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

ABSTRACT AND EXECUTIVE SUMMARY

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MARCH 2015
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REPARATORY ACTIONS FOR MARITIME SPATIAL PLANNING: ABSTRACT AND EXECUTIVE SUMMARY

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List of abbreviations and acronyms

AAR	Annual Activity Report
ADRIPLAN	ADRiatic Ionian maritime spatial PLANning
Aquapol	A network of law-enforcement authorities dealing with maritime and inland navigation
BG	Blue Growth
BluemassMed	Initiative covering six EU Member States located around the Mediterranean Sea basin and its Atlantic approaches
BSR	Baltic Sea Region
Bucharest	The Convention for the Protection of the Black Sea of 1992 – the Bucharest Convention
CCA	Climate change adaptation
CFP	Common Fisheries Policy (CFP)
CIS	Common Implementation Strategy
CISE	Common Information Sharing Environment
CoopP	Cooperation Project
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
EASA	European Aviation Safety Agency
ECP	European Climate Platform
ECGF	European Coast Guard Forum
EEA	European Environment Agency
ENV	Environment
EMFF	European Maritime and Fisheries Fund
EMODNet	European Marine Observation and Data Network
EMSA	European Maritime Safety Agency
EQ	Evaluation question
ERDF	European Regional Development Fund
ETC	European Territorial Cooperation
EU	European Union
EUMSS	European Union Maritime Security Strategy
EUROSUR	An information-exchange system hosted by Frontex, used by Schengen Member States
EUSAIR	European Union Strategy for the Adriatic and Ionian Region
EUSBSR	European Union Strategy for the Baltic Sea Region
FEMIP	Facility for Euro-Mediterranean Investment and Partnership
FP7	Framework Programme 7
FWCs	Framework contracts
GES	Good Environmental Status
GHG	Greenhouse gas

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
INTERREG	European Union fund to support interregional cooperation
IMP	Integrated Maritime Policy
IMS	Integrated Maritime Surveillance
JRC	Joint Research Centre
MASPNOSE	MAritime Spatial Planning in the North-East Atlantic / North Sea / Channel area
MARATLAS	European Atlas of the Seas
MARSUNO	Initiative covering nine northern EU Member States, together with Norway and the Russian Federation, under Swedish leadership
MARSUR	A network of 17 Member States and Norway using existing naval and maritime information-exchange systems
MCGF	Mediterranean Coast Guard Forum
MFF	Multiannual Financial Framework
MS	Member States
MSFD	Marine Strategy Framework Directive
MSEsG	Member States' Expert Group on Maritime Surveillance
MSP	Maritime spatial planning
NGO	Non-governmental organisation
OSPAR	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
RSCs	Regional Sea Conventions
SEIS	Shared Environmental Information System
SeaDataNet	Pan-European infrastructure for ocean and marine data management
SSN	SafeSeaNet (A vessel traffic monitoring and information system managed by EMSA)
SWD	Solid Waste Directive
TAG	Technical Advisory Group
TFP	Transitional financial programme for the Integrated Maritime Policy
TPEA	Trans-boundary Planning Europe Atlantic
ToR	Terms of reference
UNEP-MAP	The Convention for the Protection of Marine Environment and the Coastal Region of the Mediterranean of 1995 – the Barcelona Convention
VASAB	Vision and Strategy around the Baltic Sea
WFD	Water Framework Directive
WISE	Water Information System for Europe

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Abstract

In August 2014, DG MARE commissioned an evaluation of the transitional financial programme (TFP) of the Integrated Maritime Policy (IMP). The programme was established to provide financing for the further development and implementation of the IMP. The funding (EUR 40 million) aimed at supporting actions not covered under existing EU funding initiatives and sought coherence with other relevant EU policies. The programme was in operation from 2011 to 2014.

The evaluation classified the 70-odd projects funded under the TFP into five clusters representing the key intervention areas of the IMP. Data were collected through interviews with around 80 stakeholders, desk research of project and policy documentation and case studies of 12 individual projects.

The overall assessment of the five clusters Marine Knowledge, IMS, Environment, Blue Growth and sea basins and maritime spatial planning is that the TFP has, or will, achieve most of its objectives and will do so relatively efficiently. The policy framework is coherent and the actions have contributed to achieving this. The projects were relevant and have overall generated EU added value. The future programme would benefit from a review of implementation methods and focus areas, enhanced coordination between programme actions and additional efforts to increase programme awareness and stakeholder involvement.

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Executive summary

In August 2014, the Directorate General for Maritime Affairs and Fisheries (DG MARE) commissioned an ex post evaluation of the "transitional financial programme of the Integrated Maritime Policy" as required by the Regulation[1]. The transitional financial programme (hereafter the TFP) of the Integrated Maritime Policy was established to support the development of the Integrated Maritime Policy (hereafter IMP). The programme was approved in 2011 and expired on 31 December 2014.

Transitional financial programme

The overall aim was to provide financing for the further development and implementation of the IMP. The funding was targeted at actions not covered under existing EU funding initiatives and it should be coherent with other relevant EU policies[2]. The TFP lists a number of general objectives: a) integrated governance of maritime and coastal affairs; b) development of cross-sectorial tools; c) protection of the marine environment; d) development and implementation of sea basin strategies; e) external cooperation and coordination in relation to the objectives of the IMP; and f) supporting "Blue Growth". These were then further broken down into operational objectives.

The TFP sets out the type of eligible actions and the type of financial interventions (grants, public procurement contracts and administrative arrangements). The overall amount of funds made available by the TFP was EUR 40 million over the period from 1 January 2011 to 31 December 2013.

Evaluation purpose and process

Purpose of the evaluation

The purpose of the evaluation is to provide DG MARE with conclusions (accountability) on actions implemented under the operational objectives of the TFP. An important aspect was to assess the effect of these actions on the implementation of IMP in the Member States, and on other EU policy areas. Furthermore, the evaluation provided recommendations for future actions and suggestions on how to design and implement these.

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[1] Regulation 1255/2011 establishing a programme to support the further development of an Integrated Maritime Policy

[2] The Programme must be implemented in line with the requirements of Regulation 1605/2002 (the Financial Regulation).

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Two tasks of the evaluation	The evaluation of the TFP is divided into two parts: Task 1 is the ex post evaluation of the TFP, while Task 2 covers the ex post evaluation of two preparatory actions for the TFP IMP. Task 2 is covered in a separate report (Volume II) but it is also part of the overall evaluation and provides important inputs to Task 1.
Evaluation process	The evaluation is based on a set of evaluation questions set out in the Terms of Reference, which were structured according to the standard evaluation criteria. Indicators and questionnaires were then developed on this basis. Data were collected through interviews with around 80 stakeholders, desk research of project and policy documentation and case studies of 12 individual projects. The evaluation classified the 70 projects funded under the TFP into five clusters representing the key intervention areas of the IMP. The evaluation was carried out between October and December 2014.

Assessment of the five clusters

Marine knowledge	The **Marine Knowledge** cluster seeks to create a common marine and maritime data and information infrastructure built around publicly accessible online portals, which bring together the data already collected and stored by various public and private actors. In this cluster, two overall key activities were supported, namely EMODnet and MARATLAS.
	EMODnet is still in the development phase, but its progress has been in line with expectations and in some instances, it is already delivering concrete outputs (data sets and data products). Stakeholders reported less than satisfactory progress in the areas of identification and creation of generic data products, which will play an important role for the ultimate outputs and, in the long term, the effectiveness of the projects. MARATLAS has continued to develop and refine its target audience. User statistics and use of the outputs show that the action is delivering the intended results and achieving its objectives to a certain extent. Nonetheless, it is assessed that the potential to further leverage this tool for both communication and data provision purposes is much higher. Concrete steps in this direction are already underway.
	Marine Knowledge actions represent a coherent suite of projects that has, to the extent that the projects are finished or fully matured, produced the desired outputs, delivered results and contributed to the achievement of the relevant objectives. Moreover, the projects of the cluster have also supported the achievement of the horizontal objectives to varying degrees (particularly Integrated Maritime Governance and external cooperation), although none of the actions explicitly support these objectives.

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Table 0-1   *Summary of implementation - Marine knowledge cluster*

Marine knowledge	Budget MEUR	Nr. of projects	Stage of implementation	Summary of activities	Summary of achievements (key)
	20.8	13	2 finalised 11 on-going	8 portals 1 secretariat 2 checkpoints 1 study	Development of on-line data portals Production of data and data products Provision of communication tools supporting legislative development Stakeholder mobilisation

Integrated Maritime Surveillance

Integrated Maritime Surveillance (IMS) focuses on enhancing fragmented and inefficient maritime surveillance efforts by promoting closer cooperation between Member States' Coast Guards and other competent authorities active in the field of maritime surveillance, and works towards establishing an EU-wide interoperable surveillance system. The aim is to bring together existing monitoring and tracking systems used for maritime safety and security (marine environment, fisheries control, control of external borders and other law enforcement activities).

IMS cluster activities supported between 2011 and 2014 made indispensable contributions to the implementation of the CISE Roadmap by financing a number of critical studies and support services (e.g. communications, secretarial and technical support…). Two editions of the European and Mediterranean Coast Guard Forums were also funded in this cluster. The forums brought together Coast Guard authorities from across EU Member States and third countries (in the case of the Mediterranean Forum) to exchange best practices and experiences, and it led to concrete cooperation (action plans, exchange of cadets…).

By assisting the development of CISE, the actions contributed to the three horizontal objectives (Integrated Maritime Governance, sea basin Strategy and external cooperation). In a more direct manner, the forums are also considered by evaluators to have contributed to these horizontal objectives. However, as both CISE and the forums are themselves part of longer term processes, the evaluators can only estimate the extent to which these actions will eventually contribute to medium-term and long-term results.

Table 0-2   *Summary of implementation – Integrated Maritime Surveillance cluster*

Integrated Maritime Surveillance	Budget MEUR	Nr. of projects	Stage of implementation	Summary of activities	Summary of achievements (key)
	3.7	9	9 finalised	5 fora 1 study Technical & secretarial support Consultancy service	Support to the CISE Roadmap Facilitating Coast Guard cooperation Contribution to enhanced situation awareness

Environment

Protection of the **marine ecosystem** is important for the preservation of biodiversity and sustainable maritime growth. It is an overarching theme, touching upon the health of marine ecosystems (e.g. the Marine Strategy Framework Directive – MSFD and the Birds and Habitats Directives), climate change (e.g. the European Climate Adaptation Platform) and air pollution from ships (e.g. GHG emissions). The Marine Strategy Framework Directive (MSFD)[3] of 2008 and the Water Framework Directive (WFD)[4] of 2000 are explicitly mentioned as the environmental pillars of the IMP.

The focus of the cluster has been on developing methodological standards, enhancing knowledge on issues affecting the marine environment and improving cooperation between the different marine regions. As the aim of all actions is to support the MSFD, their effectiveness can only be confirmed when this Directive will be evaluated in 2021. However, the first indications of how the actions and outputs have been used and of the results attained are positive. In terms of effectiveness, the finalised projects did deliver in accordance with their project-specific objectives. Though only four out of the thirteen projects have been finalised, the stakeholders interviewed assessed that the projects, in general, are likely to deliver on their objectives.

The projects funded are assessed to contribute to the attainment of all six cluster operational objectives and the overall cluster objective. The analysis showed that the actions in this cluster partly contribute to the achievement of horizontal objectives. The cluster also contributes to the horizontal objective on integrated maritime governance through the Hope Conference and to external cooperation, in particular with the projects on the RSCs. The sea basin approach has been applied widely in the projects.

Table 0-3   Summary of implementation - Environment cluster

	Budget MEUR	Nr. of projects	Stage of implementation	Summary of activities	Summary of achievements (key)
Environment	3.75	14	4 finalised 10 on-going (2015)	9 studies 3 technical assistance projects 1 arrangement with JRC 1 conference	Support to Member States Enhanced coordination Knowledge development Best (good) practices

Blue Growth & sea basins

Blue Growth covers fields ranging from the environment, energy, maritime transport and safety to employment, industry, tourism, competition and fisheries. Sea basin strategies are an efficient way of addressing specific problems and promoting the development of the maritime economy in sea basins and of ensuring

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[3] Directive 2008/56/EC of the European Parliament and of the Council of 17 June 2008 establishing a framework for Community action in the field of marine environmental policy (Marine Strategy Framework Directive)

[4] Directive 2000/60/EC of the European Parliament and of the Council of 23 October 2000 establishing a framework for Community action in the field of water policy

environmental protection. Projects funded under these two objectives have been clustered together due to the synergy between the two.

The studies financed in this cluster have increased the level of knowledge about the topics examined and supported further EU action (including impact assessments). The conferences and workshops have provided platforms for dissemination of best practices and exchange of information. The efficiency of the financed projects is demonstrated in that they are assessed as providing value for money and that no evidence of underperformance was found. The potential for 'added value' by coordinating activities in these (sometimes competing) sectors is therefore evident.

Overall, the projects funded under this cluster are contributing fully to the objectives of the sea basin strategies and 'Blue Growth', as well as integrated maritime governance (awareness). Only one of the 25 projects in this cluster has not yet been completed.

Table 0-4   Summary of implementation – Blue Growth & sea basins

Blue Growth & sea basin	Budget MEUR	Nr. of projects	Stage of implementation	Summary of activities	Summary of achievements (key)
	10	25	24 finalised 1 on-going (2015)	12 studies 1 forum (3 projects) 2 projects targeting employment 8 conferences	Support to policy work Raised awareness Increased level of knowledge development Promotion of best (good) practices

Maritime spatial planning (MSP)

Maritime spatial planning (MSP) is one of the important cross-sectorial tools for the implementation of the IMP. Responding to the competitive needs of sectorial interests in the seas, MSP sets out to promote efficient use of maritime space as a means to mitigate climate change impacts. MSP is a tool to improve decision-making and coordination amongst Member States.

The focus has been to support cooperation between Member States on specific cases of transboundary maritime spatial planning. The MSP planning projects have been useful in terms of development of stakeholder processes and good practice tools, such as MSP plans and data gathering. Three workshops addressed MSP in a sectorial context, bringing together widely differing stakeholders to discuss key issues. Outputs from these workshops are being used by DG MARE to develop guidelines for MSP.

Overall, the projects funded in this cluster have either already achieved the overall cluster objective in support of maritime spatial planning and integrated coastal zone management', or are likely to do so. Most projects are closed, with only one project in the cluster ending in 2015. This cluster projects primarily support the horizontal objectives for sea basin strategies and integrated maritime governance.

Table 0-5   Summary of implementation – Maritime spatial planning

	Budget MEUR	Nr. of projects	Stage of implementation	Summary of activities	Summary of achievements (key)
Maritime spatial planning	2.5	6	5 finalised 1 on-going (2015)	3 workshops 2 MSP planning projects 1 ICM and climate project	MSP tools Stakeholder mobilisation and methods Sectorial workshops Promotion of best (good) practices

Preparatory actions

Volume II of this report evaluates two MSP preparatory actions (MASPNOSE and Plan Bothnia). The assessment found that both preparatory actions achieved their objectives and generated EU added value by developing methods and cooperation models. A key finding was that stakeholder involvement is essential to starting cross-border/transboundary MSP processes.

Table 0-6   Summary of preparatory action for MSP: Plan Bothnia

	Budget EUR	Period	Geography	Summary of activities	Summary of achievements (key)
Plan Bothnia	400,000 (500,000)	2010-2013	Baltic Sea Region – Bothnian Sea (southern part of the Gulf of Bothnia)	Facilitation Collate and assess data Plan of Bothnian Sea Dissemination External evaluation of MSP	Facilitation of MSP processes, including the generation of maps and a maritime spatial plan

Table 0-7   Summary of preparatory action for MSP: MASPNOSE

	Budget EUR	Period	Geography	Summary of activities	Summary of achievements (key)
MASPNOSE	449,678 (562,097)	2009-2012	Southern North Sea: - Dogger Bank - Thornton Bank	Data on human activity Stakeholder analysis Facilitation MSP methodology/model MSP	Assessment of issues in the North Sea Two MSP plans (two case studies) Evaluating & monitoring MSP practices

Conclusion on achieving the objectives

Overall, the analysis shows that the actions under the TFP contribute to an impressive number of the objectives in support of the IMP. The overview below summarises the attainment of the objectives.

Table 0-8   TFP objectives and the number of projects in the clusters supporting each objective

Overall objective	Operational objectives	MK	IMS	ENV	BG/SB	MSP
(a) to foster the development and implementation of integrated governance of maritime and coastal affairs;	(a) develop, introduce or implement integrated maritime governance;	12	9			6
	(b) promote **cooperation platforms and networks;**	12	9			
	(c) enhance the **visibility** of, and **raise the awareness of,** public authorities, the private sector and the general public, to an integrated approach to maritime affairs.	2	4	1	8	6
(b) to contribute to the development of cross-sectoral tools,	(a) the **Common Information Sharing Environment;**		5			
	(b) **maritime spatial planning and integrated coastal zone management;**					6
	(c) a **marine data and knowledge base.**	12				
(c) to promote the protection of the marine environment, in particular its biodiversity, and the sustainable use of marine and coastal resources	(a) **protection and preservation of the marine and coastal environment;**			14		
	(b) contribute to the **health, biological diversity and resilience of marine and coastal ecosystems;**			6		
	(c) facilitate **coordination** between Member States;			4		
	(d) facilitate the development of **methods and standards**;			10		
	(e) promote **actions for the mitigation** of the effects of, and adaptation to, climate change;			14		
	(f) support the development of **strategic approaches** to research for the purpose of assessing the current state of ecosystems.			4		
(d) to support the development and implementation of sea-basin strategies;	(a) support the development and implementation of **integrated sea basin strategies**,	7			6	3
	(b) promote and facilitate the exploitation of **synergies** and the **exchange of best practices.**			5	12	1
(e) to improve and enhance external cooperation and coordination in relation to the objectives of the IMP,	(a) encourage an **integrated approach with third countries,** including on the ratification and implementation of UNCLOS;					
	(b) encourage **dialogue with third countries**, taking into account UNCLOS;	7		3		
	(c) encourage the exchange of **best practices, taking into account** regional strategies at the sub-regional level.			3	1	
(f) to support sustainable economic growth, employment, innovation and new technologies in maritime sectors and in coastal, insular and outermost regions in the Union.	(a) promote **initiatives for growth and employment** in the maritime sectors and in coastal and insular regions;				17	
	(b) promote **training, education and career opportunities** in maritime professions;				2	
	(c) promote the development of **green technologies, marine renewable energy sources, green shipping and short sea shipping**;				14	
	d) promote the development of coastal, maritime and island **tourism**.				14	
Total number of projects in each of the five clusters		12	9	14	25	6

As the preceding conclusion illustrates, individual cluster objectives are generally achieved or on their way towards attaining the immediate objectives. It is important to remember that a number of actions of the TFP are still under implementation, are being finalised or have very recently been finalised. This means that the full effect may not be evident for a while to come.

Key findings and recommendations

The final part of the evaluation concerns cross-cutting key findings, some overall lessons learnt and recommendations gathered by the evaluators through the evaluation and analysis. Overall, the analysis shows that the actions carried out under the TFP have supported a large and wide number of activities in support of the IMP.

A number of issues or key findings emerged during the analysis. In particular, cross-cutting and horizontal themes, sectors and topics have been gathered under the headings below. The key findings and lessons learnt target ways of strengthening the actions under any future programme.

Seven key issue areas were identified:

› **Implementation efficiency** - The procurement methods were effective and delivered the services required. Streamlining of timetables to avoid long implementation delay could improve implementation speed.

› **Type of actions and support** - In many areas of the IMP, such as IMS and Environment, there is a need for supporting Member State administrations. There is a need to focus more on capacity-building, rather than on technical assistance, in future projects/actions.

› **Coordination between clusters and actions** - Policies within the IMP framework are well-integrated, however, actions and projects are not sufficiently coordinated with other activities in spite of obvious and direct links.

› **Awareness and cooperation** – Stakeholders who have not been directly targeted have little insight. There is a need to ensure that all relevant industries (industry organisations), NGOs, Member State representatives, and other stakeholders become aware of the actions.

› **Sustainability and replicability** - Efforts have been made to render the results sustainable, for example in marine knowledge. In other clusters, there is a need to look at how projects are to be made sustainable or replicable.

› **Stakeholder involvement** - The TFP revolves around involving stakeholders and focuses on stakeholders' needs for participation in different processes. There is a need to enhance the involvement of the Member States and to maintain it for other stakeholders.

› **EU added value and the future** - A key added value is the cooperation between Member States, as many of the activities would not take place without the EU funding. Development and sharing of good practices need to be further supported in the future.