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COASTAL RESOURCES CENTER  
*University of Rhode Island*

# **Thailand Post-Tsunami Sustainable Coastal Livelihoods Program**

**Work Plan – Year 1**

**March 15<sup>th</sup> 2005 - September 30<sup>th</sup> 2005**

**To:**

**United States Agency for International Development  
Regional Development Mission/Asia  
Bangkok, Thailand**

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**A Program of the:  
Leader with Associates Cooperative Agreement  
Sustainable Coastal Communities and Ecosystems (SUCCESS)**

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### **List of Acronyms**

AIT	Asian Institute of Technology
ARC	American Refugee Committee
CoP	Chief of Party
DMCR	Department of Marine and Coastal Resources
DNP	Department of National Park, Wildlife and Plant Conservation
DOF	Department of Fisheries
ICM	Integrated Coastal Management
LWA	Leader with Associates Cooperative Agreement for Sustainable Coastal Communities and Ecosystems
PMP	Performance Monitoring Plan
RDM/A	USAID's Regional Development Mission/Asia
RTG	Royal Thai Government
SME	Small and Medium-Sized Enterprises
SUCCESS	Sustainable Coastal Communities and Ecosystems Cooperative Agreement
TAO	Tambon Administration Organization
TICA	Thailand International Development and Cooperation Agency
UHH	University of Hawaii-Hilo
USAID	United States Agency for International Development

## Post-Tsunami Sustainable Coastal Livelihoods Program

Year 1 Plan of Work  
March 15<sup>th</sup> 2005 - September 30<sup>th</sup> 2005

### 1. BACKGROUND

#### 1.1. Introduction

The December 26, 2004 tsunami that struck the Indian Ocean basin affected hundreds of thousands of people in countries throughout the region. The death toll has risen to over 260,000 victims. In Thailand, the most recent figures from the Thai Ministry of Interior Department of Disaster Prevention and Mitigation on the tsunami include 5,395 dead and 2,845 missing. The tsunami resulted in economic losses of several billion dollars (conservative estimates put losses in the range of \$2-5 billion). The overall population affected by tsunami devastation amounts to 58,550 people, or 12,017 households. The Department of Fisheries estimates 7,446 fishing boats were lost or severely damaged. Many that survived have had their livelihoods disrupted since coastal tourism, fisheries, mariculture and agricultural sectors have been seriously affected. Housing and public infrastructure have been destroyed. The U.S. government responded to this disaster first through a massive relief and humanitarian assistance Program. Efforts are now underway to define medium and long-term rehabilitation Programs.

In Thailand, the USAID Regional Development Mission/Asia (RDM/A) supports an integrated coastal management Program (*Post-Tsunami Sustainable Coastal Livelihoods Program*) to enhance the capability to coordinate and plan strategic rehabilitation efforts in selected coastal areas. This Program provides an opportunity to draw attention to policies on coastal zone management, sustainable livelihoods, and environment among others, and make sure that communities participate in decision making. The Program is designed in response to the priority needs for international assistance requested by the Royal Thai Government (RTG) through several task forces formed by the Subcommittee for the Post-Tsunami Rehabilitation of Ecosystems and Livelihoods that was established by the Cabinet immediately following the disaster.

An award to implement the *Post-Tsunami Sustainable Coastal Livelihoods Program* was made to the Coastal Resources Center of the University of Rhode Island on March 14, 2005. This award has been made by USAID under the URI-USAID Leader with Associates (LWA) Cooperative Agreement for Sustainable Coastal Communities and Ecosystems. The *Post-Tsunami Sustainable Coastal Livelihoods Program* was initiated as a 36 month, US \$2 million rehabilitation effort in a demonstration site encompassing four villages along the Andaman Coast in Kampuan Tambon, Suk Samran District, Ranong Province. The villages are Talay Nok, Tub Nua, Kampuan, and Phukhao Thong. All are within the Kampuan Tambon. These communities encompass a population of about 5,000, or 1,000 households. Following the participatory rural appraisal conducted in May, a fifth Tsunami impacted village (Hadsai Khao) in Kampuan Tambon was included.

The Program will help the communities to “build back better” and reestablish equitable and sustainable livelihoods. The villages will serve as a demonstration of best practices in hazard prevention and mitigation; how to rebuild sustainable and diversified coastal livelihoods following natural disaster; and, how integrated coastal management (ICM) processes can guide community planning and the establishment of community-based fisheries co-management

regimes. The Program also promotes equity objectives and reconciliation since the villages are predominantly Moslem and economically disadvantaged. Other areas of southern Thailand have witnessed the growth of a terrorist movement caused in part by inequities across religious groups.

The sites were selected based on conditions that provide maximum potential for demonstration and success. Site selection criteria include:

- Coastal stretch either moderately or severely tsunami affected
- Interest in and potential for diversity of livelihoods (including fisheries, aquaculture, and tourism)
- Community and local government interest and support of the Program, and interest in improved resource management
- Manageable community size for demonstration (200-400 households per community)
- Located within the boundaries of Laem Son National Park, providing greater control of fisheries and opportunities for community-based fisheries co-management and eco-tourism
- Away from big tourism, providing opportunity to plan low-impact eco-tourism strategies with communities, local government and Laem Son National Park

Because this Program is designed and implemented as a demonstration, to the extent possible, the Program will participate in national forums that are developing strategies for increasing the effectiveness and efficiency of tsunami rehabilitation and coastal management in Thailand. The experience and lessons learned from the Program will be documented and shared with similar efforts in other nations of the region affected by the tsunami as well as with the multitude of other donors and local groups working in Thailand. This will promote pooling of experience and promoting of collective action through coordination across otherwise independent management efforts. Information, technical expertise, experience and ideas will be shared through various coordinating mechanisms already operating in Thailand and the region as a whole, and through the networks of ICM practitioners involved in the SUCCESS leader award.

This workplan for the *Post-Tsunami Sustainable Coastal Livelihoods Program* is for the fiscal year 1 of the Program that encompasses the period from March 14 to September 30, 2005. When written, the Program was funded at \$2 million for 3 years. On May 16<sup>th</sup>, 2005 an additional award of \$1 million in support of the Program was announced. Details on how the additional \$1 million will be programmed into the effort will be prepared following completion of this workplan.

## **1.2. Life of Program Goals and Objectives**

The goal of the *Post-Tsunami Sustainable Coastal Livelihoods Program* is to rebuild livelihoods and rehabilitate coastal communities affected by the tsunami through participatory ICM processes, strategies and capacity building.

The objectives of the three year Program are to:

1. Determine the needs for livelihood and infrastructure rehabilitation, and build a common vision and action agenda to guide future development decisions and improve sustainable and diversified livelihood opportunities
2. Rehabilitate tsunami affected coastal livelihoods in targeted coastal communities and help people become self-sufficient

3. Demonstrate livelihood strategies that are socially equitable, reduce pressure on overexploited fishery resources, promote low impact aquaculture practices, and make full use of the benefits of responsible tourism
4. Assist local authorities and communities in the siting, design and construction of damaged coastal infrastructure and shoreline protection that are environmentally responsible and reduce vulnerability to future natural hazards
5. Encourage a diversity of new and alternative coastal livelihoods and micro enterprises that are viable and environmentally sustainable
6. Strengthen governance capacity at village, Tambon and provincial levels for disaster prevention and preparedness, and promotion of sustainable coastal livelihoods
7. Share experience and lessons learned at the demonstration site in tsunami rehabilitation both in Thailand and the region as a whole

### 1.3. Program Summary

The Program has four major LoP elements:

- Assessing Impact, Facilitating Consensus and Creating a Unified Vision for Action
- Rebuilding and Diversifying Sustainable Livelihoods
- Coastal Public Infrastructure and Disaster Prevention
- Enhancing Capacity in Sustainable Livelihoods, Co-Management and Disaster Prevention

These items are described here with reference to the life of the project.

The first element is **Assessing Impact, Facilitating Consensus and Creating a Unified Vision for Action**. The tsunami produced great losses, new problems and created confusion and uncertainty in communities over their future. The purpose of this element is to assist communities and local government in defining a vision for the future and in doing so rebuild a sense of empowerment, ownership and hope. There are many other donor and government groups now operating in the five communities and this Program will provide a coordinating role for planning and responses, and promote information sharing. A participatory rapid appraisal (PRA) undertaken with the participation of key stakeholder groups within the communities and local government will provide a good sense of community context, community needs for livelihood and infrastructure rehabilitation, and what assistance is being delivered. Additional information essential for successful Program interventions to restart fishing livelihoods, move towards sustainable fisheries management, and establish alternative livelihoods will also be collected in the communities in the first year. The PRA will be followed by further community meetings to define what community's want, how to proceed and how to integrate community visions for future development into government planning at local, Provincial and national levels. We anticipate working with other donors, local government, and communities through a Kampung Advisory Council. The Program's coordinating role through regular community meetings and interactions with government agencies and coordinating bodies will continue throughout the life of the Program.

The second Program element is **Rebuilding and Diversifying Sustainable Livelihoods** and will focus on restarting livelihoods in fisheries, aquaculture and other livelihoods lost or damaged by the destruction of the tsunami, as well as promote a diversity of new and alternative coastal livelihoods and micro enterprises (including eco-tourism), that are viable and environmentally sustainable. For many capture fishers and fish farmers, all capital equipment necessary to their livelihood, including vessels, gears and engines have been lost. Early estimates indicate that 220

boats were lost in Kampuan Tambon in the destruction of the tsunami. The Program will help local residents to get themselves back on their feet through a boat and gear replacement program, cash for work program, revolving funds and micro credit, and sustained technical assistance, training and extension. In all cases of livelihood development activities consideration will be given to gender equity.

This Program will emphasize rebuilding more sustainable fisheries and demonstrate a model for fisheries co-management that involves, for example, community enforcement of prohibitions on illegal and destructive fishing gears (e.g. push nets) and establishment of small scale marine protected areas. This will involve intensive work with fishers, the Department of Fisheries, Laem Son National Park and other relevant government authorities to reach consensus on the goals and objectives of a rehabilitated fishery/aquaculture system. While many of the Program's fisheries co-management activities will be concentrated at the community level, these need to be nested within larger-scale fisheries ecosystem management strategies. The time scale of this Program and the selection of a demonstration site that involves only five villages along this extensive coastline will limit the ability to achieve true reform and substantial improvements in the fisheries of the Andaman Sea. However, some initial steps in this direction can be taken and a foundation of knowledge and better practices established.

The third Program element, **Coastal Public Infrastructure and Disaster Prevention**, will simultaneously work in partnership with communities and local government to design the rehabilitation of coastal physical and community infrastructure in a manner that is environmentally sound and reduces the potential for loss of life from future natural hazards. One of the most striking physical affects of the tsunami is the devastation of standing structures. The destruction hit both private properties such as houses and shops, as well as public buildings (schools and community centres, mosques etc) and infrastructure. Much of the damage can be attributed to the fact that physical infrastructure was inappropriately sited and constructed before the tsunami struck.

This Program will promote and assist in actions that minimize the impacts of future tsunamis, storms, high waves, and erosion on public and private infrastructure. Expected activities include co-financing of small-scale infrastructure in cooperation with government authorities, assisting the TAO and communities in coordinated infrastructure project planning, and providing technical assistance in environmental impact assessment. We will also work with local government authorities and communities on adaptation to housing and buildings and strengthening building codes to improve natural disaster preparedness. The Program will determine the interest and support of government authorities (e.g. Provincial Governor's Office, DMCR, TAO, etc.) for developing guidelines concerning construction standards, setbacks and no-build zones.

Support for large-scale infrastructure projects is not anticipated with the core resources of the Program. However, modest financial support for co-financing of infrastructure is planned. However, the Program will actively seek to catalyze the financial support of the private sector to assist in infrastructure projects. In all USAID supported infrastructure activities, engineering specialists will be brought in to ensure that designs are environmentally sound, draw on the most appropriate technology for the local conditions, and comply with USAID environmental impact assessment requirements (USAID Regulation 216).

Much remotely sensed data and GIS information already exists. Cognizant of this data and its appropriateness for hazard assessment and mapping, the Program will prepare maps at a an adequate scale to understand the inland extent of the tsunami. This data will also be used to assess

the potential for future coastal change from events such as anticipated sea level rise and erosion/accretion processes.

This Program will consult with appropriate authorities to determine the interest and support for establishing criteria and processes for granting exceptions for new building structures that are seaward of agreed upon construction setback lines. Where such exceptions are granted, structures should be temporary, or they should be built to withstand projected flooding by strengthening structural members, elevating the first floors and incorporating other construction standards that reduce potential for loss of life or property from natural coastal hazards.

The fourth Program element, **Enhancing Capacity in Sustainable Livelihoods, Co-Management and Disaster Prevention**, will enhance skills and strengthen institutional structures and capacity for sustainable livelihoods, disaster prevention, and fisheries co-management in the communities and within key government bodies at the local, Provincial and national level. The Program will launch focused training and workshop events that provide trainees with a solid foundation on sustainable natural resource-based enterprise development, business management, micro credit, fisheries co-management, and natural hazards disaster prevention.

#### **1.4. Key Principles and Strategies**

The design and implementation of the *Post-Tsunami Sustainable Coastal Livelihoods Program* will apply internationally recognized principles of reconstruction and rehabilitation. In particular, the Program adopts the following principles that have been endorsed by coastal management professionals in a meeting convened by the United Nations Environment Program (UNEP) in Cairo on Feb 17, 2005:

1. Reduce the vulnerability of coastal communities and coastal activities to natural hazards while acting swiftly to provide housing to displaced families in suitably selected sites
2. Avoid increases in fishing power and resumption of destructive fishing practices while rebuilding fishing livelihoods for those affected
3. Restore habitats in order to function naturally to protect people and generate a diversity of sustainable livelihoods, especially in tourism
4. Encourage low-impact aquaculture
5. Correct past mistakes and inequities in the design and placement of community infrastructure
6. Promote government accountability, celebrate success and widely disseminate good practices as they emerge

The Program further adopts the ICM strategies that have proven to be successful in field programs implemented by the URI Coastal Resources Center:

- Partner and build synergies with other initiatives with similar objectives and shared values
- Build vigorous support for the initiative by promoting values such as open, participatory and democratic processes, transparency, accountability, equity and the involvement of marginalized groups
- Build the Program around issues that have been identified through a participatory process
- Use the best available information for planning and decision-making
- Build capacity through short- and long-term training, learning-by-doing and partnerships
- Complete the loop between planning and implementation as quickly and frequently as possible, using small projects that demonstrate the effectiveness of innovative policies

- Set specific targets, and monitor and self-evaluate performance

## 2. FIRST YEAR IMPLEMENTATION PLAN

### 2.1. Program Start Up and Management

Recognizing the urgency of disaster recovery, this Program will take every effort to start up as rapidly as possible and deliver concrete assistance to the affected communities quickly. Operational start up tasks include processing subcontracts with key implementing partners, setting up and equipping the Program office at Kampuan TAO headquarters in Ranong Province, acquiring vehicles, establishing administrative and financial procedures, and hiring Chief of Party and field staff. At the time this work plan is written, the Program has completed a signed and approved subcontract with the Asian Institute of Technology (AIT) and a Chief of Party (CoP) has been nominated and approved jointly by URI/CRC and USAID RDM/A.

The Program will coordinate and seek opportunities for partnerships with on-going rehabilitation efforts and planning structures already underway at the provincial, district and community levels. We anticipate that Program activities in Kampuan Tambon will benefit from the synergies with other initiatives, such as: the European Union Coastal Habitat Resources Management Project (CHARM), the DANIDA (Danish Development Agency) initiative with the Department of National Park, Wildlife and Plant Conservation (DNP) in regard to the management of Laem Son National Park, local NGO's (Rak Thai or PDA) on micro-credit and small scale enterprise development, the Kasetsart University Marine Station rehabilitation with a number of donors, World vision, North Andaman Relief, ARC, and Coca-Cola Limited. The *Post-Tsunami Sustainable Coastal Livelihoods Program* has initiated discussions for collaboration and partnership with these initiatives.

The Program will consider the use of MOUs or similarly appropriate instruments to cement relationships with key government entities (e.g. TAO, Provincial or National agencies). The MOU with the TAO will be particularly important for clarifying expected roles, responsibilities, and how key decisions will be made. MOUs might also detail what the TAO (or other organizations) contributions and commitments will be to this Program. To build partnerships with local government further and promote coordinated interventions, we will try to synchronize next year's work planning process with TAO work planning. The CRC Program Leader will travel to the site and work with the team and partners in late August/early September to develop an operational work plan for the period October 1, 2005 to September 30, 2006.

<b>Task/Milestone</b>	<b>Date</b>	<b>Responsible</b>
Site reconnaissance and orientation meetings with local government, AIT, national government and other donor initiatives	March 15	Crawford, Tobey, Bart, Saengroaj
Hire CoP	May 1	Tobey, Crawford, Bowman
Select 2 field coordinators and Ranong field site office manager	May 1	Bart
Identify and train community extension volunteers	May 15	Bart, field coordinators
Establish Program administrative and financial policies and procedures/ establish Ranong bank account	May 15	Bart and Lucia

Complete Kampuan TAO field site office set up: secure office space, vehicles, computers and other equipment, and office supplies	June 15	Bart and Tambon officials
Establish systems for PMP monitoring	June 15	Bart, Tobey, field coordinator, Sumon
University of Hawaii-Hilo (UHH) subcontract	June 15	Tobey and Hopkins
ARC subcontract	June 30	Tobey and Dahl
Consult with Danida, CHARM, local NGOs and other initiatives to harmonize programmatic activities	March-September	Bart
Ensure thorough understanding of Program goals and objectives with RTG agencies, other donors, and private sector and seek opportunities for partnerships	March-September	Bart and USAID team (Saengroaj, Volk and Bowman)
Weekly brief and monthly progress reports of progress, activities, events and accomplishments	May - September	Bart
Establish MOUs with TAO and key government entities	August 1	Bart with respective government partners
Draft year 2 Program work plan and annual report with performance monitoring results and narrative descriptions on Program progress and accomplishments	Sept 15	Tobey and Bart in collaboration with project team and local partners

## 2.2. Assessing Impact, Facilitating Consensus and Creating a Unified Vision for Action

Once the Program is operational, initial activities will involve working with affected groups at the community level to assess the situation in the communities before and after the tsunami, and define community goals and vision for livelihood and infrastructure rehabilitation. This task will involve the field site coordinators, volunteer community extension workers, and the technical assistance of the implementing partners. It will also be essential to coordinate with on-going rehabilitation efforts, impact assessments and planning structures already underway at the provincial, district and community levels.

Brian Crawford (CRC) and Dr. Soparth (AIT) will lead a PRA exercise to be conducted in May and completed in early June. The purpose of the PRA is to determine the needs and priorities for livelihood and infrastructure rehabilitation and development, develop common visions of development in the communities, map the landscape of donor and government rehabilitation activities, and develop Program recommendations for short term and medium term interventions. The Program team will meet with the communities, the TAO and key stakeholders to discuss PRA, get feedback on selected PRA outcomes and set a tone in the beginning about information sharing and community empowerment. Part of this effort will be to evaluate ongoing recovery activities in these villages to ensure that our proposed activities build on and complement these efforts.

The PRA will provide an overview of what assistance has been delivered and community needs. They will start a process of consensus building and visioning for immediate rehabilitation and longer-term sustainable development. Community meetings will be convened to elaborate in more detail what communities want, how to proceed, and how to integrate community needs into local government (Tambon Administrative Office) and provincial government planning. This Program will work very closely with the TAO and communities to improve coordination, planning, and information sharing in the Tambon. An important venue for this process is the

newly formed Kampuan Advisory Council composed of representatives from the communities, donors, and local government.

A more focused collection of essential information in June will overlap with the PRA exercise and be used for developing appropriate recovery and alternative livelihood activities for the five demonstration communities. This is especially important with regards to understanding the assets lost by specific households, restarting fishing livelihoods, deciding how to equitably allocate replacement fishing boats and gear, moving towards sustainable fisheries management, and understanding openness to alternative livelihoods. This includes a need for information of pre- and post-Tsunami ownership patterns of boats, engines and gear, traditional lending and financing systems, as well as crew sharing systems so that the full fishing package provided to affected fisher households is tailored to the needs of the community. This data collection will be completed by 15 June and will be written-up with preliminary recommendations within a week of completion. Findings will provide a better understanding of how our activities can be sustainable and provide lasting benefits to these communities.

Cognizant of what data already exists and where there are gaps, a more detailed household survey and baseline of Tsunami impacts and needs will be completed in the five demonstration communities by the same field assessment team in July. The household survey instrument will be designed based on the findings of the PRA and PRA follow up exercises. Results will be reported in early September. Information collected will be focused on those aspects that are seen as essential for planning successful Program interventions and for Program monitoring and evaluation.

An important aspect of this work is the mentoring and training of the project coordinators, TAO officials and community volunteers who will be involved. The interviews and discussions with the community will be conducted directly by the local project team of extension volunteers and field coordinators. This will provide them with a thorough understanding of the opportunities and challenges for implementing successful livelihood schemes over the life of the project. This also provides an opportunity for building community trust between local project staff and the community, for communities to get a more thorough understanding of the project, and provides project staff with a more in-depth understanding of the communities.

<b>Task/Milestone</b>	<b>Date</b>	<b>Responsible</b>
Promote a thorough understanding and support of overall Program goals and objectives through meetings and periodic reporting with village, Tambon and Provincial officials	May to September	Bart, field coordinators, community extension volunteers
Conduct village PRA's, report results, and engage communities, local government, and other stakeholder groups in feedback meetings	May 30	Soparth, Crawford, field coordinators, community extension volunteers
Engage communities and the TAO in coordinated planning and development of a vision for the future through community meetings, Tambon consultations, and work with Kampuan Advisory Council	June 30	Bart, field coordinators, community extension volunteers
Fill PRA information gaps and validate key findings using field survey methods	June 15	Pollnac, Dawn Kotowicz, field coordinators, community extension volunteers

Design and execute household survey	June 15 - July	Pollnac, Dawn Kotowicz, field coordinators, community extension volunteers
Analyze and report out results of household survey	September	Pollnac, Crawford and Tobey

Anticipated year one outputs and results:

- Improved partnerships for tsunami rehabilitation among government institutions, University, community groups, private sector and non-governmental organizations
- PRA report that provides insights on the key issues and needs facing affected communities, priorities for action, conflicts before and after the tsunami, governance context, perceptions on environmental condition and trends, and vision for the future
- Awareness and support at the village, Tambon and provincial level for the actions to be undertaken and the participatory processes used to implement them
- Socioeconomic baselines and database in each community useful for planning and Program monitoring and evaluation

### **2.3. Rebuilding and Diversifying Sustainable Livelihoods**

This Program will implement a replacement scheme of boats and gear lost in the tsunami in the five communities. By meeting the immediate needs of fishers to continue their profession through a boat replacement program, this also provides an opportunity to gain their attention concerning the establishment of sustainable fisheries co-management regimes.

The Program has been in contact with the American Refugee Committee (ARC) in Thailand and has prepared a draft subcontract to partner with ARC in the boat replacement activity. Twenty or more fishing boats will be constructed under this Program depending on size and cost. The distribution of the boats will be proportional to the number of boats lost per village and take into account any other assistance programs that are providing boats to fishers in these villages. ARC's distribution criteria will be used as a starting basis for boat donations to fisher households in these villages. These criteria will be presented and discussed with fishers in each village and may be modified based on any consensus recommendations made by each village through collaborative, participatory approaches. The distribution criteria developed by ARC delivers replacement boats to impacted persons in the following order of priority: 1) women who have suffered a death in their immediate family; 2) other persons who have lost a family member; 3) persons whose house is destroyed; and 4) persons whose only boat was destroyed.

Those receiving boats will be provided with a complete package that includes engine, fittings, lines, fishing gear, anchor, etc. so that they are able to return to sea and fully re-establish their fishing livelihood. The boat replacement program will also include free educational sessions on good fisheries practice and marine safety (see Program element 2.5).

A Revolving Fund for Tsunami Relief will also be established in partnership with a local NGO (e.g. Rak Thai or PDA). Money will be released from the fund to allow fishers a low or no interest revolving loan so that they will be able to repair their boats and equipment and support their families again. As loans are repaid, new families will be able to borrow ensuring that low interest loans are available to the remaining fishers who have been unable to build their

livelihoods because they lacked the necessary capital. Funding levels will be between US\$500 to \$2,000 per activity managed by the community following the principle of ‘social collateral’. In other words, a loan will be disbursed for which a group of community peers will guarantee the repayment schedule. We will monitor and evaluate the success of the revolving fund program every six months for the duration of the project. Technical support will be provided to improve the efficiency of the lending program. The Program will also provide training and assistance for community members to manage the Revolving Fund, building the financial management skills of local residents.

A “cash for work” scheme will be implemented with a focus on providing income relief to those most in need. The decision as to who participates, what activities to support and the duration of the program will depend on the PRA work by Dr. Soparth and Brian Crawford. Some of the early activities may include: improvement of walkways to allow passage during rain and flooding; construction of chairs and desks for schools washed away by the Tsunami; clearing and improving drainage canals; and clean-up of debris left by the Tsunami.

The Program will work with community groups and local government authorities on opportunities and needs in low-impact aquaculture and other livelihood opportunities. In this first work plan period, the emphasis will be on assessment and designing with the communities, TAO and other stakeholder groups a package of services and activities for rebuilding and diversifying livelihoods. In parallel with this planning, some early material support for low-impact aquaculture (i.e., muscle rafts, seedlings/spat and cages for fish culture) will be implemented immediately after the completion of the initial PRA.

Dr. Kevin Hopkins (UHH) and Dr. C.K. Lin (AIT) will visit the site in July or August and provide technical assistance in the assessment of the aquaculture sector and develop an aquaculture livelihoods work plan through a participatory process of community consultation, and involvement of local government (TAO) and other relevant organizations. The Program will apply small-scale culture practices for indigenous species of shellfish and finfish that have proven to bring benefits to communities by generating products that can be marketed locally as well as internationally. Relationships with the Aquaculture Collaborative Research Support Project (ACRSP) and a range of international universities and aquaculture centers provides this Program with access to hands-on experience in fish and shellfish culture techniques that are particularly suitable for applications in the demonstration site.

In fisheries, the Program will promote ecosystem-based management that can provide models for collaborative fishery management elsewhere in Thailand and the region. Brian Crawford from CRC will assist the project team in the design of activities in small-scale fisheries management drawing on the successful experience that CRC has had in similar situations in Indonesia. A work plan for the Program will be elaborated in consultation with communities, government authorities, and other donors.

<b>Task/Milestone</b>	<b>Date</b>	<b>Responsible</b>
Identify fishing households to receive replacement boats and gear through a collaborative and participatory approach	June 30	Bart, field coordinators
Build replacement fishing boats	July - September	ARC, Bart, field coordinators, community extension volunteers

Provide livelihood rehabilitation support for low-impact aquaculture (i.e., muscle rafts, seedlings/spat and cages for fish culture)	June 30	Bart, field coordinators
Complete AIT subcontract for implementation of revolving fund with local NGO (Rak Thai or PDA)	June 30	Bart
Identify revolving fund participants and provide training in financial management and revolving fund management	July 15	Local NGO, field coordinators and extension volunteers
Implement “cash for work” projects with a focus on providing income to those most in need	June - September	Bart, field coordinators
Disburse revolving fund micro loans and provide management oversight, periodic extension assistance and program monitoring	July - September	Local NGO
Assess opportunities in low-impact aquaculture and fisheries, and prepare livelihoods implementation plan	July - August	Hopkins, Lin, Bart
Prepare plan of work in collaborative fishery management with communities, appropriate government bodies (DMCR, DOF, DNP) and donors	July - August	Bart, Crawford

Anticipated year one outputs and results:

- Boats, gear and engines replaced and resident fishers return to work using sustainable fishing practices
- Increased awareness of sustainable fishing practices and collaborative fisheries management
- Revolving Fund for Tsunami Relief established
- Strategies for rebuilding fisheries and aquaculture developed with stakeholder groups
- Demonstration projects and training in fisheries and aquaculture initiated
- Food security and income improved

#### **2.4. Coastal Public Infrastructure and Disaster Prevention**

The project team will consult with the communities, TAO and Provincial government authorities, and other donors to map out ongoing and planned infrastructure reconstruction in the five communities and develop a good sense of infrastructure needs, desires, and conflicts. Work planning with the TAO on infrastructure rehabilitation and involving the TAO in this Program’s activities will be an important element in the first year and throughout the life of the project. The Kampuan TAO has submitted a proposal for approximately \$1 million in infrastructure projects (e.g. road widening, improving docks, etc.) to the national government. It will be important that the activities of this Program and other donor programs are integrated with TAO and national government infrastructure plans. Ideally, a comprehensive tsunami reconstruction plan for the Tambon will be developed in consensus by all stakeholder groups. The Kampuan Advisory Council provides an avenue for coordinated planning among key donor, community, and government groups.

Pam Rubinoff, a coastal engineering and ICM planning professional from CRC, will visit the site in July with engineers from AIT (Dr. Thammarat, Dr. Sutat) to develop specific life of program plans for this Program element with the local team, local government, and communities. A mini training session for field coordinators, community extension volunteers and local government officials will be presented in hazard mitigation and planning (see Program element 2.5). The

specific advisory role of the University of Hawaii (Dr. Steven Meder) in sustainable coastal cities under the UHH subcontract will be determined following the visit of Rubinoff and AIT staff in July.

An initial environmental examination (IEE) of potential Program interventions in compliance with USAID Chapter 216 regulations will be completed in July by Pam Rubinoff and Dr. Wanitchai (AIT). With the results of the PRA exercise and consultations with the TAO and community meetings, the project team will have a complete list of potential infrastructure and livelihood projects that will involve this Program in siting, design, or co-finance. We anticipate screening projects to ensure that they comply with an umbrella IEE determination of no significant impacts. Where modest impacts of specific projects are determined, a set of monitoring, evaluation and mitigation measures will be defined and implemented.

The Program has allocated \$10,000 for infrastructure co-financing in this first fiscal year (e.g. fishing pier, fish market, household structures, water sanitation, evacuation area, community center, or shoreline stabilization). Until the project team has had more extensive discussions with the appropriate government authorities and affected communities to define infrastructure plans and priorities we cannot identify which items will be supported.

The project team will be actively engaged in seeking other sources of co-financing. On May 19<sup>th</sup> the CoP and officers of USAID met with managing staff of Coca-Cola (Thailand) Limited to discuss the interests of Coca-Cola to provide support for infrastructure rebuilding in two of the Program’s villages (Ban Tale Nok and Ban Had Sai Kaho). Improving infrastructure for water supply and sanitation is one of the areas of interest that is within the scope of this Program. The URI/AIT team will provide technical assistance in siting and planning before construction as well as facilitate community planning for clean water and sanitation. Dr. Thammarat Koottatep (AIT) will lead the assessment of sanitation and wastewater management systems in the communities with Coca-Cola and local authorities in the second week of June.

Initial efforts of the local project team will also focus on reviewing what already exists or may be underway by other organizations or agencies in the areas of hazard assessment and mapping. To avoid future loss of property and life, base maps will be prepared for the Tambon at an adequate scale to show the inland extent of the “swash line” that marks the reach of the tsunami waves. These maps will be prepared with an understanding of what already exists in terms of mapping and GIS data and its appropriateness for hazard assessment and mapping in the project area. Work in mapping and remote sensing will be lead by Dr. Kiyoshi and Dr. Honda (AIT).

During this first fiscal year, the project team (Bart, Rubinoff, Thammarat) will engage in exploratory consultations with the appropriate RTG authorities (e.g. Provincial Governor’s Office, DMCR, TAO, Village heads, etc.) to determine their interest and support for hazard mitigation strategies such as establishing or strengthening building codes, construction setback lines, no-build zones, and how to adapt buildings to reduce losses from natural disasters. Realizing that infrastructure projects are underway, the team will try to promote good practices and influence siting and design where feasible.

<b>Task/Milestone</b>	<b>Date</b>	<b>Responsible</b>
List completed, ongoing and planned infrastructure reconstruction in the five communities	June 15	Bart and field coordinators
Work with the TAO, Provincial Office and Kampuan Advisory Council to mainstream village needs and desires into Tambon and Provincial development plans	June - September	Bart

Provide technical assistance in support of potential Coca-Cola Limited rehabilitation investments in infrastructure in wastewater management and sanitation	June - July	Thammarat, Bart
Provide co-financing and technical support for certain components of infrastructure rehabilitation based on PRA	June - September	Bart, Warnitchai (AIT)
Prepare initial Environmental Examination consistent with USAID rules and regulations	June-July	Rubinoff, Sutad
Develop specific plans, sequence of actions and activities for this Program element with the local team, local government, and communities	July 30	Rubinoff, Sutad, Thammarat, Warnitchai, Bart,
Initial identification of good practices in infrastructure design and siting	July 30	Rubinoff, Sutad
Assist Provincial and District entities in design, siting, and construction of infrastructure, coastal engineering, and EIA procedures	July - September	Rubinoff, Thammarat, Warnitchai (AIT), Sutad (AIT)
Prepare GIS base maps highlighting hazard zones	August - September	Kiyoshi and Honda

Anticipated year one outputs and results:

- Greater awareness in the community and local government of the diversity of forces acting upon shorelines and the changes that can be anticipated in the coming decades
- Community plans for the near and long-term reconstruction of the human-built environment
- Infrastructure rehabilitation designs and plans that incorporate best practices for environmentally sound structures and coastal hazard mitigation for some of the planned public structures
- Maps used in local government for infrastructure and development planning and disaster preparedness

## **2.5. Enhancing Capacity in Sustainable Livelihoods, co-management and Disaster Prevention**

Objective 6 of this Program is to strengthen governance capacity at village, Tambon, provincial and national levels for disaster prevention and preparedness, and promotion of sustainable coastal livelihoods. In this first fiscal year, emphasis will be placed on developing strong working relationships with the villages and the TAO. Working closely with and mentoring village extension volunteers and headmen will build capacity at the local level. In addition, training will be provided to small business operators in the communities in micro credit, small business development, low impact aquaculture, and sustainable fisheries.

Strengthening institutional structures and institutional capacity for community-based fisheries co-management with stakeholders is a key objective of this demonstration Program. The project team will initiate consultations with the Department of Marine and Coastal Resources, Department of Fisheries, and the National Park in the development of strategies and plans for advancing co-management. This activity is tied to Program activities to rebuild sustainable livelihoods.

<b>Task/Milestone</b>	<b>Date</b>	<b>Responsible</b>
Recruit and provide orientation to 10 community extension volunteers nominated by the communities to work with the Program	May 1	Bart and Field Coordinators
Train community volunteers and field coordinators in rural extension and PRA methods	May 15	Soparth and Brian Crawford
Deliver training to recipients of Revolving Fund loans on topics such as micro-finance, accounting, and business planning	July 15	Local NGO (Rak Thai or PDA)
Training session for field coordinators, community extension volunteers and local government officials in hazard mitigation and planning	July 30	Rubinoff, Thammarat
Provide training and technical assistance in low impact aquaculture	July - August	Hopkins, Lin, Bart
Provide training workshops for recipients of boat replacements, local fishermen and DOF officers in maritime safety, sustainable fisheries, and use of less destructive fishing gears	August - September	Bart and field coordinators with AIT personnel if needed and DOF
Work with communities and appropriate government bodies (DMCR, DOF, DNP) to plan and build capacity in community-based fisheries and natural resource co-management	August - September	Bart, Crawford
Conduct needs assessment of training manuals and education materials to raise awareness of disaster preparedness	Sept 1	Bart with AIT personnel to be determined

Anticipated year one outputs and results:

- Strengthened local government and community capacity for coordinated planning, disaster preparedness and mitigation, and promotion of sustainable coastal livelihoods
- Community residents trained in small business management and execution of community revolving funds
- Increased knowledge and skills in low impact aquaculture and sustainable fisheries
- Collaborative strategy for advancing community-based fisheries co-management in Thailand with demonstration in Suk Samran District

### **3. PERFORMANCE MONITORING PLAN AND RESULTS FRAMEWORK**

The Program's PMP will conform to USAID's results framework and common indicators for Regional Tsunami Reconstruction, which at this time are still in draft form. Key PMP intermediate result categories consistent with *Post-Tsunami Sustainable Coastal Livelihoods Program* objectives and USAID's intermediate results for the Regional Tsunami Reconstruction Special Objective (SpO) 498-045 are defined for the life of the Program as:

1. Increased and equitable benefits from expanded opportunities for sustainable, natural resource-based livelihoods
2. Healthy communities supporting socially equitable and environmentally sustainable livelihoods
3. Improved disaster prevention, preparedness and mitigation

4. Improved local capacity to support environmentally sustainable livelihood development and hazard mitigation

PMP indicators for the Program, initial life of program targets, and relationship to the USAID Regional Tsunami Reconstruction Special Objective results categories are shown in Table 1. Targets will be revisited and modified when the new program statement has been prepared defining how the additional Program resources (\$1 million) will be allocated.

**Table 1. Performance Monitoring Plan**

<b>USAID Regional Tsunami Reconstruction Results (Draft)</b>	<b>Program PMP Expected Results</b>	<b>Program Indicators</b>	<b>Initial Targets (LOP)</b>
Transition from Camps to Communities	Healthy communities with increased and equitable benefits from diversified and sustainable livelihoods	<ul style="list-style-type: none"> <li>• Number of people with livelihoods restarted or new livelihoods created (M/F)</li> <li>• Number of beneficiaries of micro credit schemes (M/F)</li> <li>• Number of beneficiaries of cash for work program (M/F)</li> </ul>	400 beneficiaries 100 beneficiaries 200 beneficiaries
Rebuilt Infrastructure  Early Warning System	Improved disaster prevention, preparedness and mitigation	<ul style="list-style-type: none"> <li>• Number of communities with tsunami reconstruction and recovery plans</li> <li>• Number of community infrastructure projects, plans, and homes that incorporate best practices for environmentally sound structures and coastal hazard mitigation</li> <li>• Number of people receiving disaster preparedness training</li> </ul>	Five villages 40 infrastructure projects, plans, and homes 500 people
Technical Assistance, Good Governance and Reconciliation	Improved local capacity and governance in hazard mitigation and sustainable livelihoods that are socially equitable and environmentally sustainable	<ul style="list-style-type: none"> <li>• Number of government units or organizations with strengthened capacity in linking environmental planning and disaster mitigation</li> <li>• Number of people trained in safe and sustainable boat and fishery practices</li> <li>• Number of people trained in small business management</li> <li>• Number of people trained in low impact aquaculture and eco-tourism</li> <li>• Number of community members trained in monitoring and evaluation of ecosystem condition and health (M/F)</li> <li>• Number of community and local participants to fisheries management planning (M/F)</li> <li>• Area of collaborative fisheries management zones</li> <li>• Number of beneficiaries of community-based fisheries management plans (M/F)</li> </ul>	5 government units 100 fishers 50 small businessmen 40 people trained 24 persons 30 persons hectares (tbd) number of fishers in five villages

During the first fiscal year of the Program, the Program will refine the Program results and performance-monitoring framework. The CoP will designate an M&E coordinator responsible for compiling information and record keeping for the PMP. The Chief of Party, with the assistance of CRC, will be responsible for preparing and submitting semi-annual performance-monitoring reports to USAID RDM/A.

In addition, the project will use the orders of outcome framework and policy cycle framework that are a component of all programs under the Leader with Associates Cooperative Agreement for Sustainable Coastal Communities and Ecosystems. These frameworks do not supplant the USAID Results Frameworks but complement them. Elin Torell, the CRC/URI Monitoring and Evaluation specialist assigned to the LWA Program will provide technical assistance to the *Post-Tsunami Sustainable Coastal Livelihoods Program* in the application of LWA Program results frameworks.

The Orders of Outcome framework makes explicit the long-term ICM goals of (1) sustainable quality of life in coastal communities, and (2) sustainable well-being of coastal ecosystems, and the framework provides clarity to the temporal sequence of different categories of outcomes to achieve those goals. The Leader with Associates Cooperative Agreement for Sustainable Coastal Communities and Ecosystems further describes the process by which ICM outcomes are achieved with a five-step Policy Cycle. The steps and actions of the Policy Cycle provide guidance on the participatory actions and capacity building necessary to build a successful and sustained effort.

This Program is not a typical ICM program and therefore the time frames associated with this effort will be highly abbreviated and emphasize a more limited set of objectives. However, the Orders of Outcome framework coupled with the Policy Cycle essential actions will be adapted to trace the evolution of livelihood rehabilitation, disaster preparedness and mitigation, and capacity building at the demonstration site.

#### **4. PROGRAM MANAGEMENT AND ORGANIZATIONAL STRUCTURE**

The Coastal Resources Center (CRC) at the University of Rhode Island is the lead institution responsible for overall Program management, implementation and for program and financial reporting to USAID/RDM/A. The Asian Institute of Technology (AIT) is the primary in-country partner. The University of Hawaii at Hilo (UHH) will play a technical assistance role in several theme areas. These three institutions make up the core team for project implementation. However, it is expected that as the work planning process unfolds and as more detailed participatory assessments are made at the site level, there will be a number of other local institutions that become involved with implementation of various components of the Program.

CRC as the lead institution that has ultimate responsibility for achieving Program results, will oversee the activities and outputs of all main subcontractors and US based institutions, including AIT and UHH. In addition to providing managerial oversight, CRC will also provide a substantial level of short-term foreign technical assistance in the areas of fisheries management, livelihood development, tourism, coastal infrastructure planning, capacity building, and situational analysis/assessments. Short-term foreign technical assistance will be further supplemented by UHH in the areas of low-impact aquaculture development as well as small-scale tourism and/or in infrastructure siting and design. AIT will be responsible for providing local short-term and long-term technical assistance for the Program in the areas of rural development planning, aquaculture, GIS and hazard mitigation, and engineering among others.

Our approach to short term technical assistance is to link the foreign technical advisor team with the local technical assistance team and have this joint team together provide a package of services to the field site, including the local communities and local government. The foreign technical assistance team will guide and mentor the local technical advisors who, in turn, will provide a more intensive and continuing level of assistance to the field site. In both cases, technical assistance will be provided throughout the life of the Program. It will be heaviest in the early phases of assessing needs and of conducting detailed planning of the various Program elements.

This assistance should taper off in the last six months of the Program. The technical assistance teams will be carefully directed and coordinated by the Chief of Party to ensure the package of technical knowledge and expertise is fully applied to solving practical problems and ensuring the quality of planning and implementation of Program activities carried out on-the-ground. Technical assistance teams will also play an important role in the capacity building activities with respect to curriculum design and delivery.

AIT will establish and manage the Program field office located in Ranong Province. All local full time staff working for the Program will be contracted by AIT. Dr. Amrit Bart has been nominated and approved by USAID RDM/A as Chief of Party (CoP). The CoP for the Program is assigned to CRC/URI and seconded to AIT. The CoP is responsible for direct liaison with the USAID RDM/A office in Bangkok and for supervision of all in-country partner activities, therefore, he will make frequent travel between the field site in Ranong Province and Bangkok. The CoP will be the point of liaison with local and national government officials.

Other responsibilities and authority of the CoP include:

- Develop detailed terms of reference for both local and foreign technical assistance provided by AIT, CRC and UHH in close collaboration with the Program Leader at CRC
- Develop terms of reference for all local NGO partners that may be provided sub-grants for implementation of various Program elements such as the boat replacement scheme
- Supervise field program staff including the field site coordinators and administrative support staff.
- Report to CRC regarding all in-country Program activities and provide all formal reporting information that is required by USAID

Dr. James Tobey will serve as the CRC Program Leader with responsibility for overall Program management and supervision. Two full-time field site coordinators will be hired by AIT and posted in the demonstration site area. These individuals will be Thai nationals and will be responsible for coordination with local government institutions, assist with coordination and support of technical assistance in the field, and will coordinate the assessment, planning and implementation processes at the demonstration site. The field site coordinators will also oversee community extension volunteers who will serve as the lead organizers, facilitators and liaison with the community. Extension staff will be selected from the five communities that collectively, make up the demonstration site. These will be considered part time positions, allowing these community members to continue carrying out their regular livelihood activities – and, after Program completion to continue with their normal occupations.

The *Post-Tsunami Sustainable Coastal Livelihoods Program* is located under the RTG Office of Thailand International Development and Cooperation Agency (TICA). The Program will make use of existing institutional structures and planning processes at the Tambon, District and Provincial level. It will be important to work closely with and maintain the full understanding and support of the Provincial Governor, District Headman and Tambon officials. The Program will also coordinate with the Department of Fisheries (DOF), Department of Marine and Coastal Resources (DMCR), the National Parks Authority, the National Task Forces for Tsunami rehabilitation, as well as other tsunami recovery initiatives such as the “Andaman Forum” network comprising 45 international and local NGOs, the CHARM project, the DANIDA initiative in Laem Son National Park, and the Consortium established between FAO/NACA/SEAFDEC.

## 5. REPORTING

The reporting protocols for the Program are anticipated as follows:

1. The CoP will provide a weekly brief by email on significant Program developments and achievements to the Program Cognizant Technical Officer (CTO) at USAID RDM/A with copies to the CRC Program Leader and Cognizant Technical Officer for the USAID LWA Cooperative Agreement for Sustainable Coastal Communities and Ecosystems (SUCCESS)
2. The CoP will provide written monthly progress reports to USAID RDM/A, again with copies to the CRC Program Leader and USAID/SUCCESS Cognizant Technical Officer
3. The CoP and CRC Program Leader will work together in the preparation of semi-annual Performance Monitoring (PMP) reports for USAID RDM/A
4. AIT will provide quarterly financial reports to CRC and annual programmatic and financial reports. The annual report will include performance monitoring results as well as narrative descriptions on Program progress and accomplishments. The annual report of progress will be built into the annual workplan in a single annual report and workplan document

## 6. BUDGET

Table 2 and 3 show budget allocations for the first fiscal year (March 15- September 30, 2005) by Program element and object class.

**Table 2. Year One Budget by Program Element and Institution**

	University of Rhode Island	Asia Institute of Technology	American Refugee Committee	University of Hawaii, Hilo	Total by Program Element
Assessing Impact, Facilitating Consensus and Creating a Unified Vision for Action ( <i>Consensus</i> )	58,523	14,937			73,460
Rebuilding Sustainable Livelihoods ( <i>Livelihoods</i> )	79,035	150,530	58,800	17,048	305,413
Enhancing Local Capacity in Sustainable Livelihoods and Hazard Mitigation ( <i>Capacity</i> )	60,656	8,478			69,134
Siting, Design and Construction of Coastal Public Infrastructure ( <i>Infrastructure</i> )	56,827	123,543		17,048	197,418
Project Management	74,868	29,707			104,575
<b>Total by institution</b>	<b>329,909</b>	<b>327,195</b>	<b>58,800</b>	<b>34,095</b>	<b>750,000</b>

**Table 3. Year One Budget by Object Class Category**

<b>Personnel</b>		181,137
Consensus	36,400	
Livelihoods	46,070	
Capacity	28,963	
Infrastructure	32,036	
Project Management	37,667	
<b>Operating</b>		14,490
Capacity	8,500	
Project Management	5,990	
<b>Travel</b>		34,275
Consensus	5,840	
Livelihoods	5,840	
Capacity	6,640	
Infrastructure	5,840	
Project Management	10,115	
<b>Subcontracts</b>		420,090
AIT	327,195	
ARC	58,800	
UHH	34,095	
<b>Indirect Costs</b>		100,008
<b>Total Direct Costs</b>		750,000