

Supplementary Materials





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This document is a supplement to:

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Assessment option 1: Rapid equity assessment

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|  <p>KEY FEATURES</p> <ul style="list-style-type: none"> ➤ Quick insights into key equity issues; can be used in combination with other ongoing assessments ➤ Participants: Managers and/or key experts with knowledge of the marine conservation initiative ➤ Methods: Surveys of key informants or self-assessment ➤ Time required for participants: Introductory meeting with all participants (1 hour), one-on-one survey with each participant (1-2 hours), debrief and follow-up meeting with all participants (1-2 hours) ➤ Time required for assessment lead: 1-3 weeks |  <p>WHEN TO USE THIS APPROACH</p> <ul style="list-style-type: none"> ➤ Use this approach when a rapid snapshot is required, or if local capacity and funding for assessments is very limited |  <p>PATHWAYS TO CHANGE</p> <ul style="list-style-type: none"> ➤ Written and verbal reports to managers and local leaders ➤ Use surveys and report to raise awareness about key equity concerns and increase support for change ➤ Help assessment participants with how to talk about potential equity issues or concerns through reflection ➤ Build support for more in-depth future equity assessments |  <p>LIMITATIONS</p> <ul style="list-style-type: none"> ➤ Not designed for capturing perspectives or concerns directly from stakeholders and rightsholders ➤ Positionality of assessment participant(s) is inherently limited to their own knowledge and assumptions (e.g., managers are relatively influential and powerful positions and may not be fully aware of other actors' perspectives), and therefore results can be biased ➤ Based on a limited number of people's perspectives |
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The following materials can be used for carrying out a rapid social equity assessment of a marine conservation initiative. This package contains the following materials:

1. A reference table that provides an overview of attributes and questions related to different dimensions of equity.
2. An information sheet about the marine conservation initiative to be filled out by the assessment team.
3. A script explaining the purpose of the survey, informed consent, and format of the survey.
4. A script for verbal consent.
5. A form for written consent.
6. The survey tool for the rapid equity assessment.

In many cases, these templates will need to be edited, adapted, and/or translated to suit local contexts. An important starting point will be for assessment teams and key collaborators to review the equity attributes and survey questions in the table on the following pages. Any adjustments to the survey statements should maintain the meaning and intent of the related attribute(s). Assessment teams will then need to apply any changes to the survey questions template and then test the questions with local community representatives.



Table of rapid equity assessment attributes and questions

|  EQUITY DIMENSION |  ATTRIBUTE |  SURVEY QUESTION |
|---|---|---|
|  RECOGNITIONAL | All relevant groups recognised | Are all relevant people and groups recognised as legitimate actors (rightsholders or stakeholders) in marine conservation initiative planning and management? |
| | Basic human rights are respected | Are basic human rights (e.g., access to food, education, good health, safety and security) respected within marine conservation initiative planning and management? |
| | Marine use, tenure, and access rights are recognised and incorporated | Are all rightsholders' marine use, tenure, and access rights formally recognised and incorporated into marine conservation initiative planning and management? |
| | Resource users are recognised as rightsholders | Are small-scale fishers (SSF) and/or other customary resource users recognised as legitimate rightsholders in marine conservation initiative planning and management? |
| | Small-scale fishers' rights are respected | Are small-scale fishers' and/or other customary resource users' rights respected within marine conservation initiative planning and management? |
| | Indigenous Peoples are recognised as rightsholders | Are Indigenous Peoples recognised as legitimate rightsholders in marine conservation initiative planning and management? |
| | Indigenous rights are respected | Are Indigenous rights respected within marine conservation initiative planning and management? |
| | Cultural identities, values, and practices are acknowledged | Are the cultural identities, values, and practices of local communities and groups acknowledged and incorporated into marine conservation initiative planning and management? |
| | Consideration is given for people who receive fewer opportunities | Has consideration been given to the interests and rights of people who often receive fewer economic or livelihood opportunities? |
| | Value of Indigenous and local knowledge are acknowledged | Is the knowledge of local people (including knowledge that is Indigenous, local, and/or multi-generational) acknowledged in marine conservation initiative planning and management? |

|  EQUITY DIMENSION |  ATTRIBUTE |  SURVEY QUESTION |
|---|--|--|
|  PROCEDURAL | Effective participation and feedback from local people | Are there processes in place to facilitate effective participation and gather feedback from local people to help inform marine conservation initiative decision-making? |
| | Representation and influence on decisions | Are all actor groups represented and able to participate in decision-making related to marine conservation initiative planning and management? |
| | Processes are in place to enable people to influence decisions | Are there processes in place that enable people to influence what decisions are made about the marine conservation initiative? |
| | Information about decision-making is easy to access | Is information about what decisions were made in relation to the marine conservation initiative, how they were made, and why they were made are easy to find and access? |
| | Stakeholders able to raise concerns about management | Are local people able to raise concerns related to management actions? |
| | Satisfactory dispute resolution with managers | Are there processes in place for people to resolve disputes that they have with marine conservation initiative management? |
| | Satisfactory dispute resolution with other stakeholders | Are there processes in place for people to resolve disputes that they have with other people (non-management) in relation to the marine conservation initiative? |
| | Decisions are made after free, prior, and informed consent | Are decisions that affect rightsholders made after obtaining and documenting free, prior, and informed consent (FPIC), or some form of engagement? |
|  MANAGEMENT | Local groups share or hold management authority | Have government authorities shared or transferred management authority with/to local communities or groups? |
| | Local groups have agency to carry out management activities | Do local groups have agency to carry out management activities (e.g., environmental monitoring, stewardship activities, enforcement) based on local knowledge and practices? |
| | Local people are employed in management (staff) roles | Are local groups and communities employed in marine conservation initiative management (staff) roles and/or in carrying out management activities? |
| | Local people are represented in marine conservation initiative leadership roles | Are local communities and groups represented (e.g., employed, elected) in leadership roles in marine conservation initiative management? |
| | Sufficient funding to support participation in management | Is there sufficient funding to support local people's participation, leadership, and working in marine conservation initiative management activities? |
| | Secure funding to support participation in management | Is there secure funding to support local participation, capacity, and leadership for marine conservation initiative management activities? |
| | Enforcement of marine conservation initiative rules is fair for all people | Is enforcement of marine conservation initiative rules and regulations fair for all people? |

|  EQUITY DIMENSION |  ATTRIBUTE |  SURVEY QUESTION |
|--|--|--|
|  ENVIRONMENTAL | Marine conservation initiative is in a good location to produce environmental benefits | Is enforcement of marine conservation initiative rules and regulations fair for all people? |
| | Adequate management capacity to support environmental goals | Does marine conservation initiative management have sufficient capacity to support environmental goals? |
| | Management plans are effective for achieving environmental goals | Are current management plans and/or actions effective at achieving marine conservation initiative environmental goals? |
| | Marine conservation initiative has led to environmental improvements | Has the marine conservation initiative led to environmental improvements that benefit local people? |
| | Stakeholders and rightsholders benefit from environmental improvements | Do all local groups (rightsholders and stakeholders) benefit from environmental improvements that arise as a result of the marine conservation initiative? |
|  DISTRIBUTIONAL | Marine conservation initiative has been positive for local people | Overall, do you think the marine conservation initiative has been positive or negative for local people? |
| | Management is effective at achieving social goals | Are current management plans and/or actions effective at achieving marine conservation initiative social goals? |
| | Livelihood and economic impacts have been positive | Overall, do you think the livelihood and economic impacts from the marine conservation initiative have been positive? |
| | Livelihood and economic opportunities are shared fairly | How fairly are livelihood and economic impacts that arise through the marine conservation initiative shared among local people? |
| | Social impacts have been positive | Overall, do you think the social impacts (e.g., on culture, identity, knowledge, education, health) from marine conservation initiative plans and management have been positive? |
| | Social benefits and opportunities are shared fairly | How fairly are social benefits and opportunities that arise through the marine conservation initiative shared among local people? |
| | Negative impacts (risks, burdens) are shared fairly | Are negative impacts (e.g., risks, burdens) that result from the marine conservation initiative shared fairly among local people? |
| | Engagement or studies are in place to understand material and non-material impacts on local people | Have there been studies or public engagement to understand how the marine conservation initiative has impacted local people (e.g., culture, identities, livelihoods, wealth, wellbeing)? |
| | Programmes and efforts to help increase positive impacts | Are there programmes and efforts in place to help increase positive social impacts from the marine conservation initiative? |
| | Support is delivered for people who are most in need | Are programmes that are intended to increase positive impacts delivered in ways that support people who are most in need or whose livelihoods are being negatively impacted? |

|  EQUITY DIMENSION |  ATTRIBUTE |  SURVEY QUESTION |
|---|--|---|
|  CONTEXTUAL AND STRUCTURAL | <p>People near the marine conservation initiative are able to meet basic needs</p> | <p>Are people who rely on marine resources and/or live near to the marine conservation initiative able to meet their basic needs?</p> |
| | <p>Coastal livelihoods provide a steady and reliable income</p> | <p>Do coastal livelihoods provide a steady and reliable income for all people who rely on marine resources?</p> |
| | <p>Political views do not prevent groups from being involved in and benefiting from the marine conservation initiative</p> | <p>Do political views prevent anyone from participating in and enjoying benefits from the marine conservation initiative?</p> |
| | <p>Social norms do not prevent groups from being involved in and benefiting from the marine conservation initiative</p> | <p>Do social norms prevent any groups, such as different genders, Indigenous Peoples, fishers or other less fortunate groups, from participating in or enjoying benefits from the marine conservation initiative?</p> |
| | <p>Colonisation does not have ongoing impacts on local people</p> | <p>Are lives and livelihoods of local people affected by ongoing impacts of colonisation?</p> |
| | <p>Laws and policies support people who rely on the ocean</p> | <p>Are government laws and policies related to the oceans supportive of coastal communities and groups who rely on the ocean?</p> |
| | <p>Environmental changes do not negatively impact local people</p> | <p>Are local people affected by environmental shifts related to climate change?</p> |
| | <p>Laws and policies recognise customary resource users</p> | <p>Are small-scale fishers (SSF) and/or other customary resource users recognised as legitimate rightsholders or stakeholders in national laws and policies?</p> |
| | <p>Laws and policies recognise Indigenous Peoples</p> | <p>Are Indigenous Peoples recognised as legitimate rightsholders in national laws and policies?</p> |
| | <p>National policy supports equitable marine conservation initiative planning</p> | <p>Does national environmental policy support equitable marine conservation initiative planning and management?</p> |
| | <p>The law treats all people near the marine conservation initiative fairly</p> | <p>Does the law treat all people in communities near the marine conservation initiative fairly?</p> |



Information sheet for assessment team

Reminders to interviewers:

- ☐ Introduce yourself and team
- ☐ Explain the project and how long participation will take
- ☐ Give the participant the project overview and consent form, or read the verbal consent form
- ☐ Document consent via either the verbal or written consent form
- ☐ Ask whether they would like to receive copies of project outputs (document email on separate paper)
- ☐ Introduce each section of the survey as you go

| | | |
|--|--|--|
| <p>Name of interviewer(s)</p> | <p>Date of survey</p> <div data-bbox="586 753 797 827">DD</div> <div data-bbox="586 837 797 911">MM</div> <div data-bbox="586 921 797 995">YY</div> | <p>In which country is the marine conservation initiative that is the subject of this study?</p> |
| <p>What is the name of the marine conservation initiative that the respondent will be referring to in this survey?</p> | | <p>What was the date or year when the marine conservation initiative was established?</p> |
| <p>What is the nearest town, city or village where this survey is being conducted?</p> | <p>What is the governance type for the marine conservation initiative? (e.g., government-led, co-management, private governance, led by Indigenous Peoples or Local Communities)</p> | |
| <p>What was the format for documenting the survey?</p> <div data-bbox="940 1713 980 1755"><input type="checkbox"/></div> Digital <div data-bbox="1118 1713 1159 1755"><input type="checkbox"/></div> Paper | | |



Explaining the purpose and format of the survey

Thank you for taking part in this assessment about the ways that equity is experienced and influenced by _____ [name of the marine conservation initiative]. The aim of this assessment is to raise awareness and improve understanding about perceptions of equity held by the different groups of users linked economically, culturally, or institutionally to the marine conservation initiative.

Through this survey we will collect information about how you experience equity and inequity in relation to the marine conservation initiative based on your personal experiences. Your participation will involve responding to a series of questions that will take about 60-90 minutes to complete. There are no right or wrong answers. Just tell us what you think.

We will start by asking you some questions related to who you are, how long you have been living in the area, and how you make your livelihood. Then, we will ask questions based on six types of equity related to the marine conservation initiative. As we start each section we will give you a quick summary on what that type of equity will be and then we will go through the questions. You can provide any additional details at any point to help clarify your answer. Lastly we will have some wrap up questions.

We want to ensure that you know that your participation in this assessment is completely voluntary. You can choose to end the survey at any time (and decide whether you want us to remove earlier responses from our records). Data will be stored securely by [assessment team / organisation] but will not include your name. We want you to know that your answers will be kept completely private, and we won't share your personal details with anyone. We will only use the information that you provide to better understand equity related to the planning and management of the marine conservation initiative.

If you have any questions that were not answered today, you can reach the assessment team at the following contacts:

Contact information

Instructions for the survey

For the main survey questions, we will ask you to provide a rating related to various aspects of equity and then ask you to provide an explanation about why you made the rating. The rating will use a scale that ranges from (0) to (3). You will also have the option to indicate if a question does not apply or if you do not know. When we ask you to explain your ratings, you may provide explanations related to why some questions scored low/high and/or steps that have been taken in the past to address certain issues.



Script for verbal consent

This form can be read by the interviewer

Thank you for taking part in this assessment about the ways that equity is experienced and influenced by _____ [name of the marine conservation initiative]. The aim of this assessment is to raise awareness and improve understanding about perceptions of equity held by the different groups of users linked economically, culturally, or institutionally to the marine conservation initiative.

Through this survey we will collect information about how you experience equity and inequity in relation to the marine conservation initiative based on your personal experiences. Your participation will involve responding to a series of questions that will take about 60-90 minutes to complete. There are no right or wrong answers. Just tell us what you think.

We will start by asking you some questions related to who you are, how long you have been living in the area, and how you make your livelihood. Then, we will ask questions based on six types of equity related to the marine conservation initiative. As we start each section we will give you a quick summary on what that type of equity will be and then we will go through the questions. You can provide any additional details at any point to help clarify your answer. Lastly we will have some wrap up questions.

We want to ensure that you know that your participation in this assessment is completely voluntary. You can choose to end the survey at any time (and decide whether you want us to remove earlier responses from our records). Data will be stored securely by [assessment team / organisation] but will not include your name. We want you to know that your answers will be kept completely private, and we won't share your personal details with anyone. We will only use the information that you provide to better understand equity related to the planning and management of the marine conservation initiative. A summary of the results of the surveys will be analysed and presented in a report that will be given to marine conservation initiative managers. If you want to receive a copy of the results, we will document your name and email separately so that we can share it.

If you have any questions that were not answered today, you can reach the assessment team at the following contacts:

Contact information

By continuing to participate in this survey, we ask you to confirm that:

- You have received adequate and sufficient information by the assessment team above, about (1) the objectives of the assessment and its scope, (2) the type of work to be carried out (survey about perceptions of equity), and (3) that your participation is voluntary and done in support of the aims of the assessment.
- You have received information about the purpose for collecting limited personal information about me and how this information will be used.
- That at any time you can revoke your consent and stop participating (without having to explain the reason) and request the deletion of your personal information.
- You are 18 years or older and are competent to provide consent.

Name of interviewee:

☐ Interviewer to check this box to confirm that participant has given verbal consent



Form for written consent

This form can be given to participants to read or can be read by the interviewer

Thank you for taking part in this assessment about the ways that equity is experienced and influenced by _____ [name of the marine conservation initiative]. The aim of this assessment is to raise awareness and improve understanding about perceptions of equity held by the different groups of users linked economically, culturally, or institutionally to the marine conservation initiative.

Through this survey we will collect information about how you experience equity and inequity in relation to the marine conservation initiative based on your personal experiences. Your participation will involve responding to a series of questions that will take about 60-90 minutes to complete. There are no right or wrong answers. Just tell us what you think.

We will start by asking you some questions related to who you are, how long you have been living in the area, and how you make your livelihood. Then, we will ask questions based on six types of equity related to the marine conservation initiative. As we start each section we will give you a quick summary on what that type of equity will be and then we will go through the questions. You can provide any additional details at any point to help clarify your answer. Lastly we will have some wrap up questions.

We want to ensure that you know that your participation in this assessment is completely voluntary. You can choose to end the survey at any time (and decide whether you want us to remove earlier responses from our records). Data will be stored securely by [assessment team / organisation] but will not include your name. We want you to know that your answers will be kept completely private, and we won't share your personal details with anyone. We will only use the information that you provide to better understand equity related to the planning and management of the marine conservation initiative. A summary of the results of the surveys will be analysed and presented in a report that will be given to marine conservation initiative managers. If you want to receive a copy of the results, we will document your name and email separately so that we can share it.

If you have any questions that were not answered today, you can reach the assessment team at the following contacts:

Contact information

I, _____ **confirm the following and provide my consent to continue participation in this survey:**

- ☐ I have received adequate and sufficient information by the assessment team above, about (1) the objectives of the assessment and its scope, (2) the type of work to be carried out (survey about perceptions of equity), and (3) that your participation is voluntary and done in support of the aims of the assessment.
- ☐ I have received information about the purpose for collecting limited personal information about me and how this information will be used.
- ☐ At any time I can revoke my consent and stop participating (without having to explain the reason) and request the deletion of my personal information.
- ☐ I am 18 years or older and am competent to provide consent.

Date:

Signature:



Survey tool for rapid equity assessment

Preliminary questions for participants

This section of the survey asks some questions about who you are, how long you have been living in the area, and how you make your livelihood.

1. How far do you live from the marine conservation initiative now?

- ☐ Less than 5 kilometers
- ☐ 5-10 kilometers
- ☐ 11-20 kilometers
- ☐ 21-30 kilometers
- ☐ More than 30 kilometers

2. How long have you known the marine conservation initiative and its surrounding area?

- ☐ Less than 5 years
- ☐ 5-10 years
- ☐ 11-20 years
- ☐ 21-30 years
- ☐ 31-40 years
- ☐ 41-50 years
- ☐ 51-60 years
- ☐ More than 60 years

3. What is your role in relation to the marine conservation initiative?

4. How long have you been involved in management of the marine conservation initiative?

- ☐ Less than 5 years
- ☐ 5-10 years
- ☐ 11-20 years
- ☐ 21-30 years
- ☐ 31-40 years
- ☐ 41-50 years
- ☐ 51-60 years
- ☐ More than 60 years
- ☐ Not applicable

5. Which of the following groups of stakeholders and rightsholders are adjacent to, have an interest in, and/or might be impacted by the marine conservation initiative?

- ☐ Artisanal or small-scale fisher
- ☐ Industrial fisher
- ☐ Recreational fisher
- ☐ Aquatic recreational activities (e.g., diving, kayaking, sailing, boating, etc.)
- ☐ Local tourism operator
- ☐ International tourism operator
- ☐ Marine conservation initiative manager
- ☐ Local government representative
- ☐ National government representative
- ☐ Indigenous government representative
- ☐ NGO representative
- ☐ Academic or researcher
- ☐ Business operator
- ☐ Local community resident (not part of above groups)
- ☐ Identify any other groups that are missing: _____

6. How satisfied are you with the way that the marine conservation initiative is managed overall?

- ☐ Very unsatisfied
- ☐ Somewhat unsatisfied
- ☐ Neutral
- ☐ Somewhat satisfied
- ☐ Very satisfied
- ☐ I don't know

7. Before we get into our specific questions about equity, is there anything that is important for us to know about how the marine conservation initiative is managed? (e.g., regarding the level of resources and funding available for management; regarding the relationships between management and stakeholders and rightsholders).



Questions about recognitional equity

The following group of questions are related to the ways that people's rights, livelihoods, values, and identities are recognised in marine conservation initiative planning and management.

For each of the following questions, are you able to provide an explanation about why you made the rating? You may provide explanations related to why some questions scored low/high and/or steps that have been taken in the past to address certain issues.

1. **Are all relevant people and groups recognised as legitimate actors (rightsholders or stakeholders) in marine conservation initiative planning and management?**
 - (0) Planning and management do not recognise any local people or groups
 - (1) Planning and management recognise some local people or groups
 - (2) Planning and management recognise most local people or groups
 - (3) Planning and management recognise all local people or groups
 - (99) Does not apply
 - (88) Don't know

2. **Are basic human rights (e.g., access to food, education, good health, safety and security) respected within marine conservation initiative planning and management?**
 - (0) Human rights are not acknowledged in any way
 - (1) Human rights are acknowledged informally or implicitly
 - (2) Human rights are recognised in writing and partially upheld
 - (3) Human rights are fully recognised in writing and upheld fully in practice
 - (99) Does not apply
 - (88) Don't know

3. **Are all rightsholders' marine use, tenure, and access rights formally recognised and incorporated into marine conservation initiative planning and management?**
 - (0) Marine use, tenure, and access rights are not recognised or incorporated for any actor groups
 - (1) Marine use, tenure, and access rights are recognised for some rightsholders, but not really incorporated
 - (2) Marine use, tenure, and access rights are formally recognised for most rightsholders, and somewhat incorporated
 - (3) Marine use, tenure, and access rights are recognised for all rightsholders, and well incorporated
 - (99) Does not apply
 - (88) Don't know

4. Are small-scale fishers (SSF) and/or other customary resource users recognised as legitimate rightsholders in marine conservation initiative planning and management?

- (0) Planning and management do not recognise SSF and/or other customary resource users and do not advance rights
- (1) Planning and management recognise and policies advance some rights
- (2) Planning and management recognise and policies advance most rights
- (3) Planning and management recognise and policies advance all rights
- (99) Does not apply
- (88) Don't know

5. Are small-scale fishers' and/or other customary resource users' rights respected within marine conservation initiative planning and management?

- (0) Small-scale fishers' rights are not acknowledged in any way
- (1) Small-scale fishers' rights are acknowledged informally or implicitly
- (2) Small-scale fishers' rights are recognised in writing and partially upheld
- (3) Small-scale fishers' rights are fully recognised in writing and upheld fully in practice
- (99) Does not apply
- (88) Don't know

6. Are Indigenous Peoples recognised as legitimate rightsholders in marine conservation initiative planning and management?

- (0) Planning and management do not recognise Indigenous Peoples and do not advance rights
- (1) Planning and management recognise and policies advance some rights
- (2) Planning and management recognise and policies advance most rights
- (3) Planning and management recognise and policies advance all rights
- (99) Does not apply
- (88) Don't know

7. Are Indigenous rights respected within marine conservation initiative planning and management?

- (0) Indigenous rights are not acknowledged in any way
- (1) Indigenous rights are acknowledged informally or implicitly
- (2) Indigenous rights are recognised in writing and partially upheld
- (3) Indigenous rights are fully recognised in writing and upheld fully in practice
- (99) Does not apply
- (88) Don't know

8. Are the cultural identities, values, and practices of local communities and groups acknowledged and incorporated into marine conservation initiative planning and management?

- (0) Cultural identities, values, and practices are not acknowledged
- (1) Cultural identities, values, and practices are somewhat acknowledged, but not really incorporated
- (2) Cultural identities, values, and practices are well acknowledged, and somewhat incorporated
- (3) Planning and management are fully informed by cultural identities, values, and practices
- (99) Does not apply
- (88) Don't know

9. Has consideration been given to the interests and rights of people who often receive fewer economic or livelihood opportunities?

- (0) No consideration has been given within marine conservation initiative planning and management
- (1) Some consideration has been given
- (2) A lot of consideration has been given
- (3) A lot of consideration has been given and specific actions have been taken to address the interests and rights of these groups
- (99) Does not apply
- (88) Don't know

10. Is the knowledge of local people (including knowledge that is Indigenous, local, and/or multi-generational) acknowledged in marine conservation initiative planning and management?

- (0) Local people's knowledge is not at all acknowledged
- (1) Local people's knowledge is acknowledged, but not well documented or integrated
- (2) Local people's knowledge is well acknowledged, but only partially documented and integrated
- (3) Planning and management are fully informed by local people's knowledge
- (99) Does not apply
- (88) Don't know



Questions about procedural equity

The following group of questions are related to inclusion and effective participation of local people in decision-making for marine conservation initiative planning and policies.

For each of the following questions, are you able to provide an explanation about why you made the rating? You may provide explanations related to why some questions scored low/high and/or steps that have been taken in the past to address certain issues.

11. Are there processes in place to facilitate effective participation and gather feedback from local people to help inform marine conservation initiative decision-making?

- (0) There are no processes in place to allow people to express their opinions
- (1) Processes are in place but they are not being used
- (2) Processes are in place but they are not used consistently to include all actors
- (3) Processes are in place and they are effectively being used by many people
- (99) Does not apply
- (88) Don't know

12. Are all rightsholder and stakeholder groups represented and able to participate in decision-making related to marine conservation initiative planning and management?

- (0) No actor groups are ever represented or able to participate in decision-making
- (1) Some actor groups are represented and able to participate in decision-making
- (2) Most actor groups are represented and able to participate in decision-making
- (3) All actor groups are represented and able to participate in decision-making
- (99) Does not apply
- (88) Don't know

13. Are there processes in place that enable people to influence what decisions are made about the marine conservation initiative?

- (0) There are no processes in place
- (1) Processes are in place but they are not being used
- (2) Processes are in place but they are not used consistently to include all actors
- (3) Processes are in place and they are being used consistently to include all actors
- (99) Does not apply
- (88) Don't know

14. Is information about what decisions were made in relation to the marine conservation initiative, how they were made, and why they were made easy to find and access?

- (0) There is no sharing of information about what, how, and why decisions are made
- (1) There is some sharing about what decisions were made, but not information about how and why decisions were made
- (2) There is a lot of documentation about what decisions were made, how, and why decisions were made but it is not easy to find
- (3) All information about decision-making is made available and is easy to find and access
- (99) Does not apply
- (88) Don't know

15. Are local people able to raise concerns related to management actions?

- (0) There are no mechanisms in place for local people to raise concerns
- (1) There is a mechanism for local people to raise concerns, but it is not tied into decision-making and action
- (2) There is a mechanism for local people to raise concerns, with clear protocols for review and decision-making, but action may not be time-sensitive
- (3) There is a mechanism for local people to raise concerns, with clear protocols for review and decision-making, resulting in timely responses
- (99) Does not apply
- (88) Don't know

16. Are there processes in place for people to resolve disputes that they have with marine conservation initiative management?

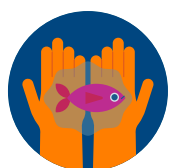
- (0) There are currently no dispute resolution mechanisms in place
- (1) There are dispute resolution mechanisms in place but they are not easily accessible
- (2) There are accessible dispute resolution mechanisms in place but they may not be effectively resolving all disputes
- (3) There are accessible dispute resolution mechanisms are in place, and they are effectively resolving all disputes
- (99) Does not apply
- (88) Don't know

17. Are there processes in place for people to resolve disputes that they have with other people (non-management) in relation to the marine conservation initiative?

- (0) There are currently no dispute resolution mechanisms in place
- (1) There are dispute resolution mechanisms in place but they are not easily accessible
- (2) There are accessible dispute resolution mechanisms in place but they may not be effectively resolving all disputes
- (3) There are accessible dispute resolution mechanisms are in place, and they are effectively resolving all disputes
- (99) Does not apply
- (88) Don't know

18. Are decisions that affect rightsholders made after obtaining and documenting free, prior, and informed consent (FPIC), or some form of engagement?

- (0) FPIC is never obtained and documented
- (1) FPIC is seldom obtained and documented
- (2) FPIC is usually obtained and documented
- (3) FPIC is always obtained and documented
- (99) Does not apply
- (88) Don't know



Questions about management equity

The following group of questions are related to the extent that local people are able to participate in and have leadership in marine conservation initiative management.

For each of the following questions, are you able to provide an explanation about why you made the rating? You may provide explanations related to why some questions scored low/high and/or steps that have been taken in the past to address certain issues.

19. Have government authorities shared or transferred management authority with local communities or groups?

- (0) No transfer of management authority has occurred
- (1) Some transfer of management authority has occurred
- (2) A lot of transfer of management authority has occurred
- (3) Full transfer of management authority has occurred
- (99) Does not apply
- (88) Don't know

20. Do local groups have agency to carry out management activities (e.g., environmental monitoring, stewardship activities, enforcement) based on local knowledge and practices?

- (0) Local groups are not engaged in management activities
- (1) Local groups are minimally engaged in management activities
- (2) Local groups are actively engaged in management activities
- (3) Local groups are fully engaged in management activities
- (99) Does not apply
- (88) Don't know

21. Are local groups and communities employed in marine conservation initiative management (staff) roles and/or in carrying out management activities?

- (0) Local groups and communities are not employed in management work
- (1) Local actor groups and communities are minimally represented in management employment roles
- (2) Local actor groups and communities are well represented in management employment roles
- (3) Local actor groups and communities are fully represented in all management employment roles
- (99) Does not apply
- (88) Don't know

22. Are local communities and groups represented (e.g., employed, elected) in leadership roles in marine conservation initiative management?

- (0) Local groups and communities are not represented in leadership
- (1) Local groups and communities are somewhat represented in leadership
- (2) Local actor groups and communities are fairly well represented in leadership
- (3) Local actor groups and communities are represented to a great extent in leadership
- (99) Does not apply
- (88) Don't know

23. Is there sufficient funding to support local people's participation, leadership, and working in marine conservation initiative management activities?

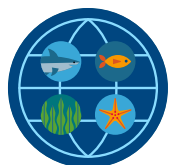
- (0) Local people are not financially compensated
- (1) Local people receive minimal and inadequate financial compensation
- (2) Local people receive moderate financial compensation
- (3) Local people receive adequate financial compensation
- (99) Does not apply
- (88) Don't know

24. Is there secure funding to support local participation, capacity, and leadership for marine conservation initiative management activities?

- (0) Funding is intermittent or inconsistent
- (1) Funding is secure for short term
- (2) Funding is secure for long term but not controlled locally
- (3) Funding is secure for long term and controlled locally
- (99) Does not apply
- (88) Don't know

25. Is enforcement of marine conservation initiative rules and regulations consistent for all people?

- (0) Rules and regulations are not enforced
- (1) Rules and regulations are applied infrequently and/or inconsistently to different actors
- (2) Rules and regulations are usually applied effectively and consistently to different actors
- (3) Rules and regulations are always applied effectively and consistently to all actors
- (99) Does not apply
- (88) Don't know



Questions about environmental equity

The following group of questions are related to the quality of the local environment that local people depend on, based on the effectiveness of marine conservation initiative protections.

For each of the following questions, are you able to provide an explanation about why you made the rating? You may provide explanations related to why some questions scored low/high and/or steps that have been taken in the past to address certain issues.

26. Is the marine conservation initiative in a good location to produce environmental benefits (e.g., for species, habitats, the ecosystem, or fisheries)?

- (0) No, the marine conservation initiative is not ideally located
- (1) The marine conservation initiative is in a location that provides minimal environmental benefits
- (2) The marine conservation initiative is in a location that provides some environmental benefits
- (3) The marine conservation initiative is in a location that provides many environmental benefits
- (99) Does not apply
- (88) Don't know

27. Does marine conservation initiative management have sufficient capacity to support environmental goals?

- (0) There is insufficient capacity to be able to carry out any aspects of management plans
- (1) There is capacity to carry out some aspects of management plans
- (2) There is capacity to carry out most aspects of management plans
- (3) There is sufficient capacity to carry out all aspects of management plans
- (99) Does not apply
- (88) Don't know

28. Are current management plans and/or actions effective at achieving marine conservation initiative environmental goals?

- (0) Environmental conditions are thought to be worsening
- (1) Environmental conditions are thought to be the same as before
- (2) Environmental conditions are thought to be improving slightly
- (3) Environmental conditions are thought to be improving substantially
- (99) Does not apply
- (88) Don't know

29. Has the marine conservation initiative led to environmental improvements that benefit local people?

- (0) Local people do not experience benefits
- (1) Certain local people experience most of the benefits
- (2) Certain local people experience more benefits than others
- (3) Benefits are experienced equally and for all local people
- (99) Does not apply
- (88) Don't know

30. Do all local groups benefit from environmental improvements that arise as a result of the marine conservation initiative?

- (0) No local people are able to access environmental benefits
- (1) Some local people are able to access environmental benefits
- (2) Most local people are able to access environmental benefits
- (3) All local people are able to access environmental benefits
- (99) Does not apply
- (88) Don't know



Questions about distributional equity

The following group of questions are related to the level of fairness in the distribution of benefits and burdens among local people.

For each of the following questions, are you able to provide an explanation about why you made the rating? You may provide explanations related to why some questions scored low/high and/or steps that have been taken in the past to address certain issues.

31. Overall, do you think the marine conservation initiative has been positive or negative for local people?

- (0) Impacts are very negative
- (1) Impacts are somewhat negative
- (2) Impacts are somewhat positive
- (3) Impacts are very positive
- (99) Does not apply
- (88) Don't know

32. Are current management plans and/or actions effective at achieving marine conservation initiative social goals?

- (0) Social conditions are thought to be worsening
- (1) Social conditions are thought to be the same as before
- (2) Social conditions are thought to be improving slightly
- (3) Social conditions are thought to be improving substantially
- (99) Does not apply
- (88) Don't know

33. Overall, do you think the livelihood and economic impacts from the marine conservation initiative have been positive?

- (0) Impacts are very negative
- (1) Impacts are somewhat negative
- (2) Impacts are somewhat positive
- (3) Impacts are very positive
- (99) Does not apply
- (88) Don't know

34. How fairly are livelihood and economic impacts that arise through the marine conservation initiative shared among local people?

- (0) Certain people receive many livelihood benefits while others receive none
- (1) Certain people receive many livelihood benefits while others receive a little
- (2) Most people receive at least some livelihood benefits
- (3) All people receive a fair level of livelihood benefits
- (99) Does not apply
- (88) Don't know

35. Overall, do you think the social impacts (e.g., on culture, identity, knowledge, education, health) from marine conservation initiative plans and management have been positive?

- (0) Impacts are very negative
- (1) Impacts are somewhat negative
- (2) Impacts are somewhat positive
- (3) Impacts are very positive
- (99) Does not apply
- (88) Don't know

36. How fairly are social benefits and opportunities that arise through the marine conservation initiative shared among local people?

- (0) Certain people receive many benefits while others receive none
- (1) Certain people receive many benefits while others receive a little
- (2) Most people receive at least some benefits
- (3) All people receive benefits
- (99) Does not apply
- (88) Don't know

37. Are negative impacts (e.g., risks, burdens) that result from the marine conservation initiative shared fairly among local people?

- (0) Certain people are heavily impacted while others are not negatively impacted
- (1) Certain people are heavily impacted while others are impacted a little
- (2) Most people are somewhat negatively impacted
- (3) All people receive a fair level of negative impacts
- (99) Does not apply
- (88) Don't know

38. Have there been studies or public engagement to understand how the marine conservation initiative has impacted local people (e.g., culture, identities, livelihoods, wealth, wellbeing)?

- (0) There have been no studies or engagement
- (1) There have been efforts to understand impacts, but there are no processes to manage impacts
- (2) There are ongoing studies and engagement to understand impacts with input from most local people and groups
- (3) There are ongoing studies and engagement to understand impacts, and there are some processes to manage impacts
- (99) Does not apply
- (88) Don't know

39. Are there programmes and efforts in place to help increase positive social impacts from the MPA?

- (0) There are no programmes and efforts in place to increase benefits
- (1) There are programmes and efforts in place to increase benefits but they are only accessed by some people
- (2) There are programmes and efforts in place to increase benefits and they are accessed by most people and groups
- (3) There are comprehensive programmes and efforts in place to increase benefits for all local people
- (99) Does not apply
- (88) Don't know

40. Are programmes that are intended to increase positive impacts delivered in ways that support people who are most in need?

- (0) People who are most in need are not able to access supports
- (1) All local people have the same access to support programmes
- (2) Support programmes are delivered in ways that that recognise some pre-existing inequities
- (3) Support programmes are delivered in ways that that fully recognise and address pre-existing inequities
- (99) Does not apply
- (88) Don't know



Questions about contextual and structural equity

The following group of questions are related to social, economic, and political conditions beyond the community level that influence the ways that people interact with the marine conservation initiative ecosystem and marine conservation initiative management.

For each of the following questions, are you able to provide an explanation about why you made the rating? You may provide explanations related to why some questions scored low/high and/or steps that have been taken in the past to address certain issues.

41. Are people who rely on marine resources and/or live near to the marine conservation initiative able to meet their basic needs?

- (0) Meeting basic needs is a significant issue for most people
- (1) Meeting basic needs is somewhat of an issue
- (2) Meeting basic needs is a minor issue
- (3) Meeting basic needs is not an issue for anyone
- (99) Does not apply
- (88) Don't know

42. Do coastal livelihoods provide a steady and reliable income for all people who rely on marine resources?

- (0) Coastal livelihoods are not economically viable
- (1) Coastal livelihoods are economically viable for some people
- (2) Coastal livelihoods are economically viable for most people
- (3) Coastal livelihoods are economically viable for everyone
- (99) Does not apply
- (88) Don't know

43. Do political views prevent anyone from participating in and enjoying benefits from the marine conservation initiative?

- (0) Being excluded is a significant problem for many people
- (1) Being excluded is a significant problem for some people
- (2) Being excluded is a minor problem for some people
- (3) There is little evidence that people are left out due to social values or political views
- (99) Does not apply
- (88) Don't know

44. Do social norms prevent any groups, such as different genders, Indigenous Peoples, fishers or other less fortunate groups, from participating in or enjoying benefits from the marine conservation initiative?

- (0) Being excluded is a significant problem for many people
- (1) Being excluded is a significant problem for some people
- (2) Being excluded is a minor problem for some people
- (3) There is little evidence that people are left out due to social values or political views
- (99) Does not apply
- (88) Don't know

45. Are lives and livelihoods of local people affected by ongoing impacts of colonisation?

- (0) Colonisation has very significant impacts
- (1) Colonisation has substantial impacts
- (2) Colonisation has minor impacts
- (3) Colonisation does not have any impacts
- (99) Does not apply
- (88) Don't know

46. Are national government laws and policies related to the oceans supportive of coastal communities and groups who rely on the ocean?

- (0) Government laws and policies have huge negative impacts
- (1) Government laws and policies have substantial negative impacts
- (2) Government laws and policies have marginal negative impacts
- (3) Government laws and policies do not have large negative impacts
- (99) Does not apply
- (88) Don't know

47. Are local people affected by environmental shifts related to climate change?

- (0) Climate change and environmental shifts have a huge negative impact on local people
- (1) Climate change and environmental shifts have a substantial negative impact on local people
- (2) Climate change and environmental shifts have a marginal negative impact on local people
- (3) Climate change and environmental shifts do not impact local people
- (99) Does not apply
- (88) Don't know

48. Are small-scale fishers (SSF) and/or other customary resource users recognised as legitimate rightsholders or stakeholders in national laws and policies?

- (0) National laws and policies do not recognise SSF and/or other customary resource users and do not advance rights
- (1) National laws and policies recognise and advance some rights
- (2) National laws and policies recognise and advance most rights
- (3) National laws and policies recognise and advance all rights
- (99) Does not apply
- (88) Don't know

49. Are Indigenous Peoples recognised as legitimate rightsholders in national laws and policies?

- (0) National laws and policies do not recognise Indigenous Peoples and do not advance rights
- (1) National laws and policies recognise and advance some rights
- (2) National laws and policies recognise and advance most rights
- (3) National laws and policies recognise and advance all rights
- (99) Does not apply
- (88) Don't know

50. Does national environmental policy support equitable marine conservation planning and management?

- (0) National environmental policy does not support the pursuit of equitable marine conservation initiatives
- (1) National environmental policy is somewhat supportive of the pursuit of equitable marine conservation initiatives
- (2) National environmental policy is mostly supportive of the pursuit of equitable marine conservation initiatives
- (3) National environmental policy is completely aligned to enable the pursuit of equitable marine conservation initiatives
- (99) Does not apply
- (88) Don't know

51. Does the law treat all people in communities near the marine conservation initiative fairly?

- (0) Law enforcement is not carried out fairly (a lot of corruption or bias)
- (1) Law enforcement is carried out somewhat fairly
- (2) Law enforcement is mostly carried out fairly
- (3) Law enforcement is carried out completely fairly (no corruption or bias)
- (99) Does not apply
- (88) Don't know

Demographic questions

The following questions are optional. However, you are encouraged to answer them because they can help the assessment team fully understand any differences in responses from specific groups.

1. What is your gender?

- ☐ Woman
- ☐ Man
- ☐ Prefer to self-identify (specify) _____

2. What is your age group?

- ☐ 18-29 years old
- ☐ 30-39 years old
- ☐ 40-49 years old
- ☐ 50-59 years old
- ☐ 60+ years old

3. What is your highest level of education completed?

- ☐ None
- ☐ Elementary school
- ☐ Middle school
- ☐ High school
- ☐ University degree – Bachelors or higher

4. Where are you originally from?

- ☐ The area nearby the marine conservation initiative
- ☐ A different area within the same country
- ☐ Another country
- ☐ Other (specify) _____

5. Do you consider yourself as belonging to any of the following groups?

- ☐ Indigenous Person
- ☐ Small-scale fisher
- ☐ Local community member
- ☐ Immigrant to this country
- ☐ None of the above
- ☐ Prefer not to say
- ☐ Other (specify) _____

6. In comparison with other people in your community, how would you rate your level of wealth?

- ☐ A lot less wealthy (in comparison with other people in my community)
- ☐ Less wealthy (in comparison with other people in my community)
- ☐ About average (in comparison with other people in my community)
- ☐ More wealthy (in comparison with other people in my community)
- ☐ A lot more wealthy (in comparison with other people in my community)

Wrap-up questions

Are there any notable aspects of equity that were not covered in the earlier questions? Provide an explanation about how these additional aspects contribute to equitable or inequitable conditions.

Describe any actions that have been taken to address inequitable conditions. How have these actions been effective or ineffective?

Do you have any questions for us about this assessment?



Assessment option 2: Stakeholders and rightsholders equity assessment



KEY FEATURES

- Increasing awareness of equity issues; engagement of key stakeholders and rightsholders
- Participants: Managers, key experts with knowledge of the marine conservation initiative, representatives from all stakeholders and rightsholders groups
- Methods: Surveys of key stakeholders and rightsholders
- Time required for participants: Introductory meeting with managers (1 hour), approximately 20 surveys with rightsholders and stakeholders (1-2 hours each), debrief and follow-up meeting with managers and other key actors (1-2 hours)
- Time required for assessment lead: 2-4 weeks, plus time to arrange and travel if required



WHEN TO USE THIS APPROACH

- Use this approach if managers have interest and capacity to participate, there is support for engaging stakeholders and rightsholders about equity issues, and there is a willingness to engage with insights and take action to improve equity



PATHWAYS TO CHANGE

- Written and verbal report to local leaders, managers, and key stakeholders and rightsholders
- Participation and outputs increase awareness of equity concerns among managers, stakeholders, and rightsholders to promote empathy and share insights and potential equity issues or concerns
- Use report to generate discussions about potential changes to improve equity
- Build support for more in-depth future equity assessments



LIMITATIONS

- Based on a limited number of people's perspectives
- Positionality of assessment team is inherently limited to their own knowledge and assumptions (e.g., managers are relatively influential and powerful positions and may not be fully aware of other actors' perspectives)
- May or may not use representative sampling of rightsholders and stakeholders

The following materials can be used for carrying out a rapid social equity assessment of a marine conservation initiative. This package contains the following materials:

1. A reference table that provides an overview of attributes and questions related to different dimensions of equity.
2. An information sheet about the marine conservation initiative to be filled out by the assessment team.
3. A script explaining the purpose of the survey, informed consent, and format of the survey.
4. A script for verbal consent.
5. A form for written consent.
6. The survey tool for the rapid equity assessment.

In many cases, these templates will need to be edited, adapted, and/or translated to suit local contexts. An important starting point will be for assessment teams and key collaborators to review the equity attributes and survey statements in the table on the following pages. Any adjustments to the survey statements should maintain the meaning and intent of the related attribute(s). Assessment teams will then need to apply any changes to the survey questions template and then test the questions with local community representatives.



Table of stakeholders and rightsholders equity assessment attributes and survey statements

|  EQUITY DIMENSION |  ATTRIBUTE |  SURVEY QUESTION |
|---|---|--|
|  RECOGNITIONAL | All relevant groups recognised | All relevant people and groups are recognised as legitimate actors (rightsholders or stakeholders) in marine conservation initiative planning and management. |
| | Rights to access marine resources recognised | Your rights to access marine areas and resources are formally recognised in marine conservation initiative planning and management. |
| | Basic human rights are respected | Your basic human rights (e.g., access to food, education, good health, safety and security) are respected within marine conservation initiative planning and management. |
| | Does not prevent your preferred activities | Marine conservation initiative policies and management recognise and do not prevent you from carrying out your preferred livelihood and/or recreational activities. |
| | Resource users are recognised as rightsholders | Small-scale fishers and/or other customary resource users are recognised as legitimate rightsholders in marine conservation initiative planning and management. |
| | Small-scale fishers' rights are respected | Small-scale fishers' rights are respected and protected in marine conservation initiative planning and management. |
| | Indigenous Peoples are recognised as rightsholders | Indigenous Peoples are recognised as legitimate rightsholders in marine conservation initiative planning and actions. |
| | Indigenous rights are respected | Indigenous rights are respected and protected in marine conservation initiative planning and management. |
| | Cultural identities, values, and practices are acknowledged | Your cultural identities, values, and practices are acknowledged and incorporated into marine conservation initiative planning and management. |
| | Consideration is given for people who receive fewer opportunities | Consideration has been given to the interests and rights of people who often receive fewer economic or livelihood opportunities. |
| | Value of Indigenous and local knowledge is acknowledged | The value of your knowledge is acknowledged in marine conservation initiative planning and management. |

|  EQUITY DIMENSION |  ATTRIBUTE |  SURVEY QUESTION |
|--|---|--|
|  PROCEDURAL | Effective participation and feedback from local people | There are processes in place to facilitate effective participation and gather feedback from local people to help inform marine conservation initiative decision-making. |
| | Representation and influence on decisions | You are represented and feel that you are able to influence decisions related to marine conservation initiative planning and management. |
| | Information about decision-making is easy to access | Information about what decisions were made in relation to the marine conservation initiative, how they were made, and why they were made is easy to find and access. |
| | Knowledge of how to raise concerns about management | You know how to raise concerns related to management actions. |
| | Satisfactory dispute resolution with managers | There are satisfactory processes in place for you to resolve disputes you have with marine conservation initiative managers. |
| | Satisfactory dispute resolution with other stakeholders | There are satisfactory processes in place for you to resolve disputes you have with other people (non-management) in relation to the marine conservation initiative. |
| | Decisions are made after free, prior, and informed consent | Decisions that affect you are made after obtaining and documenting free, prior, and informed consent (or some form of engagement). |
| | Decisions made in the best interest of stakeholders | You trust that people involved in marine conservation initiative planning and management are making decisions in the best interest of you and other people in similar groups as you. |
| | Planning and management is appropriate and legitimate | Marine conservation initiative planning and management have been carried out through processes that are appropriate and legitimate. |
|  MANAGEMENT | Local groups share or hold management authority | Government authorities have shared or transferred management authority with local communities or groups. |
| | Local groups have agency to carry out management activities | Local groups have agency to carry out management activities (e.g., environmental monitoring, stewardship actions, enforcement) based on local knowledge and practices. |
| | Local people are employed in management (staff) roles | Local groups and communities are employed in marine conservation initiative management (staff) roles and/or in carrying out management activities. |
| | Local people are represented in marine conservation initiative leadership roles | Local communities and groups are represented (e.g., employed, elected) in leadership roles in marine conservation initiative management. |
| | Sufficient funding to support participation in management | There is sufficient funding to support people's participation, leadership, and working in marine conservation initiative management activities. |
| | Secure funding to support participation in management | There is secure funding to support local participation, capacity, and leadership for marine conservation initiative management activities. |
| | Enforcement of marine conservation initiative rules is fair for all people | Enforcement of marine conservation initiative rules is fair for all people. |

|  EQUITY DIMENSION |  ATTRIBUTE |  SURVEY QUESTION |
|---|--|--|
|  ENVIRONMENTAL | Marine conservation initiative is in a good location to produce environmental benefits | The marine conservation initiative is in a good location to produce environmental benefits (e.g., for species, habitats, the ecosystem, or fisheries). |
| | Adequate management capacity to support environmental goals | The marine conservation initiative has sufficient management capacity to support environmental goals. |
| | Management plans effective for achieving environmental goals | Current management plans and/or actions are effective at achieving marine conservation initiative environmental goals. |
| | Marine conservation initiative has led to environmental improvements | The marine conservation initiative has led to environmental improvements that benefit local people. |
| | Stakeholders and rightsholders benefit from environmental improvements | You benefit from environmental improvements that arise as a result of the marine conservation initiative. |
|  DISTRIBUTIONAL | Marine conservation initiative has been positive for local people | Overall, the marine conservation initiative has been positive for local people. |
| | Management is effective at achieving social goals | Current management plans and/or actions are effective at achieving marine conservation initiative social goals. |
| | Livelihood and economic impacts have been positive | Livelihood and economic impacts from the marine conservation initiative have been positive in your opinion. |
| | Livelihood and economic opportunities are shared fairly | Any livelihood and economic opportunities that arise through the marine conservation initiative are shared fairly among local people. |
| | Social impacts have been positive | Social impacts (e.g., on culture, identity, knowledge, education, health) from the marine conservation initiative have been positive in your opinion. |
| | Social benefits and opportunities are shared fairly | Social benefits and opportunities that arise through the marine conservation initiative are shared fairly among local people. |
| | Negative impacts (burdens, risks) are shared fairly | Any negative impacts (e.g., risks, burdens) that result from the marine conservation initiative are shared fairly among local people. |
| | Engagement or studies are in place to understand impacts on local people | There have been studies or public engagement to understand how the marine conservation initiative has impacted local people (e.g., culture, identities, livelihoods, wealth, wellbeing). |
| | Programmes and efforts to help increase positive impacts | There are programmes and efforts in place to help increase positive impacts from the marine conservation initiative. |
| | Support is delivered for people who are most in need | Programmes that are intended to increase positive impacts are delivered in ways that support people who are most in need or whose livelihoods are being negatively impacted. |

|  EQUITY DIMENSION |  ATTRIBUTE |  SURVEY QUESTION |
|---|--|--|
|  <p>CONTEXTUAL AND STRUCTURAL</p> | <p>People near the marine conservation initiative are able to meet basic needs</p> | <p>Everyone who relies on marine resources and/or lives near to the marine conservation initiative are able to meet their basic needs.</p> |
| | <p>Coastal livelihoods provide a steady and reliable income</p> | <p>Coastal livelihoods can provide a steady and reliable income for all groups.</p> |
| | <p>Political views do not prevent you from being involved in and benefitting from the marine conservation initiative</p> | <p>Broader political views do not prevent you or other groups from participating in and enjoying benefits from the marine conservation initiative.</p> |
| | <p>Social norms do not prevent you from being involved in and benefitting from the marine conservation initiative</p> | <p>Social values and norms do not prevent you or other groups from participating in and enjoying benefits from the marine conservation initiative.</p> |
| | <p>Colonisation does not have ongoing impacts on local people</p> | <p>Ongoing effects of colonisation do not have an ongoing impact on local people's lives and livelihoods.</p> |
| | <p>Laws and policies support people who rely on the ocean</p> | <p>Government laws and policies related to the oceans are supportive of coastal communities and groups who rely on the ocean.</p> |
| | <p>Environmental changes do not negatively impact local people</p> | <p>Environmental shifts related to climate change do not negatively impact local coastal populations.</p> |
| | <p>Laws and policies recognise customary resource users</p> | <p>Small-scale fishers (SSF) and/or other customary resource users are recognised as legitimate rightsholders or stakeholders in national laws and policies.</p> |
| | <p>Laws and policies recognise Indigenous Peoples</p> | <p>Indigenous Peoples are recognised as legitimate rightsholders in national laws and policies.</p> |
| | <p>The law treats all people near the marine conservation initiative fairly</p> | <p>The law treats all people in communities near the marine conservation initiative fairly.</p> |



Information sheet for assessment team

Reminders to interviewers:

- ☐ Introduce yourself and team
- ☐ Explain the project and how long participation will take
- ☐ Give the participant the project overview and consent form, or read the verbal consent form
- ☐ Document consent via either the verbal or written consent form
- ☐ Ask whether they would like to receive copies of project outputs (document email on separate paper)
- ☐ Introduce each section of the survey as you go

| | | |
|--|--|--|
| <p>Name of interviewer(s)</p> | <p>Date of survey</p> <div data-bbox="586 751 795 827">DD</div> <div data-bbox="586 835 795 911">MM</div> <div data-bbox="586 919 795 995">YY</div> | <p>In which country is the marine conservation initiative that is the subject of this study?</p> |
| <p>What is the name of the marine conservation initiative that the respondent will be referring to in this survey?</p> | | <p>What was the date or year when the marine conservation initiative was established?</p> |
| <p>What is the nearest town, city or village where this survey is being conducted?</p> | <p>What is the governance type for the marine conservation initiative? (e.g., government-led, co-management, private governance, led by Indigenous Peoples or Local Communities)</p> | |
| <p>What was the format for documenting the survey?</p> <div data-bbox="940 1715 980 1757"><input type="checkbox"/></div> Digital <div data-bbox="1118 1715 1159 1757"><input type="checkbox"/></div> Paper | | |



Explaining the purpose and format of the survey

Thank you for taking part in this assessment about the ways that equity is experienced and influenced by _____ [name of the marine conservation initiative]. The aim of this assessment is to raise awareness and improve understanding about perceptions of equity held by the different groups of users linked economically, culturally, or institutionally to the marine conservation initiative.

Through this survey we will collect information about how you experience equity and inequity in relation to the marine conservation initiative based on your personal experiences. Your participation will involve responding to a series of questions that will take about 60-90 minutes to complete. There are no right or wrong answers. Just tell us what you think.

We will start by asking you some questions related to who you are, how long you have been living in the area, and how you make your livelihood. Then, we will ask questions based on six types of equity related to the marine conservation initiative. As we start each section we will give you a quick summary on what that type of equity will be and then we will go through the questions. You can provide any additional details at any point to help clarify your answer. Lastly we will have some wrap up questions.

We want to ensure that you know that your participation in this assessment is completely voluntary. You can choose to end the survey at any time (and decide whether you want us to remove earlier responses from our records). Data will be stored securely by [assessment team / organisation] but will not include your name. We want you to know that your answers will be kept completely private, and we won't share your personal details with anyone. We will only use the information that you provide to better understand equity related to the planning and management of the marine conservation initiative. A summary of the results of the surveys will be analysed and presented in a report that will be given to marine conservation initiative managers. If you want to receive a copy of the results, we will document your name and email separately so that we can share it.

If you have any questions that were not answered today, you can reach the assessment team at the following contacts:

Contact information

Instructions for the survey

For the main survey questions, we will ask you to provide a rating related to various aspects of equity and then ask you to provide an explanation about why you made the rating. The rating will use a scale that includes the following options:

- SA Strongly agree
- A Agree
- N Neutral
- D Disagree
- SD Strongly disagree
- DA Does not apply here
- DN Don't know

When we ask you to explain your ratings, you may provide explanations related to why some questions scored low/high and/or steps that have been taken in the past to address certain issues.



Script for verbal consent

This form can be read by the interviewer

Thank you for taking part in this assessment about the ways that equity is experienced and influenced by _____ [name of the marine conservation initiative]. The aim of this assessment is to raise awareness and improve understanding about perceptions of equity held by the different groups of users linked economically, culturally, or institutionally to the marine conservation initiative.

Through this survey we will collect information about how you experience equity and inequity in relation to the marine conservation initiative based on your personal experiences. Your participation will involve responding to a series of questions that will take about 60-90 minutes to complete. There are no right or wrong answers. Just tell us what you think.

We will start by asking you some questions related to who you are, how long you have been living in the area, and how you make your livelihood. Then, we will ask questions based on six types of equity related to the marine conservation initiative. As we start each section we will give you a quick summary on what that type of equity will be and then we will go through the questions. You can provide any additional details at any point to help clarify your answer. Lastly we will have some wrap up questions.

We want to ensure that you know that your participation in this assessment is completely voluntary. You can choose to end the survey at any time (and decide whether you want us to remove earlier responses from our records). Data will be stored securely by [assessment team / organisation] but will not include your name. We want you to know that your answers will be kept completely private, and we won't share your personal details with anyone. We will only use the information that you provide to better understand equity related to the planning and management of the marine conservation initiative. A summary of the results of the surveys will be analysed and presented in a report that will be given to marine conservation initiative managers. If you want to receive a copy of the results, we will document your name and email separately so that we can share it.

If you have any questions that were not answered today, you can reach the assessment team at the following contacts:

Contact information

By continuing to participate in this survey, we ask you to confirm that:

- You have received adequate and sufficient information by the assessment team above, about (1) the objectives of the assessment and its scope, (2) the type of work to be carried out (survey about perceptions of equity), and (3) that your participation is voluntary and done in support of the aims of the assessment.
- You have received information about the purpose for collecting limited personal information about me and how this information will be used.
- That at any time you can revoke your consent and stop participating (without having to explain the reason) and request the deletion of your personal information.
- You are 18 years or older and are competent to provide consent.

Name of interviewee:

☐ Interviewer to check this box to confirm that participant has given verbal consent



Form for written consent

This form can be given to participants to read or can be read by the interviewer

Thank you for taking part in this assessment about the ways that equity is experienced and influenced by _____ [name of the marine conservation initiative]. The aim of this assessment is to raise awareness and improve understanding about perceptions of equity held by the different groups of users linked economically, culturally, or institutionally to the marine conservation initiative.

Through this survey we will collect information about how you experience equity and inequity in relation to the marine conservation initiative based on your personal experiences. Your participation will involve responding to a series of questions that will take about 60-90 minutes to complete. There are no right or wrong answers. Just tell us what you think.

We will start by asking you some questions related to who you are, how long you have been living in the area, and how you make your livelihood. Then, we will ask questions based on six types of equity related to the marine conservation initiative. As we start each section we will give you a quick summary on what that type of equity will be and then we will go through the questions. You can provide any additional details at any point to help clarify your answer. Lastly we will have some wrap up questions.

We want to ensure that you know that your participation in this assessment is completely voluntary. You can choose to end the survey at any time (and decide whether you want us to remove earlier responses from our records). Data will be stored securely by [assessment team / organisation] but will not include your name. We want you to know that your answers will be kept completely private, and we won't share your personal details with anyone. We will only use the information that you provide to better understand equity related to the planning and management of the marine conservation initiative. A summary of the results of the surveys will be analysed and presented in a report that will be given to marine conservation initiative managers. If you want to receive a copy of the results, we will document your name and email separately so that we can share it.

If you have any questions that were not answered today, you can reach the assessment team at the following contacts:

Contact information

I, _____ **confirm the following and provide my consent to continue participation in this survey:**

- ☐ I have received adequate and sufficient information by the assessment team above, about (1) the objectives of the assessment and its scope, (2) the type of work to be carried out (survey about perceptions of equity), and (3) that your participation is voluntary and done in support of the aims of the assessment.
- ☐ I have received information about the purpose for collecting limited personal information about me and how this information will be used.
- ☐ At any time I can revoke my consent and stop participating (without having to explain the reason) and request the deletion of my personal information.
- ☐ I am 18 years or older and am competent to provide consent.

Date:

Signature:



Survey tool for rapid equity assessment

Preliminary questions for participants

This section of the survey asks some questions about who you are, how long you have been living in the area, and how you make your livelihood.

1. How far do you live from the marine conservation initiative now?

- ☐ Less than 5 kilometers
- ☐ 5-10 kilometers
- ☐ 11-20 kilometers
- ☐ 21-30 kilometers
- ☐ More than 30 kilometers

2. How long have you known the marine conservation initiative area and its surroundings?

- ☐ Less than 5 years
- ☐ 5-10 years
- ☐ 11-20 years
- ☐ 21-30 years
- ☐ 31-40 years
- ☐ 41-50 years
- ☐ 51-60 years
- ☐ More than 60 years

3. Which of the following best describes the group that you belong to? Select all that apply.

- ☐ Artisanal or small-scale fisher
- ☐ Industrial fisher
- ☐ Recreational fisher
- ☐ Aquatic recreational activities (e.g., diving, kayaking, sailing, boating, etc.)
- ☐ Local tourism operator
- ☐ International tourism operator
- ☐ Marine conservation initiative manager
- ☐ Local government representative
- ☐ National government representative
- ☐ Indigenous government representative
- ☐ NGO representative
- ☐ Academic or researcher
- ☐ Business operator
- ☐ Local community resident (not part of above groups)
- ☐ Other (specify)

4. How long have you been a member of this group?

- ☐ Less than 5 years
- ☐ 5-10 years
- ☐ 11-20 years
- ☐ 21-30 years
- ☐ 31-40 years
- ☐ 41-50 years
- ☐ 51-60 years
- ☐ More than 60 years
- ☐ Not applicable

5. How satisfied are you with the existence of the marine conservation initiative overall?

- ☐ Very unsatisfied
- ☐ Somewhat unsatisfied
- ☐ Neutral
- ☐ Somewhat satisfied
- ☐ Very satisfied
- ☐ I don't know

6. How satisfied are you with the way that the marine conservation initiative is managed overall?

- ☐ Very unsatisfied
- ☐ Somewhat unsatisfied
- ☐ Neutral
- ☐ Somewhat satisfied
- ☐ Very satisfied
- ☐ I don't know

7. How has the marine conservation initiative affected your main livelihood or relationship with the marine conservation initiative area?

- ☐ Very negatively
- ☐ Somewhat negatively
- ☐ Neutral, it did not affect
- ☐ Somewhat positively
- ☐ Very positively
- ☐ I don't know
- ☐ Not applicable

8. How has the marine conservation initiative affected your main livelihood or relationship with the marine conservation initiative area?

- ☐ Very low
- ☐ Low
- ☐ Neutral
- ☐ High
- ☐ Very high
- ☐ I don't know

9. In two minutes, is there anything you want to tell us about your level of support for the marine conservation initiative and/or the way that it is being managed?

The following group of questions are related to the ways that people's rights, livelihoods, values, and identities are recognised in marine conservation initiative planning and management.

[illegible]

The following group of questions are related to inclusion and effective participation of local people in decision-making for marine conservation initiative planning and policies.

[illegible]

The following group of questions are related to the extent that local people are able to participate in and have leadership in marine conservation initiative management.

[illegible]

The following group of questions are related to the quality of the local environment that local people depend on, based on the effectiveness of marine conservation initiative protections.

[illegible][illegible]

The following group of questions are related to the level of fairness in the distribution of benefits and burdens among local people.

[illegible]

The following group of questions are related to social, economic, and political conditions beyond the community level that influence the ways that people interact with the marine conservation initiative ecosystem and marine conservation initiative management.

[illegible]

Demographic questions

The following questions are optional. However, you are encouraged to answer them because they can help the assessment team fully understand any differences in responses from specific groups.

1. What is your gender?

- ☐ Woman
- ☐ Man
- ☐ Prefer to self-identify (specify) _____

2. What is your age group?

- ☐ 18-29 years old
- ☐ 30-39 years old
- ☐ 40-49 years old
- ☐ 50-59 years old
- ☐ 60+ years old

3. What is your highest level of education completed?

- ☐ None
- ☐ Elementary school
- ☐ Middle school
- ☐ High school
- ☐ University degree – Bachelors or higher

4. Where are you originally from?

- ☐ The area nearby the marine conservation initiative
- ☐ A different area within the same country
- ☐ Another country
- ☐ Other (specify) _____

5. Do you consider yourself as belonging to any of the following groups?

- ☐ Indigenous Person
- ☐ Small-scale fisher
- ☐ Local community member
- ☐ Immigrant to this country
- ☐ None of the above
- ☐ Prefer not to say
- ☐ Other (specify) _____

6. In comparison with other people in your community, how would you rate your level of wealth?

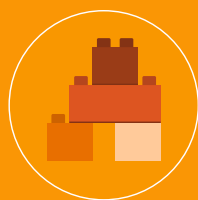
- ☐ A lot less wealthy (in comparison with other people in my community)
- ☐ Less wealthy (in comparison with other people in my community)
- ☐ About average (in comparison with other people in my community)
- ☐ More wealthy (in comparison with other people in my community)
- ☐ A lot more wealthy (in comparison with other people in my community)

Wrap-up questions

Are there any notable aspects of equity that were not covered in the earlier questions? Provide an explanation about how these additional aspects contribute to equitable or inequitable conditions.

Describe any actions that have been taken to address inequitable conditions. How have these actions been effective or ineffective?

Do you have any questions for us about this assessment?



Assessment option 3: Co-produced and customised equity assessment



KEY FEATURES

- In-depth insights into equity; full and inclusive engagement of all stakeholders and rightsholders; provides additional time and opportunity for a reflexive approach where assessment team can consider their own biases, assumptions, and blindspots
- Participants: Managers, key experts with knowledge of the marine conservation initiative, representatives from stakeholders and rightsholders (including those who may not be recognized officially by management or government)
- Methods: Co-production workshops, surveys, and/or focus groups
- Time required for participants: Series of meetings, surveys, and/or focus groups over 3-6 weeks or longer
- Time required for assessment lead: 3 months or longer, to allow for planning and thorough follow-through



WHEN TO USE THIS APPROACH

- Use this approach if there is sufficient expertise on assessment team to facilitate indicator co-production process, and when managers, stakeholders and rightsholders are willing and able to be fully engaged



PATHWAYS TO CHANGE

- Collaborative workshops and co-production processes increases knowledge of equity, and perceived legitimacy of results
- Written and verbal report to local leaders, managers, and key stakeholders and rightsholders
- Discussion and deliberation of results with all stakeholders, rightsholders, and decision-makers
- Increases awareness of equity concerns among managers, stakeholders, and rightsholders
- Identification of actions and changes as part of assessment process



LIMITATIONS

- Requires larger budget, commitment to a longer process, and higher level of expertise
- Participatory processes can be captured by more vocal or powerful individuals if not carefully facilitated
- Raises expectations of participants, which can lead to frustration if there is no follow-through with meaningful improvements to equity

This section provides guidance for a co-produced and customised equity assessment and follows through with information about methods, analyses, and, importantly, how to ensure that the assessment produces practical outcomes, is communicated, and is deliberated on to identify improvements over time.

The phases for an equity assessment that are outlined in the following section are intended to allow for flexibility and locally adapted design. Rather than being prescriptive and rigid, this option is meant to inform a co-design planning process that is fit to local socio-cultural and practical contexts. Some locations - and some teams carrying out assessments - will have ample previous experience with social assessments or research. It will be important to draw on previous experiences about what methods and approaches work well for local participants. For example, in one place it may be appropriate to host separate focus groups according to gender, livelihoods, or socio-economic status. In another place it may be most appropriate to bring all groups together to encourage shared dialogue.

While intended to be flexible, we encourage teams to include all six dimensions of equity (recognition, procedural, management, distributional, environmental, contextual and structural) in the assessment.

In deciding on how to assess all dimensions of equity, assessment teams may draw on the attributes and indicators provided in the supplementary materials provided for the first two assessment options, or identify and co-develop additional indicators that better reflect local socio-cultural and economic contexts.

The guidance provided here emphasises that the process for assessing equity should be inclusive and collaborative at all times. The guidance is intended to include considerations from the onset of planning through information gathering to the identification and implementation actions to improve social equity.

The process outlined here involves five main phases for an equity assessment. Although these phases are described sequentially, the process should be seen as iterative. As there are numerous ways to undertake an assessment, we encourage users of this guide to keep in mind the following:

- Users of this guide are encouraged to adapt the specific steps to local circumstances and the specific purpose and objectives of their assessment process.
- Throughout the assessment process, key decisions will need to be made that will affect time requirements, logistics, costs, and other aspects.
- Although flexibility and adaptability are built into this assessment, assessment teams are encouraged to consider and assess all dimensions of equity for a comprehensive understanding. Omitting any dimensions from the assessment may lead to gaps in understanding inequities and how to address them.
- Remember that the ultimate goal is to improve equity - the assessment should lead to communication, deliberation, and identification of pragmatic actions based on the information uncovered through the assessment.

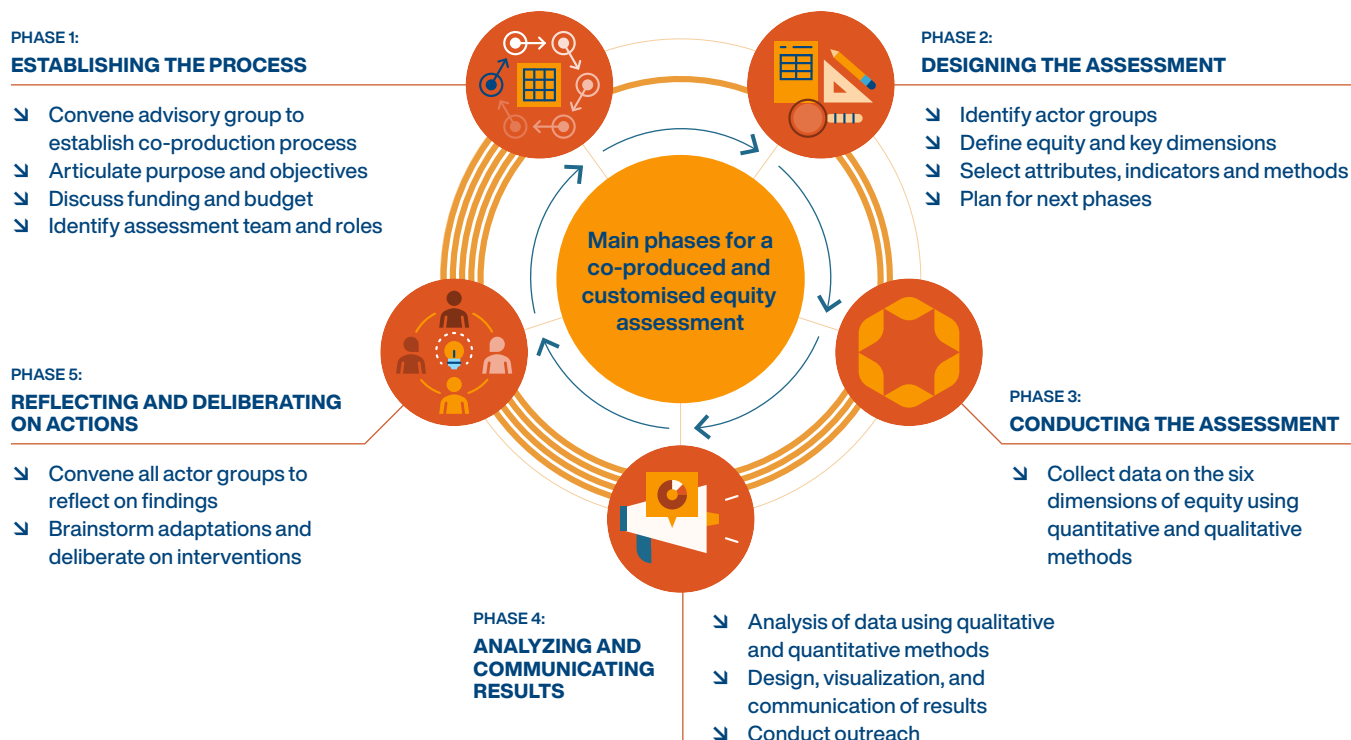


FIGURE A3: FIVE MAIN PHASES FOR A CO-PRODUCED AND CUSTOMISED EQUITY ASSESSMENT.



Phase 1 Establishing the process

Adopting an inclusive approach to team building will be essential for establishing a collaborative process. The first steps in the equity assessment should involve identifying an advisory group with locally relevant knowledge, experience, and relationships to advise on and help design the process and the assessment. Members of the advisory group might include representatives from government, academia, managers, local communities, and key stakeholders and rightsholders groups. Next, the advisory group can be convened through an in-person or virtual workshop - and work together to co-develop the purpose and establish objectives for the equity assessment, how and by whom the process will be carried out, and timelines.

The assessment team will clarify the scope and plan the budget. As this guide will be employed in diverse places, it is impossible to provide a firm estimate of costs for carrying out an assessment. Overall budgets will depend on personnel needs for the assessment team, travel needs for lead facilitators and local actors to attend meetings, local costs for food and accommodation, how long an assessment takes, whether honorariums or refreshments are provided for participants, and numerous other potential expenses related to analysis, communications, and deliberations. In this first phase of the assessment process the assessment team should discuss funding sources, total available budget, and calculate cost estimates. Aligning available funding and an estimated budget will help to ensure feasibility of the assessment and assist with planning during Phase 2.

At this early stage it will also be important to begin discussions about data ownership, use, and sharing. Consideration should be given to who will store and have access to information that is collected about prospective participants (including names and contact information) and of data collected during the assessment. Issues of data ownership and control may be especially important if multiple local organisations and international NGOs are part of the assessment team.

Identifying the team that will lead the designing and conducting of the assessment is also important in this phase. There is not a specified number of people who can be involved in leading an equity assessment but teams should consider the following roles and responsibilities that will be needed as part of an assessment team:

- **Leadership and fostering buy-in to the assessment process**
- **Designing or adapting social science methods**
- **Using social science methods**
- **Facilitation of assessment design and subsequent meetings**
- **Carrying out qualitative and quantitative analyses**
- **Communicating results with a broad range of local actors**
- **Facilitation of reflection and deliberation processes**

As a team is formed, it will be important to clarify roles and responsibilities for each team member.



Phase 2 Designing the assessment

Depending on the composition of the advisory group and the assessment team, it may be appropriate to establish a working group who will support the remaining phases of the assessment. The working group should include representatives from marine conservation initiative management and all major stakeholders and rightsholders groups. For instance, the working group may consist of the assessment team, members of the advisory group, the marine conservation initiative manager, fisheries co-operative member(s), local government official(s), and representatives of other local organisations. This working group can help to define equity definitions and indicators that are locally relevant, provide advice on feasibility of different activities, review methods to ensure they will be understood and effective, and help to communicate updates about the assessment process to their organisations and other constituents. While following the steps described below, the assessment team and working group should continually reflect on the extent that participation will be welcomed and fruitful for different actor groups. Participation in assessment has often been felt as an extractive process and can be a financial and social burden.

1. Identification of actor groups (actor mapping exercise)

Identification of all relevant actor groups - including rightsholders and stakeholders - is essential for an inclusive assessment process. The assessment team and working group should begin with identification of diverse actor groups and consider the following criteria for making decisions about which groups should be included in both the working group and in the assessment:

- **People living within or in areas adjacent to the conservation initiative's boundaries**
- **People who have been directly or indirectly impacted by the conservation initiative**
- **Rightsholders - including Indigenous Peoples, small-scale fishers, and other traditional resource users**
- **Resource user groups (e.g., fishers or aquaculture cooperatives; people engaged in activities such as shellfish collection)**
- **Groups representing special interests (e.g., religious groups, ethnic minorities, youth, elders)**

2. Defining what equity means locally

This guidebook has offered a definition of equity as fairness and justice with respect to the ways that people are treated or are impacted by conservation initiatives. The guidebook also describes how equity can be further understood through dimensions of recognition, procedures, distribution, management, environment, and contexts or structures. Beyond these definitions, the meaning of equity can vary in different social and cultural contexts. When it comes to personal experience, people often perceive inequities more readily than equity. Further, different actor groups may hold opposing views on the equity of conditions that have resulted from conservation initiatives.

To support assessment teams with defining local meanings of equity, the following questions may be useful:

- Do local cultures and customs directly or indirectly refer to equity? (e.g., in relation to rights or ability to participate in marine conservation initiative management)
- Do local cultures and customs directly or indirectly refer to fairness or justice?
- Do local cultures and customs refer to who should have access to lands and resources? Or when lands and resources should be accessed?
- When the marine conservation initiative was introduced, were any groups (e.g., socio-cultural or resource user groups) given restrictions or responsibilities that differ from other groups? How were these differences perceived?
- To what extent has local or Indigenous knowledge informed the formation and management of the marine conservation initiative?
- Are there any negative impacts of conservation? Who bears the costs? Is this a fair way of distributing costs? What is a fair way of distributing costs?
- Are there any positive impacts of conservation? Who benefits? Is this a fair way of distributing benefits? What is a fair way of distributing benefits?
- How have past colonial institutions shaped current conditions? Are there racial and gender distinctions from these histories that are affecting modern institutions?

3. Selection of equity attributes and indicators

A reference set of equity attributes and indicators related to each dimension of equity is provided in Table 2 (with survey questions provided under the rapid equity assessment and stakeholders and rightsholders assessment supplementary materials). These reference indicators provide a broad means for assessing equity. The authors of this guidebook want to emphasise, however, that the reference set of indicators should not be viewed as exhaustive. There are numerous additional indicators that may be useful, especially in light of local meanings and understandings of equity. The assessment team - along with the advisory group - may choose to develop and add their own indicators that will help to fully address local conditions.

When selecting or developing indicators to use as part of this assessment, the assessment team should consider the following:

- Indicators that are directional (i.e., clearly show what is positive or negative) and that capture a whole range of potential outcomes are more effective for evaluating status and progress towards a goal.
- Superficial indicators - such as the number of participants in meetings - are not ideal for evaluating equity. These types of indicators do not meaningfully capture quality or how equity or inequity are experienced.
- Consider a combination of process and outcome indicators. Process indicators relate to ongoing events or activities and may point towards the ways that people feel included. Outcome indicators relate to the extent that changes have been experienced with respect to goals or anticipated changes.
- Avoid aggregate or composite indicators. As the central aim of the assessment is to identify any inequitable conditions that need to be addressed, it is important that specific indicators do not become lost or obscured by other indicators.

4. Selection of methods

Alongside the identification of a suite of attributes and indicators, it is necessary to identify relevant methods that will be used for the assessment. This may be a challenging part of the planning process due to the array of options available - which includes quantitative methods such as surveys or relying on secondary data, or qualitative measures such as surveys, interviews, or focus groups. Assessment teams may choose to draw from the rapid and the stakeholders and rightsholders equity assessment options as part of their overall assessment approach. Decisions about the combination of methods to use may be informed by:

- **Local experiences with research/assessments and familiarity with certain methods;**
- **Applying a mix of qualitative and quantitative methods;**
- **Time constraints;**
- **Logistical considerations for applying certain methods (e.g., distribution of a survey or challenges gathering actors for a focus group); and**
- **The groups included in the assessment sample.**

5. Planning for communications

The best intentions for inclusion will not be realised if all constituents - stakeholders and rightsholders - and potential participants are not fully informed about the equity assessment. Communication plans should consider the technologies available for and used by different actor groups, nuances regarding language (e.g., using accessible language, avoiding possible contentions associated with certain terms, events, or institutions), and their preferred means of communication. Communication plans may include notices within newsletters, email campaigns, posts on social media, announcements via radio, or many other options. Communications from the assessment team should include announcements about the goals of the equity assessment, explanations of the importance of the assessment and how it may be used, and why various actor groups need to be involved. Ongoing communications can help to inform participants about key dates and events, preliminary results, and information for upcoming meetings.

6. Planning ahead for later steps in the assessment

The assessment can use early meetings to lay out a full assessment plan, including timelines and anticipated activities. This early planning can be important for further defining roles and responsibilities of the assessment team and working group, and help to identify where additional resources and support may be required. For example, booking meeting rooms becomes possible once key dates have been selected and the number of participants have been estimated.

Within the project timelines, the assessment team should consider what analyses may be carried out (Phase 4) and how long these may take. Will external support be required for analyses or presentation of findings? Who may be able to fill these roles? How long will external actors need to complete these tasks? The assessment team and working group should also begin to make plans for final meetings where assessment outcomes can be discussed and action plans can be co-designed. Who will need to participate in these meetings? How can all actor groups be supported so that they can participate fully?

Decisions about logistics and costs

Depending on the geographic distribution of assessment participants, there may be multiple options for how to design assessment methods. One approach may involve bringing all participants together for one or two days of meetings and focus groups. This approach can be very effective for generating meaningful dialogue, but it can also be expensive to host and can be a time burden for participants.

An alternative approach may involve the assessment team traveling to conduct interviews and surveys with various groups of assessment participants. This approach will also involve travel costs for the assessment team but may be less of a burden for assessment participants.

Regardless of the approach taken for Phase 3 Conducting the assessment, it is important that representatives of all actor groups come together for Phase 5 when outcomes are deliberated and actions are co-designed.



Phase 3 Conducting the assessment

Gathering information can occur sequentially or concurrently, depending on local geography and logistical options. For example, it may be possible to distribute a survey as a first step for gathering preliminary information, followed by focus groups that allow for in-person conversations. When planning meetings and focus groups, the assessment team should identify any relevant power relationships that may affect how people feel able to participate. For instance, certain people may hold influence within a community due to their socio-economic or political status or other factors. Such individuals may tend to sway the opinions of others or prevent them from sharing their perspectives. In other cases, some groups of actors may have existing feuds or conflicts that prevent them from engaging in meaningful dialogue with each other. The assessment team and working group should be aware of such relationships and may need to make plans to ensure that everyone has the opportunity to participate. In some cases this may mean hosting multiple, separate focus groups or ensuring that facilitators are highly skilled with addressing power imbalances.

All methods should be geared towards collecting information relevant to the chosen indicators during Phase 2, and ensuring that all six dimensions of equity (Figure 1) are addressed. Using a mix of qualitative and quantitative methods will help to triangulate findings. In addition to participatory information gathering (i.e., elicitation of participants' perceptions), it may be useful to also conduct a desk review. A desk review provides an opportunity to review related research reports, historical records, and other relevant information. Assessing and understanding contextual and structural equity in particular may require a combination of in-person information collection with other secondary information.

It can be helpful to think about how information will be recorded for each method. Methods such as surveys are straightforward as information is readily documented quantitatively and sometimes qualitatively through open-ended responses. For focus groups, the assessment team should plan to use group-oriented notes (e.g., sticky notes, chart paper, or a whiteboard) and a notetaker who can document verbal comments. Small-group or individual interviews can also make use of a notetaker and can potentially be audio recorded if consent is given by all participants.



Phase 4 Analysing and communicating results

Analysis and interpretation of information will ideally involve the whole assessment team. As team members will bring unique expertise, some work will be carried out by individuals (e.g., organising and carrying out quantitative analyses). However, discussion of preliminary findings and sharing of emerging insights among the assessment team is important. Depending on time and logistics, analysis could also involve some collaboration with the working group as well.

Most importantly, all analyses need to bring attention to the ways that equity and inequity are experienced. Basic descriptive analysis can show what the information that has been collected shows about the status of each dimension of equity. The data might also be disaggregated by social groups to show the perspectives of different groups.

Another aspect of this phase is communicating the results of the assessment to the different audiences for whom the information might be important. Specific and targeted outreach efforts might be required to make sure that the information reaches these audiences. The information might be communicated in various formats - including reports, websites or presentations - to reach these audiences.



Phase 5 Reflecting and deliberating on actions

This is the most important phase of the assessment. Phase 5 necessarily builds on all of the earlier work in the assessment, but it is particularly important because all insights are synthesised and actionable plans are developed. Several points of emphasis can help to guide this phase:

- **Include all possible actors and decision-makers in these reflections and co-design of actions.** Actions are most likely to be adopted when they are 'bottom-up', rather than imposed by external actors.
- **Remind all participants that emphasis should be placed on learning and reflection.** It is not ideal to lay blame because this may lead to conflict or further entrenchment of social division.
- **Cooperation and collaboration are critical during this phase.** As diverse actors will be brought together, facilitators need to remind the group that everyone will benefit from cooperation.
- **Keep the focus on what is realistic and what is possible.** Brainstorming possible changes is helpful and important, but ideas will eventually need to be refined. Facilitators can ask the group to keep in mind logistical, funding, political, and other constraints to any proposed actions. These constraints are not meant to put limits on actions - rather they should be discussed in terms of developing realistic and pragmatic actions.

The following set of steps can be followed for this phase. As this is not an exhaustive list of steps, the assessment team may choose to adjust or add to the steps:

1. **Begin with a brief presentation to community findings of the earlier steps of the assessment.**
The presentation should include details about the assessment team and working group, funders, the steps taken for the assessment and who participated, and how analyses were conducted. This presentation can set the stage for productive discussions.
2. **Main assessment findings can be discussed and deliberated with participants (possibly in small groups, depending on the number of participants).** Were any findings surprising or new? What are the main areas of concern? What are the areas of strength of the conservation initiative with respect to equity?
3. **Through group discussions, identify which areas of main concern can be addressed by the groups who are present and what may not.** This step is not yet about identifying actions or changes. The focus here is about limitations and managing expectations about what may be possible. Some equity concerns will have causes that are beyond the influence of local actors.
4. **Brainstorm potential actions for each of the main areas of concern.** This may entail actions for each domain of equity, or it may focus on a few key areas of concern. What can happen next to address areas of concern?
5. **Revisit the brainstorm ideas and try to facilitate some agreement about which changes and actions to implement.** This may mean a prioritised or sequential list of actions and next steps. Chosen interventions should be realistic and feasible.

As part of this process, the assessment team should document why and how decisions were made. It may be important to note which actions were not taken or whether irreconcilable differences emerged between certain groups. All of the findings, actions, and next steps should be documented in a report that is distributed to all participants and relevant actors.