall conclusion is that the effectiveness of the project was high, as the project achieved its planned objectives according to the intervention logic, and more.

Effects of Plan Bothnia

Evaluation question 3. Did the preparatory actions have the intended effect?

The effects analysed in this preparatory action are both short-term (call objectives) and medium-term (see intervention logic). Effects are subsequent to the outputs and results of the project.

The intended effects of the project were to encourage cross-border MSP, to test the 10 key principles of MSP and to investigate the barriers to MSP.

Encourage cross-border MSP

The project encouraged concrete cross-border MSP in the Bothnian Sea, where the regional councils, on both sides, are using the results. According to a majority of interviewed stakeholders, the cross-border coordination, which occurred during Plan Bothnia, was new and the project facilitated the process through meetings and dissemination of significant results.³⁶ The MSP process was a bottom-up process that succeeded in activating all stakeholders, to varying degrees, on both sides of the border.

Testing key principles

The project also tested and evaluated the 10 key principles in a cross-border context. This resulted in a slight reformulation of the 10 key principles and similar principles already in use in the Baltic Sea. The principles were adapted to suit the local context and took into account the regional planning regarding land use. In addition, the principles were, to some extent, adapted to the needs of the Russian stakeholders in the project.

Finding barriers to MSP

Several barriers to MSP development were identified during the project:

³⁴ <http://planbothnia.org/2013/10/16/vietnamese-national-planning-institution-translates-plan-bothnia/> (12th December, 2014)

³⁵ <http://maps.helcom.fi/website/PlanBothnia/index.html> (12th December, 2014)

³⁶ HELCOM, Planning the Bothnian Sea. 2013

First, the difference in administrative structures and legal frameworks for MSP in the two participating countries impeded coordination of the cross-border cooperation. In Sweden, the municipalities are the deciding authority regarding MSP, whereas in Finland, authority lies at regional level. According to interviewees from both countries, this was a barrier hindering efficient coordination due, mainly, to asymmetric information flow and the difference between stakeholder authorities to initiate solutions to problems.

Second, the participation (and interest) of the governmental authorities was uneven throughout the project and their lack of commitment was, according to some interviewees, a barrier to an integral MSP process.

Finally, changes in the administrative structures, especially in Sweden, were an issue in relation to the continuation of the activities (sustainability). In Sweden, the Agency for Spatial Planning did not exist when the Plan Bothnia project began. Furthermore, the Swedish Board of Fisheries was dissolved and staff was transferred to the Swedish University of Agricultural Science. These and other administrative changes disrupted the networking and involvement in the project.

Evaluation

question 5. To which extent and how did the MSP activities carried out by the two projects help the progress of MSP as a tool in a European context?

In the Baltic Sea Region, the project has been widely used as an example of best practice. For example, in PartiSEApate³⁷, the EUSBSR, during the thematic year for the Gulf of Finland and in the preparation and call for the BaltSeaPlan project. The project was used also as a yardstick in the context of the Adriatic Sea MSP (ADRIPLAN)³⁸ and results were presented in Venice³⁹.

Plan Bothnia was part of the preparatory actions and, therefore, it has had an effect on the maritime spatial planning projects funded by DG MARE under the Transitional Financial Programme of the IMP. Lessons learned from Plan Bothnia have been transferred to other planning projects through the project website, publications and participation in various conferences and workshops, such as the European Maritime Day in Göteborg in 2013 and Bremen in 2014.

According to one interviewed stakeholder, the project serves as best practice, not only for other MSP projects, but also for educational purposes. The Spanish planning authorities have also used the results from Plan Bothnia and information on/from the project was part of the curriculum in a planning course at the University of Sevilla. These examples show that the effects of Plan Bothnia extend beyond the Bothnian and the Baltic Seas and stakeholders involved in the project.

The evaluator assesses that the project represents an example of best practice and is a good reference for further work for other European MSP processes. In particular, in the Baltic Sea, the project is referred to systematically in relation to the EUSBSR's work on MSP, in for example PartiSEApate⁴⁰. There is a link to the

³⁷ <http://www.partiseapate.eu/maritime-spatial-planning/previous-projects/>

³⁸ <http://adriplan.eu/>

³⁹ <http://adriplan.eu/index.php/sample-pages/past-events/319-adriplan-presentation-at-the-msp-conference-dedicated-to-coastal-and-maritime-tourism>

⁴⁰ <http://www.partiseapate.eu/maritime-spatial-planning/previous-projects/>

project on DG MARE's home page and, according to interviewed stakeholders, this generated considerable traffic from the page to the Plan Bothnia website.

During the project, two consultant reports were commissioned and later resulted in a separate book on the subject of MSP cross-border cooperation.⁴¹ Annukka Pekkarinen and Sari Repka also published a scientific article on maritime traffic in the Bothnian Sea based on the maritime traffic chapter in the final report and analyses from the project.⁴² The final planning document was translated into Vietnamese due to interest expressed by visiting Vietnamese students. No data is available on whether the report was used or if it resulted in any changes in the Vietnamese context.

Evaluation question 6. To which extent and how did the projects and their deliverables contribute to DG MARE's policy work, notably the preparation of the proposed Directive on maritime spatial planning?

According to interviewed stakeholders, the project was a key point of reference for the expert working group that DG MARE set up during the preparation of the MSP Directive. According to project managers, DG MARE expressed satisfaction with the project after the completion.

The review of project documents found that the findings of the project were used in the impact assessment for the MSP Directive⁴³. This finding is also supported by a few interviewee statements. They conveyed that DG MARE used the findings from the Plan Bothnia project in decision-making on IMP, including the Directive. DG MARE also referred to the project in the call MARE 2014/14 'Projects on maritime spatial planning'.

According to several of the stakeholders interviewed, the project was an important source of inspiration in Sweden. Sweden had only just begun working with MSP when the Plan Bothnia project took off. The project provided a good learning opportunity for Swedish authorities. The project produced evidence and ideas that were used directly in the planning process at state and regional levels. Recommendations relating to cultural aspects of MSP and focusing on planning processes within specific areas were some of the themes that were incorporated into Swedish policy on MSP. The project also generated acceptance of the concept and a common reference point across the relevant agencies in Sweden. In Finland, MSP was further ahead than in Sweden, where, in 2013, only the Stockholm region had been active in adopting regional plans that included marine areas.⁴⁴ For that reason, lessons learned and adaption of the projects results were less apparent in Finland, whereas Sweden could use the project as a pilot study for policy development on MSP.

⁴¹ Zaucha, Jacak (2014) The Key to governing the fragile Baltic Sea. Planning in fragile sea", Riga: Vasab Secretariat.

⁴² Pekkarinen, Annukka and Repka, Sari (2014) Maritime Transport in the Gulf of Bothnia 2030. *AMBIO* 43(6) <http://link.springer.com/article/10.1007%2Fs13280-013-0489-0>

⁴³

http://ec.europa.eu/maritimeaffairs/policy/maritime_spatial_planning/documents/swd_2013_65_en.pdf

⁴⁴ Plan Bothnia (2013) Planning the Bothnian Sea. Helcom (digital edition), pp 97.

Replicability

The core of the Plan Bothnia project is bottom-up transparency and dialogue. Interviewees generally found this feature beneficial and applicable to other MSP project settings. The stakeholder analyses, uses and socio-economic considerations could also be replicated. Thus, the concrete means and project tools are likely to be replicated and will, hopefully, inspire others.⁴⁵

However, the project also relied on well-functioning institutions and decades of good cooperation between two countries that share culture and history. These features, as well as the particular role of HELCOM in relation to geo-technical and administrative capacity, makes the project somewhat difficult to replicate in other settings. That said, this is applicable to most MSP processes, which rely heavily on contextual understanding of the local features and stakeholders.

4.2.2 Efficiency

Box 4-2 Summary of findings related to efficiency

Plan Bothnia was a highly efficient project, delivering a high-quality output at a reasonable cost. This is the conclusion from the analysis that estimates both quality and value for money of the project based on document review and interviews.

Evaluation question 7. What is the overall (technical) quality of the outputs (contractual/ administrative aspects not to be looked at)?

Plan Bothnia was a very cost-efficient project with efficient management structures and a well-managed project execution.⁴⁶ All interviewed stakeholders expressed satisfaction with project management and even stakeholders from other projects, such as MASPNOSE, refer to Plan Bothnia as a well-executed project. One of the stakeholders interviewed specifically stated that the consortium functioned efficiently and that its management was competent.

A possible reason for the high standard might be the fact that the project team had revised and improved an earlier version of the proposal from a previous call, which did not receive funding. Therefore, the template for Plan Bothnia was already in place when the call 2009/16⁴⁷ for MSP in the Baltic Sea was launched. The draft plan for the MSP for the Bothnian Sea was already more or less in place before the project commenced. Therefore, the project team could implement the project smoothly. One of the stakeholders interviewed described the implementation process as very successful because the management team knew in advance which steps to take.

Value for money

In relation to the quality of the outputs, the interviews and document review suggest that the quality was very high. In Annex 4 of the Plan Bothnia report, external review commentaries are highly positive of the report and the project as a

⁴⁵ Plan Bothnia (2013) Planning the Bothnian Sea. Helcom (digital edition).

⁴⁶ HELCOM, Interim report I, 30 August, 2011
HELCOM, Interim report II, 29 February, 2012

⁴⁷ Call for Proposals – Mare 2009/16 – Preparatory action on Maritime Spatial planning in the Baltic Sea

whole.⁴⁸ In terms of value for money, all interviewed stakeholders found that Plan Bothnia delivered impressive documentation in terms of documents and maps. The website is still running and hence the general public, stakeholders and decision-makers can continue to learn from the project or use the very detailed map services. All interviewed stakeholders expressed satisfaction with the value and outcomes of the project in relation to the resources used.

4.2.3 EU Value Added

Box 4-3 Summary of findings related to EU value added

The evaluation team finds that Plan Bothnia represents a project of EU added value. The project allowed stakeholders from different levels of government in Sweden and Finland, as well as stakeholders from industry and NGOs, to collaborate and coordinate action plans, something that would have been difficult without EU funding. Also, the project outputs have been used widely as best practice in other EU-funded projects and in other MSP efforts in the Baltic Sea.

Evaluation question 8. To what extent did the programme represent EU added value?

It is unlikely that Plan Bothnia would have taken place without funding from the EU. This is the opinion of most of the interviewed stakeholders who were consulted during the evaluation. At the time of the project there was no focus on trans-boundary cooperation in the two Member States. Finland had already begun implementing regional coastal plans and was therefore less enthusiastic compared to Sweden, which was in the process of preparing its coastal plan at state and regional levels.

According to interviewed stakeholders, a main reason for the lack of MSP is due to financial reasons. The interviewed stakeholders argued that it would be hard for Member States to justify this type of exploratory action during a financial crisis. Also, MSP processes, potentially, involve high costs in preparing maps and facilitating meetings, while the outcome is open-ended and not necessarily to the benefit of the citizens or industries of the participating Member States.

Interviewed stakeholders found that the project represented EU added value because of its exploratory nature. In support of this, Finland and Sweden also bid together for co-funding to support further cross-border MSP processes in the Baltic Sea under the DG MARE call 2014/14. According to one interviewed stakeholder, the project was an important initiative and spurred much generation of ideas that would not otherwise have taken place because MSP was a new concept to many government officials.

⁴⁸ Plan Bothnia (2013) Planning the Bothnian Sea. HELCOM

4.2.4 Coherence

Box 4-4 Summary of findings related to coherence

In summary, Plan Bothnia was coherent with other interventions of similar scope. The project did not overlap with other interventions in the Baltic Sea region. Also, and as mentioned in the analysis of effectiveness, Plan Bothnia had wider implications for integrated governance and the sea-basin strategy EUSBSR.

Evaluation question 9. To which extent were the two individual grant actions mutually supportive and did they and their results converge towards the same overarching policy objective?

Coherence relates to the consistency between Plan Bothnia and other EU-funded interventions. Plan Bothnia and MASPNOSE were implemented parallel to one another yet almost completely separate from one another. They were implemented in different areas and with different project management. Both projects supported the overall objectives of DG MARE to foster integrated governance and to develop cross-sectorial tools and support sea-basin strategies.

Another project is the BaltSeaPlan⁴⁹, which also funded MSP interventions in areas in the Baltic Sea. However, this project did not overlap geographically with Plan Bothnia as the areas of intervention were located further south. The project was also better funded with a funding of 3.7 mio. EUR from the European Structural Funds (Interreg) and therefore the scope of the project is very different.

The project is also coherent with the EU Strategy for the Baltic Sea region (EUSBSR)⁵⁰. The strategy was approved in 2009 by the European Council and it promotes, among other things, projects within MSP. One such project is PartiSEApate that started in 2012.⁵¹ The project does not overlap with Plan Bothnia as it commences when Plan Bothnia ended. In addition, the areas covered are not the same. Overall, the EUSBSR relies on projects like Plan Bothnia and BaltSeaPlan, so that the Plan Bothnia project also has wider implications for integrated governance in the Bothnian Sea as well as overall macro-regional strategies like EUSBSR.

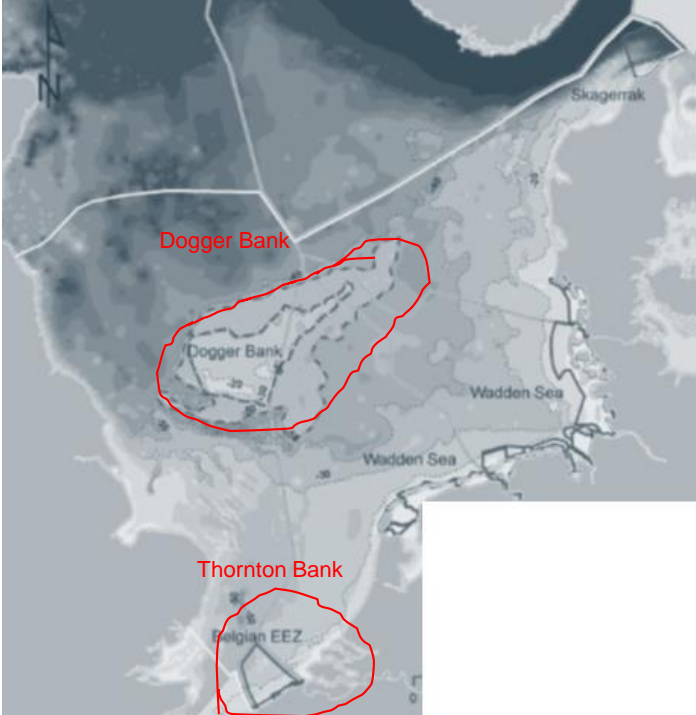
⁴⁹ <http://www.baltseaplan.eu/>

⁵⁰ <http://helcom.fi/action-areas/maritime-spatial-planning>

⁵¹ <http://www.balticsea-region-strategy.eu/about>

5 Preparatory action 2 - the Northeast Atlantic/ North Sea/Channel area MASPNOSE

Table 5-1 Factsheet about MASPNOSE

Budget	562,097 EUR
Requested grant from DG MARE	449,678 EUR (80% co-finance)
Outputs	Assessment of the issues at stake in the North Sea Two MSP plans in two case studies An analysis of evaluation and monitoring practices within MSP
Duration	2009-2012
Geography	Southern North Sea (Dogger Bank and Thornton Bank) 

5.1 Project summary

MASPNOSE was a preparatory action on maritime spatial planning (MSP) co-funded by the DG MARE under tender 2009/17⁵².

Partnership A consortium led by Wageningen University bid for the assignment the 29th April 2010 and finalised the assignment in June 2012. The partners of the consortium were Stichting Dienst Landbouwkundig Onderzoek (SDLO), DELTARES, Johann Heinrich von Thünen-Institut (vTI-SF), Technical University of Denmark (DTU) and University of Gent.

Geograph The geographical area covered by the MASPNOSE case studies was the central and southern part of the North Sea. The areas covered are relatively small areas in the North Sea lying in the jurisdictions of the United Kingdom, Belgium, Germany, the Netherlands and Denmark.

MASPNOSE consisted of two case studies focusing on:

- › the Belgian-Dutch collaboration on the **Thornton Bank** in the southern North Sea, and
- › the development of an international fisheries management plan for the **Dogger Bank** in the central North Sea.

Project overall objectives The overall objectives identified in the MASPNOSE proposal, submitted to DG MARE on 29th April 2009⁵³, were very similar to the call text. Hence, the MASPNOSE project aimed at encouraging and facilitating concrete, cross-border cooperation among European countries on ecosystem-based MSP. Further, the project aimed to test the applicability in practice of the 10 key principles for MSP, identified by the Roadmap on MSP, focusing on the cross-border context and identifying possible gaps or lessons to be learned. Finally, the project aimed at identifying potential barriers in the implementation of national and cross-border MSP and worked out additional recommendations in view of the further development of a common approach towards the application of MSP.

Component-specific objectives The project had five components: 1) Set-up of maritime spatial planning; 2) Reporting; 3) Management and coordination; 4) Communication and Dissemination; and 5) Exchange of information.

Linked to each component were several component-specific objectives:

- › In relation to the first component, the project aimed to gather information and analyse the current conditions, including ecological and biological features, as well as human uses and their impacts, in the area of the southern North Sea. Furthermore, the project should select, specify and describe sea areas for the

⁵² Call for proposals – Mare 2009/17 – Preparatory action on Maritime Spatial planning in the North East Atlantic / North Sea / Channel area

⁵³ Wageningen University 2010, Proposal for Commission call 2009/17.

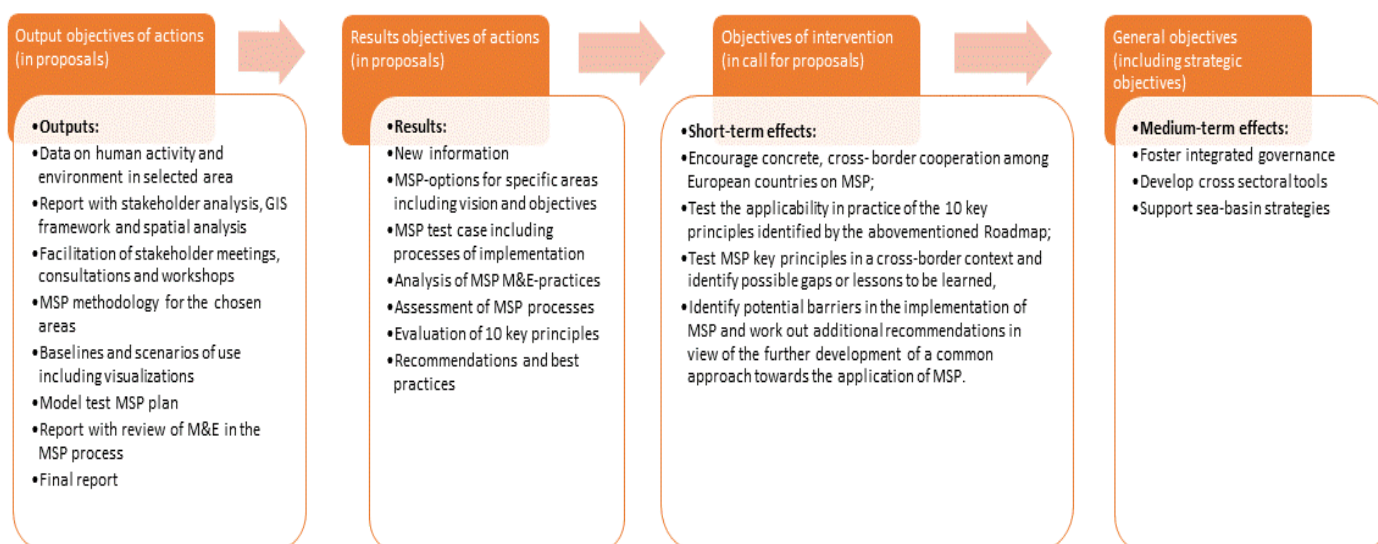
development of cross-boundary marine spatial planning options and design a process for cross-border MSP.

- › The second component aimed at reporting on the project progress to the DG MARE and preparing working documents containing information on specific tasks. At the end of the project, a final report was prepared.
- › The third component was related to the management of the project. The aim of this component was to implement a system for the internal management of the project as well as a system that facilitates the coordination of the work of the project partners.
- › The fourth component aimed at disseminating the project's achievements among relevant stakeholders, national and international authorities and research institutes.
- › The fifth component aimed at setting up an internal communication system in sharepoint, for the project management to work with during the implementation of the project.

5.2 Analysis

This project evaluation analyses the effectiveness, efficiency, EU added value and coherence of the project. The analysis of effectiveness and coherence is supported by the intervention logic of the MASPNOSE project. The intervention logic illustrates the planned outputs, results and effects of the intervention.

Figure 5-1 MASPNOSE intervention logic



The intervention logic describes the planned outcomes of the intervention and, therefore, the reality is likely to be different from the theoretical model. Therefore, the analysis in the following sections will refer to the intervention logic and comment if the reality did not fit with the model, either negatively (project did not

achieve the objectives) or positively (objectives were achieved as planned or the project over-achieved).

5.2.1 Effectiveness

Box 5-1 Summary of findings related to effectiveness

On the basis of an analysis of the outputs, results and effects of MASPNOSE, the evaluation team finds that the project was effective. The project produced its planned outputs and achieved its own, as well as DG MARE’s objectives. In relation to the medium-term effects, the project fostered integrated and sustained governance processes in both the Dogger Bank and the Thornton Bank case studies. However, in the Dogger Bank case study the processes are sustained and thus the effects of MASPNOSE have been more explicit. The project also developed cross-sectoral tools consisting of dynamic maps that stakeholders could use to plot areas of interest in order to propose two plans for MSP.

Evaluation question 1. To which extent are the activities carried out and results obtained by the two grant actions funded, coherent with the activities, outcomes and results indicators foreseen by the proposals?

An analysis of effectiveness includes the extent to which the objectives were attained and an analysis of the contributions and attributions of the intervention. The analysis of effectiveness commences with the objectives found in the DG MARE call (2009/17⁵⁴) and the proposal that was drafted to meet the call.

In the proposal (Bid Wageningen 2009/17)⁵⁵, the consortium specifies objectives, tasks and outputs (deliverables) of the assignment. A comparison between these planned outputs and the actual outputs is the basis for the assessment to which extent the related objectives were attained and ultimately if the MASPNOSE project was effectively executed.

Outputs and results of MASPNOSE

The project consisted of five components with component-specific objectives and outputs. The evaluators went through each of them to assess to what extent the planned outputs had been realised and to what extent the specific objectives of the project had been attained. These assessments are summarised in four tables, one for each project component.

Project component 1: Initial assessment

Component 1 concerned the selection of the two case studies (Dogger Bank and Thornton Bank) and the initial data collection and analysis that the two other components of MASPNOSE would rely on. The output is the report ‘Initial Assessment Report’ (deliverable 1.1). Table 5-2 provides an overview of the objectives and planned outputs of the first component, and the overall attainment of those objectives based on the delivery of outputs and an overall assessment.

⁵⁴ Call for Proposals – Mare 2009/17 – Preparatory action on Maritime Spatial planning in the North East Atlantic / North Sea / Channel area

⁵⁵ Wageningen University (2010) Proposal for Commission call 2009/17.

Table 5-2 Level of goal attainment for the component 1: Setup of maritime spatial planning

Component specific Objectives	Planned outputs	Level of goal attainment
Gather information and analyse the current conditions, including ecological and biological features as well as human uses and their impacts, in the area of the southern North Sea	Inventory of available (spatial) data on human activities and the state of the environment	√
	An analysis of (interaction of) human activity in a cross-border context	√
	A review and comparison of relevant national MSP processes with identified bottlenecks and opportunities	√
	Criteria for selecting cases	√
	Fact sheets providing specifications and spatial information for the chosen sea area	√
Select, specify and describe sea areas for the development of cross-boundary marine spatial planning options	Consultation of the involved national authorities	√
	Identification of operational and strategic issues	√
	GIS framework with bio-physical environment	√
	Fact sheets of possible conflicts in selected areas	√
	Workshop to discuss fact sheets	√
Design a process for cross-border MSP	Description of developed methodology and procedural steps for a cross-border MSP process including EU principles	√

All planned outputs were realised in component 1 and it is assessed that the attainment of objectives is high in relation to all three component-specific objectives.

Overall, the interviewed stakeholders found that this phase of the project met its objectives by producing the spatial analyses and maps that were needed for the two other components. This is also illustrated in the 'Initial Assessment Report', which is well documented in terms of in-depth analyses of national legal frameworks and GIS maps⁵⁶.

Case selection

Initially, the project management discussed several possible cases in the North Sea that would be suitable for an in-depth analysis and observation. After some deliberation, Dogger Bank and Thornton Bank were chosen as suitable cases for the project.⁵⁷ The cases were chosen based on their maturity in terms of on-going MSP processes and the expected involvement of the project team. However, it turned out that both cases required more facilitation from the project team than initially expected. With regard to the Thornton Bank case, some interviewees stated that the active role played by the MASPNOSE team supported project progress and enhanced cooperation. However, some interviewed stakeholders had anticipated that the focus would be to observe the MSP cross-border cooperation process, which had taken place. Instead, some interviewed stakeholders argued that the MASPNOSE project became the primary player in the facilitation process and ultimately ensured the success of the cross-border cooperation initiatives in the Thornton Bank case.

⁵⁶ MASPNOSE (2011) Initial assessment report (deliverable D1.1)

⁵⁷ MASPNOSE (2011) Initial assessment report (deliverable D1.1)

Different types of stakeholder involvement

Furthermore, some interviewed stakeholders from the MASPNOSE management team stated that they had not envisaged driving the MSP processes. Member States, local government and local stakeholders were supposed to be much more active. However, the situation demanded facilitation in order to achieve MSP-results as Member States did not have the incentive, or political will, to initiate cooperation, either due to fear of commitment or to the fact that an EU Directive on MSP was under way.

The two cases were different in several ways.

Stakeholders in the Dogger Bank

1) Dogger Bank was very stakeholder-oriented and driven by private stakeholders who were interested in starting an MSP cross-border process. Government stakeholders from Denmark and the UK were more reluctant, due to commercial interests in the area, whereas the Netherlands and Germany had different interests, related to already designated Natura 2000 areas.

Stakeholders in the Thornton Bank case

2) Thornton Bank was driven by government stakeholders from the Netherlands and Belgium with very different interests. In Belgium, an MSP process had already been initiated and Thornton Bank was therefore not very useful to Belgium in terms of lessons learned. The case was different in the Netherlands where MSP legislation was under preparation. Therefore, it took longer to implement the project and the dynamics were very different to the Dogger Bank case mentioned above. Nonetheless, it was very useful as a cross-border MSP case for both countries, albeit in different ways. The interviewed stakeholders, with insight from the Thornton Bank case, stated that the Netherlands probably gained most from learning about the MSP methodology, while Belgium benefited from the networks that were created during the process. At the same time, however, agreement concerning wind farms and shipping activity on the Dutch side had already been reached, making it difficult to make changes with regard to both activities.

Choice of cases

The choice of cases also determined the focus of the actions, as the cases were centred on issues regarding fisheries and Natura 2000.⁵⁸ According to one member of the management team, the project should have addressed other areas, in order to fully qualify as a cross-border MSP project. Instead, the cases were related to environmental site-management, rather than the trans-boundary issues that characterise MSP. Issues such as shipping and wind energy played a role in the Thornton Bank case and the Dogger Bank case.

MSP facilitation

The interviewed stakeholders generally found that the facilitation process was good, as were the outputs. The facilitation process was regarded as vital for initiating and maintaining the MSP processes in both projects. In the case of Thornton Bank, the facilitation was only concerned with governmental bodies. In the Dogger Bank there was a well-functioning process before the MASPNOSE project, but that was not the case in Thornton Bank.

The processes facilitated by MASPNOSE continue at the Dogger Bank. The sustained networks must be considered a positive result of the process, as the

⁵⁸ MASPNOSE (2012) final report (deliverable D1.3.3)

cooperation continues. The processes were ongoing when the MASPNOSE project started, but the project has led to better processes and more interaction between the stakeholders. Thus, the fishermen at Dogger Bank still use the work processes and maps of MASPNOSE, and so do the environmental NGOs under the RAC framework, according to a few stakeholders interviewed.

Network generation

In relation to the establishment of networks, many contacts were established between the universities managing the project and the various stakeholders. Some of these links still work, as some MASPNOSE project managers are still engaged in the Dogger Bank process. According to stakeholders interviewed, contacts were also made between the stakeholder groups such as fishermen and environmental NGOs. These contacts continue to exist.

Knowledge was also generated as a result of the data collection and analyses. In particular, it concerned the complex issues related to the MSP processes and how to manage them, as well as intra-sectorial conflicts between different groups of fishermen in function of fishing methods etc.

Project component 2: Development of maritime spatial plan

Component 2 concerned the development of cross-border maritime spatial plans in the two selected cases. The main output of this component was the 'Report on cross-border Maritime Spatial Planning in two case studies' (deliverable 1.2). Table 5-3 provides an overview of the objectives and planned outputs of the second component.

Table 5-3 *Level of goal attainment for the component 2: Reporting*

Component specific Objectives	Planned outputs	Level of goal attainment	
Develop a vision and define a set of common objectives for MSP in a cross-border area	Vision and definition of a set of common objectives for MSP in a cross-border area	√	High
	Scenarios of sea use	√	
	Baseline for options of cross-border cooperation	√	
	Feasibility study of scenarios	√	
	GIS analysis	√	
Develop and visualize different agenda options and solutions for cross-border issues	Thematic maps of sea use scenarios for the southern North Sea with a particular focus on the chosen sea areas	√	High
	Visualization and description of different options for cross-border cooperation in each of the chosen sea areas and their implications	√	
	Stakeholder consultations	√	
	Meetings and workshops with national authorities and stakeholder organisations	√	
	Identification of options and thematic maps	√	
Develop a model test case of the function and usefulness of MSP in a cross-border area	A model test case of the function and usefulness of a maritime spatial plan in a cross-border area	√	High

In the Dogger Bank case, the facilitation resulted in two proposals being formulated by NGOs and fishermen about management of the area. The proposals made use of maps provided by MASPNOSE. The proposals were meant for regional and national policy-making, but their actual impact is unknown as no agreement concerning a plan for the area has been reached.

Main outputs of MASPNOSE

The main output of this project component was the ‘Report on cross-border Maritime Spatial Planning in two case studies’. In relation to facilitating the cross-border planning, one interviewed stakeholder stated that MASPNOSE had succeeded and had met the objectives in terms of mapping exercises, conducting meetings, producing reports and summarising the findings. Thus, the project developed a vision and defined a set of common objectives for MSP in both the Dogger Bank and the Thornton Bank. Review of project documentation showed that various agenda options were visualised with stakeholder assistance and that solutions for cross-border issues were investigated using a bottom-up process.

In the project documents, there is no mention of users and/or uses of the MASPNOSE project. The final report states that, for both countries, governmental stakeholders representing fisheries were for the most part absent from workshops and interviews and that, towards the end of the project, some stakeholders no longer had the resources to participate in all meetings. The wind industry participated in some of the initial meetings, but not in meetings later on in the project. In the case of the Thornton Bank, governmental stakeholders preferred not to involve private stakeholders (offshore wind energy, fishermen, shipping, etc.) as this enabled a freer exchange of ideas amongst themselves. Restrictions like these limit the potential number of users, as project findings are not necessarily comprehensive.

Component 3: Evaluation of the maritime spatial planning process

Component 3 concerns the evaluation of the maritime spatial planning process. There are three main outputs of this component: the ‘Final Report’ (deliverable 1.3.3.), ‘Review and assessment of the cross-border MSP processes in 2 case studies’ (deliverable 1.3.2.) and ‘Inventory and analysis of monitoring and evaluation tools’ (1.3.1.). Table 5-4 provides an overview of the objectives and planned outputs of the third component.

Table 5-4 Level of goal attainment for component 3: Management and coordination

Component specific Objectives	Planned outputs	Level of goal attainment	
Inventory and analysis of available MSP monitoring and evaluation practices	Working document with inventory and analysis of M&E tools	√	High
	Review of M&E tools	√	
Review and assess the cross-border MSP process	Working document with M&E of the MSP process	√	High
Evaluation of key principles applied	Analysis of application and experience with key principles in the Roadmap	√	High
Analysis of resources for monitoring and evaluation in a cross-border context	Analysis of resources available for MSP process	√	High
Suggest a concept for a suitable monitoring and evaluation process	Recommendations for evaluation of MSP processes (timing, governance and resources)	√	High
	Review of indicators	√	
Provide recommendations on the set-up of MSP in a cross-border area	Description of experience with MSP processes in the MASPNOSE project	√	High
	High-level workshop	√	

Deliverables

The above mentioned outputs were delivered in three reports (see Appendix B) and one workshop. The first report was titled ‘Inventory and analysis of monitoring and evaluation tools’ (2012). The report gives a comprehensive overview of

evaluation in relation to MSP as well as recommendations for future evaluation of MSP taking into consideration the experience with the two cases and the 10 key principles of the Roadmap.

The second report (deliverable 1.3.2) was titled 'Review and assessment of the cross-border MSP processes in 2 case studies'⁵⁹. The report is a thorough discussion of the 10 MSP principles and their application. The conclusions and recommendations are clearly formulated and elaborate.

The final report of the MASPNOSE project summarised the information from the previous reports.

Concluding the two case studies, all interviewees found the cases to represent interesting insights into cross-border cooperation in the MSP field that was both relevant for private and public organisations. Interviewees also found the quality of the project's outputs to be high.

Lessons learned

Though the two MASPNOSE case studies were limited geographically in their focus, they resulted in some important lessons learned that interviewed stakeholders, and a broader audience, have found useful. This is particularly the case for the Dogger Bank case that according to several interviewed stakeholders was a good example of a bottom up approach with a balanced outcome. All interviewed stakeholders perceived the approach to be appreciated, among non-governmental stakeholders and governments alike. That the case spurred collective generation of ideas and gave important input to policy-making and for local and regional governance, was mentioned by several interviewed stakeholders.

The recommendations were a part of the final report that emphasised six lessons learned during the project. Based on the lessons learned, the 10 key principles in DG MARE's Road Map were scrutinised. The finding of the report was that they did not emphasise sufficiently clear mandates and adaptive processes. Also, the processes should be able to be evaluated and monitored, an important lesson learned from this project. Finally, the transparency of processes was also found to be very important. The six lessons learned are summarised in Table 5-5

Table 5-5 Lessons learned

- | | |
|---|---|
| 1 | MSP requires a clear process with identified steps, deliverables and quality assurance |
| 2 | Effective stakeholder involvement in MSP requires a strategic differentiation between front-stage and back-stage transparency. |
| 3 | Geo-spatial analyses have an important role in MSP. |
| 4 | The EC 10 key principles on MSP are already being applied, but some principles are lacking. |
| 5 | Monitoring and evaluation of an MSP process needs to be defined at the beginning of the process as part of a quality assurance programme. |

⁵⁹ MASPNOSE (2012) 'Review and assessment of the cross-border MSP processes in 2 case studies' (deliverable D1.3.2.)

6 MSP with cross-border implications has three potential levels of engagement; coordinating, consulting or informing.

Barriers to MSP

There was no specific section on barriers to cross-border MSP cooperation in the final report. However, interviewees identified barriers to be related to the lack of legal framework, sharing of information (different levels of information sharing) and financing, as non-governmental organizations do not have the funding to participate in extensive cross-border MSP processes.

Overall, the third component of the project achieved its objectives by assessing the inventory and analysing available MSP monitoring and evaluation practices. It assessed the cross-border MSP process and evaluated the 10 key principles applied in the process. This included an analysis of resources for monitoring and evaluation in a cross-border context, and suggestions for a concept for a suitable monitoring and evaluation processes.

Project component 4: Communication, dissemination

Component 4 relates to the communication and dissemination of project results. Table 5-6 provides an overview of the objectives and planned outputs of the fourth component.

Table 5-6 Level of goal attainment for component 4: communication and dissemination of project results

Component specific Objectives	Planned outputs	Level of goal attainment
Dissemination of the project's achievements among relevant stakeholders, national and international authorities and research institutes.	Establish and operate an advisory board	√
	Organize joint launch and closing conferences	√
	Develop a project website and keep it up-to-date	√
	Publish and disseminate information material	√
	Publish in relevant media	√
	Communication and dissemination plan	√
	Organized joint launch and closing conferences	√
	Published and disseminated information material	√
	Publications in relevant media	√
	Participated in a number of relevant events (e.g. conferences) with presentations	√
A project website	√	
		High

Evaluation

question 2. How have the projects' results and deliverables been used and for what? By whom were they used?

The objectives of the fourth component were attained through the disseminating activities taking place among the relevant stakeholders, national and international authorities and research institutes. Project results were disseminated on a number of specific occasions and through several channels including a project homepage (www.cmp.wur.nl/maspnose). The findings from MASPNOSE were presented at the DG MARE conferences 'European Maritime Day 2012' in Göteborg and 'European Maritime Day 2014' in Bremen.⁶⁰ The project findings were also disseminated to a wide range of stakeholders and to DG MARE.

Interviewed stakeholders did not know if the reports were used. However, there are several indications that the project findings were used to support policy-making decisions within DG MARE to produce the MSP Directive. When following subsequent developments, several interviewed stakeholders were convinced that DG MARE used the report to produce the Directive with inspiration from the lessons learned. According to interviewed stakeholders, the integrated approach had worked in the case of the Dogger Bank, which supported the integrated approach that is part of the Roadmap. Hence, DG MARE's mandate for an integrated approach to MSP was strengthened when the work on the Directive started.

Dissemination to academia

Some interviewed stakeholders argued that the findings would have had greater effect had they been disseminated through scientific publications. Interviewed academic stakeholders indicated that they expected that the project would result in scientific articles published in scientific journals. However, no articles were produced during, or after, the process, primarily due to time and resource constraints. This was, however, not an objective in DG MARE's call, nor in the consortium's proposal. In addition, the lack of resources left little time for compiling data and models that could have generated the basis for scientific articles (see also p. 45 regarding unfulfilled effects).

Overall, the project results were achieved, as shown in the four tables above. The results of MASPNOSE relate to the project objectives formulated in the project proposal and summarised in the intervention logic. The overall conclusion is that the effectiveness of the project was high, as the project achieved its planned objectives according to the intervention logic.

Effects of MASPNOSE**Evaluation**

question 3. Did the preparatory actions have the intended effect?

The effects relate to the objectives of the intervention as specified in DG MARE's call for proposals. Furthermore, effects also relate to changes or the use of project results in creating an effect not initially intended by the project.

The evaluation distinguishes between results and effects. Results are related to the project and its objectives and outputs (e.g. a report (output) generating knowledge (result)). However, effects are external and are a consequence of the results of the project (e.g. the knowledge leads to a policy proposal (effect)). Effects typically materialise once a project is completed.

⁶⁰ <http://ec.europa.eu/maritimeaffairs/maritimeday/en/cross-border-maritime-spatial-planning-lessons-southern-north-sea-and-bothnian-sea>

It was not possible to clearly establish effects based on the data available from the MASPNOSE project. However, interviewed stakeholders believe that a wide range of stakeholders were made aware of the project and its results. At Dogger Bank the project resulted in cooperation and conflict-resolution, this has also continued after finalising the project, with the involvement of several of the stakeholders interviewed.

The results of MASPNOSE were communicated specifically as lessons learned.⁶¹ It is possible, from reading the final report, to obtain a good idea on what to do and what not to do when setting up MSP processes. Interviewees state that they have used these lessons in other contexts and in ADRIPLAN⁶², a similar project in the Adriatic Sea where managers are using the project findings from MASPNOSE as good practice and as baseline.

Evaluation

question 5. To which extent and how did the MSP activities carried out by the two projects help the progress of MSP as a tool in a European context?

Most stakeholder interviews reflect that MASPNOSE had a limited effect on the Member States policy. The Thornton Bank is mentioned as a case where the project did have an effect on a cooperation process between Member States but the effect on actual policy was limited in Belgium because the Belgian approach to MSP had already been drafted when MASPNOSE started. As a consequence, the Belgian MSP was not affected by the project according to a few interviewed stakeholders

According to interviewed stakeholders, there were lessons learned for those Member States that took part both in Thornton Bank (the Netherlands and Belgium) and Dogger Bank (Denmark, UK, the Netherlands and Germany). For those Member States that were not involved, the effect is likely to be much more limited. Especially in the cases of Denmark and UK, the interest in participating in the Dogger Bank case was limited due to their positions on the area management. Denmark has not designated any Natura 2000 sites in the area while the area is a very important fishing ground for Danish fishermen. The UK has also economic interests in the area related to large-scale wind farms and fishing.

⁶¹ MASPNOSE (2014) Final Report (deliverable D1.3.3)

⁶² <http://adriplan.eu/>

Evaluation question 6. To which extent and how did the projects and their deliverables contribute to DG MARE's policy work, notably the preparation of the proposed Directive on maritime spatial planning?

The document review found evidence that DG MARE used the findings from the MASPNOSE project to prepare the MSP Directive (see Directive 2014/89/EU). The MSP Directive's impact assessment used the findings from the pilot studies⁶³ and therefore the evaluator assumes that the MASPNOSE project was used in the preparation process. The document review indicates therefore that the development of the MSP Directive was impacted by the project's results or lessons learned from MASPNOSE. Interviewed stakeholders who had subsequent exchanges with DG MARE, reflect this as well. Commission officials interviewed also confirm that as one of the pilots, MASPNOSE was followed closely by DG MARE.

The new and current call 'MARE 2014/14 Projects on maritime spatial planning'⁶⁴ refers directly to the MASPNOSE project. This call is a follow-up to the preparatory actions and the MSP projects funded under the facility⁶⁵. The call has been changed in relation to previous calls, reflecting the lessons learned in preparatory actions, according to Commission stakeholders interviewed.

5.2.2 Efficiency

Box 5-2 Summary of findings related to efficiency

MASPNOSE was carried out efficiently in terms of delivering the planned outputs. The quality of the planned outputs was high and represented value for money. However, the analysis also suggests that facilitation processes took up a lot of resources, in particularly in relation to the Thornton Bank case, and that the geographical scope of the project could have been larger had this been the priority.

Evaluation question 7. What is the overall (technical) quality of the outputs (contractual/administrative aspects not to be looked at)?

Value for money

The key outputs were the five reports, as well as the facilitation process itself in both the cases. The interviewees found the quality of the reports to be high in terms of language, clarity, illustrations and content. On a general level, all interviewed stakeholders found the quality of the project outputs to be good and in accordance with the expectations of the call for proposals. Interviewed stakeholders also found the lessons learned and recommendations to be specific and applicable to other settings and similar processes (see above).

MASPNOSE was one of the first cross-border MSP projects of its kind. According to some of the stakeholders interviewed, the budget and consortium were smaller than other projects related to MSP (around 560,000 EUR) and, as a consequence, the scope of the project was limited (BaltSeaPlan is 3.7 mio EUR but involves a much larger area and more countries). A majority of interviewed stakeholders found that, given the novelty of the project and the scarce resources available, the

⁶³ Commission (2013) impact assessment for Directive establishing a framework for maritime spatial planning and integrated coastal management.

http://ec.europa.eu/maritimeaffairs/policy/maritime_spatial_planning/documents/swd_2013_65_en.pdf

⁶⁴ This is funded under the EMFF

⁶⁵ Call for Proposals DG MARE/2014/22

value for money was good. All interviewed stakeholders seem to share this opinion. Among interviewed stakeholders there is satisfaction with the outputs of MASPNOSE and the attainment of objectives, but also an expressed frustration that the project could not deliver more.

Unfulfilled potential
of MASPNOSE

According to some academic stakeholders interviewed, the MASPNOSE project could have produced more quality outputs in some key areas. In particular, these interviewed stakeholders expressed disappointment that no academic outputs were produced. This was due to the focus on the facilitation processes that used resources from the dissemination activities. However, the budget was used to deliver what was promised in the proposal. It is important to stress that DG MARE's call did not specifically ask for academic outputs in the form of published articles. A few interviewed stakeholders argued that this was a mistake and that the impact of the project could have been increased by doing so. On the other hand, other interviewed stakeholders found that the academic approach was too pronounced (see also p. 42).

A few of the stakeholders interviewed found that the choice of a relatively narrow case focus, instead of taking a broader view on MSP in the North Sea, limited possible effects. The case of Thornton Bank was criticised for not being a "real case" because the MASPNOSE project team had to 'invent' the MSP processes not in place at the outset of MASPNOSE. MASPNOSE thus used several resources to start the processes that the Netherlands and Belgium initially did not have. According to stakeholders interviewed, the facilitation of the MSP processes took a longer time and more resources than expected, which in turn also had negative consequences for the collection of data and production of more advanced models.

Project management
or facilitation

The facilitation of events and meetings in MASPNOSE was key to its success. Interviewed stakeholders recognise that meetings played a key role, but at the same time also state that the coordination of the project could have been better. Communication within the management team is reported to have been unclear and the same criticism is raised in relation to resource allocation. A few interviewed stakeholders criticised the fact that resources were used to hold too many costly meetings. This was partly due to inexperience with DG MARE procedures and other administrative rules guiding the programme (compared to FP7). Also, there was little flexibility in the budget in relation to that was stated in the proposal.

Another criticism, put forward by several stakeholders interviewed, was that outputs (facilitation and reports) suffered because not enough stakeholders were on board. In the Dogger Bank, several stakeholders were only present at a few meetings (e.g. wind energy) while others did not have the funds to participate in the final meetings.

5.2.3 EU Value Added

Box 5-3 Summary of findings related to EU value added

MASPNOSE was a project of EU added value because it serves as a case of best practice and because it is unlikely that the same amount of funding and cooperation would have resulted had a similar project been initiated by one of the stakeholder entities.

Evaluation

question 8. To which extent did the programme represent EU added value?

MASPNOSE represents one of the first attempts to facilitate and learn from processes of multi-level stakeholder cooperation, involving several countries, in relation to MSP. Therefore, it is unlikely that the outputs of the MASPNOSE project would have been achieved without EU funding. This is particularly the case for Thornton Bank, where there was no cooperation initially and where the MASPNOSE project was the driver that implemented and supported cooperation.

Another aspect is that cross-border cooperation is international by nature, so the EU funding makes sense from the theoretical point of view, particularly when cooperation involves more than two countries as well as multiple stakeholders. There are a few alternatives to EU direct management funding, such as the North Sea Region Programme (Interreg)⁶⁶ targeting regional players (but not only). Furthermore, NSRAC's⁶⁷ leverage is local and questions on energy or exploitation of natural resources often collide at a national level. In small, centralised countries, such as Denmark and the Netherlands, local or regional authorities typically did not, at this point in time, have mandates to decide on issues covered by MSP.

Information from previous experiences of MSP show that it is rare to have multi-stakeholder cooperation in Europe, such as the cooperation on the Dogger Bank. In addition, one interviewed stakeholder maintained that DG MARE's call had originally been intended for Member State authorities and not universities per se, but due to insufficient interest, and possibly limited resources, national governments did not want to participate in the project. For this reason, it is therefore unlikely that a facilitation and data collection exercise such as MASPNOSE would have taken place without EU-funding.

5.2.4 Coherence

Box 5-4 Summary of findings related to coherence

The evaluators find that for certain themes MASPNOSE overlaps with other projects on the Dogger Bank. MASPNOSE, however, does have a clear focus on MSP, which is not shared by the other projects. The project was coherent, inspiring and contributed towards best practices for other subsequent projects in the North Sea and beyond.

⁶⁶ <http://www.northsearegion.eu/ivb/home/>

⁶⁷ <http://www.nsrac.org/>

Evaluation question

9. To which extent were the two individual grant actions mutually supportive and did they and their results converge towards the same over-arching policy objective?

Coherence relates to the consistency between the MASPNOSE project and other interventions funded by the EU. Here it is most relevant to mention the other preparatory action, Plan Bothnia. The two preparatory actions were completely separate as they were implemented by different entities, with different stakeholders and different project management.

In terms of objectives, MASPNOSE, to a certain extent, intersects with COEXIST⁶⁸. COEXIST was implemented from 2010 to 2013 and had, as its objective, the evaluation of interaction between coastal and marine activities, with particular focus on fisheries and aquaculture. Through case studies (among other outputs), COEXIST provides a roadmap to better integration, sustainability and synergies between different activities. In particular, COEXIST provides a case study on the Atlantic coastline that overlaps with MASPNOSE in terms of the analysis of conflicting interests and environmental exploitation in the area.

MASPNOSE also crossed/overlapped with MASMA⁶⁹ in terms of a case study of the Dogger Bank, which mapped, monitored and evaluated the management of the maritime area, as well as other maritime areas in the southern North Sea. The EU-funded project FIMPAS⁷⁰ also focuses on the Dogger Bank in relation to the protection of the site according to the Habitats Directive⁷¹ and provides options for management and an assessment of the actions needed.

According to interviewed stakeholders, MASPNOSE has contributed to the development of regional sea basin approaches in cooperation fora in the North Sea.⁷² The project has served as an example of best practice and inspiration for generating ideas in, for example, the North Sea Commission.⁷³

⁶⁸ COEXIST - Interaction in European coastal waters: A roadmap to sustainable integration of aquaculture and fisheries. <http://www.coexistproject.eu/> (1st November 2014)

⁶⁹ <http://www.mesma.org/default.asp?ZNT=S0T1O746P814> (10th November 2014)

⁷⁰

[http://www.ices.dk/sites/pub/Publication%20Reports/Expert%20Group%20Report/acom/2012/FIMPAS-Doggerbank/5.%20Report%20on%20Fisheries%20Measures%20in%20Protected%20Areas%20\[1\].pdf](http://www.ices.dk/sites/pub/Publication%20Reports/Expert%20Group%20Report/acom/2012/FIMPAS-Doggerbank/5.%20Report%20on%20Fisheries%20Measures%20in%20Protected%20Areas%20[1].pdf) (1st November 2014)

⁷¹ http://ec.europa.eu/environment/nature/legislation/habitatsdirective/index_en.htm

⁷² <http://www.nsrac.org/> (11th November 2014)

⁷³ <http://www.northsea.org/index.php/thematic-groups> (11th November 2014)

6 Common conclusions and lessons learned

This chapter concludes on each evaluation criterion for both preparatory actions. Furthermore, it also answers the evaluation questions, based on the analysis in the two previous chapters. The lessons learned in this chapter are drawn from the analysis of the two preparatory actions. Each action also produced a number of lessons learned that can be found in the analysis above, or in the documentation produced by the two actions.

Effectiveness

Evaluation question 1.
Attainment of objectives

The two preparatory actions delivered the planned outputs and achieved the objectives set in both the Commission's call for proposals and the project proposals. The many outputs produced by both actions supported the achievement of the overall objectives, which were to encourage concrete cross-border cooperation, apply and test the 10 key principles of MSP and identify the barriers to MSP processes. Based on these results, it can be concluded that the preparatory actions have been effectively implemented.

Evaluation question 2. – use of results

The preparatory actions contain several examples of use of the project outputs and it is thus safe to conclude that the outputs have been used by stakeholders at various levels.

The project outputs were used to support a continued effort in cross-border cooperation locally, including proposals for specific plans as well as better data and maps of the areas (Dogger Bank and Bothnian Sea). The actions were used to form networks that are still functioning. Some Member States gained important lessons for their own planning efforts (particularly the Netherlands and Sweden).

Other MSP projects based their approaches on both actions and DG MARE also used the results as inspiration for the MSP Directive. The integrated process of both projects was thus used to reinforce this emphasis, which was already prevalent in the Roadmap (mentioned in Chapter 2).

Evaluation question 3 – intended effects

The results and effects of the two projects corresponded with the intended effects set out in the call for proposal. Both projects had similar objectives, which were closely aligned with the objectives in the call for proposals. The objectives

concerned concrete action to encourage cross-border MSP processes as well as to evaluate the 10 key principles of MSP processes. Finally, the projects would also identify barriers to the implementation of these processes. The two projects resulted in several high-quality outputs with important lessons learned, which have been used by other MSP projects and policy-makers as inspiration.

**Evaluation
question 4 - Result
dissemination**

Both projects disseminated their results widely through their websites, at MSP conferences and events (e.g. European Maritime Days) and, to some extent, in the popular media and scientific journals. The MASPNOSE website is no longer available. The Plan Bothnia project still has a live website (see under Plan Bothnia), mainly because Plan Bothnia was led by HELCOM which is able to maintain the website. However, it is unfortunate that a small budget was not made available for the continuation of the MASPNOSE website. Plan Bothnia also managed to publish one scientific article (see under Plan Bothnia). More attention was also given by the local press than MASPNOSE.

The analysis suggests that both projects disseminated results satisfactorily and in line with their proposals.

**Evaluation
question 5 -
Contribute to
progress of MSP**

In the preparatory actions, evidence was found that the projects' findings were important input to the process of moving forward with MSP in Europe at both a Member State level and at EU level.

At the local level, the projects left behind them on-going MSP processes (except in the Thornton case), where key stakeholders continued to cooperate and dialogue in established networks. At the national level, the projects helped Member States and regions to move forward with their planning prior to the MSP Directive and the ongoing implementation of this Directive. Particularly in Sweden, Plan Bothnia was an inspiration to this process. At the European level, the projects have served as best practice and benchmarks for other MSP processes and projects, such as ADRIPLAN in the Adriatic Sea.

**Evaluation
question 6 -
Contribute to DG
MARE's policy work**

Overall, evidence from the analysis suggests that the European Commission has used findings from both projects in its policy work with the MSP directive, as well as in recent/late calls for proposals. The actions were some of the best material available to elucidate barriers to MSP processes and problems with the existing framework. Therefore the actions were also taken into consideration by DG MARE in the impact assessment produced for the preparation of the MSP Directive.

Efficiency

**Evaluation
question 7 - Quality**

Evidence from both preparatory actions suggests that the funded projects were executed efficiently, representing value for money.

Plan Bothnia was executed very efficiently due to its institutionalisation at HELCOM and cultural and historic ties and traditions of cooperation between Finland and Sweden. The project also represented value for money and the outputs far exceeded what can normally be expected from a project such as this, with a relatively modest input.

In MASPNOSE, interviewees were surprised about the administrative workload and the costs of facilitation meetings with stakeholders. This strained resources, ultimately limiting the potential for a broader approach in the two case studies of the MASPNOSE preparatory action.

EU Added Value

Evaluation question 8 – EU added value

The findings resulting from the analysis are that there are few alternatives to EU funding for integrated cross-border MSP projects. The data suggests that the projects would not have had the same impact without EU funding. On this basis, the preparatory actions represent EU added value.

Coherence

Evaluation question 9 - Mutual support of actions to overall policy objectives

The findings from the analysis suggest that the two actions did not overlap with similar types of interventions with regard to the focus on specific MSP processes. Both actions supported policy objectives and provided inspiration for the work on IMP and the MSP Directive.

In terms of geographical coverage, several other initiatives have covered the geographical area of the Dogger Bank. The two case studies in the MASPNOSE preparatory action were selected after the award of the contract. It is recommended that future proposals include at least tentative case selections, so that DG MARE can avoid partial overlap between projects.

The two actions were implemented in parallel with only little coordination or communication between the two. However, given the particularity of the projects, this was not a problem in relation to maximising the outputs and results of the individual projects.

Key lessons learnt

The lessons learnt from the two preparatory projects are amongst others:

- › **Positive effect of prior cooperation and institutionalisation.** In cases where two countries share planning cultures and are used to cooperating with each other, chances for successful MSP transboundary/cross-border cooperation are increased. One of the reasons for Plan Bothnia's success has undoubtedly been the relatively similar administrative culture and common views on planning on both sides of the Bothnian Sea in Finland and Sweden. The two countries and their regions have, for decades, cooperated with great success. Anchoring the project in HELCOM, an experienced regional organisation, increased the likelihood of success as well.
- › **MSP cross-border cooperation must be assessed on a case-by-case basis.** Cross-border cooperation in MSP is highly context-dependent and the nature of the various internal and external factors determines success or failure for each individual project. In the two preparatory projects, these factors pertain to the inclusion of stakeholders from all levels of government, private stakeholders and NGOs, with varying resources, as well as area-specific features such as varying levels of environmental degradation and exploitation. These factors all played a role in determining the success of the projects.

- › **Stakeholder involvement needs to be bottom-up.** Cross-border cooperation on integrated MSP is taking place in specific contexts that depend on the particular interplay of various factors such as specific governance structures, environmental issues and local resource exploitation. This increases the demand for management and facilitation of MSP processes, because of the complexity that is inherent in a cross-border project. In a complex setting where very few generic approaches can be applied, it is crucial for the success of the project to give attention to the weaker stakeholder groups' needs in order to support a democratic and integrated process.
- › **Transparency is important for project success.** An important part of integrated MSP processes is transparency and sharing of information. In both preparatory projects this was a key feature and a prerequisite for success. Transparency relates to the processes as well as to facts and basic background material such as maps and other information. Transparency creates trust and allows for a facts-based discussion that can efficiently move opposing viewpoints closer to each other.
- › **Support to dissemination in academic journals is important.** MSP was relatively new to both the planning practitioners in national governments and to the academics involved in the projects. When releasing public funds to investigate new and/or little-researched concepts, such as integrated MSP, DG MARE should consider capitalising on this by favouring proposals that plan to disseminate results in academic and scientific journals. The benefit of this would be the establishment of a more generalised knowledge base, which could be used in future interventions, providing precise information from project reports.

Appendix A Task 2 Evaluation framework and interview questions

	Judgement criteria	Indicators	Data collection methods and sources	Question
Effectiveness				
Evaluation question 1. To which extent are the activities carried out and results obtained by the two grant actions funded, coherent with the activities, outcomes and results indicators foreseen by the proposals (see Appendix 4)?	Actions have contributed to the fulfilment/achievement of the objectives of the project	Degree of fulfilment of projects indicators. Stakeholders assessment of achievement of objectives	Desk research of project document intervention logic analysis Interviews with Commission Interviews with project partners Interviews with other stakeholders	1. On a general level, to what extent do you think that actions have met their objectives? 2. To what extent do you think that the actions have met the (specific) objectives? <i>(List relevant objectives to interviewee)</i>
Evaluation question 2. How have the projects' results and deliverables been used and for what? By whom were they used? (included under durability in the ToR)	Pilot actions taken were up by relevant authorities and institution Facilities have been developed	Stakeholders assess that effects are likely to last after an action has terminated. Users can be identified.	Interviews with project partners Interviews with other stakeholders	3. How were the outputs of the action/project clusters used? And by whom? Please provide examples?
Evaluation question 3. Did the preparatory actions have the intended effect (see list of objectives) ? (this questions was place under 'value added' in the ToR))	The number and quality of recommendations concerning MSP. Gaps and lessons learned have been identified when drafting spatial plans	Activities undertaken for concrete cross-border cooperation among European countries on MSP; Stakeholders confirm applicability in practice of the 10 key principles identified by the Roadmap; Stakeholders assessment of overall effect	Intervention logic analysis of call Analysis of project documentation Interview with Commission Interviews with project partners	4. Did the actions result in specific recommendation regarding the MSP' ? Please specify? 5. Are the concrete examples of cross-border cooperation on MSP generated by the projects. Please specify 6. Were potential barriers in the implementation of MSP identified ? Please specify.

	Judgement criteria	Indicators	Data collection methods and sources	Question
<p>Evaluation question 4. In how far has there (the results) been dissemination?</p>	<p>The effect of the dissemination carried out on the stakeholders targeted by it?</p> <p>Wider spill-over effects can be identified</p>	<p>Dissemination of results to stakeholders have been undertaken.</p> <p>Degree of take-up of the disseminated information by stakeholders</p>	<p>Interviews with project partners</p> <p>Interviews with other stakeholders</p> <p>Analysis of documentation (reports)</p> <p>Analysis of research</p>	<p>7. To what extent do you think the programme has contributed to increased awareness?</p> <p>Among which types of stakeholders?</p> <p>8. To what extent do you think that the programme has contributed to network generation?</p> <p>Please provide examples?</p>
<p>Evaluation question 5. To which extent and how did the MSP activities carried out by the two projects help the progress of MSP as a tool in a European context?</p>	<p>The project results have been transferable and replicable</p>	<p>National maritime spatial planning adopted results or lessons from the two projects</p> <p>Degree of practical use of results by third parties</p>	<p>Interviews with Commission</p> <p>Interviews with member states</p> <p>Analysis of documentation (reports)</p> <p>Analysis of research</p>	<p>9. Have the project results been transferable and replicable?</p> <p>If yes, specify in what way and by whom.</p>
<p>Evaluation question 6. To which extent and how did the projects and their deliverables contribute to DG MARE's policy work, notably the preparation of the proposed Directive on maritime spatial planning?</p>	<p>The results of the actions had influence on DG Mare policy/IMP work.</p> <p>The proposed MSP Directive (adopted by the European Parliament on April 15 2014) was affected by the projects' results</p>	<p>Project results have been communicated comprehensively</p> <p>DG MARE has translated the results to policy guidelines</p> <p>Stakeholders assess that result of projects have influenced policy making</p>	<p>Desk research of DG Mare documents</p> <p>Interviews with Commission</p> <p>Interviews with member states</p>	<p>10. Did the preparatory actions contribute to the further development of IMP?</p> <p>Please specify in which way.</p> <p>11. Where key questions or problems arising from the actions is addressed by DG MARE?</p> <p>In what way?</p>

Judgement criteria	Indicators	Data collection methods and sources	Question	
Efficiency				
Evaluation question 7. What is the overall (technical) quality of the outputs (contractual/administrative aspects not to be looked at)?	The actions has provided value-for-money	Stakeholders assessment of the relation between the investment in an action and the results/achievements obtained. Adequate funding has been allocated to the objective	Analyses of project documents Interviews with Commission Interviews with project partners Interviews with other stakeholders Budgetary allocations will be used to inform the degree.	12. To what extent did the quality of project outputs match the description in the ToR? How do you judge this? 13. Considering the costs associated with the project, how would you assess value for money comparing costs with the value of the outputs?
EU Value added				
Evaluation question 8. To what extent did the programme represent EU added value?	Objectives achieved more efficiently and effectively by implementing these actions as EU rather than individually on the MS level.	Stakeholder assessments	Interviews with Commission Interviews with project partners Interviews with member states Interviews with other stakeholders	14. To what extent could the preparatory actions results have been achieved by actions at MS-level, alone?
Coherence				
Evaluation question 9. To which extent were the two individual grant actions mutually supportive and did they and their results converge towards the same overarching policy objective?	Both projects contributed at member state level towards the development and utilisation of maritime spatial planning, especially in a cross-border context. They contributed to the elaboration of the proposed MSP Directive.	Individual action assessment (evaluation) confirms link Direct links between project results and MSP development nationally and EU-wide identified The level of coherence between the various actions administered by DG MARE, by other DGs (under sub-delegation from MARE) and the IMP.	Contribution analysis Intervention logic analysis on call for proposal Interviews with Commission Desk research on other EU policies	15. To what extent did the actions have an effect on national policy? And what kind of effect – please provide examples?

Appendix B Documentation

Title	Identification	Type of document
A Maritime Policy for the Union: Towards a future vision for the oceans and seas	COM/2006/275	Policy
Communication from DG MARE to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions - An Integrated Maritime Policy for the European Union ('Blue Book') -	COM/2007/575	Policy
Regulation 1255/2011 of 30 November 2011 establishing a transitional programme to support financially the further development of an Integrated Maritime Policy	Regulation 1255/2011	Legal
Ex-ante evaluation for the proposal of 29 September 2010 by DG MARE for a Regulation establishing a programme to support the further development of an Integrated Maritime Policy	SEC/2010/1097	Evaluation
Communication from DG MARE of Nov. 25 2008: "Roadmap for Maritime Spatial Planning: Achieving common principles in the EU"	COM/2008/0791	Policy
Commission Call for Proposals 2009/17	COM/2009/17	Call
European Commission. Green Paper – Reform of the Common Fisheries Policy Brussels	COM/2009/0163	Green Paper
Towards a coherent Maritime Spatial Planning in the Baltic Sea, Gdansk, Poland	May, 2011	Presentation
Maritime Spatial Planning in the Baltic Sea - current initiatives", Berlin, Germany	January, 2012	Presentation
The Key to governing the fragile Baltic Sea. Planning in fragile sea", Riga: Vasab Secretariat.	Zaucha, Jacak (2014)	Book
Maritime Transport in the Gulf of Bothnia 2030. AMBIO 43(6) http://link.springer.com/article/10.1007%2Fs13280-013-0489-0 (10th November 2014)	Pekkarinen, Annukka and Repka, Sari (2014)	Article
Planning the Bothnian Sea. HELCOM	Plan Bothnia (2013)	Report
Grant Application Form for the MARE 2009/16 action proposal "PLAN BOTHNIA"	HELCOM	Proposal
Interim report I, 30 August, 2011	HELCOM (2011)	Interim report
Interim report I, 29 February, 2012	HELCOM (2012)	Interim report
Proposal for Commission call 2009/17.	Wageningen University (2010)	Proposal
Initial assessment report (deliverable D1.1)	MASPNOSE (2011)	Report
Review and assessment of the cross-border MSP processes in 2 case studies (deliverable D1.3.2.)	MASPNOSE (2012)	Report
Final Report (deliverable D1.3.3)	MASPNOSE (2014)	Report
Impact assessment for Directive establishing a framework for maritime spatial planning and integrated coastal management.	Commission/2013	Policy document
Interaction in European coastal waters: A roadmap to sustainable integration of aquaculture and fisheries. http://www.coexistproject.eu/ (1st November 2014)	COEXIST	Roadmap
http://www.mesma.org/default.asp?ZNT=SOT1O746P814 (1 st November 2014)		

http://ec.europa.eu/maritimeaffairs/policy/maritime_spatial_planning/documents/swd_2013_65_en.pdf (10 th November 2014)
http://www.ices.dk/sites/pub/Publication%20Reports/Expert%20Group%20Report/acom/2012/FIMPAS-Doggerbank/5.%20Report%20on%20Fisheries%20Measures%20in%20Protected%20Areas[1].pdf (1 st November 2014)
http://ec.europa.eu/maritimeaffairs/maritimeday/en/cross-border-maritime-spatial-planning-lessons-southern-north-sea-and-bothnian-sea (10 th November 2014)
http://helcom.fi/ (10 th November 2014)
http://maps.helcom.fi/website/PlanBothnia/index.html (10 th November 2014)
http://planbothnia.org/ (10 th November 2014)
http://www.partiseapate.eu/maritime-spatial-planning/previous-projects/ (10 th November 2014)
http://ec.europa.eu/maritimeaffairs/maritimeday/en/cross-border-maritime-spatial-planning-lessons-southern-north-sea-and-bothnian-sea (10 th November 2014)
http://www.vasab.org/index.php/events/item/182-baltic-msp-forum-riga (10 th November 2014)
https://www.havochvatten.se/en/swam/our-organization/press-and-media/press-releases/press-releases/2013-12-03-anticipation-of-new-eu-and-national-legislation-sparks-dialogue-on-how-to-use-marine-waters.html (10 th November 2014)
https://www.havochvatten.se/en/swam/eu--international/marine-spatial-planning/within-the-eu.html (10 th November 2014)
http://ec.europa.eu/maritimeaffairs/spatial_planning_en.html (10 th November 2014)
https://webgate.ec.europa.eu/maritimeforum/fr/node/232 (10 th November 2014)
http://www.partiseapate.eu/maritime-spatial-planning/previous-projects/ (10 th November 2014)
http://www.baltseaplan.eu/ (10 th November 2014)
http://helcom.fi/action-areas/maritime-spatial-planning (10 th November 2014)
http://www.balticsea-region-strategy.eu/about (10 th November 2014)
http://ec.europa.eu/maritimeaffairs/policy/maritime_spatial_planning/documents/swd_2013_65_en.pdf (10 th November 2014)
ADRIAPLAN http://adriplan.eu/ (10 th November 2014)

Appendix C Interviews

No	Name of organisation	Name	Type of interview	Status
1	DG MARE	Sylvain Gambert	Both MASPNOSE and Plan Bothnia	29.10.2014
2	CPMR	Damien PÉRISSÉ Enrico MAYRHOFER	MASPNOSE	04.11.2014
4	Helcom	Hermanni Backer	Plan Bothnia	24.10.2014
8	Pelagic fish	Martin Pastoors	MASPNOSE	27.10.2014
9	DTU Aqua	Thomas Kirk Sørensen	MASPNOSE	24.10.2014
10	Johan Heinrich von Thünen Institute, Institute of Sea Fisheries	Vanessa Stelzenmüller	MASPNOSE	23.10.2014
11	North Sea Commission	Advisor Camilla Stavnes	MASPNOSE	10.11.2014
14	Van Hall Larenstein, University of Applied Sciences	David Goldsborough	MASPNOSE	27.10.2014
15	VASAB	Talis Linkaits	Plan Bothnia	30.10.2014
16	SYKE	Pasi Laihonen	Plan Bothnia	28.10.2014
17	SwAM Swedish Agency for Marine and Water Management	Joacim Johannesson	Plan Bothnia	06.11.2014
19	Belgium Federal Government DG Environment	Charlotte Herman	MASPNOSE	05.11.2014
21	Directorate-General for Spatial Development and Water Affairs; Ministry for Infrastructure and the Environment (the Netherlands)	Lodewijk Abspoel SR policy advisor North Sea (IMP and MSP)	MASPNOSE	03.11.2014

Appendix D Questionnaire

Interview guide and reporting format Task 2 (preparatory actions)

Name of preparatory action:

Date of interview:

Interview person and organization:

Interview conducted by:

EQ	Question
	Effectiveness
1	<p>1. On a general level, to what extent do you think that the preparatory action has met the objectives?</p> <p><i>(List relevant objectives to interviewee)</i></p> <p>1) Encourage concrete, cross- border cooperation among European countries on MSP;</p> <p>2) Test the applicability in practice of the 10 key principles identified by the abovementioned Roadmap;</p> <p>3) Test MSP key principles in a cross-border context and identify possible gaps or lessons to be learned, notably through the development of MSP in sea areas shared by several Member States and by drafting maritime spatial plans for selected areas;</p> <p>4) Identify potential barriers in the implementation of MSP and work out additional recommendations in view of the further development of a common approach towards the application of MSP.</p> <p>Answer</p>
	<p>2. To what extent do you think that the action has met the (specific) objectives?</p> <p><i>(List relevant objectives to interviewee)</i></p> <p>Answer</p>
2	<p>3. How were the outputs of the action used??</p> <p>And by whom?</p> <p>Please provide examples?</p> <p>Answer</p>

EQ	Question
3	4. Did the actions result in specific recommendation regarding the MSP? Please specify?
	Answer
	5. Are the concrete examples of cross-border cooperation on MSP generated by the projects. Please specify
	Answer
	6. Were potential barriers in the implementation of MSP identified? Please specify.
	Answer
4	7. To what extent do you think the action has contributed to increased awareness? Among which types of stakeholders?
	Answer
	8. To what extent do you think that the action has contributed to network generation? Please provide examples?
	Answer
5	9. Have the action/project results been transferable and replicable? If yes, specify in what way and by whom.
	Answer
6	10. Did the preparatory actions contribute to the further development of MSP or IMP in general? Please specify in which way.
	Answer
	11. Where key questions or problems arising from the actions is addressed by DG MARE? In what way?
	Answer
	Efficiency
7	12. To what extent did the quality of project outputs match the description in the project proposal?

EQ	Question
	How do you judge this?
	Answer
	13. Considering the costs associated with the project, how would you assess value for money comparing costs with the value of the outputs?
	Answer
EU Value Added	
8	14. To what extent could the preparatory actions results have been achieved by actions at MS-level, alone?
	Answer
Coherence	
9	15. To what extent did the action have an effect on national policy? And what kind of effect – please provide examples?
	Answer
	16. Are you aware of or have you participated in other actions/project funded by DG MARE (under the IMP facility)? If yes, how do these link/connect to the preparatory action?
	Answer
Recommendation	
	17. Do you have any recommendation to changes of additional to the focus of the policy area for the future?
	Answer
	18. Any other comments, observations or additions?
	Answer

Appendix E Intervention logic

