

Selected challenges in the evaluation of marine spatial planning

Gonçalo Carneiro

EEEN Forum 2013

Outline

- What is MSP about, starting with its origins in spatial planning on land;
- Specific challenges for evaluation posed by spatial planning;
- Evaluation practice in spatial planning on land;
- Methodological proposals for evaluation of MSP and reviewing MSP evaluations so far conducted;
- Main challenges ahead for MSP evaluation; and
- Our future work on this topic.

What is spatial planning?

Spatial planning is a public process consisting of a sequence of steps for identifying, assessing, communicating and deciding on the utilization of shared spaces, in view of attaining agreed societal goals.

Motivated by the observation of undesirable externalities in unorganised settlements.

Emergence of marine spatial planning

Motivated by increasing number of claims on maritime space leading to

- inefficiencies in the economy of maritime activities
- inefficiencies in marine environmental management

Problematic planning evaluation issues I

If Planning is Everything, Maybe it's Nothing

AARON WILDAVSKY

Policy Sciences 4 (1973), pp. 127–153

The planner has become the victim of planning; his own creation has overwhelmed him. Planning has become so large that the planner cannot encompass its dimensions. Planning has become so complex planners cannot keep up with it. Planning protrudes in so many directions, the planner can no longer discern its shape. He may be economist, political scientist, sociologist, architect or scientist. Yet the essence of his calling—planning—escapes him. He finds it everywhere in general and nowhere in particular. Why is planning so elusive?

Problematic planning evaluation issues I

Dilemmas in Evaluating Planning, or Back to Basics: What is Planning For?

ERNEST ALEXANDER

Planning Theory & Practice, Vol. 10, No. 2, 233–244, June 2009

Evaluation of spatial planning requires clarity about essence and purpose of planning.

Discussing evaluation of spatial planning often leads to discussing what planning is and what it is for

Problematic planning evaluation issues II

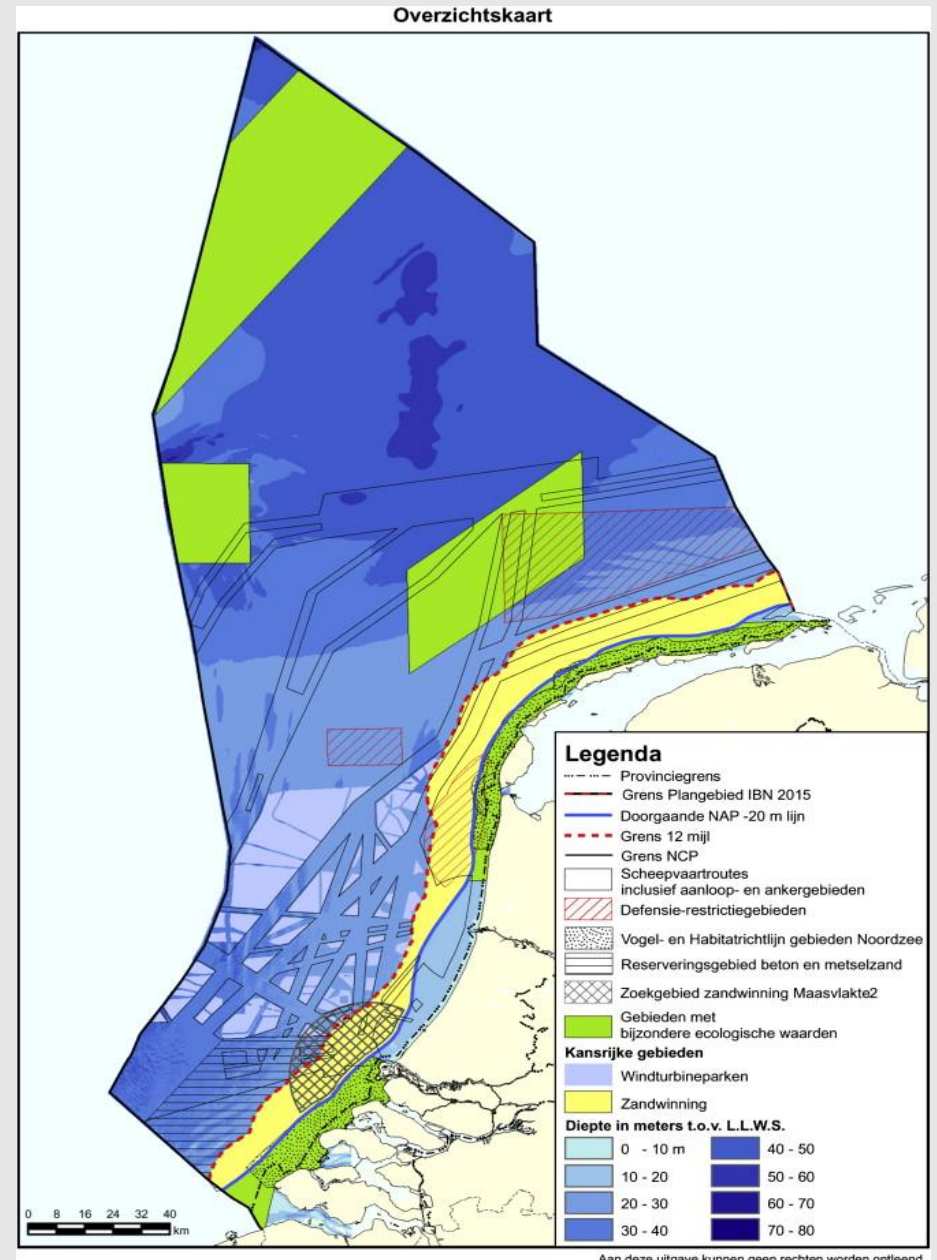
Conformance – spatial plans should lead to measurable changes on the ground and should be assessed in terms of how well such changes conform to stated plan objectives

vs.

Performance – spatial plans are primarily meant to inform and communicate visions, alternatives and intentions, and should be assessed in terms of their influence on other plans and policy processes

Problematic planning evaluation issues III

Spatial plans are most often implemented (activated) by means of sectoral implementation mechanisms.



Problematic planning evaluation issues IV

- Multi-causality
- Absence of counterfactual
- (Differential) Time lags
- Dynamic system, high uncertainty (environment and society)

MSP evaluation - frameworks

MRAG, 2008 – Measuring progress towards MSP

- **Policy and legal framework:** this issue is considered essential for the promotion of MSP and also in enabling cross-sectoral integration;
- **Information management:** data and information are fundamental to the management of any natural resource;
- **Permitting and Licensing:** these already play a key role in the maritime area and the key issue is not whether permitting is provided for but the extent to which it is coordinated across sectors and permitting procedures are simple and transparent;
- **Consultation:** this is necessary to ensure that different sectoral objectives and priorities for maritime space are taken into account as well as to reduce the risk of conflict between different sectors/interest groups;
- **Sector conflict management:** this indicator is proposed due to the real risk of conflict in the absence of MSP;
- **Cross-border cooperation:** this indicator is proposed due to the high degree to which MSP in the waters of one European country is likely to be affected by activities in a neighbouring state. Other boundaries include land-sea boundaries and borders between different administrations;
- **Implementation of MSP:** finally this indicator is proposed to assess the degree to which MSP actually takes place: how it is translated from policy and law into practice.

MSP evaluation - frameworks

MRAG, 2008 – Measuring progress towards MSP

	A. Policy and legal framework	B. Data and information management	C. Permitting and Licensing
0	<p>No policy on MSP.</p> <p>Sectoral legislation does not contribute to MSP in any material way.</p>	<p>No /few spatial data exist on biological/ecological aspects (e.g. marine substrates, habitats, species) and no data on social/economic aspects (e.g. maritime activities).</p> <p>No mechanisms in place for collection or dissemination of relevant information.</p>	<p>Open access – no restrictions or requirements for licensing.</p>
1	<p>Limited sectoral legislation eg <i>ad hoc</i> zoning of maritime areas for specific sectoral activities.</p> <p>No policy on MSP.</p>	<p>Basic biological data exist (e.g. depth and substrate type) for most of the coastal zone, but are not easily available to planners/stakeholders but no social/economic data.</p>	<p>Unclear/non transparent or contradictory licence requirements.</p> <p>Incomplete licensing regime.</p> <p>No inter-agency coordination.</p>
2	<p>Sectoral legislation with no formal mechanisms to coordinate spatially relevant decisions.</p> <p>Draft MSP policy.</p>	<p>Biological data exist on marine substrates, habitats, main species of commercial interest and very limited social/economic data on some maritime activities (e.g. location and direct economic value for some activities) for the coastal zone.</p> <p>Lack of coordination on data collection, analysis and synthesis of information.</p>	<p>Comprehensive licensing regime.</p> <p>Unclear/non transparent procedures. - licences from different agencies with different objectives.</p> <p>OR.</p> <p>- unclear division of competences between different agencies either horizontally or vertically</p> <p>No inter-agency coordination.</p>

MSP evaluation - frameworks

1. Evaluation of plan-making process	
1.1 Stakeholder participation	Process for facilitating stakeholder participation Degree of effective participation Influence of participation on the final plan
1.2 Validity of data and analyses	Incorporation of best available information Use of suitable methods and technologies Robustness, clarity and reproducibility of analyses
1.3 Consideration of alternatives	Methods for scenario-building Comprehensiveness and adequacy/justification of scenarios Procedures and methods for scenario assessment
1.4 Prospective impact assessment	Comprehensiveness and robustness of impact assessment methods Incorporation of assessment results in draft and final plan
1.5 Adequacy of resources (for plan-making)	Evolution of resources over the plan-making process, incl. sources of funding Ratio between available and necessary resources
2. Evaluation of plan contents	–
2.1 Internal coherence	Logic of plan components–vision, goals, objectives, measures, and underlying assumptions and analyses
2.2 Relevance of plan for the region or country	Relationships between the main needs and ambition of the region or country (socio-economic, environmental, cultural, governance) and the components of the plan
2.3 Conformance with planning system	Conformance with strategic principles and objectives Conformance with statutory rules and guidance Harmonisation/conformance of planning methods
2.4 External coherence	Harmonisation between the analyses and proposals in the plan and those of other policy and management instruments applicable to the same region or country
2.5 Guidance for implementation	Comprehensiveness and clarity of provisions and schedule for implementation Clarity and adequacy of roles and responsibilities Adequacy of follow-up mechanisms Adequacy of resources for implementation
2.6 Approach, data and methodology	Comprehensiveness and clarity of presentation of data Detail of descriptions of methodology Information about who conducted the analyses
2.7 Quality of communication	Clarity of the text, given the intended audience Clarity of data and analyses Balance between level of detail and reader/user-friendliness
2.8 Plan format	Structural correctness of the plan document (in view of intended use)
3. Evaluation of plan implementation	
3.1 Prescribed steps and outputs	Degree to which prescribed steps and products of implementation are or have been followed and produced
3.2 Adequacy of resources (for implementation)	Evolution of resources over the implementation process, incl. sources of funding Ratio between available and necessary resources
3.3 Utilisation	Plan utilisation in decision-making (political level) Plan utilisation in management and development control (operational/technical level) Alignment of other policy and management instruments with the plan
4. Evaluation of plan outcomes and impacts	Observed (mid-term) outcomes and (long-term) impacts assessed against stated plan objectives and/or broader societal aspirations, including a measure of the degree to which outcomes and impacts can be attributed to the plan.

MSP evaluation - practice

Effective practice in marine spatial planning: A participatory evaluation of experience in Southern England

Fletcher et al, Marine Policy 2013

Participatory evaluation of:

- **stakeholder involvement:** barriers to involvement, arbitration, timing
- **capacity, learning and awareness:** knowledge, skills, information, communication
- **leadership and communication:** clarity of roles, communication channels, periodicity
- **evidence and uncertainty:** data availability, data gaps, data collection, data accuracy
- **land-sea coordination:** organisations, scale, mutual awareness

MSP evaluation - practice

An evaluation of the Massachusetts Ocean Plan and its implications for coastal and marine spatial planning in the United States

Center for Regulatory Effectiveness, 2012

Criteria Considered	Comments	Grade
Stakeholder Participation	Stakeholder participation was very strong. The weaknesses were, however, that although the OAC was effective, it was underrepresented by all of the stakeholders. Further, participation in the public listening sessions was low suggesting that promotion of public participation was inadequate.	B
Validity of Data and Analyses	There was a uniform approach to data collection by the Task Force and the work groups. But there still remained gaps in data and also data variability.	C
Consideration of Alternatives	The only initial consideration of alternatives in the Draft Plan included how the Plan should be administered (CZM vs. SAMP vs. Army Corps of Engineers' permit program). There is additional required consideration of alternatives that requires MEPA review to determine the least environmentally damaging practicable alternative.	C
Prospective Impact Assessment	The impact assessment were conducted by the six ocean management plan work groups that were formed to help inventory and synthesize available data for the development of the ocean management plan (i.e., the habitat; fisheries; renewable energy; transportation, navigation, and infrastructure; regional sediment resource management; and ocean recreational and cultural services work groups). The impact	B

Looking ahead

- Clarify and make explicit what marine spatial planning is for – what can it reasonably achieve and how?
- Translate objectives into concrete spatial actions that (ideally) should be possible to follow up
- Evaluate, evaluate, evaluate and evaluate – promote early inclusion of evaluation into planning process, and assess requirements for and usefulness of evaluation methodologies

Developing a Pilot Maritime Spatial Plan for the Southern Middle Bank

*Jacek Zaucha
Magdalena Matczak
Maritime Institute in Gdańsk*

In order to ensure safety of navigation, the following is required in the whole area:

- › Designation, by competent public authorities i.e. maritime administration in Poland and Swedish Maritime Administration, of safety zones around artificial islands, structures, installations and areas of mining activity reaching no further than 500 m from each point of their outer boundary, unless other width of the safety zone is allowed or recommended by commonly adopted regulations of international law or recommended by an appropriate international organization (Article 60 of UNCLOS, Article 24 of the Act on sea areas of Poland and maritime administration and Article 7 of the Swedish Economic Zone Act and Swedish Maritime Administration).
- › Proper marking of artificial islands, structures and installations by light or other signals warning vessels about the danger of collision (Article 60 of UNCLOS, Article 23, item 3 p.4 of the Act on sea areas of Poland and maritime administration and – Article 5 of the Swedish Economic Zone Act and Swedish Maritime Administration).