



W 1/5 Obstacles and enablers
in transboundary planning
(Baltic SCOPE)

Obstacles & Enablers in a Transboundary Planning Collaboration



Baltic SCOPE

Towards coherence and cross-border
solutions in Baltic Maritime Spatial Plans

Johanna Egerup, Swedish Agency f Marine & Water Mgmt
Michael Kull & Andrea Morf, NORDREGIO
Riku Varjopuro, Finnish Environment Institute
& **three panelists** from practice & research





Aims of this session with Baltic SCOPE

Share and discuss with panelists and audience:

- Findings on outcomes, obstacles & enablers in transboundary marine spatial planning collaboration
- Upscale findings beyond Baltic Scope and the Baltic Sea Region

Johanna Egerup

Senior Adviser at Swedish Agency for Marine and Water Management (SwAM)



Procedure



W 1/5 Obstacles and enablers
in transboundary planning
(Baltic SCOPE)

Presentations

1. Results, Obstacles & Enablers – Lessons Learned from BSC (Nordregio)
2. Evaluation framework for Transboundary MSP (SYKE)

Interactive panel rounds (after each presentation):

- **Panelists' input** (planning experts & researcher)
- Plenary discussion of **panelists & audience**

During session: **Collect your ideas** on post-its: **red/green/yellow**.

End of session: **Share** post-its on **posters** on the way out.

Johanna Egerup

Senior Adviser at Swedish Agency for Marine and Water Management (SwAM)



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(Baltic SCOPE)



Baltic SCOPE

Towards coherence and cross-border
solutions in Baltic Maritime Spatial Plans

Project, People & Purposes



Andrea Morf

Senior Research Fellow at Nordregio



Baltic SCOPE

Towards coherence and cross-border
solutions in Baltic Maritime Spatial Plans

The Project

Aim: closer alignment of national planning

Partners:

- **MSP authorities:** DE, DK, EE, LV, PL, SE
 - **Regional organisations:** HELCOM, VASAB
 - **Research:** NORDREGIO, SYKE
- observe, analyse, assist, facilitate, feedback

➤ **Platform:** communication, knowledge-development & sharing

➤ **2-way knowledge building & learning**

➤ National → Transboundary level

➤ Transboundary → National level

➤ **2 Case study areas**

Southwest Baltic: existing MSP/no plans

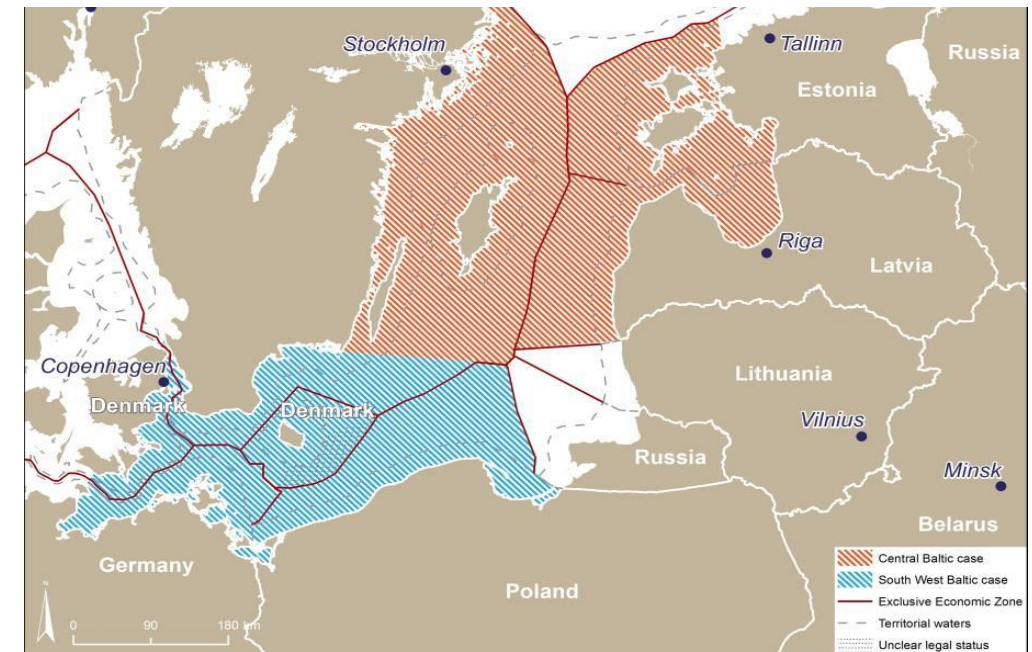
Central Baltic: MSP under way

Baltic Scope case studies areas



Not planned to involve **all** levels
Focus on:

- National level
- Topics in outer EEZ relevant for all countries



Approach: 2 Complementary Cases

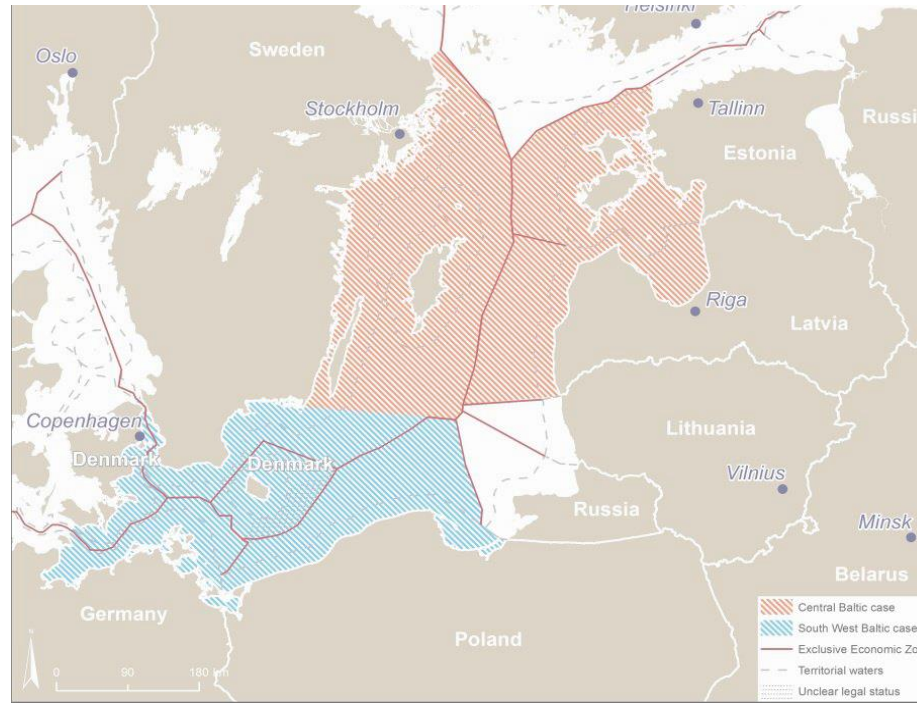
1. **Identification** of case-specific **hot topics**
2. **Refining & developing** case-specific **solutions**
3. **Solutions** & necessary planning steps on **general level**
4. **Filtering solutions** back to **national processes**
5. **Overall recommendations** => **X-case, pan-Baltic, EU, global**

Emerging: 2 different, complementary approaches
(deliberation among planners & sector experts)

South West Baltic Case

Zooming in on specific areas & sub-areas – also grey zones

- ✓ Work in bi-/trilateral meetings
- ✓ Development of conflict matrix & solution proposals per area
- Proposal **safety buffer-zones for shipping** (DK) on request of others



Central Baltic Case

Pan-Baltic perspective –
no geographic zooming in

- ✓ Overall process-oriented
- ✓ Thematic
- ✓ General identification of conflict & synergies between sectors.
- **Topic papers**
- **Ecosystem Approach Tables**
- **“Green Map” for Baltic**



Results, Obstacles & Enablers



Baltic SCOPE Lessons Learned

Towards coherence and cross-border
solutions in Baltic Maritime Spatial Plans

Michael Kull and Andrea Morf
Senior Research Fellows at Nordregio

Prepared by Team NORDREGIO also including Alberto Giacometti & John Moodie



Methods and Data Collection

Science Input for Lessons Learned



1. Participant Observation 2015-17

- Fly on the wall = observation @ planner-& thematic partner meetings, stakeholder events.
- Analytical framework: base territorial governance (Caldwell & Well 2016).

2. Lessons Learned Participant Survey: September-October 2016

- Link planners' & other experts' views with interpretation of case studies
- Verification, ownership
- Open answers: valuable illustrations => **coming here!**

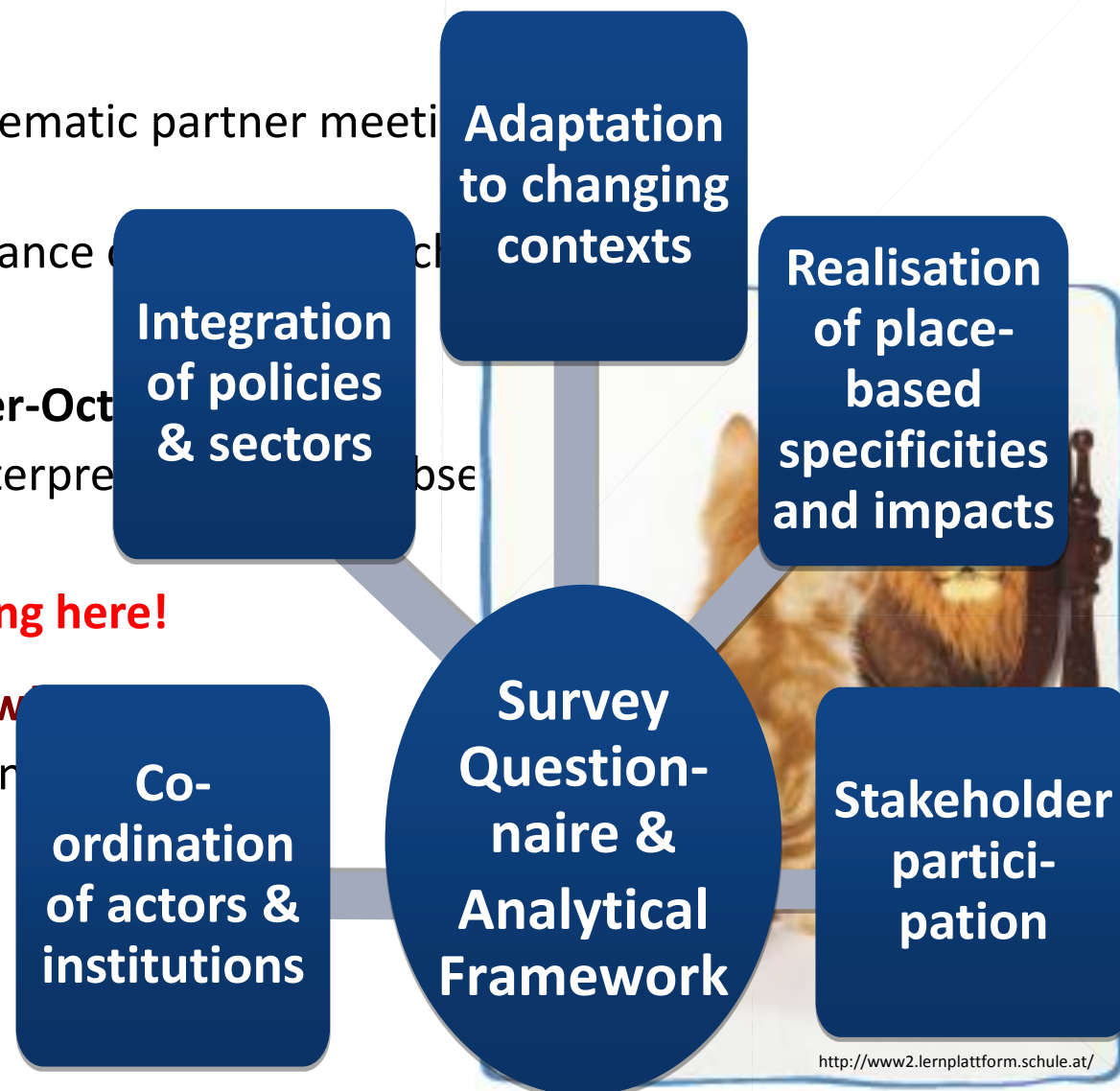
3. Focus Group Interviews: Nov 2016 => Tomorrow

In-depth feedback on survey & overall perception

1) Central Baltic Case

2) South West Baltic Case

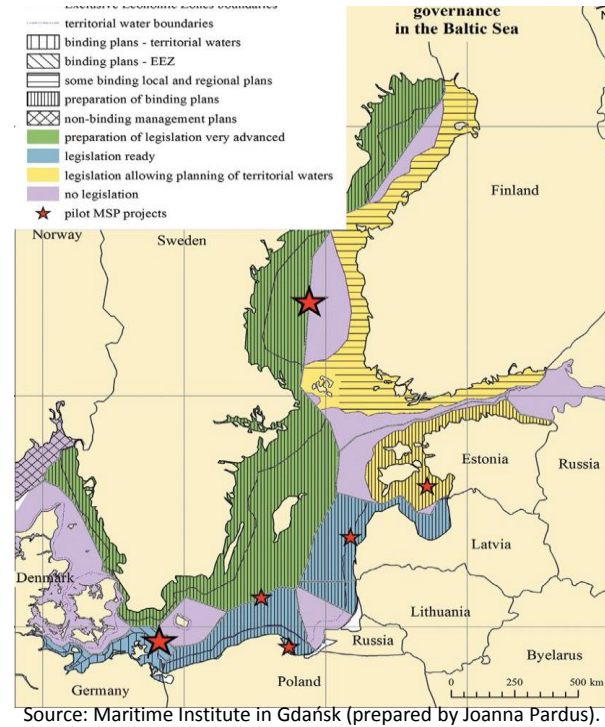
3) Case leaders & project managers.



Territorial Governance dimensions & project partners' (PPs) perceptions

1. Maritime Specificities & Jurisdictional Boundaries

PPs dealing with differences in legislation, planning systems & multi-level governance



3. Stakeholder Participation & Engagement

PPs dealing with (institutional) stakeholders in international & national events



2. Cross-sector Integration & Synergies

PPs dealing with energy, environment, fisheries & shipping



4. Coordination & Collaboration of Institutional Actors

PPs coordinating & collaborating



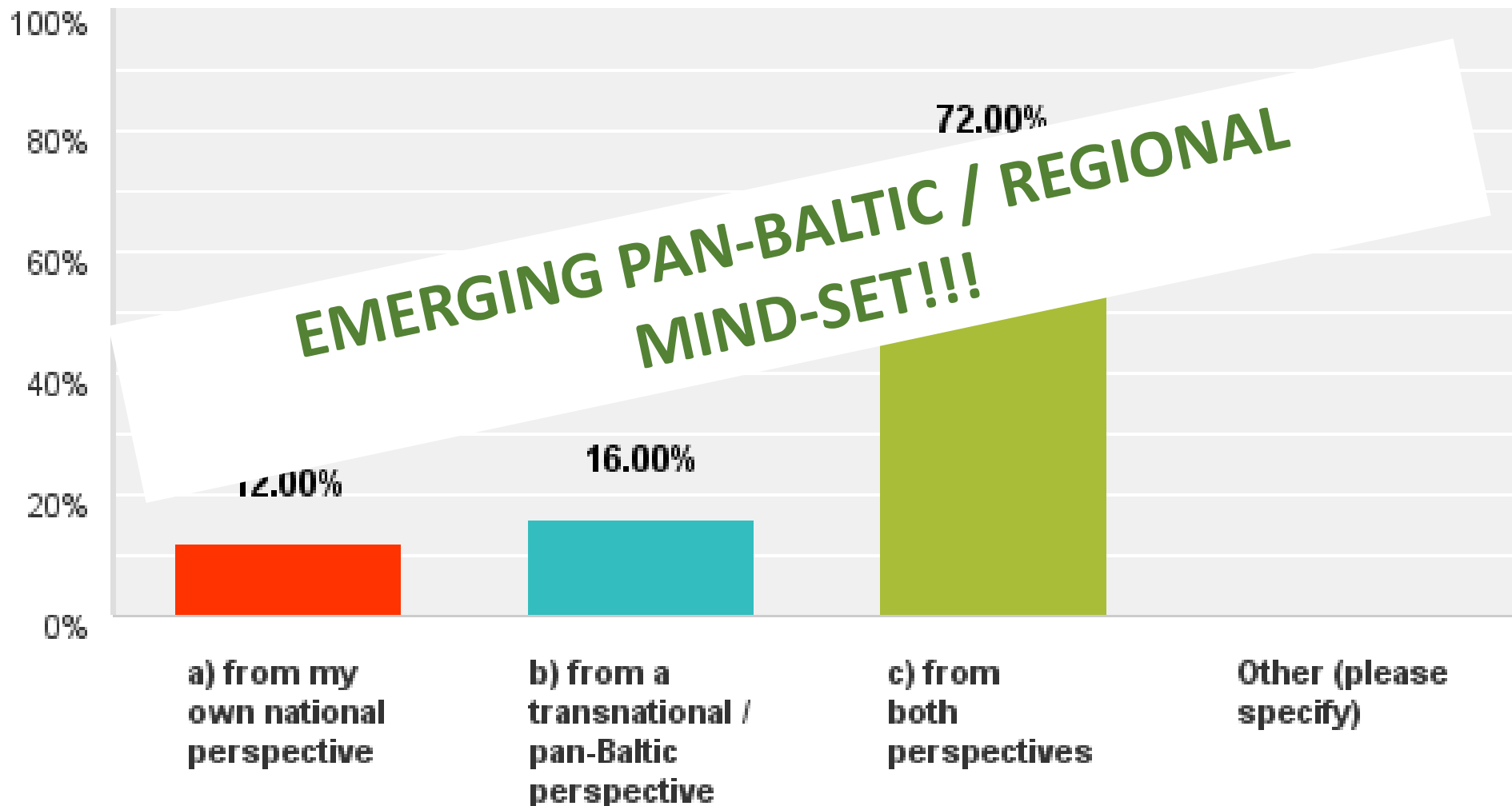
WHO ARE THE SCOPERS?

How do they think?



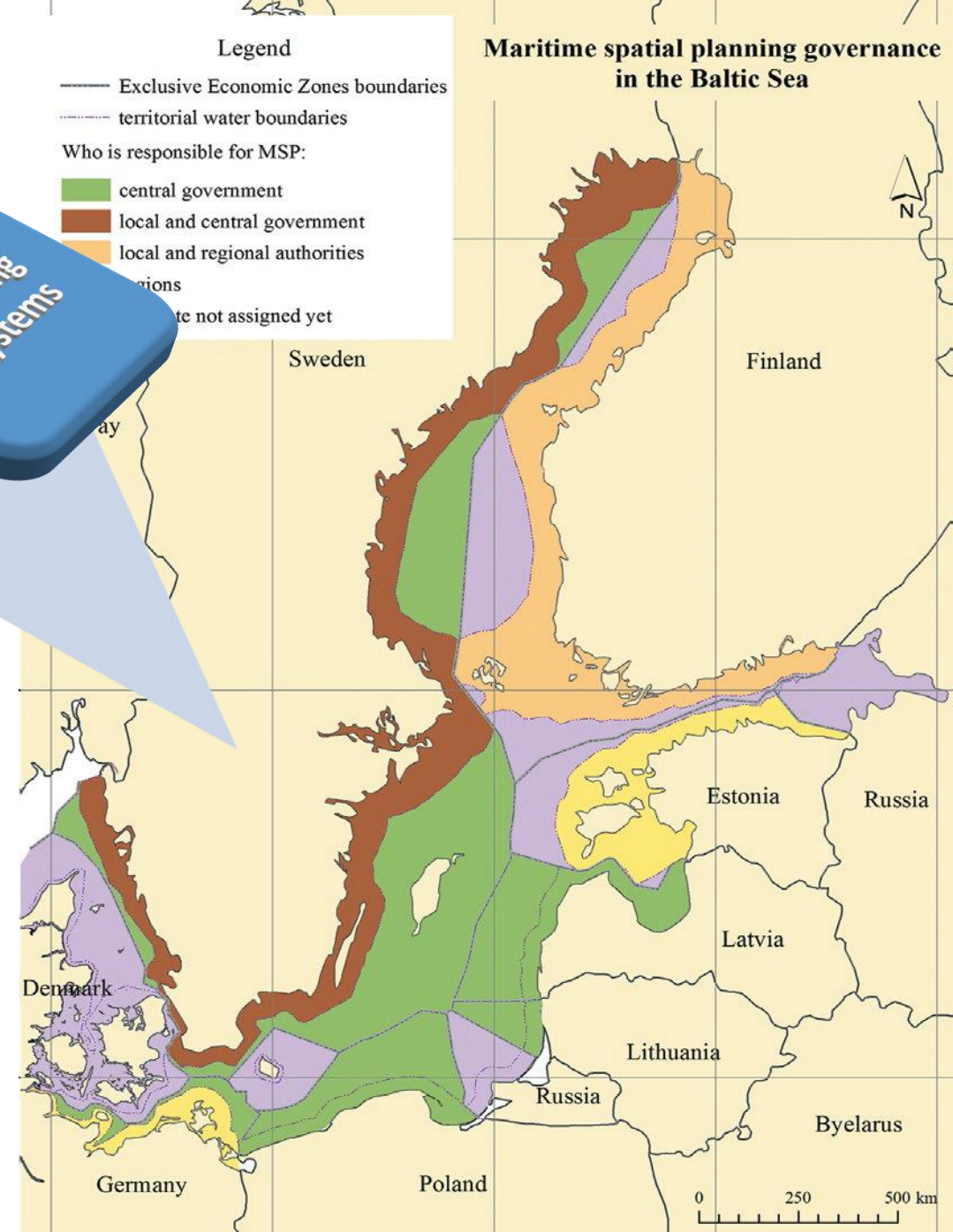
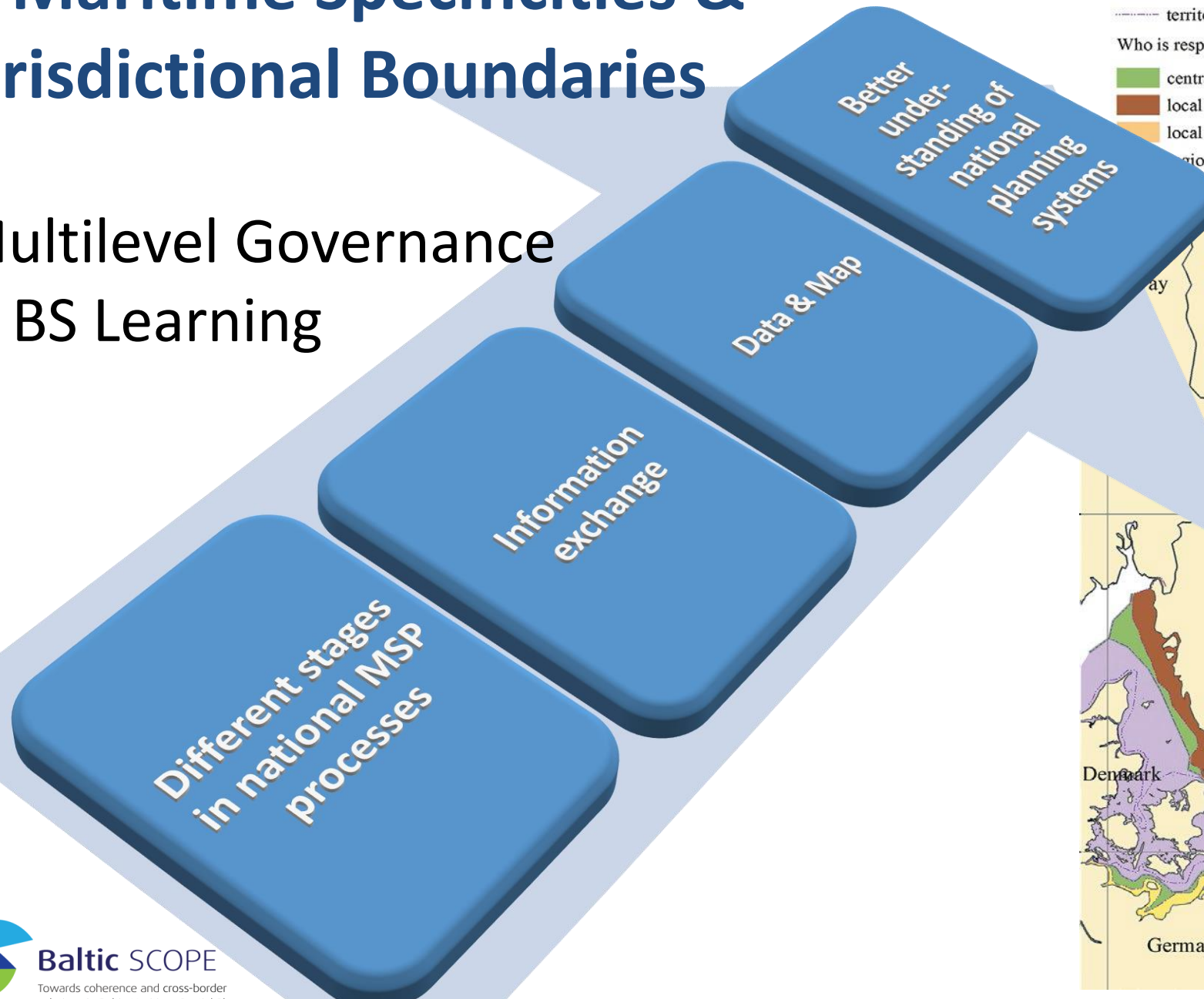
Survey Question: When working in the project, I did so mainly...

“If the MSP should make any sense, we have to think pan-Baltic, at least in the pre-phase of MSP before 2021”



1. Maritime Specificities & Jurisdictional Boundaries

Multilevel Governance & BS Learning



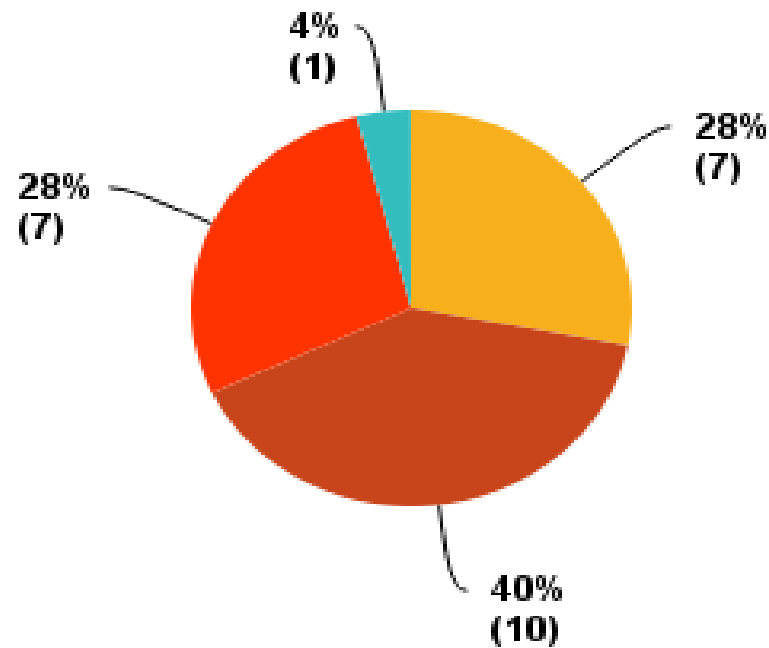
Map Source: Maritime Institute in Gdańsk (prepared by Joanna Pardus).

Project Partners and different stages in their national MSP process. A challenge for collaboration in the project?

*“Different viewpoints in discussions often resulted from different stages in the MSP process. **Countries** were concerned with **different challenges**. Thus **focussing certain topics was not that easy.**”*

*“Could **also** be seen as **an enabler**. **Learning** from each other. **Foresee possible mistakes** and maybe also avoid them”*

*“Of course it was a **challenge!** Some are highly advanced and some don't know exactly what lies ahead. **Less advanced countries can learn from the experience of the more advanced.**”*



“This enriched the project.”

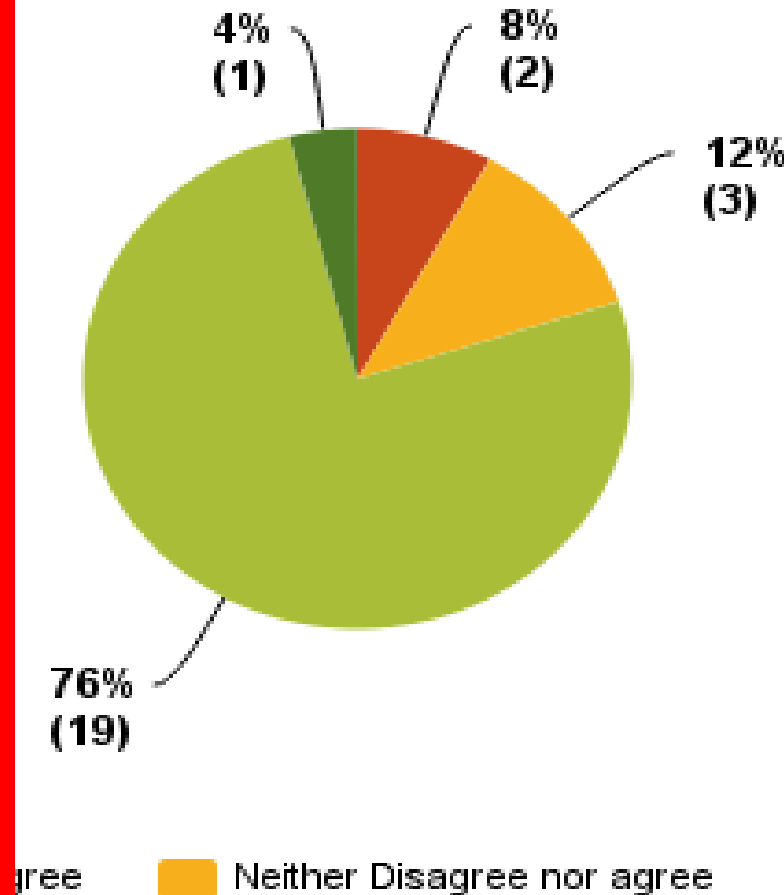
Strongly disagree Disagree Neither Disagree nor agree Agree Strongly Agree
N/A

*“Understanding different planning systems: This can only be guaranteed by **personal involvement and direct communication**, but **not by browsing national MSP home page**”*

Information exchange among PP worked out well

OBSTACLES / CHALLENGES

- **Country differences:**
 - Stage of national MSP
 - Needs
 - Rules for data exchange
 - Perceptions on need for data exchange
 - Language & Terminology
- **Dispersed knowledge** within PP countries
- **Sectoral stakeholders:**
 - multitude
 - motivation & engagement



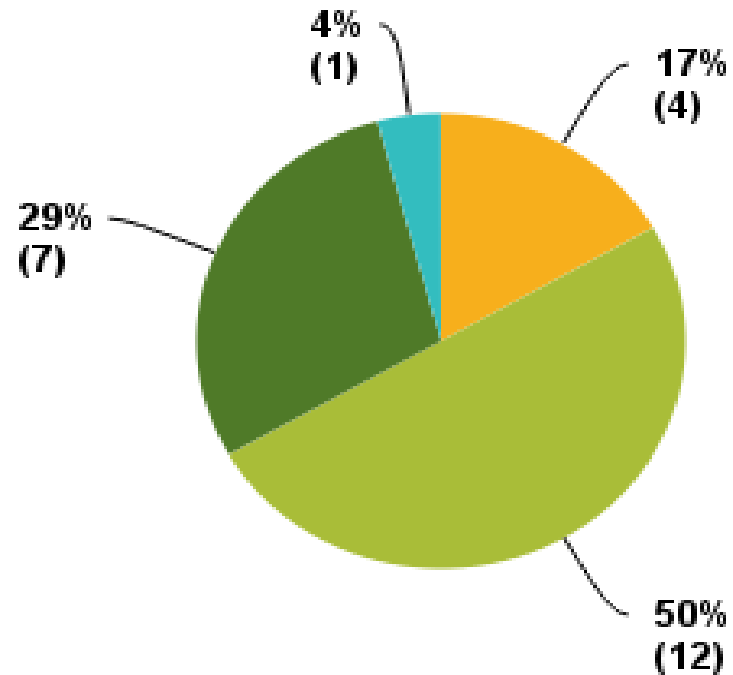
ENABLERS & RESULTS

- **Awareness:**
 - “Without efficient information, we can’t talk about cross-border issues”
- **Information Exchange & Learning:**
 - All PP contribute to topic papers = national interests & sectoral status quo
 - Physical meetings
 - Bi-/Trilateral meetings as exchange opportunities (SWB)
- **Quality of sectoral experts**
- **Support by regional & research organisations**
 - HELCOM & AIS data
 - Nordregio & Assessment Reports & Maps

Through Baltic Scope, I have gained a deeper understanding of project partners' national planning systems.

OBSTACLES / CHALLENGES

- **Country Differences:**
 - legal conditions,
 - experience
 - traditions,
 - stages of national MSP process
- **Lack of human resources**
- **Change of partners**



Strongly Disagree

Disagree

Neither disagree nor agree

Agree

Strongly agree

N/A

ENABLERS & RESULTS

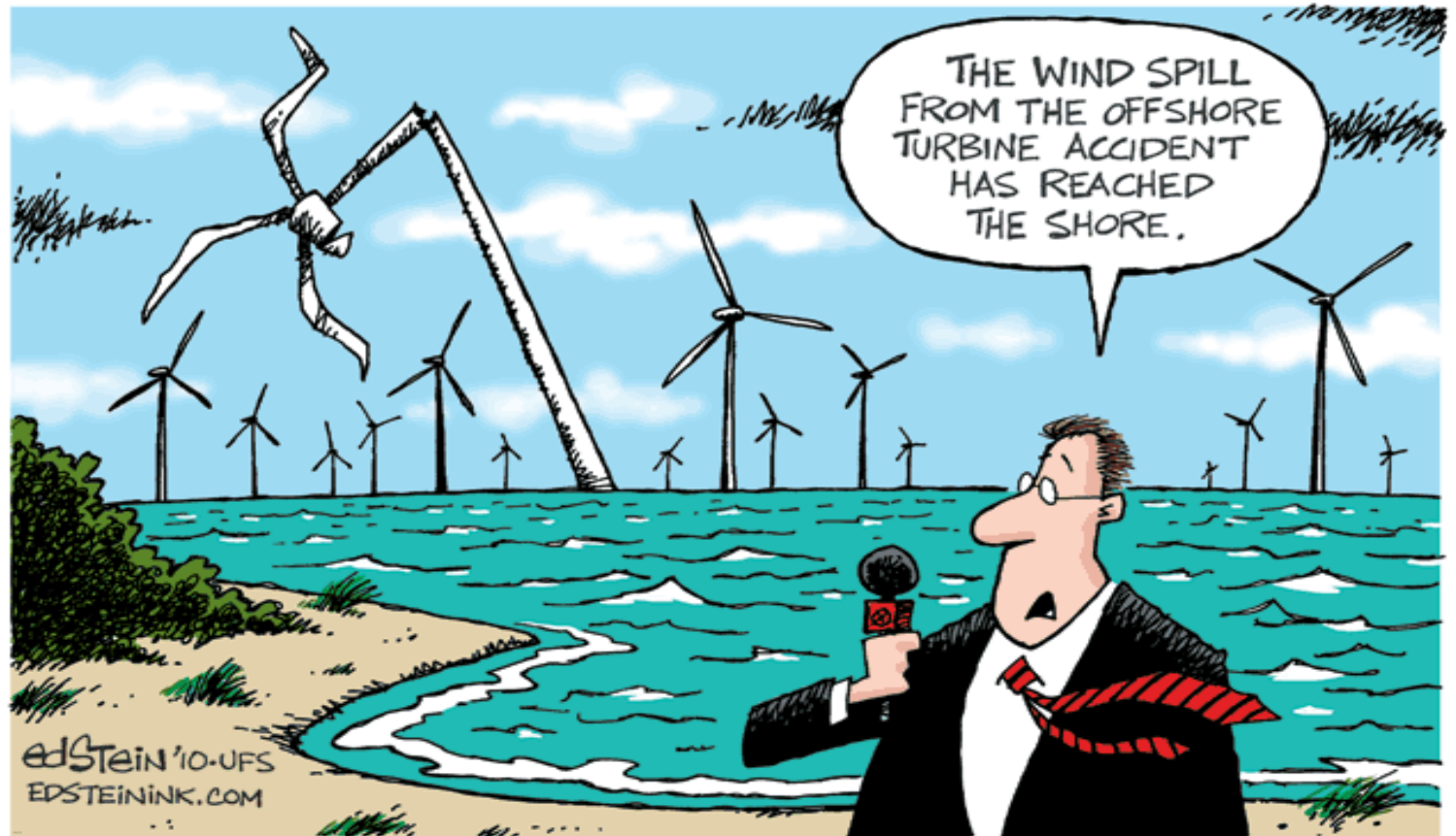
- **No obstacles, just opportunities :)**
- **Stimulating Learning:**
 - Face-to face discussions, personal involvement & direct communication
 - Repetition
 - Concrete examples through workshops
 - Work with topic papers
 - Search for better solutions
 - Understanding nuances
 - Inspiring each other to reach better coherence of MSP content (e.g. DE initiative for updates regarding fisheries in their MSP-plans)

"Plenty of new info & experience. What a great exercise from this perspective!"

2. Cross-sector Integration & Synergies

Cross-sector synergies successfully promoted?

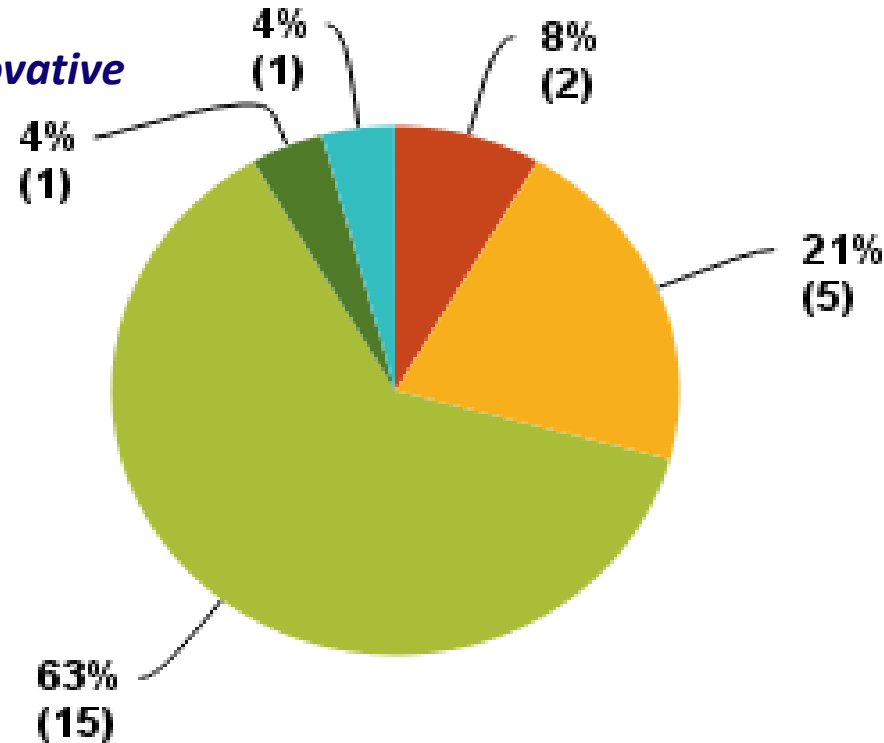
Synergies between which sectors strengthened?



Topic Paper approach = one **enabler**

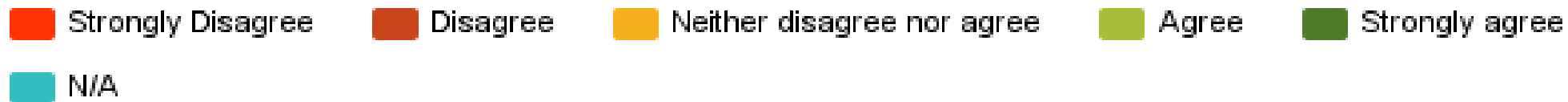
Baltic Scope successfully promoted cross-sector Synergies

*“This was perhaps the **most innovative element of the project.**”*

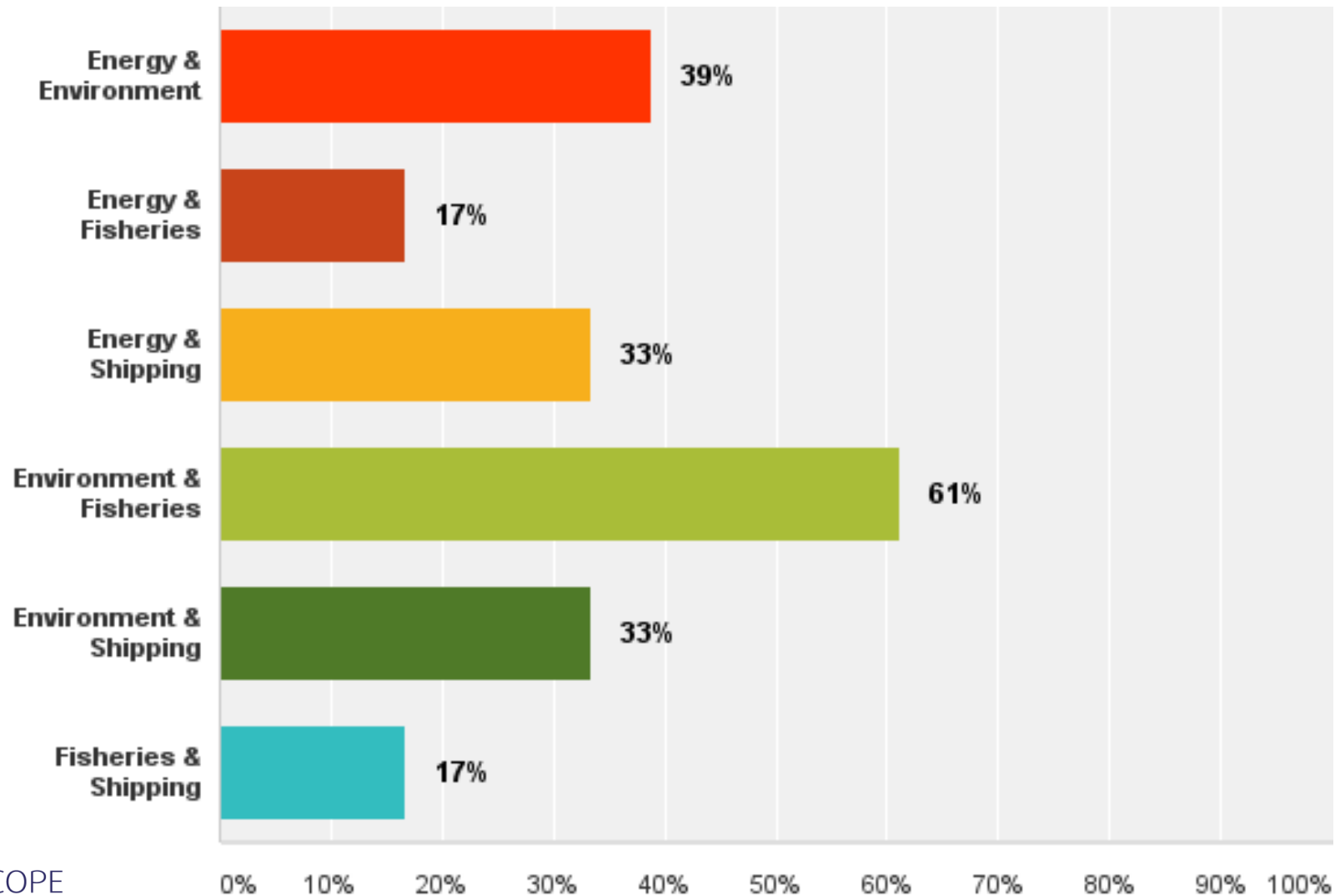


*“...cross-sectoral discussions were **most interesting of all** and was **appreciated by stakeholders**”*

*“I think we created some **potential synergies**, which can be an eye opener for the planners in MSP”*



Synergies between specific sectors were strengthened due to Baltic SCOPE



3. Stakeholder Participation & Engagement



All relevant sectors represented?



Joint identification of synergies, conflicts & solutions?

Mainly national (authority)
stakeholders so far

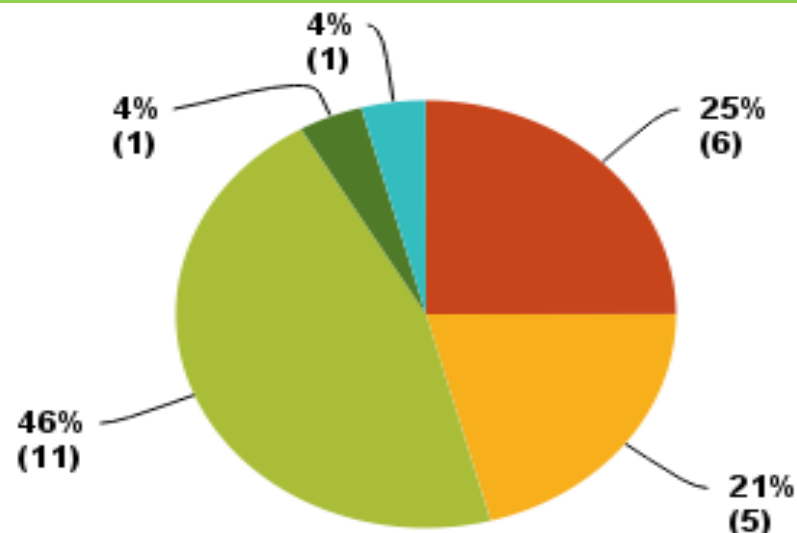
<http://www.hpocenter.com/article/stakeholders-orientation/>

All relevant sectors represented in the project?

Recommendation:
Joint stakeholder involvement strategy
for sufficient representation & engagement

“The main MSP-interests were represented”

“Some were missed in SWB transboundary workshop”



Strongly Disagree Disagree Neither disagree nor agree Agree Strongly agree
N/A

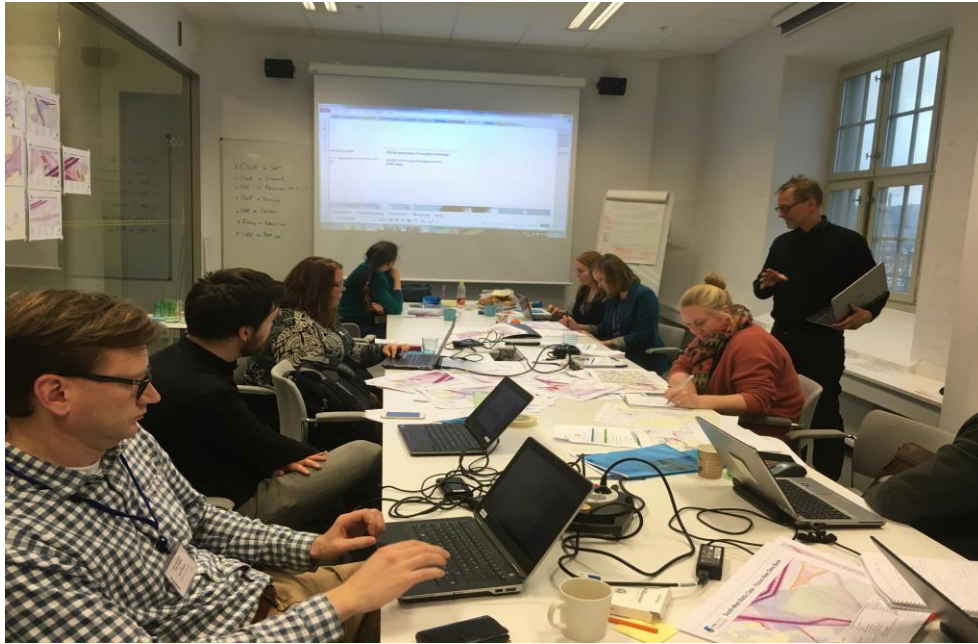
“Different stages of MSP developments in CS countries = stakeholders were not equally motivated”

*“More sectoral national experts could have been involved = **absence of some sectorial representatives affected the outcome** (e.g. workshop fisheries in Jurmala)”*

“...neither tourism/regional development nor defence or oil-industry were represented in the project”

“...offshore wind sector...”

4. Coordination & Collaboration of Institutional Actors



Individual & Institutional Learning

Creation of stronger links among partners

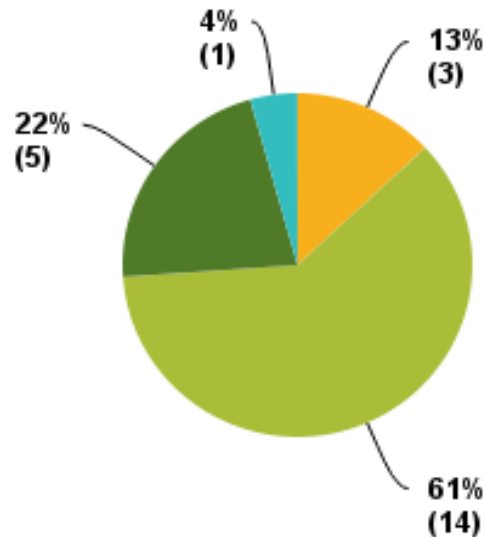
Two different case approaches & coming to solutions

A strengthened
pan-Baltic approach to MSP

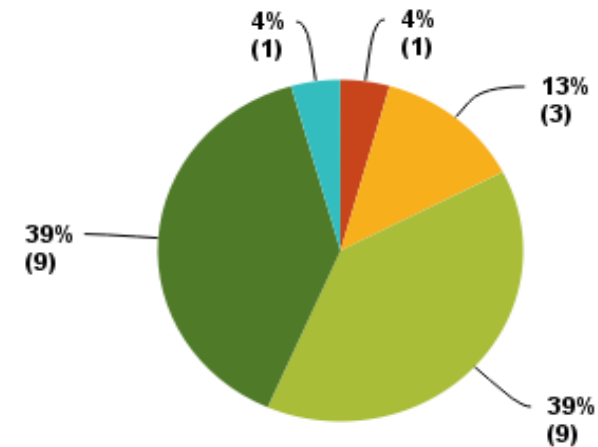


Transboundary Transformations: individual & institutional learning in Baltic SCOPE...

...provided me with new knowledge, tools & methods to deal with transboundary issues in MSP



...encouraged my organisation to integrate transboundary perspectives into national planning processes



Strongly Disagree Disagree Neither disagree nor agree Agree Strongly agree
N/A

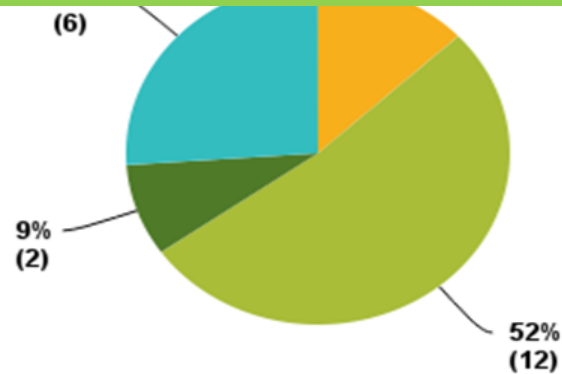
Strongly Disagree Disagree Neither disagree nor agree Agree Strongly agree
N/A

Two different case approaches & suitability to reach solutions

CB: Thematic, process-oriented focus

POSITIVES & ENABLERS

- **No specific :**
 - geographic **hot spots**
 - **topics** that need cross-border **conflict resolution**
- **Good general thematic discussions**
- **Easy** to identify & approach stakeholders sector/topic wise



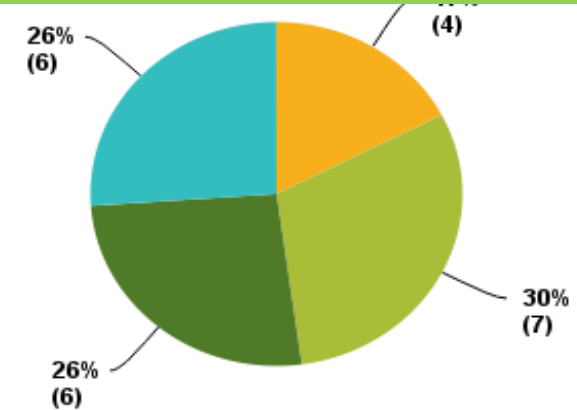
EXPERIENCED CHALLENGES

- **Stakeholders:** without specific issue = difficult to understand what is needed from them; why participate?
- **Topics/sectors:** not all included = conflicts/synergies missing
- **Missing geographic focus:** may have benefited LV & EE

SWB: Area & sub-area focus working in bi-/trilateral meetings

POSITIVES & ENABLERS

- Coming together & discuss certain **concrete & specific topics** (e.g. grey zone issue)
- Identifying "**national**" interests in sub areas;
- **Deepening discussions** = understanding of problems



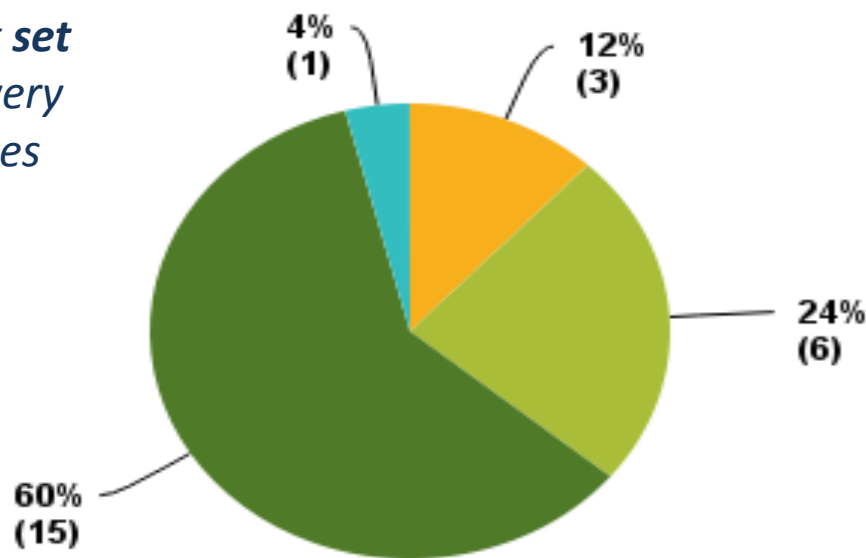
EXPERIENCED CHALLENGES

- **Some areas already planned** = smaller range of solutions
- **More time & commitment** needed
- **More difficult to assess overall progress** if case leader not personally participating in each meeting

created stronger links between the planning authorities taking part in the project.



*“The **informal network set up** by the project is of very high value when it comes to the **communication between different national planning authorities.**”*



*“Baltic SCOPE = a great platform to **exchange knowledge & to learn** from each other. Project = people, **ties between people** have established.”*



Strongly disagree Disagree Neither Disagree nor agree Agree Strongly Agree
N/A

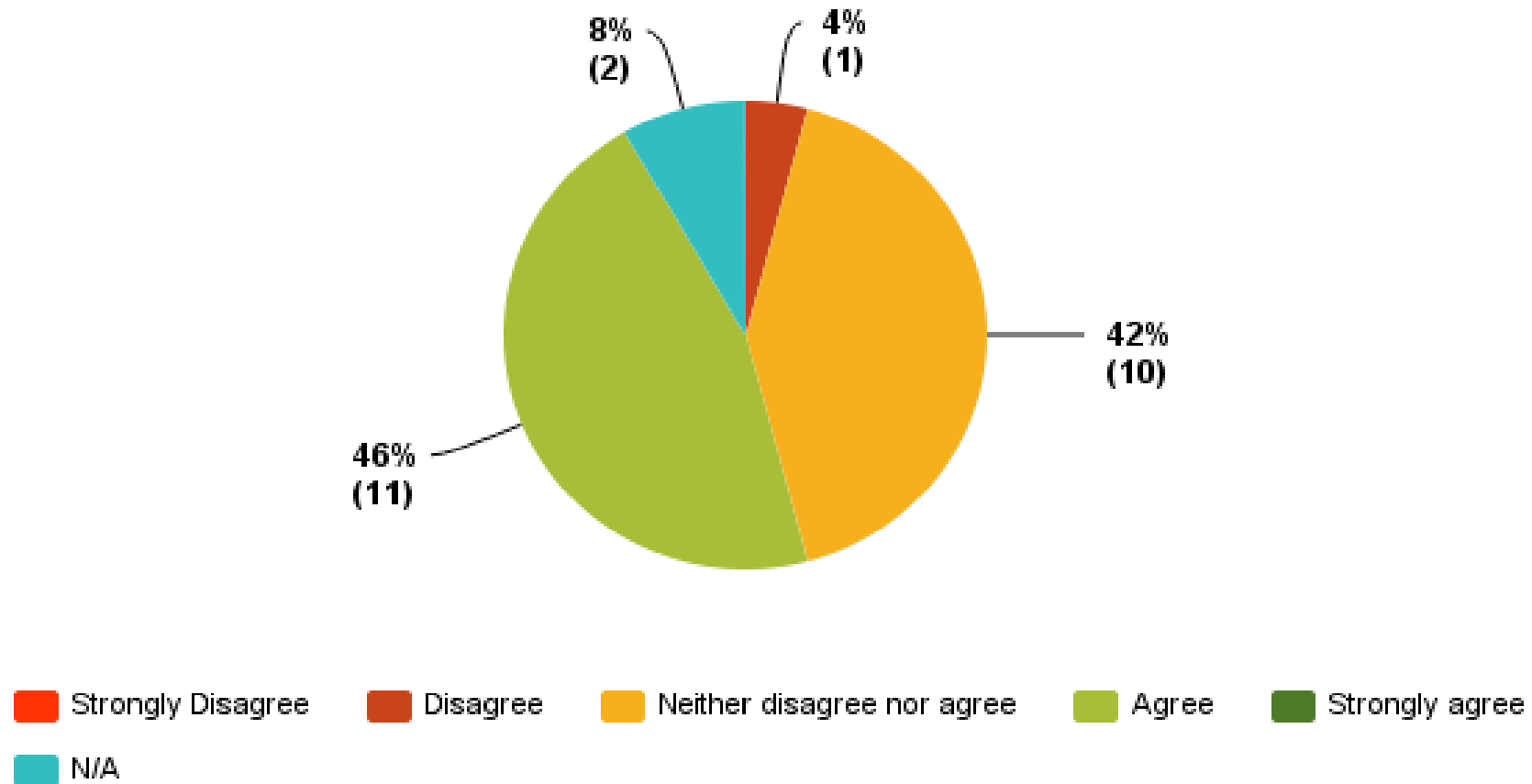
*“The most important benefit was that **sector institutions met** with each other & **discussed interests of other sectors at the sea & MSP as a subject first time!**”*

Raising to Remaining & Upcoming Challenges



Photo Source: <http://forosobreexorcismo.blogspot.fi/2015/10/un-combate-exorcistico.html>

Concrete solutions identified to solve cross-border conflicts?

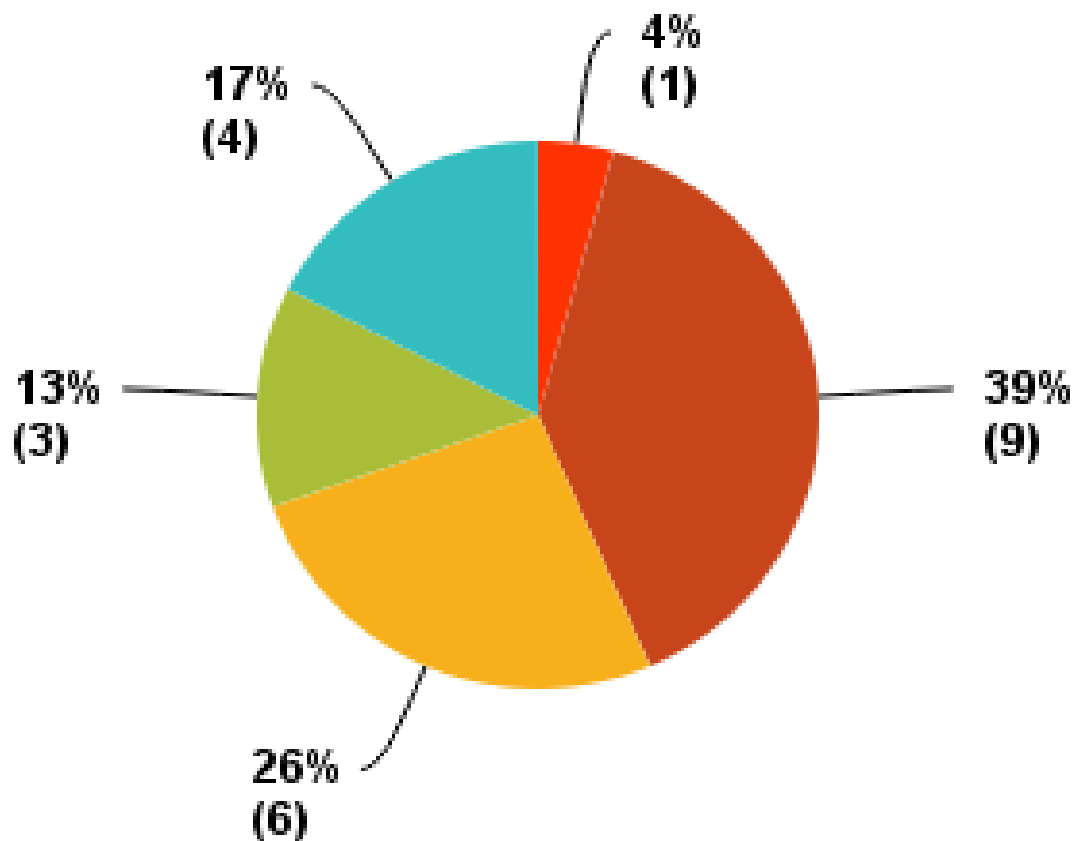


Regional and local authorities played a sufficient role in the project.

Please indicate the extent to which you agree or disagree with this statement.

“They played a role in national processes mainly, depends on **who is in charge of doing MSP** project, state or regions or municipalities for territorial waters”

“Difficult to involve local actors”



Strongly Disagree

Disagree

Neither disagree nor agree

Agree

Strongly agree

N/A

Political actors should have been more actively engaged in the project.

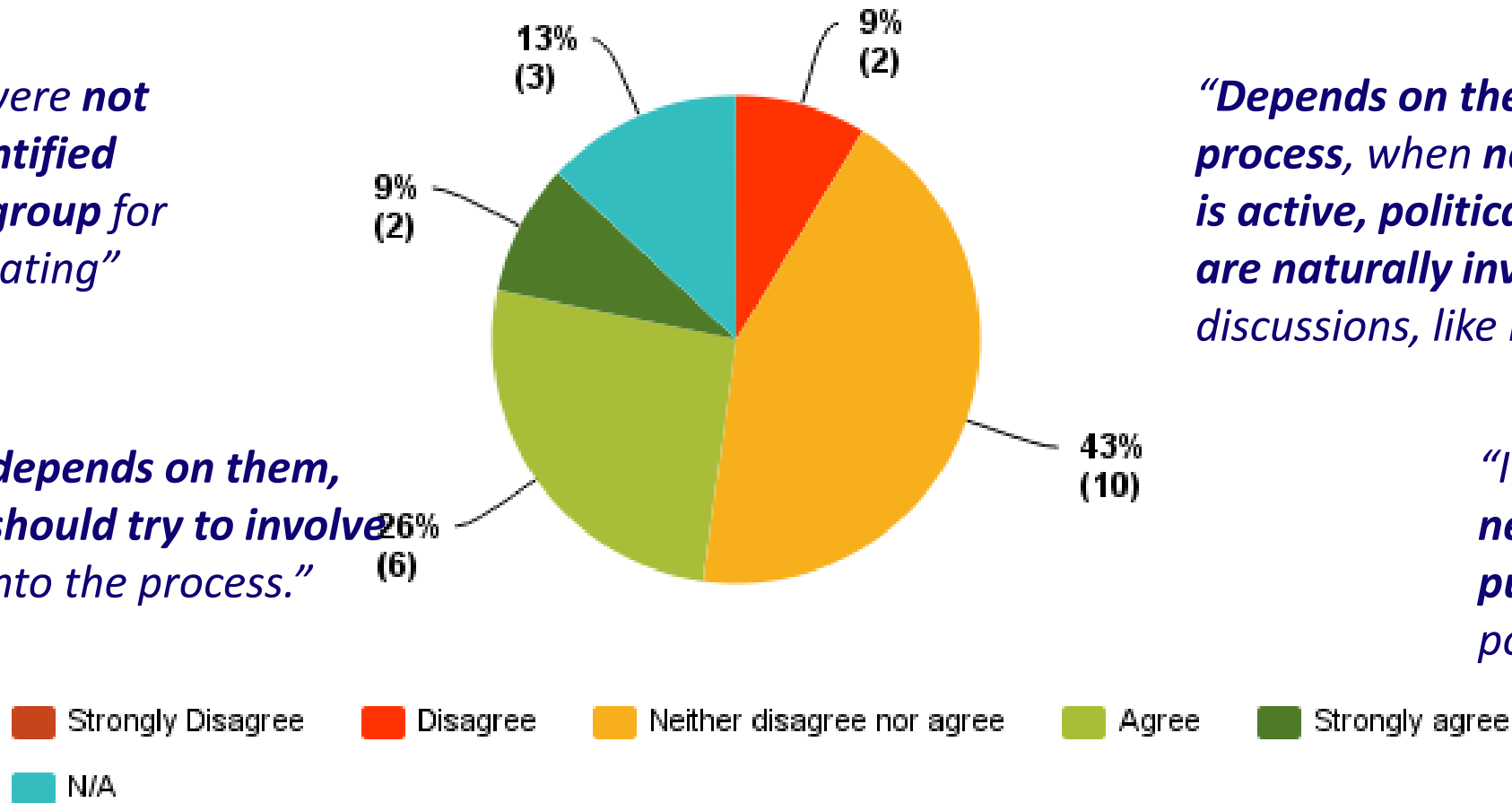
Please indicate the extent to which you agree or disagree with this statement.

*“They were **not** the **identified target group** for participating”*

*“A lot depends on them, so we **should try to involve them** into the process.”*

*“Depends on the national MSP process, when **national process is active**, political stakeholders are **naturally involved** in discussions, like in LV”*

*“It (MSP) would **need more publicity** among politics.”*



*“MSP both **political** but also **an opportunity for planners to influence politicians** in the right direction.”*

Summary & Outlook: Lessons Learned

INDIVIDUAL & INSTITUTIONAL LEARNING

Planners

- Gained mutual understanding of national planning systems.
- Gained new knowledge, tools & methods to deal with transb. MSP

Partner organisations

- Encouraged to integrate transb. perspectives into national planning

PROJECT-LEVEL RESULTS

Successful

- Information exchange among project partners
- Coordination between partner institutions
- Promotion of cross-sector synergies and addressing of conflicts

Strengthened

- Links between MSP authorities (individual, organisation)

=> “Pan-Baltic approach” to MSP ...?

MOVING BEYOND THE PROJECT

- Sub-national authorities/politicians could become more prominent
- Other stakeholders & different generations’ perspectives

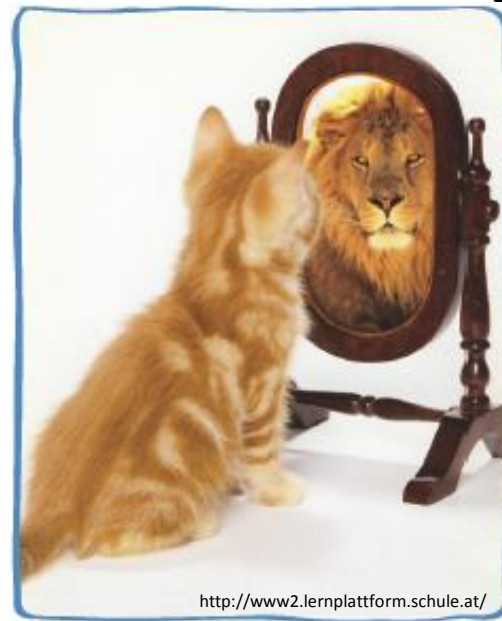




Baltic SCOPE

Towards coherence and cross-border
solutions in Baltic Maritime Spatial Plans

Thanx!
Let's discuss!



<http://www2.lernplattform.schule.at/>



Picture Source: <http://www.uloc.de/cgi-bin/uloc/126search/2/3615-Welkommer.htm>

Swedish Agency
for Marine and
Water Management



REPUBLIC OF ESTONIA
MINISTRY OF THE INTERIOR



Discussion 1: Results, Obstacles & Enablers

- Do the results, obstacles and enablers identified in Baltic Scope capture your experience (from your and your colleagues' practice / research)?
- Based on the presentation: What are the most important obstacles and enablers?
- Do you have any recommendations on how to improve MSP practice, theory & research?

Panel discussants: Anni Konsap, Jan Schmidtbauer Crona, Wesley Flannery



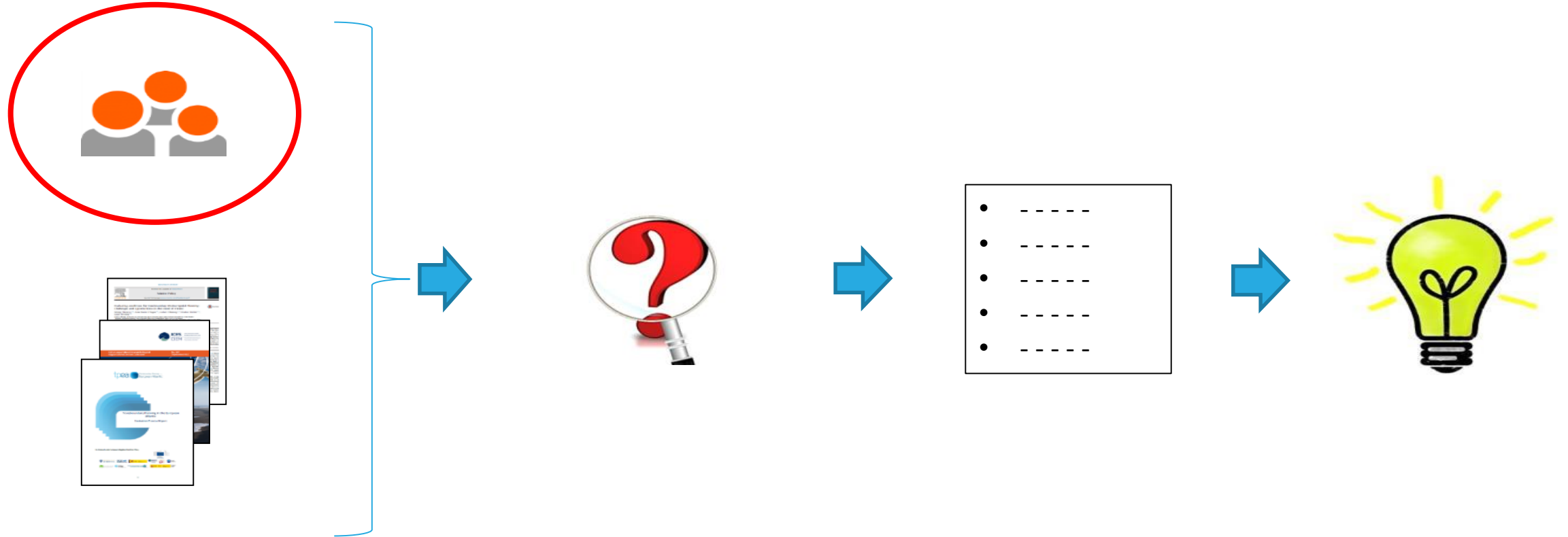
Baltic SCOPE monitoring & evaluation framework

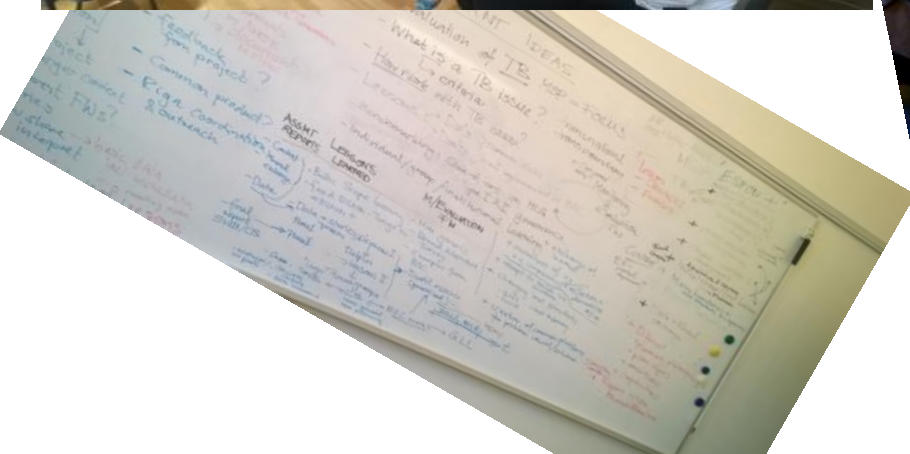
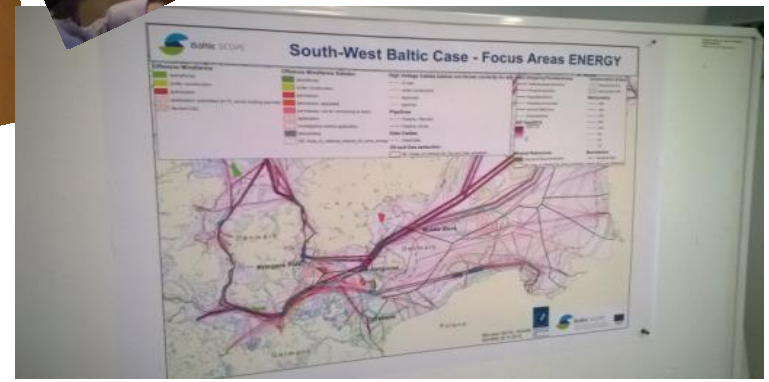
Identification of enablers and obstacles

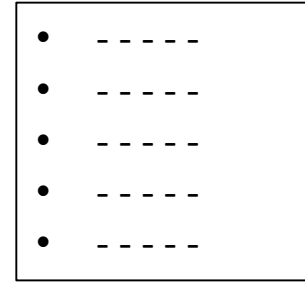
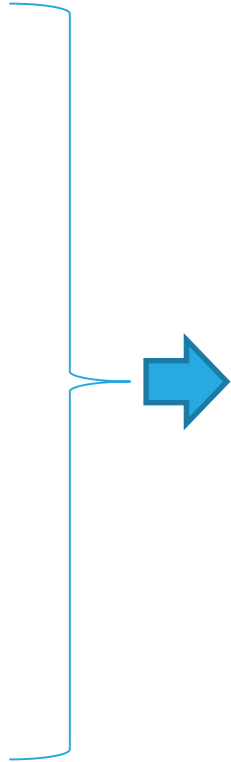
Riku Varjopuro

Head of unit at the Finnish Environment Institute (SYKE)
Environmental Policy Centre, Interactive Governance Unit

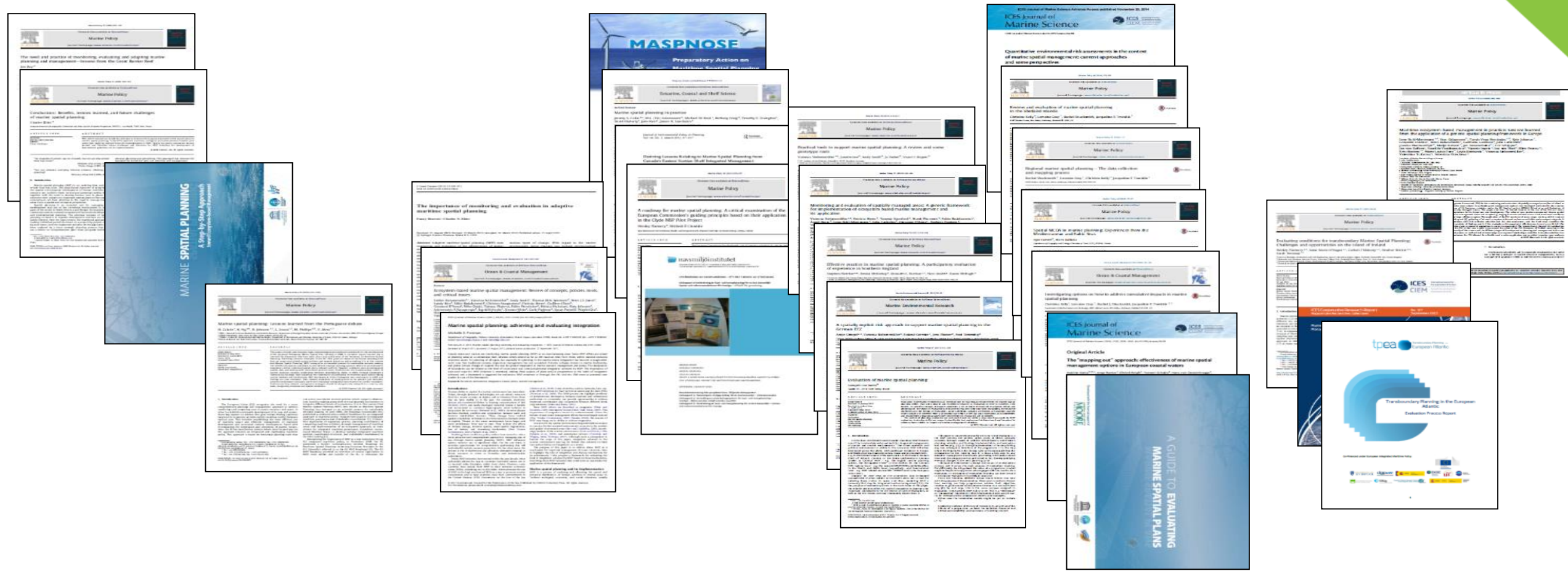
Outline







Evaluation of MSP

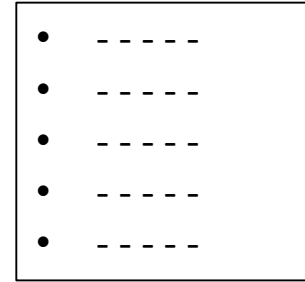
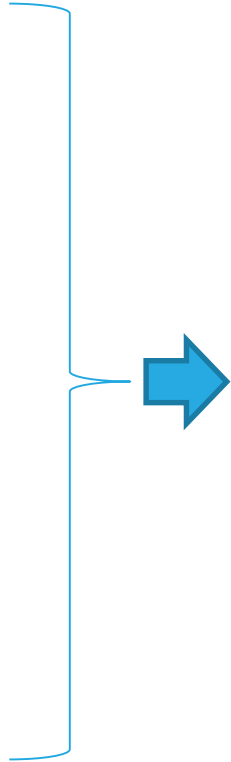


2008

2010

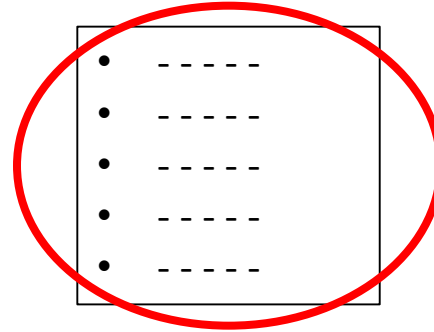
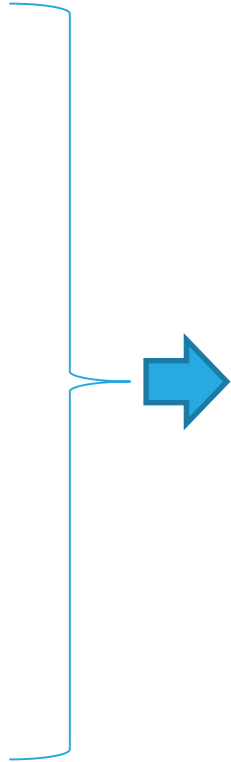
2012

2014



Findings on transboundary MSP processes

- Different legal and institutional settings
 - Different timing in countries
 - Different meaning of MSP in countries
 - Different practices of MSP in countries
- To overcome international barriers
- Challenge of attribution or contribution
 - How do you know that your plan has caused the change the you observe?
(or lack of change)
 - MSP operates in an environment that is affected by various human actions, different policies and many natural processes
 - Various causes and uncertainties
 - Time lags



BalticSCOPE evaluation framework

- Five topics, 13 criteria and 65 indicators (+ suggestions for evidence)
- Preparation of the plan
 - Legal and governance framework for transboundary collaboration in MSP
 - Identification of the transboundary issues and areas
 - Definition of the transboundary objectives
 - Planning alternatives
 - Data and knowledge
- Outputs of transboundary agreements
 - Cross-border agreements on transboundary issues
 - Cross-border implementation
- Outcomes
 - Implementation of the transboundary solutions in national MSP
 - Establishment of transnational processes
- Follow-up and evaluation
 - Follow-up of the plans
 - Review of the plans
- Cross-cutting themes
 - Participation
 - Communication

BalticSCOPE evaluation framework

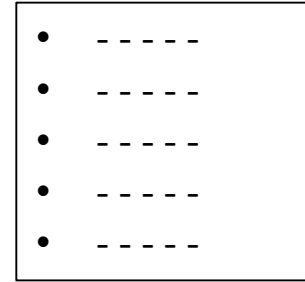
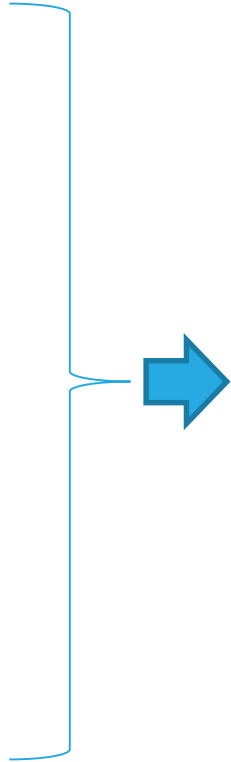
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 - Follow-up of the plans
 - Review of the plans
- Cross-cutting themes
 - Participation
 - Communication



Process

The diagram uses green curly braces to group the framework components. A large brace on the right side of the list groups the first four main bullet points (Preparation of the plan, Outputs of transboundary agreements, Outcomes, and Follow-up and evaluation) under the label 'Process'. A smaller brace on the right side of the 'Outcomes' sub-bullets groups them under the label 'Outcomes'.

Outcomes



Conclusion

- Various challenges and uncertainties
- Evaluation framework to suggest possible indicators and criteria
- Evaluation framework has to be adjusted to the context
- Methodological suggestion: theory-based evaluation
 - Bottom-up, built for the purpose, context-specific

Suggestion: Theory-based evaluation

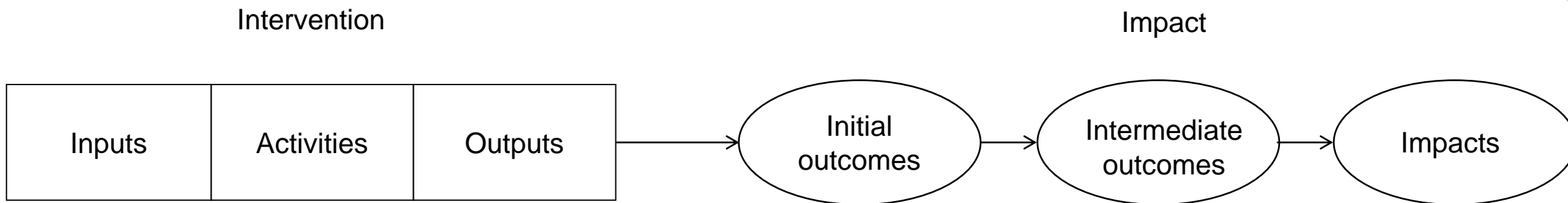
- Theory-based evaluation approach
 - Broad discussion and broad approach, e.g. intervention theory, program theory, intervention logic, (logical framework)
 - e.g. inherent in preparation of European Maritime and Fisheries Fund
- What "theory" are we talking about here?
 - An understanding of how a spatial plan, policy or intervention will produce preferred changes (and side-effects) (theory of change)
 - "Through which activities, actions and outputs my plan will reach the set objectives (and produce side-effects)?"

Theory-based evaluation

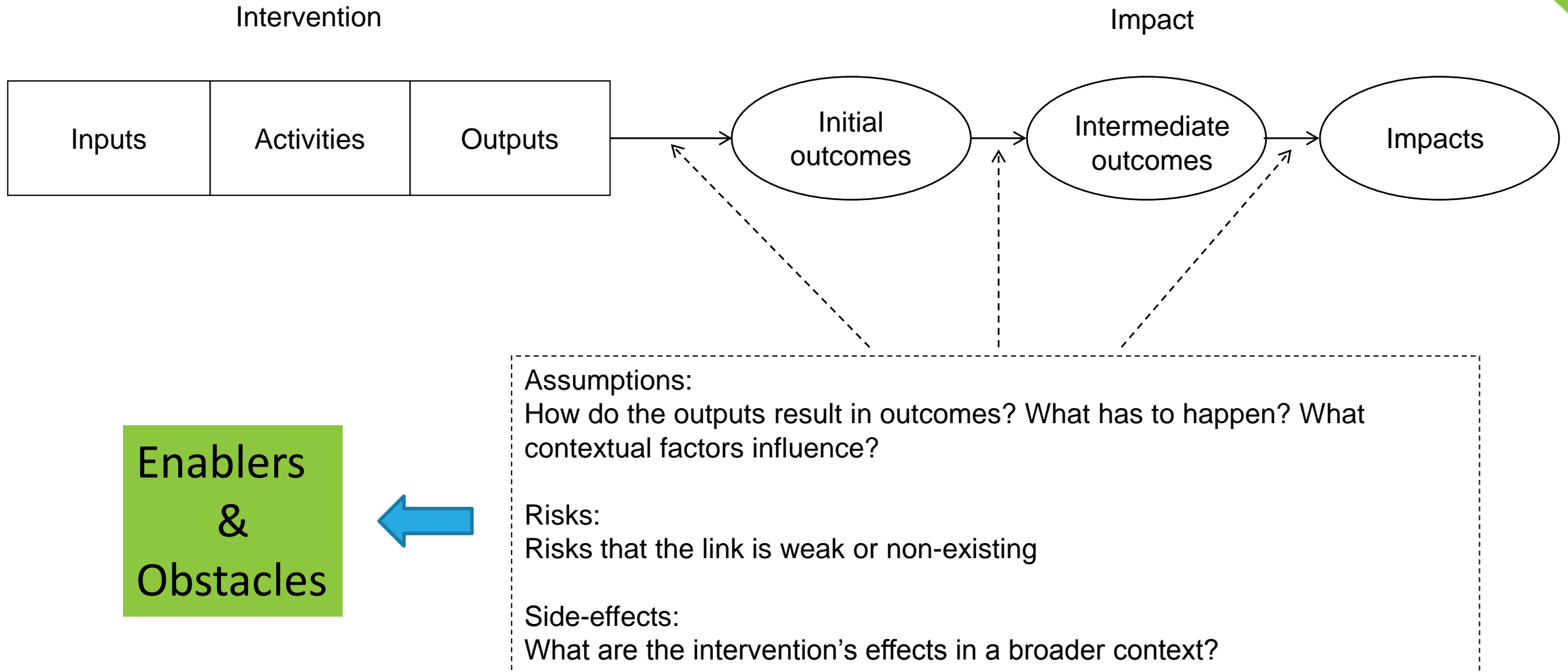
- Theory based evaluation can be described in five consecutive steps:
 1. Formulate a plausible theory of change
 2. Formulate and prioritise evaluation questions (criteria and indicators) around the theory of change
 3. Plan, design and execute the evaluation
 4. Measure constructs postulated in the theory of change
 5. Identify breakdowns, side effects, determine program effectiveness and explain cause-effect associations

Theory-based evaluation

- Theory based evaluation can be described in five consecutive steps:
 1. **Formulate a plausible theory of change**
 2. Formulate and prioritise evaluation questions (criteria and indicators) around the theory of change
 3. Plan, design and execute the evaluation
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Output of transboundary collaboration	Immediate outcome	Intermediate outcome	Impacts
Agreement on a transboundary planning solutions	Acknowledgement of the transboundary solution in or for national MSP process	A change in the national MSP	Improved coherence of planning of maritime activities
Establishment of a transboundary collaborative body	Naming of national (and sector/interest) representatives	Actual transboundary collaboration	Improved transboundary collaboration



Identifying Enablers & Obstacles

- *Ex ante*
 - Identification of the assumptions and risks of the theories of change produce knowledge of possible enablers & obstacles
- *Ex post*
 - An evaluation that goes beyond mere effectiveness evaluation should ask what have been the enablers and obstacles (breakdowns, cause-effect relations)
- Monitoring of processes
 - Monitoring framework needs to collect evidence on enablers and obstacles



THANK YOU!

Discussion 2: Evaluation framework for transboundary MSP

- What are your thoughts on evaluation in MSP:
When evaluation, what & why?
- Do you see any value in focusing evaluation on transboundary MSP
(process, plans)?
- The presentation suggests a bottom-up evaluation method as
alternative to a ready-made evaluation framework:
Where do you see the pros and cons of both alternatives?

Panel discussants: Anni Konsap, Jan Schmidtbauer Crona, Wesley Flannery



Comments

Anni Konsap

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Jan Schmidtbauer Crona

Senior Analyst, Swedish Agency of Marine and Water Management

Wesley Flannery

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W 1/5 Obstacles and enablers
in transboundary planning
(Baltic SCOPE)

Obstacles & Enablers in a Transboundary Planning Collaboration



Baltic SCOPE

Towards coherence and cross-border
solutions in Baltic Maritime Spatial Plans

**Thank you for participating!
Don't forget to post your post-its!
Discussion continues at the pillars
of the Baltic Scope exhibit...**

