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The MSP Index: A tool to guide and assess marine spatial planning

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1 **ABSTRACT**

2 Marine spatial planning (MSP) has the potential to balance demands for ocean space with
3 environmental protection and is increasingly considered crucial for achieving global ocean
4 goals. In theory, MSP should adhere to six principles, being: (1) ecosystem-based, (2)
5 integrated, (3) place-based, (4) adaptive, (5) strategic, and (6) participatory. Despite nearly two
6 decades of practice, MSP continues to face critical challenges to fully realize these principles,
7 hindering its ability to deliver positive outcomes for people and nature. Here, we present the
8 MSP Index, a tool for assessing progress in MSP processes based on MSP principles that can
9 guide practitioners in operationalizing these principles. Using qualitative analysis of
10 fundamental MSP guides, complemented with a literature review, we identified key features of
11 MSP principles and developed these features into a scoring guide that assesses progress
12 relative to each principle. We trialed and validated the MSP Index on six case studies from
13 distinct regions. We found that the MSP Index allows for high-level comparison across diverse
14 marine spatial plans, highlighting the extent to which MSP principles have permeated practice.
15 Our results reveal successes, especially for the place-based principle, and failures to fully
16 adhere to the adaptive and participatory principles of MSP. The Index serves as a guidance tool
17 that would be best employed by practitioners and can inform science on the evolution of MSP.
18 It is the first tool of its kind to translate MSP principles into practice, allowing for assessment of
19 individual initiatives and comparison of diverse initiatives across ocean regions and nations.

20

21 **INTRODUCTION**

22 Over the last 50 years, ocean-based industries have expanded at an increasing pace,
23 representing a global acceleration in ocean development that is changing the ocean as it
24 unfolds ¹. In addition to resulting in the rapid alterations of ecosystems, such rapid change may
25 represent a loss to humanity of natural resources and other ecosystem services ². As nations
26 develop aspirations for a sustainable blue economy – a pathway for bridging economic
27 development with ocean stewardship, protection, and restoration ³⁻⁷ – the need for
28 coordinated, collaborative, and comprehensive ocean planning becomes increasingly urgent ⁸⁻
29 ¹¹.

30 Marine spatial planning (MSP) is a process for analyzing and informing the spatial and temporal
31 distributions of ocean uses to achieve ecological, economic, and social objectives ¹². It offers a
32 more holistic approach than traditional single-sector planning by accounting for multiple uses
33 and objectives, while adopting some concepts from terrestrial planning ^{13,14}. MSP can help
34 coordinate and regulate the blue economy by identifying sites for new ocean uses and
35 compatible uses (e.g., fisheries and tourism), mitigating conflicts, enabling adaptation to
36 changing conditions and priorities, fostering collaboration, and promoting capacity building ⁸,
37 while ensuring that efforts to realize the economic potential of the ocean do not damage
38 already fragile ecosystems. At its core, MSP strives to achieve balance, holding the potential to
39 deliver both ocean conservation and sustainable use or development objectives ^{15,16}. There is a
40 strong and growing body of academic research and theory behind MSP ^{17,18}, but MSP will not
41 fulfill its potential for supporting global goals for a healthy and productive ocean if this theory
42 cannot be translated into practice ¹⁹.

43

44 In their influential step-by-step guide to MSP, Ehler & Douvère ¹² identified characteristics of
45 effective MSP: (1) ecosystem-based, (2) integrated, (3) place-based or area-based (hereafter,
46 place-based), (4) adaptive, (5) strategic and anticipatory (hereafter, strategic), and (6)
47 participatory. Here, we consider these characteristics to be foundational principles of MSP,
48 aligning with those guiding MSP in the European Union (EU). For instance, the EU principal for
49 “using MSP according to the area and type of activity” mirrors the place-based principle;
50 “incorporating monitoring and evaluation” reflects the adaptive principle; and “coordination
51 with Member States” aligns with the integrated principle ²⁰. The practical application of these
52 principles has proven challenging, as many MSP initiatives struggle to varying extents to
53 effectively adapt plans, engage stakeholders, strengthen institutions, and/or balance economic
54 development with conservation ^{15,21}. MSP initiatives are diverse ¹⁹, and often driven by political
55 interests and investments ²², resulting in plans that unevenly employ best practices and may or
56 may not support a sustainable blue economy.

57

58 As many initiatives worldwide are in pre-planning and plan preparation phases of MSP ²¹, and
59 given the growing prominence of blue economy discourses and policies ^{23,24}, now is a critical
60 time for providing guidance that ensures MSP theory informs practice. Using qualitative
61 analysis of fundamental MSP guides, complemented with a literature review, we identified key
62 features of MSP principles and developed these features into a user-friendly tool that can
63 assess progress in diverse MSP initiatives relative to these principles and best practices.

64

65 **METHODS**

66 **Identifying MSP features**

67 We used a three-step process to identify and describe key MSP features of the six MSP
68 principles. We define key features as distinct attributes of MSP principles that, when
69 implemented, ensure principles are present in MSP (e.g., biodiversity conservation is a feature
70 of the ecosystem-based principle). Key features are defined by a set of criteria to be effectively
71 implemented (e.g., to effectively implement biodiversity conservation, management measures
72 must exist to maintain or restore biodiversity, their habitats, and ecological processes). The
73 three-step process involved (1) a literature review and qualitative document analysis to identify
74 potential features; (2) qualitative sorting to identify preliminary features; and (3) qualitative
75 sorting to amalgamate and describe key features (Figure 1). First, potential features were
76 derived from a review of fundamental MSP guides, including Ehler & Douvère's ¹² step-by-step
77 guide and Ehler's ²⁵ guide to evaluating marine spatial plans. At the time of review, the recent
78 international MSP guide ⁸ had not yet been published. This review was supplemented with
79 select papers that are widely accepted as leading publications about MSP based on the number
80 of citations or publications authored by subject matter experts (expertise determined by the
81 number of articles on a topic by the author(s)²⁶) (Supplementary Table 1). Our intention was to
82 develop an index that could be flexible enough to be adapted with alternative features as
83 needed by MSP practitioners in response to the unique realities of planning areas. Given this, it
84 was deemed unnecessary to conduct a systematic literature review to identify all possible

85 features under MSP principles, though we are confident that MSP best practices have been
86 captured.

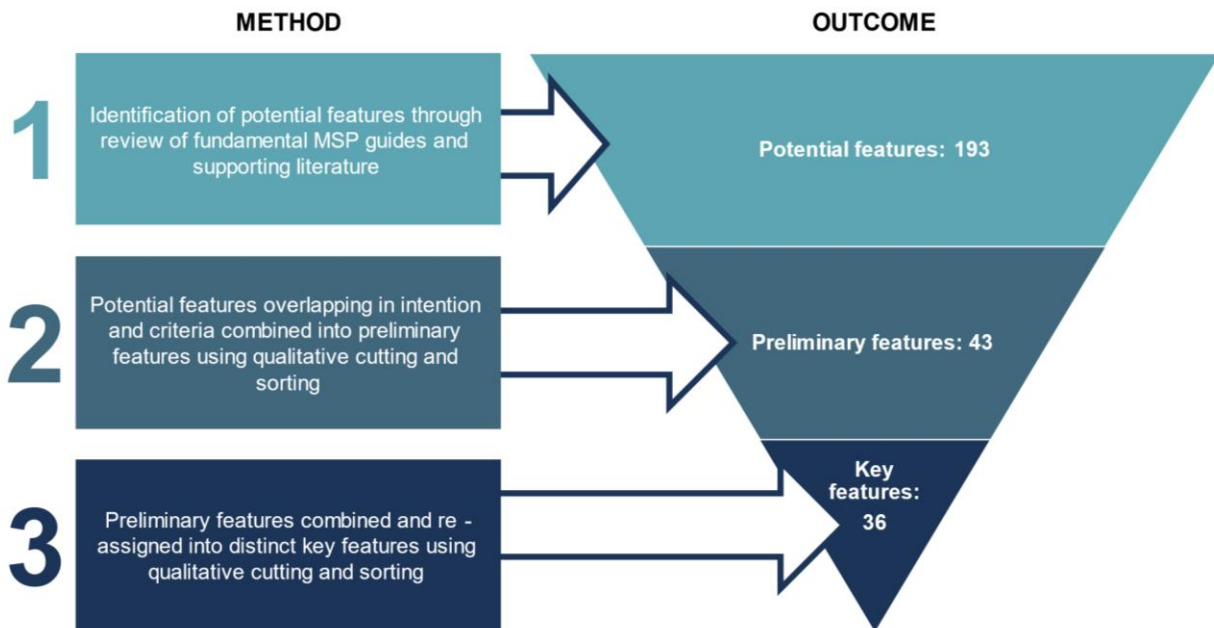


Figure 1. Three-step method and outcomes of each step for identifying potential, preliminary and key features of the MSP Index. The initial 193 potential features identified through review of key literature underwent two rounds of qualitative cutting and sorting to establish the final 36 key features.

87 For document analysis, we used a blended approach to qualitative coding to identify features
88 from the MSP guides and selected supplementary literature²⁷. Passages of text were
89 deductively assigned a code for the potential principle they reflected (e.g., adaptive or
90 participatory) and inductively assigned a code for a potential feature (e.g., uncertainty or
91 stakeholder dialogue) as they emerged from the text. Analysis of the selected literature
92 resulted in 193 potential features. Potential features overlapped in their intention or, in some
93 cases, better reflected potential requirements (i.e., descriptive elements or specific actions to
94 be taken to fulfill a feature). We used cutting and sorting of the coded passages of text to group
95 similar items together²⁸, establishing a set of 43 preliminary features. For each of these, we
96 described an intention and retained potential requirements of features identified from the

97 coded passages of text. Following this, we used a second round of cutting and sorting to
98 amalgamate preliminary features where there were redundancies and to ensure best fit of the
99 features to their respective MSP principles (Figure 1 and Supplementary Figure 1). This process
100 resulted in a set of 36 key features, six per MSP principle, each with distinct intentions and
101 requirements.

102

103 **Developing & trialing the MSP Index**

104 Using the identified features, we developed the MSP Index – a qualitative scoring guide that
105 can be used to assess progress in MSP processes as it relates to MSP principles. In this guide, we
106 used a four-point scale, from zero to three points. A zero measure indicates the absence of a
107 feature from a given plan, while one to three points capture the varying extents to which a plan
108 or MSP process meets feature criteria. For each possible score, we developed a concise criteria
109 statement based on intentions and requirements of the feature. In our Index, a feature can be
110 *absent* (score = 0); *minimal*, where a feature is generally present, but few requirements are
111 present (score = 1); *good*, where commitments to a feature are made, but not all requirements
112 are present (score = 2); or *excellent*, where all requirements are clearly present in an MSP
113 initiative (score = 3). Criteria for *good* scores generally use “and/or” statements for
114 requirements, while criteria for *excellent* scores use more definitive and exclusive “and”
115 statements. To ensure consistency in scoring, in the event that most but not all requirements of
116 a feature are present, that feature is always scored as *good*. An MSP initiative in-and-of-itself
117 need not be responsible for the advancement of a feature for it to be assessed by the MSP
118 Index.

119

120 To trial the functionality of the MSP Index, we applied the scoring guide to six international case
121 studies selected from the MSP online database of the Intergovernmental Oceanographic
122 Commission (IOC) (<http://msp.ioc-unesco.org>, accessed in June 2021). It should be noted that,
123 as of January 2023, content from this website has been migrated to MSPglobal, an initiative of
124 the IOC (<http://www.mspglobal2030.org/msp-around-the-world/>). We provide a list of the MSP
125 initiatives in the data provided with the Supplementary Information. To capture a diversity of

126 MSP processes and ensure representativity, we used stratified random sampling to identify one
 127 case study for each of the six regions identified in the database: Africa (n=10 MSP initiatives),
 128 Asia (n=8), Europe (n=38), Middle East (n=2), Oceania (n=10), and the Americas (n=38). Each of
 129 the 106 MSP initiatives was assigned an identifier number and all initiatives within a given
 130 region were arranged in numerical order. We used R Version 3.6.1 to randomly sample case
 131 studies by identifier number from each ocean region, then screened the associated case study
 132 using the following criteria:

- 133 • Language: the case study documentation must be in English due to language limitations
 134 of the lead author
- 135 • Plan: the case study must have a final draft or final approved plan available
- 136 • Supporting content: the case study must have sufficient content publicly available

137 If a randomly selected case study did not meet these criteria, then we continued the random
 138 sampling without replacement until a case study was selected that met the criteria. For most
 139 regions, the first or second case study screened met the inclusion criteria, except for Africa
 140 where only the sixth case study screened met the criteria, primarily due to a lack of publicly
 141 available documents. The six selected case studies capture MSP initiatives from different years
 142 of completion, at different scales, and with different intentions (Table 1).

Table 1. Characteristics of case studies selected to trial functionality of the MSP index.

Intention reflects the high-level purpose of each case study, where coastal zone planning focuses on integrated planning in that zone, conservation planning focuses on the protection of biodiversity and ecosystems, and marine planning encompasses a form of MSP with a broader set of goals.

Case study	Year	Scale	Intention
Ireland	2021	490,000 km ²	Marine planning
Israel	2015	26,000 km ²	Marine planning
Kiribati – PIPA*	2015	408,250 km ²	Conservation planning
Philippines – Bataan	2007	Up to 15 km municipal limit	Coastal zone planning
South Africa	2017	472,280 km ²	Marine planning

USA – Rhode Island	2010**	3,800 km ²	Marine planning
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*PIPA – Phoenix Islands Protected Area

**Revisions of general policies and regulatory standards adopted January 10, 2012

143 We applied the MSP Index to these case studies using document analysis and qualitative
144 coding, the process of labelling and organizing passages of text, in QSR International’s NVivo-12
145 software^{27,29}. Final marine spatial plans were the primary documents used (*Coastal Land- and*
146 *Sea-use Zoning Plan of the Province of Bataan*³⁰; *National Framework for Marine Spatial*
147 *Planning in South Africa*³¹; *Phoenix Islands Protected Area Management Plan 2015-2020*³²;
148 *Project Ireland 2040 National Marine Planning Framework*³³; *Rhode Island Ocean Special Area*
149 *Management Plan; The Israel Marine Plan*³⁴), but in cases where scoring of a feature was
150 unclear, we reviewed grey literature (including webpages, legislation, guiding documents and
151 frameworks, participation documents, and government documents) for additional information.
152 Passages of text within these documents were coded to features under the MSP principles.
153 Once all documents had been coded, we reviewed the related passages of text to score each
154 feature using the guide. Feature scores were then summed for each principle to determine a
155 principle score (out of 18); all six principle scores were summed to determine the overall MSP
156 score (out of 108).

157

158 **RESULTS**

159 **The MSP Index**

160 The MSP index comprises 36 features ranging from establishing a common framework for
161 integration in MSP, to monitoring, to setting goals and objectives (Figure 2). Of the 36 features,
162 33 were identified, in some part, from Ehler & Douvère¹² and Ehler²⁵. Only climate change
163 (adaptive), multi-level integration (integrated), and scale (place-based) emerged from the
164 supplementary literature alone. Most features emerged from more than one source, though
165 resource allocation, climate change, upstream and downstream, and spatial information
166 emerged from single sources (i.e., one reviewed document). The features that comprise the
167 Index broadly reflect best practices and core elements of MSP, providing a framework for
168 assessing a plan or planning process as it relates to foundational principles. The features do not

169 reflect MSP outcomes or relate to particular objectives (e.g., sustainable fishing practices,
 170 suitable areas for renewable energy development), nor does the Index aim to assess MSP
 171 outcomes or the efficacy of particular features (e.g., whether existing mechanisms for
 172 incorporating climate change result in effective climate adaptation or mitigation). Still, we
 173 believe that positive outcomes for both people and nature are more likely to be met when an
 174 MSP Index score is high. Criteria statements for features ranged from a lack of recognition or
 175 intention to achieve a feature to implementation of a feature, where requirements have been
 176 met (Figure 3).

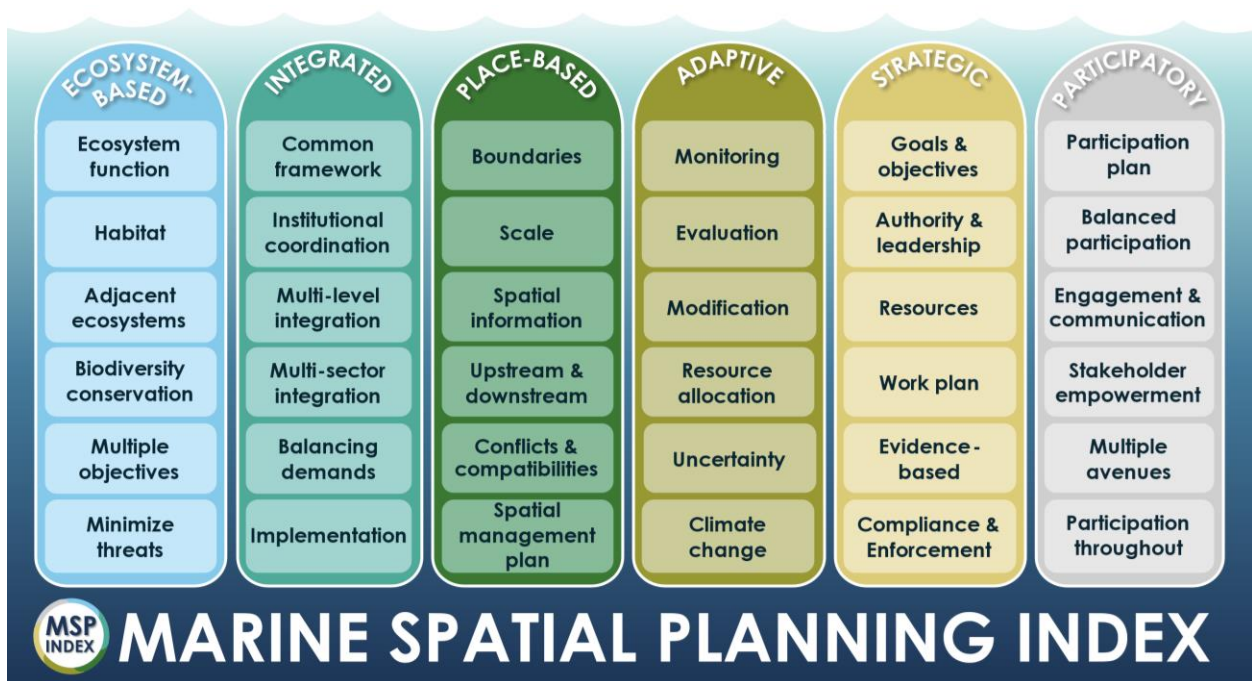


Figure 2. Features of the MSP Index under foundational principles ecosystem-based, integrated, place-based, adaptive, strategic, and participatory. To assess MSP progress, each feature can score between zero and three points based on feature criteria statements defined in the MSP Index scoring guide (Supplementary Table 2 and Figure 3).

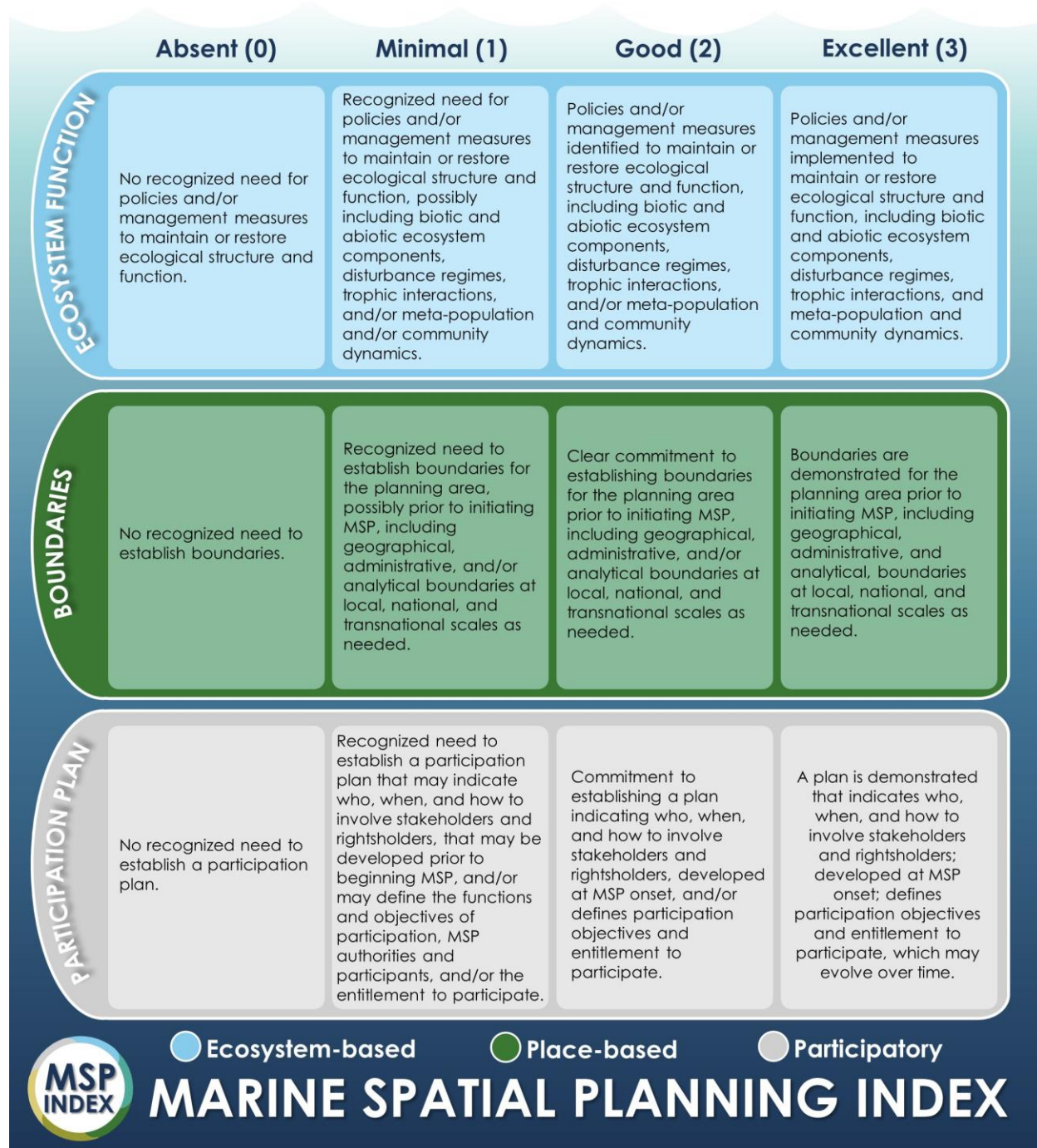


Figure 3. Example scoring guide for three features (out of 36) from the MSP Index in the ecosystem-based, place-based, and participatory principles. Case studies were scored according to this guide (Supplementary Table 2 and MSP Index file provided in Supplementary Information).

177 **Case study context**

178 Context is important in MSP initiatives and influences the principles and key features
179 emphasized in resulting marine spatial plans. Document analysis highlighted diversity among
180 the analyzed case studies and their contexts, resulting in plans that differed in their goals,
181 processes, and expected capacity to affect and implement policy and regulations. Most case
182 studies had goals related to sustainability, including the sustainable use of natural resources,
183 sustainable ecosystems, and the sustainable development of new ocean uses; however, the
184 Kiribati case, while listed by the IOC as an MSP initiative, was distinct from the others in its
185 strong focus on ecosystems, its closer alignment with marine protected area planning, and that
186 it operates in a remote and largely unpopulated region. Because this case study was listed as an
187 MSP initiative by the IOC, we did not exclude it from analysis. All case studies were led or
188 adopted by government authorities, except for the Israel plan that was primarily developed by
189 a team of academic researchers, planners, and consultants. In this case, governments were
190 stakeholders who participated in the MSP process.

191
192 While some plans established an MSP policy framework, others focused on regulations and
193 zoning. The Bataan initiative was the only case study to establish zones for all uses and
194 objectives (e.g., aquaculture zone, municipal fishing zone, sanctuaries). The Rhode Island case
195 established zones for only renewable energy development. The Rhode Island case was also the
196 only initiative analyzed that established regulations, though these regulations were also specific
197 to minimizing the impact of renewable energy developments on existing uses and the
198 ecosystem. This plan occurred at the state-level with linkages to national-level policy and
199 legislation. In contrast, the Ireland and South Africa case studies are national-level initiatives
200 that established frameworks for decision-making concerning marine uses and planning.

201

202 **Trialing the MSP Index**

203 We found that the MSP Index was flexible enough to be applied to the diverse case studies
204 selected (Table 1), providing a high-level snapshot of progress made toward realizing MSP
205 principles in each initiative (Figure 4). Of a possible maximum 108 points, the initiatives scored

206 between 44 points (*Coastal Land- and Sea-use Zoning Plan of the Province of Bataan*) and 84
207 (*Rhode Island Ocean Special Area Management Plan*). On average, the place-based principle
208 scored highest across plans (13.5 out of 18 possible points). The lowest average scores were
209 found for the adaptive (6.5 out of 18 possible points) and participatory principles (7.7 out of 18
210 possible points). For the remaining principles, average scores were 11.5 (ecosystem-based),
211 11.5 (integrated), and 12.2 (strategic) out of 18 possible points. The highest score for any
212 principle was 16, achieved by the Rhode Island case for the place-based principle and the
213 Kiribati case for the strategic principle. For all case studies, only nine of 36 principles (six per
214 case study) scored 14 or higher, and four of these instances belonged to the Rhode Island
215 initiative.

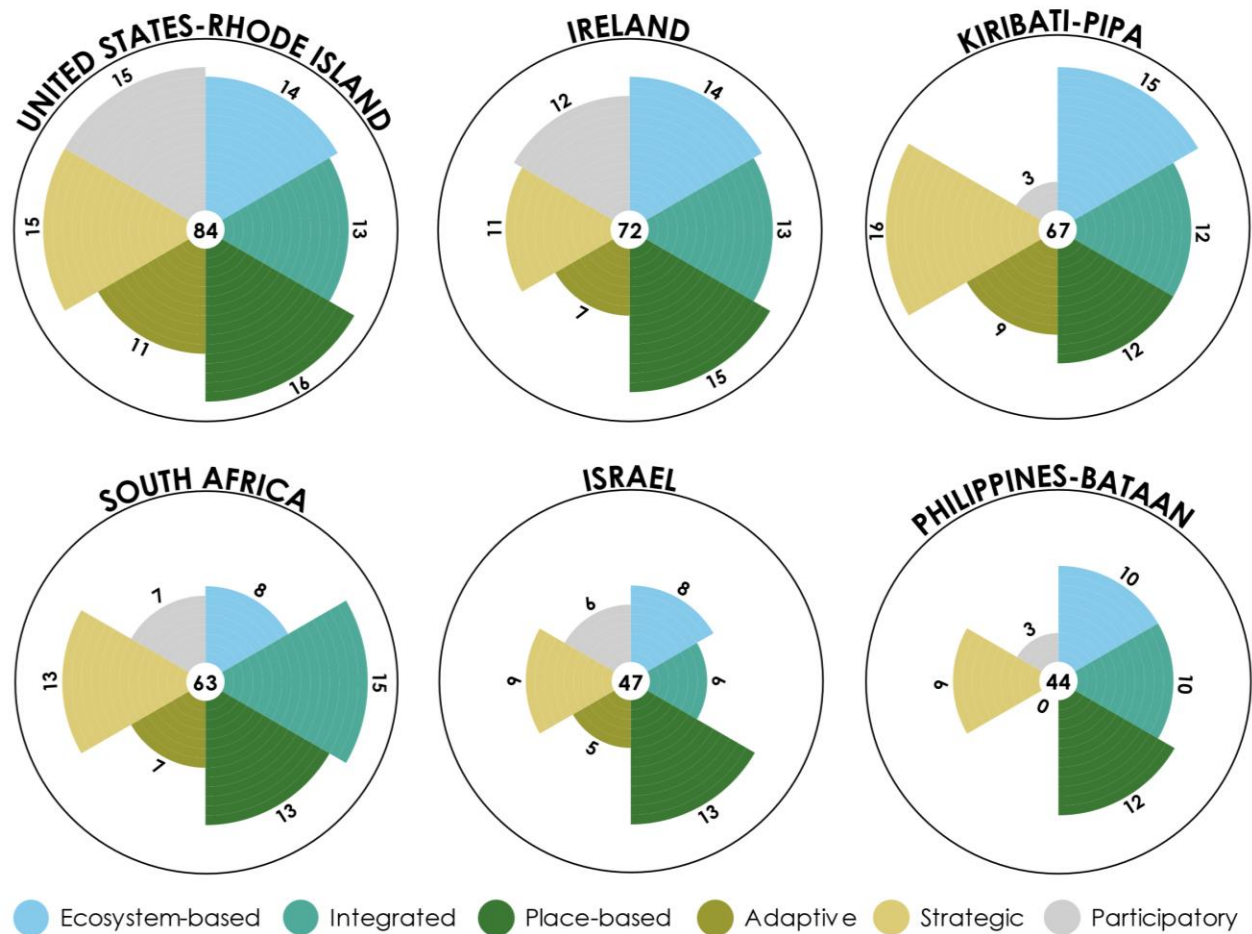


Figure 4. MSP Index scores for assessed case studies, where each petal represents the score per MSP principle (ecosystem-based, integrated, place-based, adaptive, strategic, and participatory). The score per principle is depicted by the number at the outer edge of each petal, with a maximum possible score per principle of 18. The overall MSP Index score is depicted by the number in the centre of each flower plot, with a maximum possible overall MSP Index score of 108.

216 Within principles, features were most often scored as good (score = 2; 43% of scores), followed
 217 by minimal (score = 1; 23% of scores), excellent (score = 3; 22% of scores), and absent (score =
 218 0; 13% of scores). Resource allocation (adaptive) scored as absent for all case studies, while
 219 compliance and enforcement (strategic) and balancing demands (integrated) scored as minimal
 220 for all but Rhode Island and Kiribati cases. Uncertainty (adaptive) also scored as minimal for all
 221 but the Rhode Island case study. Under the participatory principle, stakeholder empowerment

222 and participation plan both scored as absent for half of the case studies. In contrast, boundaries
223 (place-based) scored as excellent for all cases except Israel, and spatial information (place-
224 based) scored as excellent for all but the Kiribati and Bataan case studies (see data provided in
225 Supplementary Information).

226

227 Within case studies, the Rhode Island case scored above average for all MSP principles, while
228 the Israel and Bataan cases scored below average for all principles. The Israel case scored 50%
229 of the maximum possible principle score (18) or less for all principles except place-based. The
230 Bataan initiative was the only case study to score zero on a principle (adaptive). The Kiribati
231 (*Phoenix Islands Protected Area Management Plan 2015-2020*) and Bataan case studies scored
232 below average for the participatory principle.

233

234 **DISCUSSION**

235 We developed the MSP Index to allow for a high-level assessment of marine spatial plans that
236 can inform on their comprehensive nature and point to potential areas of improvement. The
237 majority of features included in the Index were widely supported by the literature, and are well-
238 aligned with recognized enabling conditions for effective MSP ³⁵. The MSP Index gives a
239 snapshot of the extent to which theoretical principles have permeated MSP practice. With this
240 snapshot, the MSP Index can highlight successes and gaps in MSP initiatives. It may also support
241 practitioners in grounding MSP in best practices at early stages of the process or in identifying
242 areas for improvement, areas for capacity or resource investment, strategic prioritization of key
243 features based on management needs, and potential operational risks as the process evolves.

244

245 We found that the Index can be used to compare different types of MSP initiatives, from local
246 to national-scale plans, recent and older plans, and plans with diverse objectives in sustainable
247 resource use and biodiversity conservation. The case studies analyzed to test functionality of
248 the Index revealed that while some principles are clearly intrinsic to the MSP process, like
249 place-based that consistently scored high among analyzed initiatives, others appear more
250 challenging to implement. We found that only 25% of MSP principles scored 14 or higher across

251 case studies (maximum score = 18), resonating with persistent challenges facing MSP
252 development, including deficiencies in political and institutional frameworks; stakeholder
253 engagement; balancing economic development with conservation, and incorporating global
254 environmental change ¹⁵. These challenges hinder the use of MSP principles in practice,
255 reflected here under the integrated, participatory, ecosystem-based, and adaptive principles,
256 respectively. Our case study analysis generally shows how MSP principles have been unevenly
257 applied in practice. As MSP processes often exist within complex and well-established
258 governance systems, the application of MSP principles in practice may be affected by the
259 norms, procedures, and limitations of such systems. The variation in principle scores across the
260 analyzed case studies may indicate possible trade-offs between employing all MSP principles in
261 complex processes to address broad challenges, resulting in plans that may be difficult to
262 implement, monitor, and evaluate, and selectively employing principles and their key features
263 in less complex processes to address specific challenges, resulting in plans that may be more
264 feasible to implement.

265

266 We found that the adaptive principle scored lowest across analyzed case studies, suggesting
267 that plans are seen as an end instead of a continuing process; however, MSP is not intended to
268 result in a definitive plan, but should be approached like other planning processes, such as
269 urban planning, which are iterative to ensure that the plan remains relevant ¹². Once plans are
270 complete, the incentive for governments to continue investment in MSP likely diminishes.
271 There are few clear examples of MSP initiatives that embrace change, dynamic systems, and
272 adaptation ^{36,37}, and initiatives seldom dedicate sufficient resources to monitoring, evaluation,
273 and adaptation ¹⁵. These challenges were especially apparent in our analysis, as four case studies
274 scored minimal or absent for the evaluation feature and no case study met the criteria for
275 resource allocation under the adaptive principle (though it is possible that these features exist
276 in practice and have not been publicly documented). Without explicit attention to and
277 resources for evaluation, it is difficult to disentangle the actual outcomes of MSP from
278 outcomes related to all other elements affecting ocean activities and ecosystems ³⁸. This
279 challenge is also reflected at a global scale, where evaluation in MSP has shifted away from

280 evaluation of outcomes to evaluation of the MSP process itself³⁹. A similar trend has been
281 observed in conservation, where political and institutional barriers to assessing conservation
282 impacts can be pervasive and difficult to overcome^{40,41}. To demonstrate adherence to the
283 resource allocation feature under the adaptive principle, a plan should have mechanisms to
284 allow reallocation of resources away from ineffective management actions to alternatives
285 identified through monitoring and evaluation (Supplementary Table 2). No case studies met this
286 criterion, suggesting that the analyzed plans may be under-prepared for iterative planning and
287 adaptation.

288

289 Similarly, though to a lesser extent, we showed using the MSP Index that many initiatives lack
290 key features of a participatory process. Recent MSP initiatives appear devoid of politics²²,
291 despite MSP being an intrinsically political process¹². This unpolitical version of MSP sanitizes
292 the process toward consensus, likely disempowering stakeholders with diverse and contrasting
293 views²². Through the MSP Index, our analysis may confirm this, as the stakeholder
294 empowerment feature scored consistently low. To achieve an excellent score for this feature,
295 an initiative must demonstrate that mechanisms exist to ensure stakeholders have the means,
296 skills, and knowledge to participate in MSP, among other criteria (Supplementary Table 2).
297 Others have found experiences among MSP participants that the process is exclusionary,
298 plagued by poor communication, fragmented governance, and vagueness surrounding winners
299 and losers in MSP^{42,43}. To be properly participatory, MSP initiatives must distinguish between
300 inviting stakeholders to the table and empowering them to influence MSP outcomes, including
301 policy⁴⁴.

302

303 The MSP Index is intended to give a high-level overview of MSP initiatives in development and
304 implementation stages, but it does not evaluate the efficacy of MSP against objectives, the
305 efficacy of individual key features, nor does it fully discern the intention or context of plans.
306 While the MSP Index can assess whether mechanisms exist to ensure stakeholders are
307 empowered to participate in the process, it does not assess whether such mechanisms are
308 effective or meaningful. Even so, at a high-level, the MSP Index can indicate the extent to which

309 key features have been advance. We believe that a high MSP Index score reflects an MSP
310 initiative that is more likely to deliver ecological, economic, and social objectives as intended. To
311 maximize utility of the MSP Index in varied contexts, we recommend that Index scores be
312 accompanied by a description of the analyzed plans to reflect local realities and challenges that
313 influence whether, how, and when MSP principles are implemented. For example, the Israel
314 case study scored below average for all principles and scored lowest of all case studies on the
315 integrated principle; however, this plan was neither led nor adopted by government
316 authorities. While the plan often recognizes the need for mechanisms to achieve key features
317 of the MSP Index (e.g., institutional coordination, multi-level integration, balancing demands), it
318 lacks the authority to commit to or implement these mechanisms. The Kiribati case study
319 scored low on the participatory principle; however, the Phoenix Island Protected Area (PIPA)
320 region lacks permanent human settlement and, at the time of this plan, was inhabited by fewer
321 than 40 people employed as government caretakers for the protected area ⁴⁵. Given this, the
322 participatory principle may not be as applicable to this case study as for others assessed here
323 due to a lack of local users. In such cases, practitioners applying the Index might omit or adapt
324 principles and features to suit local needs and MSP objectives. Over time, principles may
325 become more or less relevant to an MSP initiative. In the case of PIPA, as the area is opened to
326 commercial fishing for the first time since 2015 ⁴⁶, a participatory and inclusive process may be
327 necessary for future iterations of MSP.

328

329 Despite recent growing recognition of the importance of culture for ocean planning and
330 management ⁴⁷⁻⁴⁹, cultural values have not been widely embraced in MSP ⁵⁰. As presented
331 here, the MSP Index lacks a direct cultural component, which may reflect the lower relative
332 importance given to culture when fundamental MSP guides were published. Still, cultural
333 aspects important to MSP are captured by some features in the MSP Index. For example,
334 criteria for the evidence-based feature includes use of the different types of information, such
335 as Indigenous and local knowledge; criteria for the stakeholder empowerment feature includes
336 decentralizing management or enabling participation in governance; criteria for the common
337 framework feature requires that such frameworks integrate within and between Rightsholders,

338 stakeholders, governance, policy, legislation, and management; and criteria for the balancing
339 demands feature includes evaluating trade-offs among ecological, social, cultural, and
340 economic objectives and activities (Supplementary Table 2). These criteria may be extracted
341 from existing features and added to a future iteration of the Index that more directly
342 incorporates culture. A culture-related MSP principle may include features such as dedicated
343 funds for collecting sociocultural data, investment in reliable partnership building and
344 knowledge co-production, co-management, or commitments to equitable decision-making and
345 outcomes ^{51,52}.

346

347 The case study analyses we present are limited by the realities of external review, including
348 access to only publicly available documents, which likely do not capture MSP initiatives in their
349 entirety. Our application of the MSP Index focused on final marine spatial plans, and was
350 supplemented with relevant webpages, legislation, and relevant documents as necessary. Still,
351 this method is limited to documents that are freely available, and it is likely that files in progress
352 or sensitive in nature, including those pertaining to the adaptive and participatory principles,
353 are not made available to the general public. Further, we did not assess all complementary
354 management plans or policies that may contribute to comprehensive MSP (e.g., management
355 plans of marine protected areas referenced in final marine spatial plans). Given this, it was
356 difficult to discern some features. For example, if an initiative is further along in the MSP
357 process, a work plan may exist but may not be reported in the current iteration of the plan. For
358 a feature to score ‘excellent’ (3), all requirements of said feature must be clearly present in the
359 analyzed documents. This may have contributed to nearly twice as many features scoring
360 ‘good’ (2), rather than ‘excellent’ across case studies. The Rhode Island case develops a strong
361 spatial management plan, but it is not clear from the plan alone whether a preferred scenario
362 was selected from alternatives. Since the plan did not meet all requirements of this feature, it
363 was scored as ‘good’. Future applications of the Index by external reviewers may couple
364 document analysis with practitioner interviews. Secondly, future iterations of the Index may be
365 more flexible if an excellent score required the majority of requirements to be present, rather
366 than all. In general, the MSP Index would be best used by MSP practitioners and case study

367 experts who are aware of the complete context of assessed initiatives beyond what is published
368 in publicly available documents.

369

370 **CONCLUSION**

371 The MSP Index proved to be a flexible tool for assessing MSP processes based on foundational
372 principles of being ecosystem-based, integrated, place-based, adaptive, strategic, and
373 participatory. The Index uses a qualitative scoring guide to assess key features under these
374 principles that reflect MSP best practices, highlighting successes and gaps in MSP processes,
375 such as areas for capacity or resource investment, operational risks, and systemic barriers to
376 MSP advancement, to inform a path forward. Since many MSP initiatives and resulting marine
377 spatial plans are developed over the span of several years ⁸, the Index may support MSP
378 process evaluation through multiple applications over time, demonstrating progress within an
379 initiative as it moves toward best practices across MSP principles. Our application of the Index
380 to six case studies reveals that MSP principles are unevenly applied in practice, which may
381 reflect the diversity of approaches to, objectives for, and localized needs of MSP. While the
382 Index is based on best practices derived from fundamental MSP guides ^{12,25}, we designed it to
383 be flexible to adaptation; future iterations might incorporate new principles or features that are
384 locally relevant. This may include a cultural component, given the need to incorporate cultural
385 considerations in governance for effective and equitable ocean management and sustainability
386 ^{47,53,54}. The MSP Index is the first tool of its kind to gauge progress based on MSP principles,
387 allowing for assessment of individual MSP processes as they evolve and comparison of diverse
388 initiatives around the world.

389

390 **DATA AVAILABILITY**

391 Data supporting the analyses and results of this study are available in the Supplementary
392 Information. Correspondence regarding this data should be addressed to JMR.

393

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525

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527 JMR, RD, and JC contributed to the conception of this research. JMR, RD, JC, NCB, and RZ
528 contributed to study design. JMR conducted this study and all analyses, including literature
529 review, development of the MSP Index, application of the Index to case studies, and drafted the
530 manuscript. PG provided critical input from the practitioner’s perspective on analyses and
531 results of this study. All authors contributed to refinement of the MSP Index and to editing this
532 manuscript.

533

534 **COMPETING INTERESTS**

535 The authors declare no competing interests.