CBD

Distr.
GENERAL

UNEP/CBD/SBSTTA/18/INF/23
18 June 2014

ENGLISH ONLY

SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL AND TECHNOLOGICAL ADVICE
Eighteenth meeting
Montreal, 23-28 June 2014
Item 4.5 of the provisional agenda*

MARINE SPATIAL PLANNING IN PRACTICE—TRANSITIONING FROM PLANNING TO IMPLEMENTATION

Note by the Executive Secretary

1. Pursuant to paragraph 2 of decision XI/18 C and in support of the forthcoming CBD Expert Workshop to Provide Consolidated Practical Guidance and a Toolkit for Marine Spatial Planning, being convened by the Executive Secretary of the Convention, from 9 to 11 September 2014, in Montreal, (Notification Ref. No. SCBD/SAM/DC/JL/JA/JMQ/83496, issued on 6 May 2014), a technical meeting on Marine Spatial Planning (MSP) in Practice was convened by United Nations Environment Programme (UNEP) (through its Division of Environmental Policy Implementation, Freshwater and Marine Ecosystems Branch), the Scientific and Technical Advisory Panel of the Global Environment Facility (GEF-STAP), and the United Nations Environment Programme World Conservation Monitoring Centre (UNEP-WCMC) in collaboration with the Secretariat of the Convention on Biological Diversity, from 6 to 8 May 2014 at the United Nations Environment Programme World Conservation Monitoring Centre in Cambridge, United Kingdom of Great Britain and Northern Ireland.

2. As referred to in paragraph 9 of the note by the Executive Secretary on tools and capacity development, including marine spatial planning and training initiatives (UNEP/CBD/SBSTTA/18/7), the report of the above-mentioned meeting is being made available for the information of participants at the eighteenth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice.

3. The document is being made available in the form and language in which it was received by the Secretariat.

* UNEP/CBD/SBSTTA/18/1.

In order to minimize the environmental impacts of the Secretariat's processes, and to contribute to the Secretary-General's initiative for a C-Neutral UN, this document is printed in limited numbers. Delegates are kindly requested to bring their copies to meetings and not to request additional copies.

'Marine Spatial Planning in Practice' initiative TECHNICAL PAPER

Technical Paper

Marine Spatial Planning in Practice – Transitioning from Planning to Implementation

An analysis of global Marine Spatial Planning experiences

Suggested citation: UNEP & GEF-STAP (2014) "Marine Spatial Planning in Practice – Transitioning from Planning to Implementation. An analysis of global Marine Spatial Planning experiences". Thomas, H. L., Olsen, S., & Vestergaard, O. (Eds), UNEP Nairobi, pp. 36.

Contents

Chapter 1: Introduction and project objectives 5
Chapter 2: Project approach and methodology 8
Chapter 3: Preliminary results 13
Chapter 4: Challenges in moving from planning to implementation 17
Chapter 5: Building the enabling conditions for successful implementation 22
Chapter 6: The Impacts and Outcomes of Marine Spatial Planning 26
Chapter 7: Typologies of MSP initiatives and contexts 30
Chapter 8: Preliminary conclusions 31
ANNEX 1: Survey questionnaire framework 35
ANNEX 2: List of Participants - 'MSP in Practice' Technical Meeting, 6-8 May 2014, Cambridge, UK . 37
ANNEX 3: Agenda - 'MSP in Practice' Technical Meeting, 6-8 May 2014, Cambridge, UK 38

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With grateful recognition of funds made available for this initiative from UNEP, SIDA (Sweden), GEF-STAP and BMUB Blue Solutions.

Chapter 1: Introduction and project objectives

Introduction

This document, "*Marine Spatial Planning in Practice – Transitioning from Planning to Implementation",* presents the preliminary findings from an on-going initiative being undertaken by the United Nations Environment Programme and the Scientific and Technical Advisory Panel of the Global Environment Facility (GEF/STAP), in collaboration with the Secretariat of the Convention on Biological Diversity (SCBD), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and a range of contributing partners. The initiative aims to strengthen the practical use of Marine Spatial Planning (MSP)[1] and contribute to implementation of CBD COP Decision XI/18 C[2] related to MSP, work of UNEP towards ecosystem-based marine and coastal management across Regional Seas, GEF guidance, and relevant national, regional and global efforts.

The **goals** of the initiative are (1) to provide enhanced understanding of enabling conditions that contribute to effective transitioning from MSP planning into implementation in different contexts and settings; (2) to identify, common barriers that could be overcome through learning and knowledge-sharing.

The findings of this assessment should assist local, national or regional planners, decision makers and practitioners across various coastal and marine sectors to develop and implement MSP in different contexts and settings.

MSP can cover a broad range of initiatives that all aim to maintain the use of resources and ecosystem services through careful planning of available coastal or ocean space. Whether focused on maintaining adequate fisheries yield, or managing impacts from shipping on biodiversity, any effort that attempts to reconcile the development objectives and activities of more than one sector from a spatial perspective can be described as marine spatial planning. We also include examples where MSP has evolved from preceding efforts, for example ICZM or MPA planning, and importantly transboundary coastal and marine spatial planning experiences across land-sea connections and marine areas of several national jurisdictions.

While MSP initiatives can be varied in their approaches, they often face similar challenges when transitioning into implementation. This initiative has therefore aimed to strategically address the following questions:

- What are the challenges or constraints experienced in implementing MSP?

[1] MSP for this work is defined as a participatory, multi-sectoral decision framework for allocating and regulating marine and coastal space to address the impacts of cumulative and potentially conflicting human activities to ensure a healthy environment and sustainable resource use into the future. The study has a particular focus on transboundary perspectives, both across land-sea connections and jurisdictional boundaries.

[2] http://www.cbd.int/doc/decisions/cop-11/full/cop-11-dec-en.pdf

- Which elements of the MSP planning phase are most critical to ensuring effective implementation?
- Are those elements specific to certain environmental, socio-political and governance contexts? and
- Are there lessons that can be learned about important barriers or enabling factors that can assist MSP planning and implementation in the future?
- What are the capacity needs of planners and practitioners to achieve successful MSP implementation and meet MSP objectives?

The aim of this initiative is therefore to gather practical experiences from MSP development and implementation from different local contexts and settings to understand what are key factors and practices that can support effective and efficient transitioning from planning to implementation. Simplifying conceptual frameworks are used for comparative analysis across initiatives.

Recognising that MSP includes a wide diversity of initiatives[3], which are undertaken in an equally large variety of contexts, we are structuring our findings and our recommendations in reference to *typologies* for differentiating among MSP initiatives and the environmental-social-governance settings in which they are undertaken. One **hypothesis** is that transitioning from MSP planning into actual implementation is often constrained by various common governance and process factors. Another hypothesis is that the lessons emerging from the practice and the actions that we identify as conducive to more efficient and effective transitions to implementation are most useful when they are related to the type of initiative and the setting in which it is undertaken.

In order to explore these strategic questions, a global survey was developed to collect practical experiences on MSP from a range of sources, including national planners in relevant ministries and sector agencies globally. The survey was followed up by a 3-day Technical Meeting bringing together planners, practitioners and experts to discuss lessons and further consider practical learning and experiences that can inform MSP planning and implementation.

This document is a Technical Paper, presenting preliminary results of the global MSP survey results and an overview of the Technical Meeting discussions. It should contribute to a number of initiatives including UNEP capacity building on marine and coastal ecosystem management in collaboration with Regional Seas Programmes; GEF-STAP advice on MSP in context of GEF6 programming. The outcomes of the work will also contribute to the CBD

[3] Marine Spatial Planning in the Context of the Convention of Biological Diversity, CBD Technical Series No. 68 (http://www.cbd.int/doc/publications/cbd-ts-68-en.pdf)

Expert Workshop on MSP[4], convened by the Secretariat Pursuant to COP Decision XI/18 C from 9 to 11 September 2014 in Montreal, to provide consolidated practical guidance and a toolkit for marine spatial planning, building upon existing guidance, in order to complement and further enhance the existing cross-sectoral efforts of Parties and other Governments on the application of the ecosystem approach to the implementation of integrated marine and coastal management, the identification of ecologically or biologically significant marine areas and the design and establishment of conservation and management measures, as appropriate.

Further global MSP survey analysis is planned and will be presented as an Appendix to this Technical Paper, which will be available in August 2014.

Initial discussions and planning have also been initiated towards developing a web-based information-sharing system linking existing information sources on marine spatial planning as called for in CBD COP Decision XI/18 C related to MSP, as briefly discussed in the document.

[4] http://www.cbd.int/doc/notifications/2014/ntf-2014-068-marine-en.pdf

Chapter 2: Project approach and methodology

Project approach

The initiative to date includes two main activities: **Component 1:** An online survey to collect experiences and lessons from practical MSP planning and implementation around the world. This included initial survey development, targeted dissemination and follow-up interviews with respondents. **Component 2:** Discussion of the trends and issues suggested by the survey and the experience of the participants at a Technical Meeting held on 6-8 May 2014 in Cambridge, UK. During July 2014, further global MSP survey synthesis will be undertaken for publication as an Appendix to this Technical Paper for publication in August 2014. Between July and October 2014, further in-country consultation and preparation of an online knowledge sharing and learning resource on MSP in practice will occur, as called for in the CBD COP decision XI/18 C.

Component 1: Global MSP survey

The target audience for the survey was local, national and regional planners, decision-makers and practitioners of different ministries, government agencies, and/or local authorities directly involved in coastal and marine spatial planning and management processes, including projects that have been carried out or are underway in each region or country.

It encouraged a broad diversity of inputs, ranging from comprehensive planning processes involving many different sectors to simpler processes with fewer sectors (for example: MPA network planning; coastal development planning for minimal impact to Locally Managed Marine Areas; or balancing tourism and offshore energy interests). It also invited experiences where MSP was evolving from preceding efforts, for example ICZM or MPA planning, as well as learning from transboundary spatial planning across land-sea boundaries, or coastal and marine areas across national jurisdictions. The survey paid particular attention to spatial planning initiatives that were already in the implementation phase and could therefore provide greater experience of how the planning approach and process can affect implementation outcomes in different contexts and settings.

A questionnaire framework was developed to solicit practical experiences and perspectives from different stages of planning, implementing and MSP evaluation (Table 1). Its structure follows the 'management cycle' as presented in Figure 2.1 (UNEP 2006[5]) with probing-questions to tease out experiences and perspectives at different stages in the process.

[5] http://www.unep.org/pdf/GPA/Ecosystem_based_Management_Markers_for_Assessing_Progress.pdf

Questions were formatted into an online survey and phrased in order to illicit information on "the degree to which" certain aspect or conditions were influencing factors.

In order to apply a coherent system to measure progress and impact of MSP initiatives, the questionnaire incorporated elements of a framework for tracking progress of ecosystem-based management, referred to as the "Orders of Outcome" framework. This aims to assess in a structured way not only short-term outputs, also longer-term outcomes including behavioral change across varied planning and implementation process in different ecological, social and economic contexts and settings.

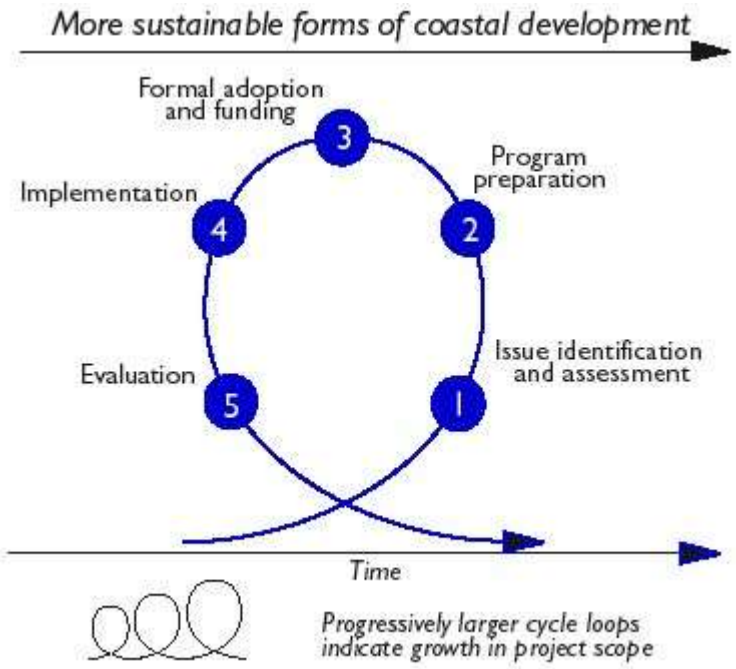

Figure 2.1: Generic management cycle (UNEP 2006)

Originally developed by the US Environmental Protection Agency as a means for assessing the outcomes of long-term investments in water quality regulations and restoration efforts in estuaries, the Orders of Outcomes is a framework for addressing these challenges. It has been expanded and further developed for assessing the impacts of integrated coastal management (Olsen, 2003) and integrated coastal and watershed management (UNEP/GPA, 2006; LOICZ, 2009; Olsen *et al.*, 2013).

The Orders of Outcome framework (see Figure 2.2) disaggregates the ultimate goal of progress towards more sustainable forms of development into a sequence of tangible and measurable outcomes. It offers indicators for assessing progress in outcome terms at three junctures in the transition from existing conditions in a selected place - in this case an MSP - to the desired environmental and societal conditions that an MSP is anticipated to achieve.

Thus the 1st Order assesses the degree to which the **enabling conditions for the implementation** of an MSP plan and policies are in place. These are the outcomes of that signal the successful completion of Steps 1 through 3 of the management cycle presented in Chapter 2. The full-scale implementation of an MSP is assessed as the 2nd Order by examining the degree to which the behaviour of marine user groups, relevant institutions and investments in the area have been modified as the **result of implementing** the MSP plan and policy. These are the outcomes produced by Steps 4 and 5 of the management cycle. The 3rd Order assesses the **changes in environmental and societal conditions** that can be attributed to the implementation of an MSP program. Finally, a 4th Order assessment probes the contributions of an MSP to more long-term sustainable forms of marine resource use.

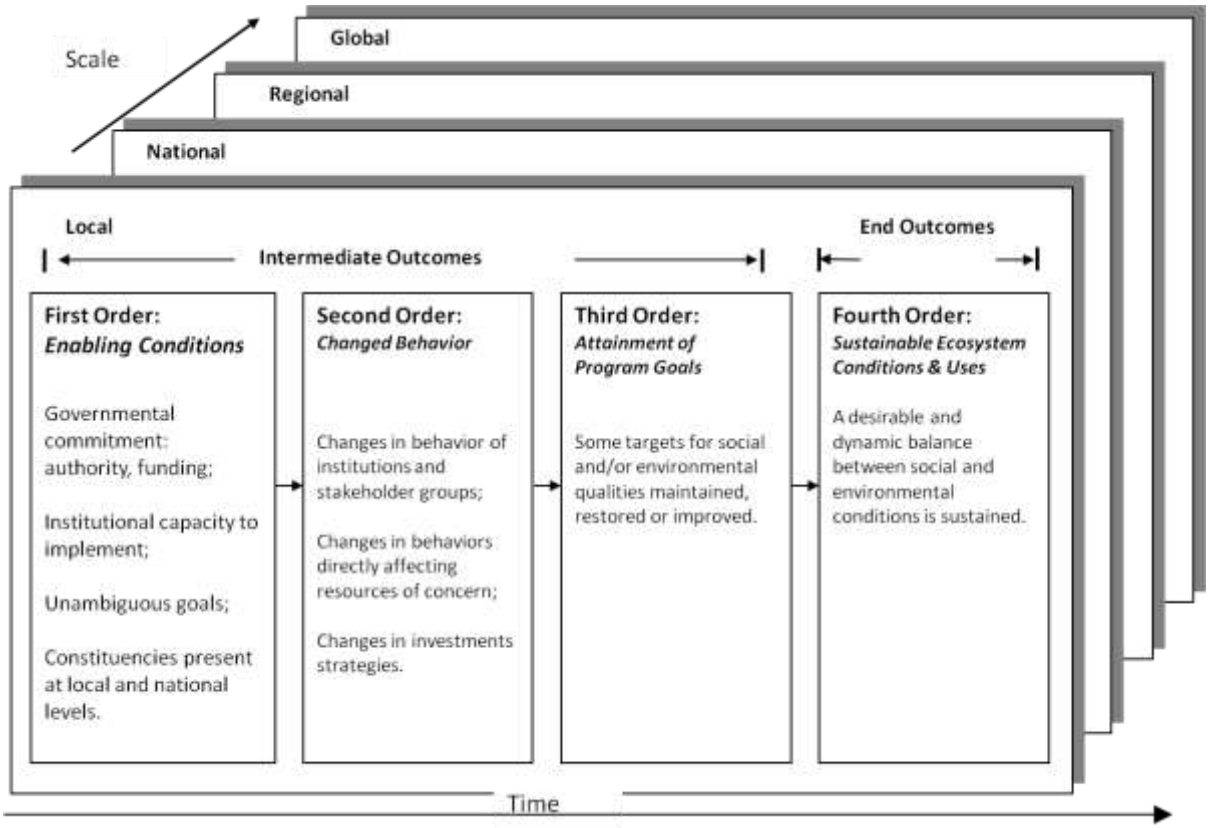

Figure 2.2. The four Orders of Outcomes in ecosystem-based governance. Adapted from Olsen, 2003

Global MSP information collection and interviews

The survey was distributed to Regional Seas Conventions and Action Plans and their national focal points, GEF focal points and programmers, relevant partners, NGOs, projects and networks to ensure broad engagement and inputs. It was also broadcasted to thematic E-list-servers, including EBM Tools Network and Coral-list. Translations of the survey into Spanish, French and Portuguese were made available where appropriate. The survey was open for input between mid-February to mid-April 2014. It was followed up with an additional set of specific questions circulated to respondents to gather additional

information specific on the specific context of submitted MSP case studies. Targeted follow-up interviews were organised with specific case studies respondents in order to assist them in providing comprehensive answers to the survey.

The survey was coordinated closely with CBD Notification SCBD/SAM/DC/JL/JA/JM/82140 (2014-025)[6] circulated to Parties, other governments, and relevant organizations on 19 February 2014, 'Request for information on the experience and use of marine spatial planning'.

Initial analysis of survey submissions

Survey inputs were translated into English where necessary, and then collated together with the contextual survey responses for analysis. Preliminary analysis was designed to provide an overview of survey responses. Survey inputs were assessed as useable or otherwise, based on the level of information that was provided. Responses that provided very little information (i.e. less than approximately 5% of the survey questions answered) were not included for analysis. Usable case studies were then identified by country, regional ocean area (e.g. Western Indian Ocean) and classified as either 'single case studies' (e.g. Kimbe Bay MSP, Papua New Guinea), 'generic responses' (e.g. developing technologies to support MSP internationally) or 'multiple case studies' (where respondents had attempted to describe multiple MSP processes through a single questionnaire). Single case studies were then defined as 'in implementation' or not according to the responses provided.

Further analysis aimed to explore the survey responses to the three main questions posed by the initiative: 1) 'What do you think are the main barriers your MSP process faces in meeting some or all of its objectives?'; 2) 'What do you think were the factors that most contributed to your MSP process meeting some of its objectives?'; and 3) 'What do you think your MSP process needs to overcome those barriers?'. Free text responses to each of these questions were compiled and categorised by the separate issues that were raised, such as 'governance issues', 'stakeholder engagement', and 'data/tools'. Case studies were identified as either 'developing' or 'developed' country to provide some insight into whether economic context might affect issue response rates.

Component 2: 'MSP in Practice' Technical Meeting, 6-8 May 2014

Informed by the results of a global online survey of MSP in practice, 27 experts from 17 countries met from 6-8 May 2014 at UNEP's World Conservation Monitoring Centre in Cambridge, UK to discuss and further synthesise practical experiences and learning from different MSP initiatives around the world – particularly with the view to consider

[6] http://www.cbd.int/doc/notifications/2014/ntf-2014-025-marine-en.pdf

challenges and enabling conditions for effectively and efficiently transitioning from planning into implementation in different context and settings.

The participants represented a mix of planners, practitioners and experts with practical implementation experiences from different global regions – both experiences on what works, but also what doesn't work, challenges, barriers to implementation. The format and setting of the meeting aimed at constructive, informal, open debate.

The meeting covered three main themes:

A. SETTING THE SCENE – MSP IN REALITY: Brief look at practical MSP experiences around the world - what works, what doesn't? What was the impact?

B. TRANSITIONING FROM PLANNING TO IMPACT: Barriers and enabling factors for effectively transitioning from planning to implementation; Measuring outcomes and impact of MSP planning

C. PLANNING FOR IMPLEMENTATION IN DIFFERENT CONTEXTS: What is the influence of context (geography, wealth, size, population density) on barriers, enabling factors and capacity needs?

The list of participants and detailed agenda for the 'MSP in Practice' Technical Meeting, 6-8 May 2014, can be found in Annex 2 and 3.

Chapter 3: Preliminary results

MSP in Practice case study survey

Following targeted communications through the UNEP Regional Seas Programme, the Global Environment Facility, NGO networks, MSP communities of practice and a specific CBD Secretariat notification to State Parties, the MSP in Practice case study survey received 113 submissions from marine spatial planning initiatives around the world. From these 113, 97 responses answered the survey questions sufficiently to provide insight into the particular MSP case studies.

From the subset of 97 more comprehensive responses, 79 described single MSP processes. The remaining 18 described either generic MSP approaches (hypothetical processes, technological support for MSP processes, multilateral Convention MSP approaches), or multiple intervention sites in one response that could not be used in the MSP in Practice initiative.

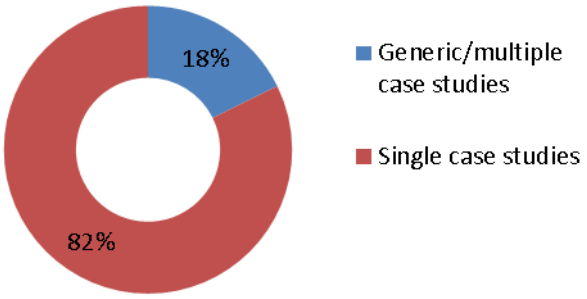

Figure 3.1. Case study responses

The 97 single MSP case studies were widely distributed geographically, as can be seen from Figure 3.2 below. As with any survey relying upon voluntary responses, these results cannot be considered to be comprehensive or representative of the full range of MSP processes occurring around the world. Implementation had occurred in 30 of the 79 MSP processes, with 41 still in their preparation or planning phases and a further eight with unknown status.

Figure 3.2. Geographical location of MSP case studies

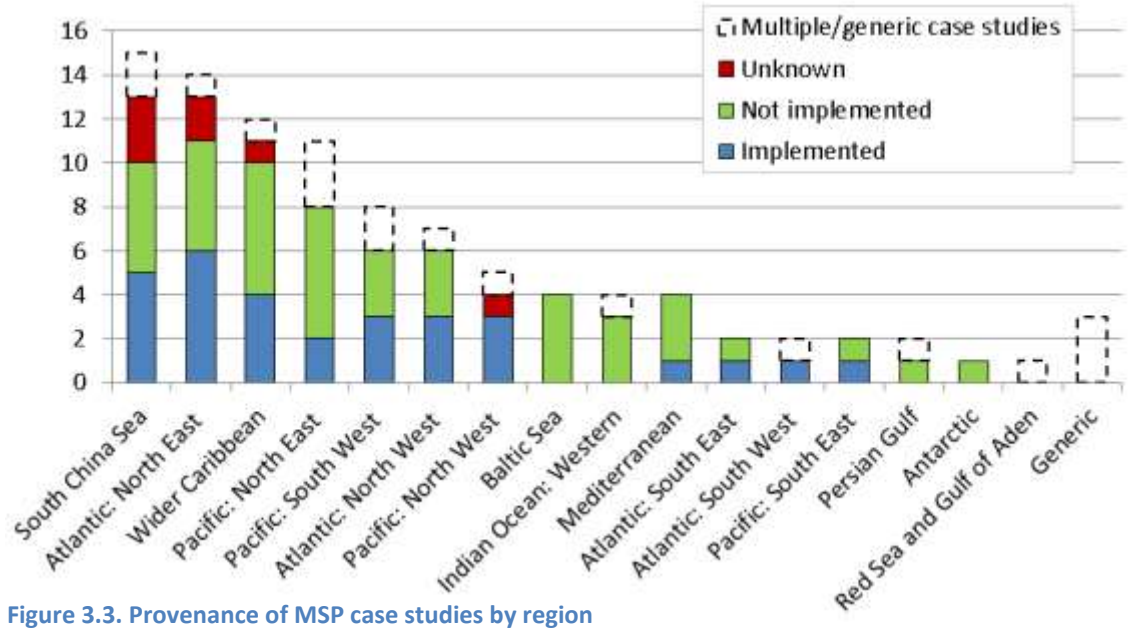

Figure 3.3. Provenance of MSP case studies by region

The majority of case studies were received from the South China Sea, North East Atlantic (Western Europe), North East Pacific, South West Pacific and North West Pacific. However, of each region's MSP processes, usually less than half have passed through any preparation, planning and adoption phases to reach MSP implementation (see Figure 3.3).

Of the 30 case studies that have been implemented, the vast majority had been started in the last 15 years, meaning that very few MSP processes have been in the implementation phase for more than 5 years, which presents a challenge to any attempt to draw conclusions from the results of MSP preparation and planning phases (see Figure 3.4). While this MSP in Practice initiative responds to a clear need to examine the barriers and enabling factors inherent in moving successfully from planning to implementation, the number of MSP processes offering case studies of such a transition is relatively low, and lower still when distinguished by developing and developed country contexts, presenting a challenge for analysis and meaningful conclusion.

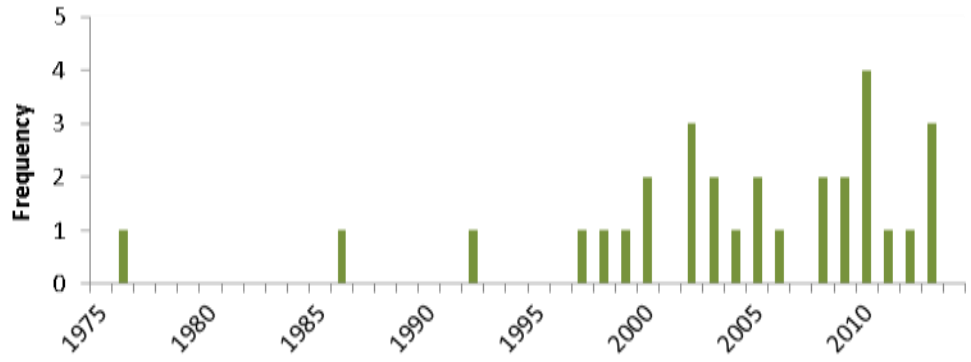

Figure 3.4. Inception years for MSP case study processes

The spatial scale of the MSP case studies varied considerably, ranging from very small scale local initiatives to extremely large transboundary programmes (see Figure 3.5). Although this demonstrates the enormous range of situations where MSP processes are applicable, many of the survey questions would have been more relevant to certain spatial scales than others, which may have a bearing upon the lessons that can be meaningfully drawn across this large size range.

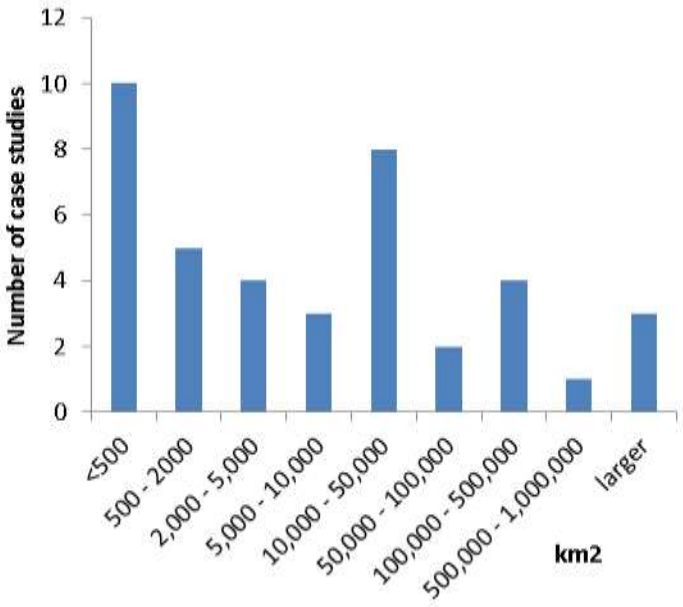

Figure 3.5. Spatial scale of MSP case study areas of intervention

When survey respondents were asked to select one or more of four general goals driving their MSP process case studies, the majority had the conservation or restoration of marine ecosystem health as at least one overarching goal (see Figure 3.6).

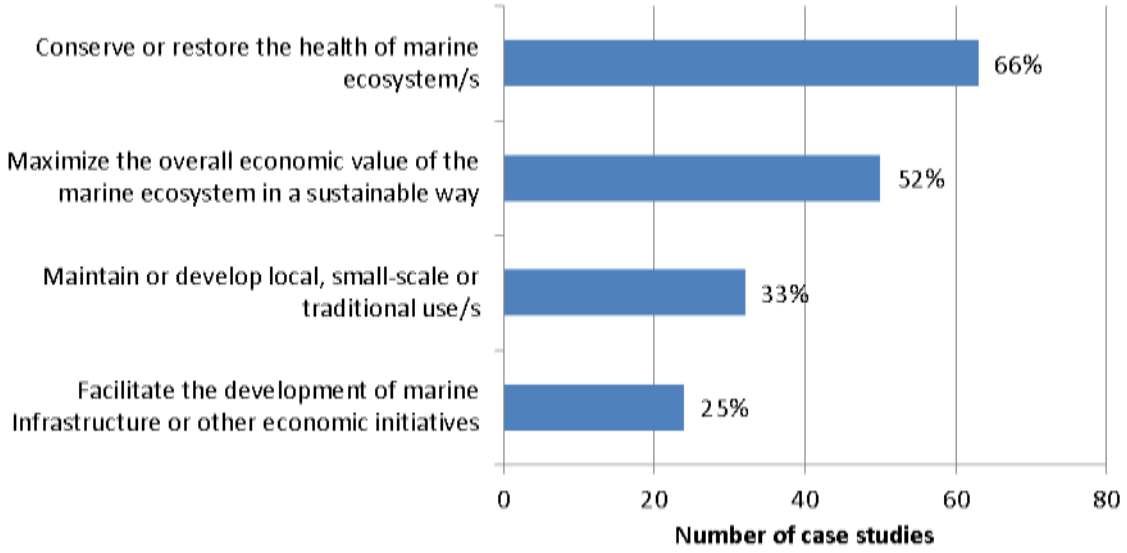

Figure 3.6. Overarching goal/s of MSP case studies (with % of total 97 case studies)

MSP Typology survey results

In response to the follow-up typology survey to determine the environmental, governance and socio-economic contexts in which these MSP processes were initiated, 42 sets of contextual data were received, 19 of which described implemented MSP process and 22 of which described non-implemented MSP processes.

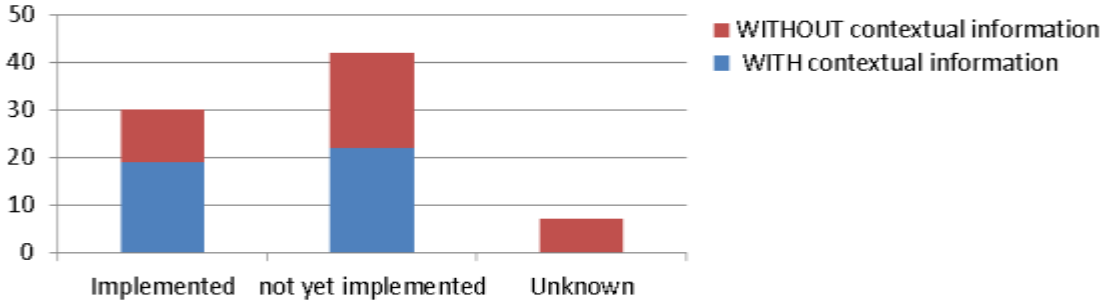

Figure 3.7. Number of MSP case studies with contextual information according to their implementation status

Further analysis of the survey responses to explore the effects of MSP characteristics and context on MSP outcomes will be presented in an Appendix to this document, which will be published in August 2014.

Chapter 4: Challenges in moving from planning to implementation

Context

MSP processes vary in their approaches, but it appears that many share common challenges when they reach the implementation stage. In order to help governments and practitioners avoid similar problems and to support the development of targeted MSP capacity building, the MSP in Practice Initiative investigated the general and specific challenges and barriers to meeting objectives that were experienced within MSP processes.

In the 'MSP in Practice' case study survey, respondents were asked first if they thought their MSP process was meeting its objectives, and then *What do you think are the main barriers your MSP process faces in meeting its objectives?* Similarly, meeting participants were asked to discuss what worked and what did not work in the MSP processes they were familiar with. The kinds of answers obtained from the survey and the meeting discussions are inevitably dependent upon the role of the respondent or meeting participant within the MSP process, since planners would be likely to assess concepts such as 'stakeholder engagement' very differently to stakeholders or government agency officials.

Technical Meeting discussion

Discussions and survey responses emphasized that challenges facing managers were shared across a wide variety of MSP processes. Challenges or barriers were applicable throughout an MSP process, or were linked clearly to a specific MSP stage, such as the planning or implementation phase.

General challenges

1. **Shared vision, goals and objectives** – While the terms 'vision', 'goal', 'objective' and 'target' are often used interchangeably, they have different formal uses in different legal and governance frameworks and different informal applications within MSP processes that can lead to some confusion, both in terms of what is meant by 'shared' and at what level of ambition. There was agreement that the terminology of 'vision', 'goal', 'objective' and 'target' represent a progressively refined and measurable set of intentions. However, not all of those intentions are necessarily established by consensus of all stakeholders. Many MSP processes have goal/s set and driven forward by a single or select stakeholder group, usually including those who have the power to impose such goals over others, such as the government in national processes. Although it may be possible to reach consensus around an overarching vision or broad goals, it may be far more challenging to do so for more refined objectives. It was accepted that MSP is a 'brokerage process' through which conflicting or competing interests are identified and workable solutions are sought. While reconciliation of conflicting interests is the

ambition of MSP, consensus between all stakeholders may not be possible and invariably, some form of executive decision making is required, if consensus cannot be reached. However the MSP goals are established, they must be **unambiguous,** in order to enable good communication, progress measurement and achievable outcome delivery, all of which were highlighted as essential to a successful MSP process. In addition, explicit trade-offs between conflicting interests should be recognized to ensure that prioritization decisions are transparent. In the absence of consensus, the best collective outcome may be a "least worst" scenario for stakeholders. However, the extent to which this "least worst" scenario has been developed through concerted negotiation **and** compromise **to reach broad agreement** will affect the acceptance and voluntary cooperation by some stakeholders as well as the levels of compliance with the final MSP scenario in implementation

2. **Governance arrangements –** establishing strong coordination across different institutional entities or sectors, such as federal/state or district/region, is very problematic for several MSP processes, both in developing and developed country settings. Good governance arrangements also support formal and informal processes for stakeholder participation, and weak institutional capacity to support these governance structures is also a major challenge for MSP processes. As a corollary, **transparency in decision-making –** communicating clearly who makes decisions and as how and when these decisions will be made – is necessary to fully engage and gain the support of area stakeholders. Developing this understanding needs time and effort that should not be underestimated. A lack of consistency in the decision-making process between MSP stages loses the trust of engaged stakeholders. **Corruption** is also listed by some MSP case studies as a governance problem affecting MSP outcomes.

3. **Stakeholder engagement** – Clearly related to the transparency point above, stakeholder engagement is often perceived as belonging to the planning process, but meeting discussions strongly asserted that engagement is needed throughout the process, from planning through to implementation, in order to build a trustworthy relationship between sectors Within an MSP framework, meeting participants felt that MSP should be presented as an open and collaborative process, through top-down and bottom-up engagement, so that there is a clear discussion and engagement. In several MSP cases, confusion around the concept of MSP (as compared with MPA planning, for example) had led to misunderstanding of resource use access rights and therefore stakeholder mistrust. In other cases, the perceived 'ownership' of the MSP process by the environmental sector had served to alienate other industry stakeholders and led to conflicts.

4. **Leadership** - having a champion – either in the form of an individual, organisation or institution – to be responsible for driving the MSP process forward ensures the process

endures difficult times by continually catalysing, rebuilding and maintaining support from those involved. Such leadership should explicitly communicate the MSP goals and objectives and be realistic about what the process cannot deliver.

5. **Resources** - sustained levels of financial resources, human capacity and technical skill over the long term are essential.
    a. **Funding** – to support time, effort and continued MSP implementation
    b. **Human capacity** was noted as a particular problem for certain developing country MSP processes, particularly when engaging with developed country partners. As noted by survey responses, low human capacity restricted the necessary activities (e.g. mapping, stakeholder engagement) of a comprehensive MSP process, particularly in remote or transboundary areas.
    c. **Technical expertise** – survey responses attributed a lack of expertise at local and national levels to threatening MSP objectives

Planning phase challenges

1. **Developing a well designed stakeholder engagement process** – Adequate multi-sectoral stakeholder representation, engagement and consultation must be ensured within the planning phase. Process design should ensure that stakeholders are made aware of the process design and certain key elements of decision making that will be undertaken (data requirements; management measures for zones; executive decision making and prioritisation in conflict resolution).
2. **Data and knowledge issues –** although gathering sufficient high-quality data and data collection capacity are inevitable challenges, these should not be insurmountable barriers. However, a lack of explicit communication or understanding around acceptable data quality standards and the use of data or within the MSP process causes significant mistrust. Data and knowledge issues preventing an ecosystem approach to MSP cause significant environmental issues during implementation. A pilot study may be needed to determine the minimum amount of data required to build, adopt and implement a plan.
3. **Developing unambiguous goals** – Meeting participants agreed that without measurable and achievable goals, some MSP processes could been destined to fail from an early stage unless those goals were carefully redesigned. Certain case study responses described overly broad objectives that proved difficult to manage and monitor, while others reported infeasible MSP processes as a major challenge.
4. **Resources –** low levels of financial resources or human or technical capacity in the planning phase were linked strongly to a subsequent inability to carry out satisfactory stakeholder engagement, a major driver of MSP success.
5. **Conflicts of interest -** Survey responses frequently reported differences of opinion or priorities between stakeholder sectors as leading to difficulties. Given that MSP is a

challenging process to reconcile conflicting intentions, the problem is less likely to be about conflicts of interest and more likely to be a result of insufficient communication and/or a lack of decision making transparency.

Implementation phase challenges

6. **Management measures –** preventing fair access to resources as a result of poorly designed regulation systems, such as inefficient permitting systems, causes stakeholder support to break down
7. **Enforcement** – low national/local government or institutional capacity to regulate and enforce management is a key challenge for changing behavior and achieving goals.
8. **Capacity for monitoring for condition or compliance** is strongly linked to poor enforcement but is a fundamental challenge to being able to measure progress towards MSP goals.
9. **Compliance** – Survey responses discussed the continuation of illegal activities or lack of respect for regulatory frameworks

Case study survey responses

From the 97 case studies gathered through the survey, the main challenging issues were shared relatively evenly across developed and developing countries, suggesting that problems can be generalised across such different socio-political areas. However, discussions in the Technical Meeting highlighted the need to consider other contextual factors that might better predict the challenges that would be faced in an MSP process.
While there are clearly barriers to successful transitioning from planning to implementation, it was clear from meeting discussions and survey results (See Figure 4.1) that there were some priority challenges that are faced by managers and practitioners.

Governance issues, such as the lack of a strong legal framework, aligning policies at local, regional and national levels or solid government support, particularly affected developing countries as they reached adoption and implementation phases, but such issues are also problematic for transboundary and multi-national processes.

In the survey, the challenge of **stakeholder engagement** did not emerge as clearly as it did in face-to-face discussions with practitioners during the meeting. However, stakeholder engagement is emphasized as one of the most important *enabling factors* for MSP success, and even more so for the transition to implementations by both the meeting participants and the survey respondents.

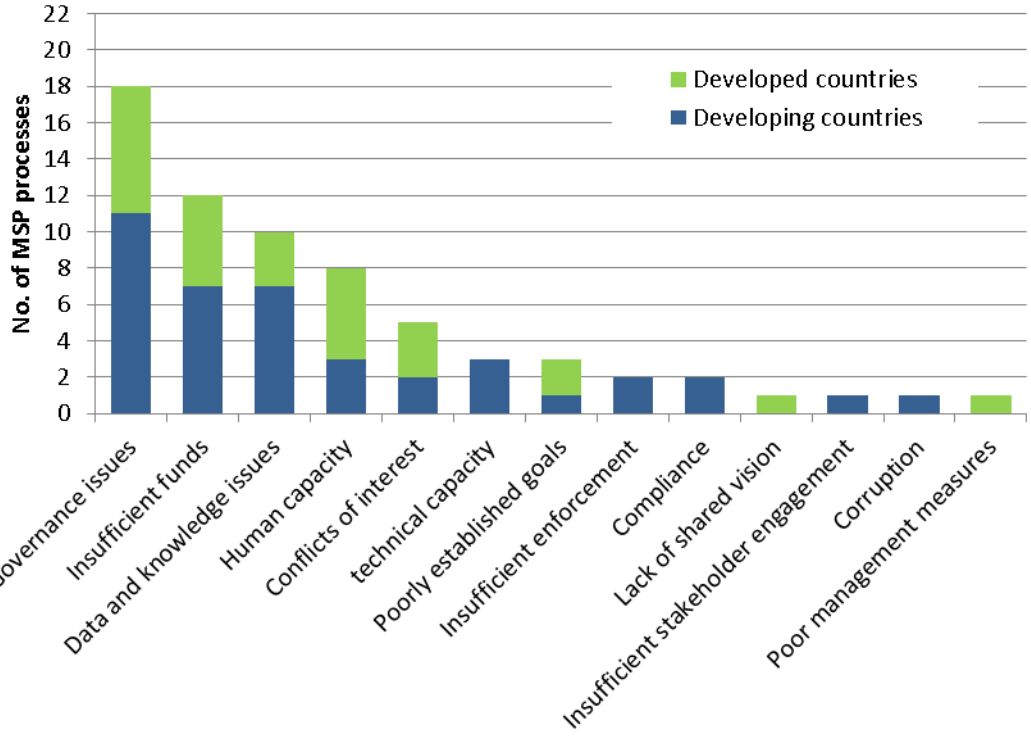

Figure 4.1. Challenges to meeting MSP objectives

While **data and knowledge issues** were repeatedly raised as challenges in the survey and in the workshop, they were not the most pressing problem facing the transition between planning and MSP implementation. Meeting participants reinforced that 'best available data' should be sufficient, even when data may be scarce, but that transparent communication regarding the *use of data* and *data quality standards* when making decisions is essential for retaining stakeholder support in planning and implementation.

Most of these problems are common to many marine management frameworks, and targeting their improvement is likely to significantly benefit marine resource use practices. Indeed, the variety of case studies described in the survey demonstrates that MSP can be loosely interpreted, with several examples describing broad management approaches rather than planning process to implement a specific management regime. Notwithstanding the complexities of the MSP terminology, the priority challenges of good governance and strong stakeholder engagement above are more specific to MSP. Given the potential challenges inherent in moving from MSP planning to implementation, having a well designed process and unambiguous goals is particularly important for MSP implementation success.

Chapter 5: Building the enabling conditions for successful implementation

To understand why some MSP processes are successful in implementation, we must learn what factors enabled such success to occur, and which of these factors stand out as the most important. The MSP in Practice initiative aimed to distil out enabling factors for MSP implementation in two ways, firstly by facilitating an in depth discussion with meeting participants around what worked in their respective MSP processes, and secondly, by analysing the responses to the MSP in Practice survey. Most of the MSP processes discussed in the meeting and submitted in the survey had not yet reached the implementation stage, or had not been in implementation long enough to evaluate progress within the implementation stage. In these cases, the discussions and analysis examined the enabling factors for successful transitioning to the stage that they were presently in.

Technical Meeting discussion

From their own experiences, MSP in Practice workshop participants were asked to consider which elements of their MSP process worked in terms of facilitating a successful MSP process. The overarching themes that emerged were: 1) a well designed process; 2) Good data and tools; 3) Strong stakeholder engagement, including effective partnerships and transparency; 4) A supporting legal framework; 5) Sufficient resources (funds, time or human capacity).

With the exception of good data and tools, all these themes contained general elements that were applicable across all phases. In a **well designed process**, the general enabling factors are making the MSP process as a participatory one, rather than a more top down approach, and the need for internal and external transparency between decision-makers, stakeholders and public.

Strong stakeholder engagement was identified as the predominant success factor in almost all of the MSP case studies discussed at the Technical Meeting, but particularly the smaller scale and/or developing country processes that dealt with local communities, (St Kitts and Nevis, St Lucia, Northern Gulf of California, Belize coastal zone, Colombian north Pacific coast and the western Indian Ocean island states), where community participation and ownership of the process are integral to effective MSP processes. Leaders or 'champions' at various levels are important for driving the MSP process forward through all stages. Within the overarching stakeholder engagement theme, several specific elements emerged. Achieving high level agreement and **government support** was recognised within such engagement. **Transparency, trust-building and credibility** recurred as an important aspect of stakeholder engagement, particularly in processes relying upon institutional partnerships, such as in Rhode Island, USA. A strong co-operative spirit between neighbouring countries

was identified as a successful characteristic of transboundary processes such as the Bothnian Sea.

Clear and established legal and policy mandates within a **supporting legal framework** was a major enabling factor for the Great Barrier Reef, Darling Bay and bioregional Commonwealth MSP processes in Australia. **Sufficient resources** in terms of funds, time and human capacity are essential to delivering all the other enabling factors for MSP success.

Participants also discussed enabling factors specific to certain MSP phases. Unsurprisingly, the **preparation phase** of the process contains the greatest number of enabling factors for implementation success. The early establishment of clear goals, objectives and procedural steps was consistently emphasized across all MSP processes as hugely important, as was a transparent, collaborative process that involved strong stakeholder engagement.

Within the **plan development phase**, examples of successful MSP approaches involve multi-sectoral stakeholder consensus building and the use of scenario modelling tools that incorporated ecosystem services.

Although it was noted that a supportive legal framework facilitates the efficacy of plan designation, few examples of successful elements came from **plan adoption phase,** a conclusion that was supported by the earlier identification of numerous challenges in this phase (see Chapter 4). Although this stage represents the crucial point at which legal acceptance and political support would be achieved, it is often given insufficient time within process design.

The importance of continued stakeholder ownership and involvement in the **implementation phase** was particularly stressed. Once in implementation, such ownership and involvement should support new processes.

An additional approach to understanding how the identified enabling factors work within the context of a given MSP process was suggested by the Blue Solutions Initiative of the German Federal Environment Ministry (BMUB). The methodological approach of the Blue Solutions Initiative[7] describes a process and distils out "building blocks" – the elements that made an approach successful. For Blue Solutions, a platform is being developed within the framework of a larger initiative, which will make it possible for users to understand enabling factors ("building blocks") within their context, but also to search for specific enabling

[7] http://bluesolutions.info/solutions/

factors, compare them, contact relevant individuals and adapt successful elements for their own challenges and context.

Case study survey responses

In the MSP in Practice survey, respondents were asked which factors had helped their MSP process meet all or some of its objectives. Responses are shown in Figure 5.1, colour-coded according to developing or developed country provenance.

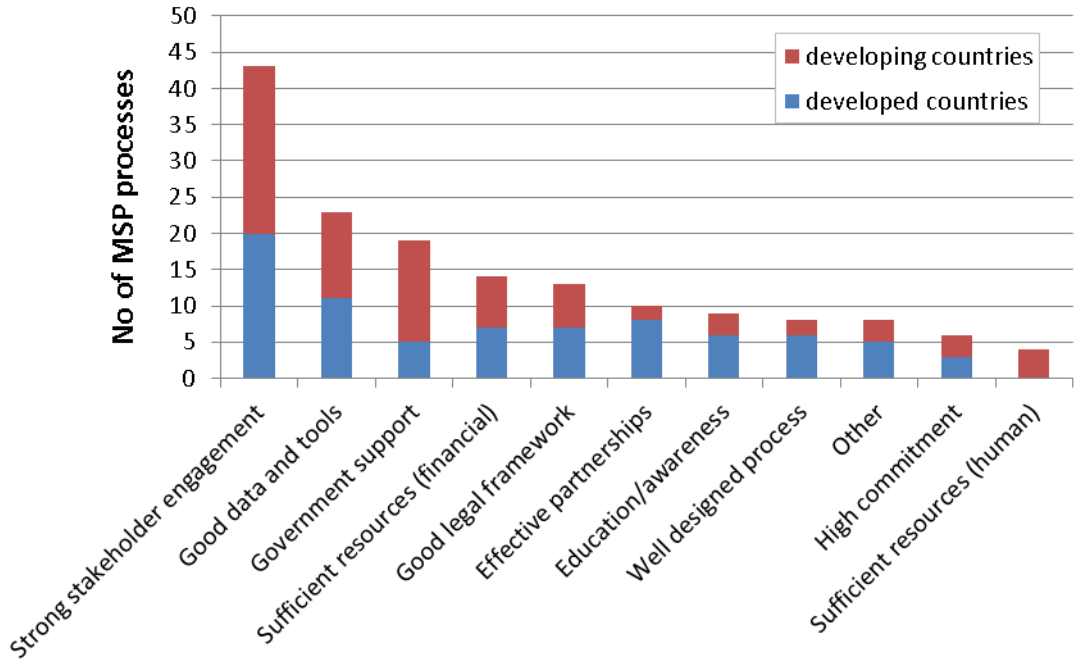

Figure 5.1. Enabling factors contributing to meeting MSP objectives

The commonly reported enabling factors that came from the survey were extremely well aligned with those outlined in the Technical Meeting. According to the frequency with which they were reported, enabling factors and their underlying details are described below.

Strong stakeholder engagement was the most commonly reported (in 43 MSP case studies) enabling factor for successful progress towards meeting objectives. Case studies had clearly benefited from participatory decision making MSP processes, and emphasized developing multi-sectoral and multi-level (national, municipal, local) stakeholder support, transparent communication, and information sharing as key elements of good stakeholder engagement.

Good data and tools referred specifically to comprehensive data (including local knowledge) that were publically available and openly shared. Good technology, such as Geographical Information Systems, and particularly decision support tools and scenario development were mentioned as positive elements to the process. **Government support** encapsulated

the advantage of having strong support from the government but also highlighted the success of involving national, regional and local government in the process.

Sufficient resources (financial) was reported as necessary to sustain the MSP process, but targeted finances for implementation of management measures, continued research, strategic planning and the engagement of multi-sectoral or multi-level stakeholders (national, regional, local). Ensuring MSP and implementation was embedded within the necessary laws, policies, and action plans was what constituted a **good legal framework** across MSP case studies and led to success. Across case studies, a **well designed process** consisted of clear and realistic goals, objectives or conservation targets.

Additional enabling factors that were frequently identified within the survey were **effective partnerships**, involving co-operation between agencies, stakeholder sectors or governmental institutions; **awareness and education**, particularly public outreach and specific community engagement and education programmes targeted at key stakeholder sectors (e.g. fishermen); and **high commitment** of both stakeholders and government. Similar partnership themes emerged in the Technical Meeting through comments regarding the need for 'champions' as well as transparency, trust-building and credibility between MSP partners. To a lesser extent **sufficient human resources** were noted, though this element would have been indirectly incorporated into all the other factors that would require technical, managerial or administrative capacity. In the category of '**other'**, the enabling factors noted in the survey were adaptable management measures or management plans, as well as previous experience, such as in land-use planning or Locally Managed Marine Area establishment.

With government support being an exception, the number of MSP case studies reporting the five most common enabling factors was fairly evenly distributed between developing and developed countries, suggesting that the key elements that support successful implementation may be universal across MSP processes internationally. However, socio-economic indicators such as GDP may not be the most appropriate distinguishing factor between MSP processes when looking at what factors enable successful implementation. Alternative environmental, socio-economic, governance, and user density factors at MSP inception could make subtler distinctions between MSP contexts.

Chapter 6: The Impacts and Outcomes of Marine Spatial Planning

The Challenges of Assessing the Impacts and Outcomes of MSP

The challenge of assessing the impacts and outcomes of MSP was a central theme of the Technical Meeting. One of the difficulties is that MSP goals are frequently couched in terms of an advance to more sustainable forms of development expressed as measurable improvements in environmental and/or societal conditions. Yet MSP, as an expression of the ecosystem approach, is a long term process that yields such improvements only after years or decades of effort. As seen by the survey results, there are as yet few examples of MSP initiatives that have made the transition to implementation and fewer still that have been sustained long enough to generate social, economic and environmental impacts at a significant scale. The exceptions are primarily in developed country contexts. Another challenge is that expressions of ecosystem change are most often the product of many forces playing out at a range of scales. This raises the important issue of understanding the contribution of an MSP initiative to an observed social or environmental change, rather than claiming such a change can be attributed to the MSP effort alone. The Orders of Outcomes is a framework for addressing these challenges.

Establishing the Enabling Conditions for MSP Implementation: The 1st Order

The first day of the Technical Meeting and the majority of the questions posed by the survey concern the planning phase of MSP and therefore the 1st Order of outcomes (introduced in Chapter 2, incl. Figure 2.2). The Orders framework proposes that four outcomes are the most critical and that all four must be present if the transition to MSP implementation is to be made successfully. These four 1st Order Outcomes are :

- Unambiguous goals address the social, economic and environmental dimensions of the conditions that the MSP is designed to achieve.
- Well informed constituencies have not only participated in shaping the MSP but can broadly agree with its goals, including recognition of compromises and trade-offs, and the means by which the goals will be achieved;
- The capacity is present within the institutions responsible for the MSP to successfully implement its procedures, policies and spatial plans; and,
- Governmental commitment for the implementation of the MSP is expressed by the formal endorsement of the plan by the lead state and federal authorities; the authorities and the financial resources are in place to implement the MSP over the long term.

The MSP survey opted to broaden the scope of 1st Order assessment by requesting information on 17 variables that may contribute to the enabling conditions and nine

variables that may act as barriers. The results of the survey can be analyzed to examine whether the four factors suggested by the framework are indeed the most critical or whether others are equally or more important.

The Technical Meeting discussions strongly reaffirmed that building constituencies for an MSP through well structured stakeholder engagement, consultation and involvement in all phases of an initiative is central to success. Representatives of the relevant governmental institutions should be active participants throughout this issue analysis, negotiation, policy formulation and planning phase. Inadequate capacity to practice the ecosystem approach is a primary source of difficulty or failure. The discussions highlighted, for example, the importance of building capabilities in conflict resolution and capacity to understand and influence the investment patterns that are impacting flows of ecosystem goods and services and generating conflicts. Repeatedly during the Technical Meeting the importance of agreement and clarity not only on the desired social/economic/environmental goals (3rd Order goals) of an MSP but the goals and "ground rules" for a consultative planning process was emphasized. Several examples were offered of losses in trust for an MSP process when stakeholders saw that the agreements and accommodations negotiated through a lengthy consultative process were not incorporated by government agencies into the final version of the MSP plan and its associated policies and rules. The lengthy and complex involvement of stakeholders in a tri-national MSP (Germany, Denmark and the United Kingdom) for the Dogger Bank and MSP planning for the South East region of England were discussed as powerful examples of this problem.

Many participants at the Technical Meeting spoke of the benefits of a learning-by-doing approach that builds experimentation and pilot scaled efforts into the larger MSP process. It is therefore essential to recognise that 1st, 2nd and 3rd Order Outcomes do not accumulate in a rigid sequential manner but can and should be evident to varying degrees as an MSP initiative matures. It is equally important to recognise that such outcomes are necessary at a range of spatial scales and that the time required is often scale dependent. Positive experience in conflict resolution (and therefore 2nd Order changes in behaviour) and small scale pilot sites or limitations on some forms of fishing (for example bomb fishing) can quickly generate measurable 3d Order improvements in environmental conditions. Such achievements should be recognised and celebrated. The 2nd Order, however, is most concerned with the full scale implementation of a formally sanctioned MSP that addresses the entire focal area. Such implementation is presumed to generate the 3rd Order outcomes that are offered as the justification of the MSP effort and describe its anticipated benefits. The 2nd Order therefore defines the transition to full-scale MSP implementation as securing approval of the plan, sufficient resources to implement it over the long term and the necessary authorities to enforce its policies and rules.

Evidence of MSP Implementation As Changes in Human Behavior: The 2nd Order

Since the majority of the MSP cases represented at the Technical Meeting were in the planning phase, or had only recently moved into implementation, the discussion and examination of 2nd Order outcomes was limited. Nonetheless, the three categories of 2nd Order variables were discussed and recognised as important. These are:

(1) Changes in the behaviour of resource users;

(2) Changes in how the relevant governmental and non-governmental institutions collaborate and modify their procedures to support of the MSP's policies and plan;

(3) Changes in investments in the MSP area including financial support to the MSP effort itself.

As noted in Chapter 4, the Technical Meeting participants underscored the importance of strong leadership as a major contributor to success across the three Orders. Such leadership is particularly effective when rooted in the culture of the place. Examples from Indonesia underscored the difficulties in achieving changes in the behaviour of large scale fisheries that intrude on grounds used by artisanal fisheries. The Indonesian experience also highlights the differences in the challenges of incorporating the integrated, cross-sectoral and cross-scale approach to natural resources management. The dissemination and collective learning that can be produced by documenting and contrasting outcomes in a variety of settings resource management at the different levels in the governmental hierarchy. Experience from Central America and Colombia illustrates the challenges of winning the engagement and commitment of governmental agencies when the economic and political gains of changes in the governance do not provide sufficient incentive.

Evidence of MSP Impacts on Environmental, Social and Economic Condition:The 3rd Order

There was no real discussion of 3rd Order outcomes attributable to the MSP cases represented at the Technical Meeting since only some had recently made the transition to implementation and therefore were beginning to see 2nd Order impacts as changed behaviours. It was noted, however, that MSP in Europe has been the vehicle for selecting sites for wind farms and this may be considered a 3rd Order outcome. Such long term, large scale programs as the Great Barrier Reef have generated major 3d Order outcomes. An important point when addressing both 2nd and 3d Order outcomes is that in complex environmental and social systems it is important to distinguish between the attribution of outcomes to a single initiative, such as an MSP, since a web of factors typically is influencing the course of events. It is most appropriate to assess the impacts of an MSP as a contribution to a set of outcomes rather than claiming that such results are solely attributable to a single effort such as an MSP.

The Technical Meeting participants underscored repeatedly the importance of applying a common framework and indicators for assessing the outcomes of MSP initiatives. Such comparative assessments, however, need to recognise the differences in the socio-ecological contexts in which MSP initiatives are undertaken.

Further survey analysis is planned to examine the presence of 1st, 2nd and 3rd Order Outcomes in MSP processes and will be presented in an Appendix to this Technical Paper, to be available in August 2014.

Chapter 7: Typologies of MSP initiatives and contexts

Marine Spatial Planning (MSP) encompasses a wide diversity of initiatives with differing environmental and economic objectives, spatial scales and budgets that are undertaken in an equally large variety of developing and developed country contexts. The survey was therefore designed to provide an initial assessment of the feasibility and usefulness of developing *typologies* for differentiating among MSP initiatives and the environmental-social-governance settings in which they are undertaken. Our hypothesis is that when learning lessons from undertaking actions we identify as conducive to more efficient and effective transitions to MSP implementation, these lessons are most useful when they are related to the type of initiative and the setting in which it is undertaken. To describe the typologies, MSP case study processes were categorized by their inherent characteristics and the contextual settings in which they had been initiated.

Inherent characteristics of MSP

- Principle objective/key driver
- Geographic size (area in km^2)
- Magnitude of their funding (average yearly budget ($))
- Process maturity (length of time spent in preparation, plan development, adoption, implementation)
- Degree to which they are cross-sectoral

Contextual factors at MSP inception

Table 7.1 Inception characteristics of MSP case studies

	Low	Medium	High
Prevalence of poverty (%)	<10%	10-50%	>50%
Intensity of user activity (people/km2)	<10	10-50	>50
Degree to which users conform to existing rules	No governance mechanism ***OR*** no significant rules	Traditional /governmental rules but non-conformance common	Conformance generally good with occasional exceptions ***OR*** Rules were widely known and followed
Degree of government support	Absent or low	Some expressed support, others did not	All supported MSP
Degree of environmental degradation	Severely degraded	Signs of degradation but impacts were localised	Generally good

The poverty indicator in particular is a particularly challenging indicator to define and assess.

For the purposes of the survey, respondents were asked to rank the prevalence of poverty, though post survey analysis will be able to gather independent measures of poverty, such as those used as Millennium Development Goal Indicators[8].

Although not all cases studies provided information on all of the inception characteristics, a wide range of contextual situations appeared across the survey as a whole. All contexts were represented, but most responses described medium or high conformance and government support, medium environmental conditions and medium to low poverty. Few responses described MSP processes that had started in high poverty, low conformance, low government support, or pristine environmental conditions.

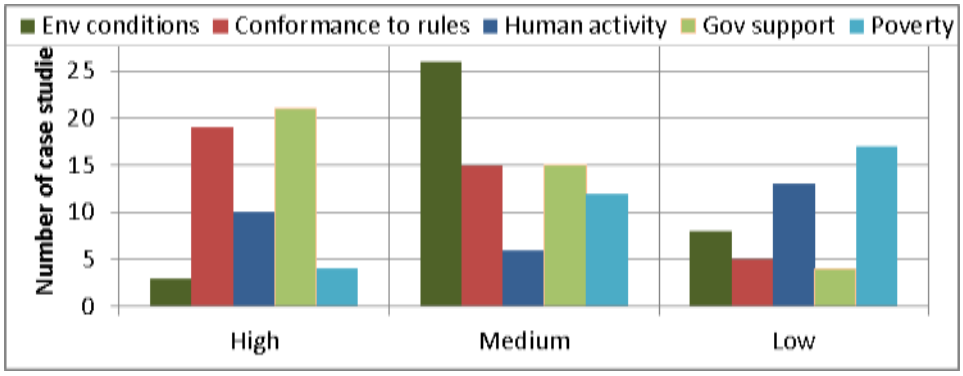

Figure 7.1. Contextual conditions at MSP inception

The development of such typologies should be considered as an element of the integration of governance baselines into the MSP planning and management process. Given the complexity of MSP and the long time periods involved, it is essential to document the societal and the existing governance system at the initiation of an MSP process and to refer to such baselines as a basis for assessing changing conditions and the impacts of the MSP effort. Baselines and typologies should be a feature of future capacity building since they underscore the importance of tailoring general principles and universal practices to the issues and needs of a specific place.

A greater understanding of how MSP process needs vary by context is necessary. Using this typology approach and the survey data on MSP outcomes, the MSP in Practice initiative will explore how such MSP process characteristics and contexts might be related to short- and long-term impacts, and how these relationships might help tailor future MSP initiatives as well as future capacity building to increase the likelihood of successful transition to implementation and the achievement of goals. This investigative analysis is planned and will form an Appendix to this Technical Paper, available in August 2014.

Chapter 8: Preliminary conclusions

[8] http://mdgs.un.org/unsd/mdg/

This Technical Paper presents the preliminary findings from the UNEP - GEF STAP MSP in Practice Initiative, aiming to: (1) identify the common challenges to successfully transitioning from MSP planning and implementation that could be overcome through learning and knowledge-sharing; and (2) provide enhanced understanding of enabling conditions that contribute to achieving successful MSP implementation in different contexts and settings.

The project involved an online MSP survey to collect experiences and lessons from practical MSP planning and implementation around the world and was followed by a 3-day Technical Meeting held between 6-8 May 2014 in Cambridge, UK where MSP practitioners and experts discussed the trends and issues suggested by the survey and their practical experience in MSP planning and implementation.

Both the global MSP survey and the Technical Meeting drew upon the Management Cycle and Orders of Outcomes frameworks (UNEP, 2006) to examine the processes and the outcomes of MSP case studies. The Technical Meeting discussions encouraged constructive appraisal of this approach to comparative analysis.

The MSP in Practice case study survey received comprehensive responses for 79 single MSP case study processes. A follow-up survey was undertaken to determine the environmental, governance and socio-economic contexts in which these MSP case study processes were initiated. Contextual information was received for 42 of the MSP case study processes. This additional information is being used to assess the feasibility of developing typologies of MSP designs and MSP settings.

Preliminary survey results and Technical Meeting discussions demonstrated:

- Implementation had occurred in 30 of the 79 MSP processes, with 41 still in their preparation or planning phases and a further eight with unknown status.
- Many small scale MPAs have been initiated in developing and developed country contexts. These are expressions of sectoral planning and do not necessarily demonstrate a broader commitment to cross-sectoral or ecosystem-based management beyond their boundaries.

The transition from MSP planning to implementation emerged as a major hurdle in all contexts. The Technical Meeting strongly reaffirmed that MSP is a 'brokerage process' through which conflicting or competing interests are identified and workable solutions are sought. While reconciliation of conflicting interests is the ambition of MSP, consensus among all stakeholders may not be possible and some form of executive decision making is

often required, if consensus cannot be reached. There is no doubt that MSP is a challenging process. The following were agreed as the key enabling factors for a successful transition from MSP planning to implementation:

- **Meaningful engagement of relevant stakeholders** in all phases of MSP development, implementation and assessment is the key to a supported marine spatial plan and its subsequent implementation compliance. This should include securing **governmental involvement and commitment** early in the MSP process, as it is critical to success in the subsequent MSP implementation phase.
- **Unambiguous goals** are needed to measure progress and should be established within a **well-designed process** that provides for good communication, negotiations and compromises towards meeting those goals;
- **Good governance arrangements and transparent decision-making** are critical to maintaining the trust of those stakeholders involved in the process and their support for the MSP plan;
- **A strong legal framework** for MSP implementation, good inter-agency/sectoral coordination and strong institutional capacity are features of a governance system for MSP implementation, particularly in developing country contexts.
- **Data and knowledge issues**, such as data collation, data sharing and quality assurance are important factors, but less important than issues of governance, particularly effective engagement of stakeholders throughout all phases of MSP planning and implementation.
- Current **sources of funding** for MSP, particularly in developing country contexts, often underestimate the sustained effort, time and human capacity required to realise the benefits.
- **Developing governance baselines** as a basis for monitoring and assessing progress and **ensuring sufficient capacity for enforcement and monitoring** condition and compliance in the implementation stage are necessary for understanding the social and environmental outcomes of an MSP process and as a foundation for adaptive management.
- The importance of **local champions for MSP** was repeatedly recognised as important to sustained success.

The social, economic and environmental context of MSP processes shape the relative strength of the barriers and enabling conditions for effective MSP implementation. The spatial scale, timescale and longevity of financial backing are important variables when assessing MSP processes for signs of success. This reinforces the need to apply common conceptual frameworks for tracking the processes and outcomes of MSP. Typologies that

characterise (1) the scale and design of MSP initiatives and (2) the settings in which they are undertaken, should be developed to inform our understanding of how such differences affect enabling conditions and outcomes. A fuller understanding of how designs and contexts influence the outcomes of MSP would inform future investments in capacity building.

The 'MSP in Practice' Initiative raised several important questions with regard to future work:

- A greater understanding of how MSP process needs vary by context is necessary, using this typology approach and the survey data on MSP outcomes
- Whether certain enabling factors appear to be particularly common to successful MSP processes and how this might vary according to context
- How to document enabling factors within the context of a given MSP setting. One option may be the use of the methodological Blue Solutions approach backed by an online platform.
- How these context specific needs might help tailor future MSP initiatives as well as future capacity building to increase the likelihood of successful transition to implementation and the achievement of goals.

Further analysis of the MSP survey responses will be undertaken as an Appendix to this Technical Paper, to be made available in August 2014. It is planned that further work will continue in support of the CBD MSP Expert Workshop in September 2014.

ANNEX 1: Survey questionnaire framework

Planning and implementation elements	Key Questions
1: Goals, engagement and information base	
A. Goals, objectives and design	A.1 What is the primary goal of the MSP process and how is its success defined?
	A.2 To what extent are operational objectives and targets clearly defined, quantitative and time-bound?
	A.3 Is the process steered by government (local, national, regional) and/or users and interest groups?
B. Stakeholder engagement	B.1 What has been done to help stakeholders engage and support the goals of the process?
	B.2 Do the relevant governance and management institutions endorse the process and have appropriate responsibility for taking it forward?
	B.3 To what extent is public support secured?
C. Knowledge base	C.1 What biological/ecological, socio-economic, activity and governance data are gathered to support the process?
	C.2 How is the spatial extent of the area defined and why?
	C.3 To what extent are environmental impacts individually and/or cumulatively incorporated into the process?
	C.4 Are future or predicted environmental changes, activity pressures, or development needs investigated?
D. Capacity	D.1 Are sufficient human and financial resources and capacity committed throughout the process?
	D.2 To what extent is the MSP initiative nested in broader policy framework(s) at different levels
2: Plan development	
E. Plan design	E.1 Which sectors, institutions and stakeholders were involved in plan design and to what extent?
F. Planning tools and decision support systems	F.1 To what extent are strategic tools (e.g. ecosystem-service valuation; cost-benefit analysis; trade-off analysis) applied to improve and optimise decision making?
	F.2 To what extent are strategic tools (SEA, EIA, risk assessment) applied to align appropriate management and policy?
G. Management measures	G.1 Are management measures clearly defined during the development of the plan?
	G.2 Is there a way to resolve conflicts arising during the development of the plan?
	G.3 Where management measures may have an uncertain risk of damage, to what extent are management decisions conservative?
3: Plan Adoption	
H. Governance structures and designation of authority	H.1 Is a relevant legal framework or other governance mechanism put in place to support implementation? If there was not one initially, how was this addressed?
	H.2 How has the authority(ies) for implementation been decided upon?
	H.3 Has the government provided the authority necessary to successfully implement the plan?

	H.4 Are management areas formally adopted by the necessary governance institutions?
4: Implementation	
I. Implementation	I.1 Are implementation responsibilities clear and how have then been decided upon?
	I.2 Are there structures to support effective institutional collaboration in implementation?
	I.3 Is the implementation process shaped by any stakeholder input?
	I.4 How has the management and regulatory process changed?
	I.5 Is there a clear and well-defined process for conflict resolution during implementation?
J. Monitoring and performance measures	J.1 Are zones/sites being monitored in a standardised way?
	J.2 Are mechanism established for evaluating the effectiveness of plan?
5: Assessment of Outcomes and adaptive management	
K. Assessment of outcomes	K.1 Are progress outcomes assessed and documented?
	K.2 Did the programme meet its objectives and did those objectives change during the process?
	K.3 To what extent are management measures enforced and/or complied with?
	K.4 Are partnerships within and between implementing institutions and civil society functioning properly?
	K.5 Is there sufficient financial investment and revenue generation to sustain the plan?
	K.6 Have unsustainable forms of resource use been replaced by more sustainable forms?
	K.7 Have conflicts among user groups been reduced?
	K.8 How has the ecosystem been affected?
	K.9 How has the flow of benefits been affected?
L. Adaptive management	L.1 Does assessment feed back into an adaptive management system?
	L.2 Is a future re-planning process expected and planned?
General evaluation of the MSP process	
M. Evaluation of the MSP process and outcomes	M.1 In your case, which elements of the process would you consider the ***most*** successful, and why?
	M.2 In your case, which elements of the process would you consider to be the ***least*** successful, and why?
	M.3 Which elements or stages of the process were the most demanding, and why?
	M.4 In your case, how could the process have been improved?

ANNEX 2: List of Participants - 'MSP in Practice' Technical Meeting, 6-8 May 2014, Cambridge, UK

Name	Organisation	Country
Andrea Ramírez	Ministry of Environment	Colombia
Chantalle Clarke	Coastal Zone Management Authority and Institute, Ministry of Environment	Belize
Damon Stanwell-Smith	UNEP-WCMC	UK
Dominique Benzaken	TNC Marine Programme	USA
Douglas Taylor	GEF-STAP	UK
Ario Damar	Centre for Coastal & Marine Resources Studies, Bogor Agricultural University	Indonesia
Elizabeth Charles-Soomer	Ministry of Planning and Finance	St Lucia
Gunnar Finke	GIZ (Blue Solutions)	Germany
Guo Zhenren	South China Institute of Environmental Sciences	China
Hannah Thomas	UNEP-WCMC	UK
Ilona Porsche	GIZ (Blue Solution)	Germany
Joe Appiott	CBD Secretariat	Canada
Jorge Jimenez	MarViva	Cost Rica
Laura Meski	HELCOM	Finland
Maria de los Angeles Carvajal Rascón	SUMAR (NGO)	Mexico
Miles Macmillan-Lawler	GRID-Arendal	Australia
Nic Bax	CSIRO	Australia
Ole Vestergaard	UNEP	Kenya
Paul Gilliland	Marine Management Organisation (MMO)	UK
Peggy Turk Boyer	CEDO Intercultural	Mexico
Peter Jones	University College London	UK
Remi Ratsimbazafy	WWF Madagascar	Madagascar
Richard Kenchington	University of Wollongong	Australia
Stephen Olsen	University of Rhode Island	USA
Sylvain Gambert	European Commission, DG-MARE	Belgium
Tundi Agardy	Forest Trends	USA
Vera Agostini	TNC Marine Programme	USA

ANNEX 3: Agenda - 'MSP in Practice' Technical Meeting, 6-8 May 2014, Cambridge, UK

Tues 6 May	**SETTING THE SCENE – MSP IN REALITY**
12:00 – 13:00	**Registration / light lunch**
13:00 – 17:00	**Opening**
	- Welcome including short overview of related processes and perspectives (UNEP, GEF-STAP, CBD, GIZ) - Brief participant introductions - Meeting objectives, expected output, meeting structure (UNEP and GEF-STAP)
	MSP experiences framework and survey inputs
	- Introducing "MSP in Practice' framework and key questions - Brief overview of MSP survey results
	Brief look at practical MSP experiences – what works, what don't?
	Tour-de-table briefly introducing participant's practical experiences on MSP. *a) What and where is your MSP initiative about?* *b) What component of the initiative worked?* *c) What didn't work?* *d) What was the impact?* Group exercise identifying: (a) Key barriers; (b) Key enabling conditions; (c) Practical definitions ('planning', 'implementation', 'designation', 'outcome') Plenary round-up
17:30	Workshop debrief
Wed 7 May	**CAPACITIES FOR TRANSITIONING FROM PLANNING TO IMPACT**
09:00 – 17:00	**Measuring outcomes and impact of MSP planning** - Overview presentation of MSP outcome framework - Plenary discussion of outcome framework Subgroup discussions, case study presentations and plenary synthesis of experiences on outcome and impact
12:30	Lunch
	Capacity gaps for effectively transitioning from planning to impact
	- Overview presentation: Survey results on capacity needs - Plenary discussion: Key capacity gaps in different stages of planning and implementation and how to fill them? Sub-group discussions, case study inputs and synthesis of capacity gaps. For example: (a) Effective information for planning and implementation; (b) Governance issues; (c) Measuring outcomes, (d) Practical gaps in addressing barriers or enabling factors; (e) Options for online sharing of MSP experiences; (f) other. Plenary round-up
17:30	Workshop debrief
Thurs 8 May	**PLANNING FOR IMPLEMENTATION IN DIFFERENT CONTEXT**
09:00 – 17:00	**What is the influence of context (geography, wealth, size, population density) on barriers, enabling factors and capacity needs?** Developing guidance for *transitioning from planning to impact in different context using a common framework? What could a* practical typology of MSP types versus context (ecological, social and economic) look like? - Introducing an MSP typology - Group discussions, development of typology - Understanding context - Group exercise/report back
12:30	Lunch
	Overall synthesis, strategic discussions and recommendations on practical experiences, lessons and capacity building needed to assist effective transitioning from planning and into in different context; On-line knowledge sharing – scope and possible formats (incl. intro to GIZ Blue Solutions approach) Next-steps; linkages to other processes
17:00	Close of meeting