



## **REGIONAL FISHERIES LIVELIHOODS PROGRAMME FOR SOUTH AND SOUTHEAST ASIA (RFLP) – VIET NAM**

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### **BASELINE SURVEY**

#### **VOLUME 1: BASELINE SURVEY DESIGN AND METHODOLOGIES**

Activity 4.1.1: Survey of income and gender situation in target communes

Activity 4.1.2: Identification of needs and priorities

**For the Regional Fisheries Livelihoods Programme  
for South and Southeast Asia – Viet Nam**

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Thua Thien Hue, April 2011

This publication has been made with the financial support of the Spanish Agency of International Cooperation for Development (AECID) through an FAO trust-fund project, the Regional Fisheries Livelihoods Programme (RFLP) for South and Southeast Asia - GCP/RAS/237/SPA. The content of this publication does not necessarily reflect the opinion of AECID, FAO, RFLP, or MARD.

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For bibliographic purposes, please reference this publication as:

**Truong, V. T., & Ho, T. T. N. (2011).** Baseline Survey Volume 1: Baseline Survey Design and Methodologies. Regional Fisheries Livelihoods Programme for South and Southeast Asia (GCP/RAS/237/SPA) Field Project Document 2011/VIE/4.

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## List of Acronyms

CCRD	Centre for Community Research and Development
DARD	Department of Agriculture and Rural Development
FAO	Food and Agriculture Organization
LOA	Letter of Agreement
PRA	Participatory Rural Appraisal
RFLP	Regional Fisheries Livelihoods Programme
SDECAFIREP	Sub-Department of Capture Fisheries and Resources Protection
SRDAFIQA	Sub-Department of Rural Development and Agro-Forestry-Fisheries Quality Assurance

## Acknowledgements

We thank the participation of many individuals and officials in the Regional Fisheries Livelihoods Programme (RFLP) target areas and three control communes for sharing with us their insights, perspectives, information, and data. Our thanks also go to the RFLP National Coordination Office in Hue and the RFLP Provincial Management Units for their cooperation and assistance.

This survey was conducted by the Centre for Community Research and Development (CCRD) under the technical advices, coordination, and management of Dr. Truong Van Tuyen, the director of CCRD in cooperation with the survey team from CCRD and the Faculty of Extension and Rural Development at Hue University of Agriculture and Forestry.

The survey group consisted of:

## Quang Tri Province Survey Group:

Dr. Le Thi Hoa Sen - Group leader  
M.Sc. Ho Le Phi Khanh

## Thua Thien Hue Province Survey Group:

M. Sc. Ho Thi Thanh Nga - Group leader  
M. Sc. Nguyen Thi Thanh Huong

## Quang Nam Province Survey Group:

Dr. Nguyen Viet Tuan - Group leader  
M. Sc. Tong Thi Hai Hanh

and a group of enumerators.

## I. Background of the baseline survey

The Regional Fisheries Livelihoods Programme (RFLP) is an FAO trust-fund project funded by the Kingdom of Spain, started in September 2009. It covers six countries of Cambodia, Indonesia, the Philippines, Sri Lanka, Timor-Leste, and Viet Nam and is planned for four years. The aim of the RFLP is to strengthen capacity among participating small-scale fishing communities and their supporting institutions towards improved livelihoods and sustainable fisheries resources management. At the national level, the RFLP is expected to produce five outputs including:

- (1) Co-management mechanisms for sustainable utilization of fishery resources;
- (2) Improved safety and reduced vulnerability for fisher communities;
- (3) Improved quality of fishery products and market chains;
- (4) Strengthened and diversified income opportunities for fisher families; and
- (5) Facilitated access to microfinance services for fishers, processors and vendors.

Under the above framework, the baseline survey was planned to fulfill RLFP Activity 4.1.1 “Survey of income and gender situation in selected target communes” and Activity 4.1.2 “Identification of needs and priorities” under sub-output 4.1 of the 2010 work plan approved by National Coordination Committee of the RFLP. The overall objectives of the baseline survey were to obtain better understanding of socio-economic situation of the target communes and to collect the baseline data for each of the five RFLP outputs, which will provide the basis for progress monitoring and evaluation. Under these overall objectives, the specific objectives of the survey were:

1. To develop the sub-indicators for the baseline survey, fully reflecting the local conditions in target provinces in Viet Nam, for 5 RFLP outputs
2. To develop complete survey methodologies including field-tested questionnaires for the defined sub-indicators
3. To collect data for the defined sub-indicators under RFLP outputs 1-5 for Viet Nam
4. To perform an in-depth analysis of data to set the baseline under each output
5. To organize a validation workshop in each province

The Centre for Community Research and Development (CCRD) is contracted under the LOA-FAVIE 56/2010 to conduct the above baseline survey in sixteen RFLP target communes and three control communes in three provinces (Quang Tri, Thua Thien Hue, and Quang Nam) in Viet Nam.

## II. Survey design and methodology

### 2.1 Overall baseline survey design and methodology

The survey was designed to cover five outputs of RFLP. Under each output, a list of data to be collected was developed with clear indication of data sources and data collection methodologies (see Annex 1). Based on the data list, a questionnaire for household survey and checklists for each group in key informant interview and group discussion were developed. The checklists indicated the data to be collected or issued to be discussed as well

as leading questions (key questions to be asked) including list of secondary data to be collected.

To gather information and data for five outputs, different data collection methods were used including a) community consultation through group discussion and household interview, b) household survey using questionnaire, c) key informant interview using checklists, and d) collection of secondary data. The survey applied methodologies including group discussion, structured interview, semi-structured interview, and some PRA tools such as Venn Diagram, Gender Analysis Matrix, Time Trends. The same survey process and methodologies were used for all surveyed communities.

## **2.2 Survey sites**

The target areas for this baseline survey were as follows: Those communes were official target communes of the RFLP project (Table 1).

**Table 1: A list of the RFLP target communes**

<b>Thua Thien Hue</b>	<b>Quang Nam</b>	<b>Quang Tri</b>
Phu Thuan - Phu Vang	Duy Hai - Duy Xuyen	Hai An - Hai Lang
Vinh Thanh - Phu Vang	Duy Nghia - Duy Xuyen	Hai Khe - Hai Lang
Loc Tri - Phu Loc	Binh Hai - Thang Binh	trieu Van - trieu Phong
Phu Loc Town - Phu Loc	Binh Minh - Thang Binh	trieu Lang - trieu Phong
Phong Hai - Phong Dien	Binh Nam - Thang Binh	Vinh Thai - Vinh Linh
	Tam Tien - Nui Thanh	

The following three additional communes were also surveyed as control communes:

1. Phu Hai commune - Phu Vang district – Thua Thien Hue Province
2. Vinh Thach Commune - Vinh Linh district – Quang Tri Province
3. Tam Hoa commune - Nui Thanh district - Quang Nam Province

The control communes were selected from the lists of coastal communes in three provinces. The selection of the control communes was carried out in consultation with SDECAFIREPin three provinces and based on the following criteria:

- The commune must have at least 30 fishing households
- The social and economic features of the control communes are most similar to that of RFLP target communes. For this, the control communes is located near to RFLP target communes is preferred.
- There are at least two different fishing activities (offshore fishing inshore fishing, lagoon fishing, etc) in each of the control commune.
- Commune having fish processing households is preferred

After control communes were selected, consultations with the People's Communes of the control communes were done to make sure that these communes satisfy about criteria. The list of control communes was then submitted in RFLP Coordination Team in Hue for approval.

## 2.3 Data Collection

### 2.3.1 Survey samples by methodology

Table 2 shows the sample size for the survey in the target and control communes by survey methodology:

**Table 2: Total number of surveyed communes, meetings, and respondents in three provinces**

Province	# communes	# household survey	# meetings (group discussion with villagers)	# Key informants (officials and mass org. staff)	# Other respondents (individual interview)
Quang Tri	6	188 (73)	24	31 (9)	9 (7)
Thua Thien Hue	6	195 (80)	24	26 (8)	20 (12)
Quang Nam	7	218 (44)	28	42 (15)	12 (6)
<b>Total</b>	<b>19</b>	<b>601 (197)</b>	<b>96</b>	<b>99 (32)</b>	<b>41 (25)</b>

Note: the figures in brackets show the numbers of female respondents.

### 2.3.2 Household survey (questionnaire survey)

Household survey was carried out in sixteen target communes and three control communes using a questionnaire (Annex 2). The questionnaire was structured into six sections including a general section and five sections for each of five outputs as summarized in Table 3.

**Table 3: Number of questions of each section in the questionnaire**

Section	Module	Number of questions
0	General information	9
1	Co-management	14
2	Safety at sea	11
3	Post harvest and marketing	9
4	Livelihood diversification and enhancement	14
5	Microfinance	12

In each commune, 30-35 fishing households were surveyed including off-shore, inshore, on-shore, and lagoon fishing households. The survey covered poor and non-poor as well as males and females. The survey households were selected randomly from the list of fishing households provided by Commune People's Committees and survey team.

### 2.3.3 Group discussion

In each commune, four group discussion sessions with 6-8 people each were organized, including two sessions with males and two sessions with females. The groups were facilitated to discuss the issues related to five outputs. The checklist for group discussion is attached as Annex 3.

### 2.3.4 Key informant interview

The key informants from the following institutions were interviewed:

#### Province level:

- Sub-Department of Capture Fisheries and Resources Protection at DARD (SDECAFIREP)
- Sub-Department of Rural Development and Agro-Forestry-Fisheries Quality Assurance at DARD (SRDAFIQA)
- Provincial Committee for Flood and Storm Control and Search and Rescue
- Provincial Fisheries Association

**District level:**

- Microfinance providers
- District DARD
- District Station for Agriculture - Forestry - Fisheries Extension
- District Chamber of Commerce and Industry

**Commune level:**

- Commune People's Committee (staff in charge of economic development and/or fisheries)
- Local Fisheries Associations (if available)
- Microfinance providers (Woman Union, Farmer Union, and other credit groups).

In addition to the above, fish processors and boat builders were interviewed. In each commune where there were fish processors, 2-4 fish processors were interviewed individually. In order to double-check and/or supplement data, household/individual interviews were also conducted with fishers, boat builders, and fish vendors.

The checklists for key informant interviews are attached as Annex 4.

## **2.4 Data registration, processing, and analysis**

The survey teams recorded data / information in the data collection sheets (questionnaire and hand written data / information sheets) for double checking and/or clarification. The collected data / information were then entered into a database and organized by category and informant group under each output for respective commune. They were then summarized at the province level by indicator and informant group.

Quantitative data were processed, analyzed and organized in tables by using SPSS 12.0 and Microsoft Excel. Descriptive statistical values including frequency counts, percentage, min value, max value, and average was calculated in order to explain distribution and general characteristics of each commune in five output areas. Qualitative information was used to provide in-depth description of and analysis for each output and to compliment the quantitative data.

## **2.5 Survey team and organization**

The survey was conducted by a team composed of three sub-groups implementing the survey in each of three target provinces. The team leader designed the overall survey and coordinated the three sub-groups, which had 4-6 people including group leaders, facilitators, and enumerators. The fieldwork was carried out during November and December 2010.

## **2.6 Reporting**

The report was produced for each province (i.e. three volumes for three target province), and four volumes have been prepared including a volume on survey design and methodologies (this report).

Volume 1: Baseline Design and Methodologies  
volume 2: Baseline Survey Results in Quang Tri Province  
volume 3: Baseline Survey Results in Thua Thien Hue Province  
volume 4: Baseline Survey Results in Quang Nam Province

The survey result reports (Volume 2-4) consist of three main sections including:

- I. Profile of surveyed communes and households
- II. Baseline analysis of five outputs
- III. Proposed RFLP output indicators

## **Annexes**

## Annex 1: List of data / indicators under five outputs

OUTPUT 1: FISHERIES CO-MANAGEMENT (FCM)				
Guiding questions	Data to be collected	Anwser	Data source	Tools / techniques
The current understanding and expectations of the concept “co-management” among each key stakeholder group (fishers, government department, policy makers).	Degree of awareness of the term FCM by local fishers / Government Dept / Policy Makers	very aware / aware / not aware	Fishers PFA, SFREP District DARD CPC, CFA	HH survey (questionnaire) Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of understading of the term FCM by local fishers / Government Dept / Policy Makers	Could be single answer questions or oral expression	Fishers PFA, SFREP District DARD CPC, CFA	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of overall usefullness of FCM in fisheries resources management by local fishers / Government staff / Policy makers	No idea / very useful / useful / not useful	Fishers PFA, SFREP District DARD CPC, CFA	HH survey (questionnaire) Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of overall usefullness of FCM in fisheries livelihoods improvement by local fishers / Government Dept / Policy Makers	No idea / very useful / useful / not useful	Fishers PFA, SFREP District DARD CPC, CFA	HH survey (questionnaire) Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
The sorts of existing policies and institutions that support or inhibit co-management and areas for strengthening them (including policies on Gender Mainstreaming)	Existence and nature of polices on FCM Implementation at province / district / commune / local levels	Yes / no and description	PFA, SFREP District DARD CPC, CFA	Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Existence and nature of institutions providing support on FCM	yes / no and description	Fishers PFA, SFREP District DARD CPC, CFA	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)

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	Perceived inhibition and restriction on FCM implementation by policies and institutions at province / district / commune / local levels	Yes / no and description	PFA, SFREP District DARD CPC, CFA	Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Recommendations for strengthening the policies and institutions related to FCM	Description	PFA, SFREP District DARD CPC, CFA	Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
The attitudes and perceptions of fishers to formal and traditional management systems and conflict resolution systems.	Existence and nature of formal / informal management system in fishery resources <u>management and use</u>	Yes / no and description-management level (district, commune, local)- Stakeholders of the systems- How long was it set up (years)- Degree of their implementation (1 - 5)- Degree of their impact on fishery resources management	FishersPFA, SFREP District DARD CPC, CFA	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of usefulness / effectiveness of formal / informal management system by fishers	Very useful / useful / not useful / no idea	Fishers	HH survey and Group discussion
	Degree of conflict between formal and informal systems	Yes/ no and Description	Fishers CFA	Group discussion Individual interview (semi-structured interview)
	Existence and nature of fishery management plans / activities prepared by stakeholders	Yes / no and Description	Fishers PFA, SFREP District DARD / ES CPC, CFA	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)

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	Degree of fishers' and institutions' participation in planning / implementation / monitoring of FM plans / activities	- Active participation (sharing and consulting) - Passive participation (participated because being invited) - No participation	Fishers Fishers PFA, SFREP District DARD CPC, CFA	HH survey Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree/extent of fisher satisfaction with management activities and their implementation	Very satisfied / satisfied / not satisfied	Fishers	HH survey
	Recommendations for improvements of practices in management systems	Description	Fishers PFA, SFREP District DARD CPC, CFA	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
Current systems for conflict resolution – including details of how systems are currently used	Existence and nature of conflict management systems at different level	Yes / no and description- Formal / informal - Legal status (if violator will be punished by local authorities / law under the system)- Operators / administrator (province/ district/ commune/local)- Stakeholders- When was it established- System mechanism and organization	Fishers PFA, SFREP District DARD CPC, CFA	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)

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	Degree of effectiveness of these systems on conflict management by fishers and institutions	Very effective, effective, not effective, no idea	Fishers PFA, SFREP District DARD CPC, CFA	HH survey and Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
The current numbers and types of stakeholder involvement in fisheries management	Number of FAs and FA members in the province	Number	PFA and CFA	Secondary data
	Number of fishing rights allocated in the province	Number	PFA	Secondary data
	Existence and nature of Province Fishery Association	Yes / no and description	SFREP	Individual interview (semi-structured interview)
	Method of stakeholder involvement in FM used by authorities	Type of methods (consultation meetings, etc.)	Fishers SFREP, PFA, District DARD, CPC	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	% of fishers participating in any fishery management meeting during the last six months	%	Fishers	HH survey
The perceptions of fishers and resource managers relating to the state of the fisheries resources and allocation of benefits from fisheries.	Perception on productivity of fisheries resources by fishers and government during the last and next five years	Decrease, increase, stable, no idea	Fishers SFREP, CFA	HH survey and group discussion Individual interview (semi-structured interview)
	Perception on CPUE (catch per unit effort) by fishers and government during the last and next five years	Decrease, increase, stable, no idea (Effort = amount of time)	Fishers SFREP, CFA	HH survey and group discussion Individual interview (semi-structured interview)
	Perception on diversity of fisheries resources during the last and next five years by fishers and government	Decrease, increase, stable, no idea	Fishers SFREP, CFA	HH survey and group discussion Individual interview (semi-structured interview)
	Perception on lagoon and sea water pollution by fishers / government during the last and next five years	Decrease, increase stable, no idea	Fishers SFREP, CFA	HH survey and group discussion Individual interview (semi-structured interview)

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	Perception on current fishing capacity by fishers /government during the last and next five years	Decrease, increase stable, no idea (e.g. Number of fishing gears)	Fishers SFREP, CFA	HH survey and group discussion Individual interview (semi-structured interview)
	Degree of equity in access of fisheries resources among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)	Fishers PFA, SFREP District DARD CPC, CFA	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of equity in allocation of fisheries benefits among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)	Fishers PFA, SFREP District DARD CPC, CFA	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)

<b>OUTPUT 2: SAFETY AT SEA (SAS)</b>				
<b>Guiding questions</b>	<b>Data to be collected</b>	<b>Anwser</b>	<b>Data source</b>	<b>Tools / techniques</b>
The safety at sea information and disaster preparedness information that is currently produced.	Existence and nature of safety at sea (SAS) and disaster preparedness information (regulations, guidelines, materials, etc.) available to small scale fishers	Yes / no and description	Fishers SFREP, District DARD CPC	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview)
The information on safety at sea that stakeholders (govt to community) use and how they access this.	Degree of awareness on availability of SAS information by government agencies / local authorities / community organization / fishers	Very aware / aware / not aware	Fisher District DARD, CPC	HH survey Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of accessibility to information on SAS by government agencies / local authorities / community organization / fishers	very high, high, average, low, not at all with reasons	Fisher District DARD, CPC	HH survey Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Existence of different channel for SAS information access	List	Fisher District DARD, CPC	Group discussion Individual interview (semi-structured interview)
	Degree of fisher and government satisfaction with certain types of these channels	Very sactisfied / sactisfied / not sactisfied	Fisher District DARD CPC	HH survey Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of usefullness of certain type of information on SAS by government agencies / local authorities / community organization / fishers	Vey useful, useful, not useful, no idea	Fisher District DARD, CPC	HH survey Individual interview (semi-structured interview) Individual interview (semi-structured interview)
The levels of awareness of fishers, their household members and government staff regarding safety at	Existence and nature of SAS measures (by government regulations / local regualtion / customary regulations / experiences)	Yes / no and description	Fishers SFREP, District DARD CPC,	Group discussion Individual interview (semi-structured interview) Individual interview (semi-

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sea measures in fishing communities.				structured interview) Individual interview (semi-structured interview)
	Degree of awareness on certain SAS measures by fishers and government staff	vey aware / aware / not aware	Fisher District DARD, CPC	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview)
Current legal frameworks / guidance for safety at sea measures.	Existence and nature of guidelines / frameworks for SAS measures	Yes / no and description	Fishers SFREP, District DARD CPC,	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
Current levels of awareness / compliance with safety regulations.	Degree of fisher compliance with SAS regulations	Yes /no for top ten key safety requirements (rather than equipment)(Percentage of fishers x number of safety-at-sea regulations as compared to total number of fishers x total number of safety-at-sea regulations)	Fishers	HH survey
	Degree of boat safety	Percentage of boats equipped with basic safety items compared to total number of esixting boats	Fishers SFREP	HH survey Secondary data
Compliance with safety measures in boat construction and in the yards where they are constructed (including the availability of data on numbers and types of boat where recorded and available).	Existence and nature of measures in boat construction and in the yards by law / local authorities	Yes / no and description	SFREP Boat construction Co.	Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of boat buider compliance with safety measures	% complied and Description	SFREP Boat construction Co.	Individual interview (semi-structured interview) Individual interview (semi-structured interview) secondary data

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	Degree of fishing boat registration at province / district / commune level	Percentage of registered boats in fishing fleet	Fishers SFREP	HH survey Secondary data
	Degree of inspection coverage	% of boat inspected during operation (one year)(e.g for safety equipment and technical inspection.	Fishers SFREP	HH survey Secondary data
The systems for recording accidents and details of the numbers (where recorded and who is involved in reporting and recording).	Existence and nature of guidelines / frameworks for accident recording and reporting at province / district / commune / community level	Responsible cooperative, procedures and systems	Fisher PDMB / SFREP District DARD CPC	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Numbe and types of fishing accidents reported	Accident number and categories	CPC, SFREP	Secondary data
The systems set up to coordinate responses to safety issues and disasters.	Existence and nature of disaster/emergency response systems for at province / district / commune / community level	Yes / no and description	Fisher PDMB / SFREP District DARD CPC	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of effectiveness of these systems in disaster preparedness and promoting safety issues by fisher / community/local authority	very effective, effective, not effective	FisherCPC	HH survey and group discussion Individual interview (semi-structured interview)
Perceptions of fishers and community members about numbers, causes and severity of accidents at sea in targeted communities.	Trend (in number) of accidents at sea during last three years perceived by fishers	Increase, decrease, stable, no idea	Fishers	Group discussion
	The most common causes of accidents at sea during the last three years	Ranking	Fishers	Group discussion
	Degree of severity of accidents (interms of lost materials and human) at sea during the last three years by fishers and community	Sereve (human death); Average (physical damage), minor (minor or no damange)	Fishers	Group discussion
The current disaster preparedness systems in use and the facilities in place to utilize.	Existence and nature of guidelines / frameworks / circulars on disaster preparedness at province / district / commune / community level	Yes / no and description	PDMB, SFREP District DARD CPC	Individual interview (semi-structured interview) Individual interview (semi-structured interview) Individual interview (semi-

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				structured interview)
	Existence of plans / activities on disaster preparedness at commune / community level	Yes / no and description	Fishers CPC	Group discussion Individual interview (semi-structured interview)
	Degree of implementation of these plans / activities by fisher / community / commune staff	fully implemented / mostly / partly / not implemented	Fishers CPC	Group discussion Individual interview (semi-structured interview)
	Existence and nature of existing facilities for disaster preparedness at commune / community levels	Yes / no and description	Fishers CPC	Group discussion Individual interview (semi-structured interview)
	Degree of utilization / access of certain facilities evaluated by commune authorities / fishers / community	1-5 evaluation	Fishers CPC	Group discussion Individual interview (semi-structured interview)
	Degree of usefulness / quality of certain facilities evaluated by commune authorities / fishers / community	1-5 evaluation	Fishers CPC	Group discussion Individual interview (semi-structured interview)
The level of confidence of fishers to avoid accidents at sea and if necessary to recover from them.	Level of fisher confidence in avoiding accidents	1-5 evaluation	Fishers	HH survey
	Level of fisher confidence in dealing with accidents	1-5 evaluation	Fishers	HH survey
	Percentage of fisher who were trained in avoiding and dealing with accidents	%	Fishers	HH survey

<b>OUTPUT 3: POST HARVEST AND MARKETING (PH&amp;M)</b>				
<b>Guiding questions</b>	<b>Data to be collected</b>	<b>Anwser</b>	<b>Data source</b>	<b>Tools / techniques</b>
The current levels of post-harvest skills, knowledge and practices.	Degree of fisher awareness of certain post-havest methods	Very aware / aware / not aware	Fishers	HH survey
	Degree of application of certain methods in maintaining fish quality after havesting by fishers / proccesors	Fully applied / mostly / partly / not applied	Fishers	HH survey
	Percentage of fishers / processors who attended at least one training course on preservation / primary processing of fish	%	Fishers	HH survey
Post-harvest facilities available and being used by fisher communities.	Availability of post-havest facilities to fishers	Yes / no	Fishers	HH survey
	Quality of existing facilities	Working / not woking / new / old / very old	Fishers	HH survey
	Degree of use of existing facilities for post havest practices	Very often / often / rarely / never	Fishers	HH survey
Quality of selected fish products in selected market chains against national (or international if needed) standards.	Percentage of selected fish products meeting national / international safety standards	(Percentage of the production of selected fish products in selected market chains that meet national / export standards) (For example: 50% of black tiger shrimp production meet export standards)	District DARD DARD (sub-deaprtment of agri. and fishery product quality control???)	Secondary data
Current per capita consumption of fish locally and nationally (where figures or proxy figures exist).	National / provincial / local per capita consumption of fish	Per capita consumption of fish	Provincial / District static offices / DARD	Secondary data
The distribution and use of fish and fisheries products from the project site in local and national markets.	Distribution of local fish and fisheries products in local, national, and international markets	Percentage of production / amount of selected fish / fisheries products that is consumed locally, in provincial market, in national market and in international market)	Fishers DARD	HH survey Secondary data

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	Types of immediate buyers of fish and fishery products from the fishers / processors	Percentage of selected fish / fisheries product production that are sold to middlemen, processing plants, local market, other	Fishers	HH survey and group discussion
	Percentage of fish used for different purposes	Unused, HH immediate consumption, feed for fish / animal; processing for HH consumption, processing for selling, local consumption, export	Fishers	Group discussion Secondary data
Degree of perceived influence on the market by fishers and fish processors.	Degree of influence on the market price of selected fish products by fishers / processors	1-5 evaluation	Fishers and processors	Group discussion
	Degree of fisher/processor's dependence on middleperson	1-5 evaluation	Fishers and processors	Group discussion
Existing policies related to post-harvest fisheries and institutions that influence post-harvest fisheries.	Existence and nature of policies on fisheries post-harvest handling	Yes/ no and description	Fishers CPC, CFA District agencies DARD	Group discussion Individual interview (semi-structured interview) Individual interview Individual interview
	Degree of implementation of fisheries post-harvest policies / guidelines by province / district / commune authorities and fishers	1-5 evaluation	Fishers CPC, CFA District agencies DARD	Group discussion Individual interview Individual interview Individual interview
	Existence and nature of fisheries post-harvest institutions at province / district / commune level	Yes / no and description	Fishers CPC, CFA District agencies DARD	Group discussion Individual interview Individual interview Individual interview
	Degree of fisher / processor satisfaction with fisheries post-harvest institutions	Very satisfied / satisfied / not satisfied	Fishers	HH survey
Current levels of funding and staff deployed for post-harvest in project communities.	Amount and percentage of government / non-government budget available to support post-harvest fisheries at province / district / commune levels	Number and %	CPC, District agencies, DARD	secondary data

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	Number and percentage of government officers working on post-harvest fisheries at province / district / commune / community level	Number and %	CPC, District agencies, DARD	secondary data
The knowledge and skills of the government staff with respect to post harvest fisheries.	Number / Percentage of officers working on post - havest fisheries who have been formally / informally trained in post havest skills and techniques	Numbe and %	CPC, District agencies, DARD	secondary data
	Degree of confidence of officers working on post - havest fisheries in performing post-havest techniques / giving instructions on post - havest practices	Very confident / confident / not confident	CPC, District agencies, DARD	Individual interview

<b>OUTPUT 4: LIVELIHOODS ENHANCEMENT AND DIVERSIFICATION (LE&amp;D)</b>				
<b>Guiding questions</b>	<b>Data to be collected</b>	<b>Anwser</b>	<b>Data source</b>	<b>Tools / techniques</b>
Livelihood activities (including women and children; and the very poor and marginalised) (under input 1 in TOR and same as item (i) of output 4)	Type and importance of fishery related livelihood activities_elated livelihood activties by different groups (men, women, children, poor, better off, marginalized...)	Ranking / 1-5 evaluation	Fishers	Group discussion
	Degree of fishers perception about present livelihood option compared to five years ago	Better, no change, get worse, no idea	Fishers	HH survey
Average income according to the livelihood activity (Item (i) of output 5)	Average annual household income from different livelihood activities	Range of annual income by livelihood acticity	Fishers	HH survey
Gender roles and responsibilities within the target communities (under input 1 in TOR);	Degree of involvement in livelihood and household activities and amount of working hours of men and women in family	1-5 evaluation	Fishers	Group discussion
	Degree of men and women roles in making decisions in livelihood and housechore activties	Primary role, secondary role, no role	Fishers	Group discussion
	Degree of involvement of men and women in implementation in decided activities	1-5 evaluation	Fishers	Group discussion
Perceptions of prosperity of fishers and household members in pilot communities.	Fishers and communities definitions about prosperity	Description	Fishers	Group discussion
	Fishers and community perception on standards of poor HHs / rich HHs.	Description	Fishers	Group discussion
Attitudes towards changing or diversifying livelihoods in pilot communities.	Degree of fisher_satisfaction with their existing livelihoods	Very sactisfied / sactisfied / not sactisfied	Fishers	HH survey
	Average number of livelihood activties per HH	Number of livelihood activities	Fishers	HH survey
	Degree of fisher / community desire for changing / diversifying livelihood	1-5 evaluation	Fishers	HH survey

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Factors that seem to help or inhibit livelihood change in target communities.	Existence and nature of existing factors that seem to help livelihood change in target communes	Yes / no and description	Fishers District DARD / ESCPC, CFA, mass organization	through group discussion with SWOT
	Existence and nature of existing factors that seem to inhibit livelihood change in target communes	Yes / no and description	Fishers District DARD / ESCPC, CFA, mass organization	through group discussion with SWOT
The availability of supporting services for livelihood enhancement and diversification available in pilot communities.	Existence and nature of supporting services for small-scale fishers' livelihood enhancement and diversification at province / district / commune / local levels	Yes / no and description	Fishers District DARD / ESCPC, CFA, mass organization	Groups discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of fisher awareness of the availability of certain supporting services	Very aware / aware / not aware	Fishers	HH survey
	Degree of fisher access possibility to certain supporting services	1-5 evaluation	Fishers	HH survey
Fishers and their household member's perceptions and levels of satisfaction regarding the supporting services for livelihood enhancement and diversification available in the pilot communities	Degree of fisher satisfaction (quality and cost) on existing supporting services for livelihood enhancement and diversification	Very satisfied / satisfied / not satisfied	Fishers	HH survey
	Degree of usefulness of certain supporting services for livelihood enhancement and diversification	1-5 evaluation	Fishers	HH survey
	Degree of confidence in changing or diversifying the livelihood with the use of existing services	Very confident / confident / not confident	Fishers	HH survey

<b>OUTPUT 5: MICRO FINANCE (MF)</b>				
<b>Guiding questions</b>	<b>Data to be collected</b>	<b>Anwser</b>	<b>Data source</b>	<b>Tools / techniques</b>
Levels of awareness for accessing financial services in pilot communities.	Degree of fisher's awareness on availability of formal and informal credit programmes	Very aware / aware / not aware	Fishers	HH survey
	Degree of general accessibility to credit servcies when in need	1-5 evaluation	Fishers	HH survey
	Degree of fisher's awareness of regulations for accessing certain credit programmes	Very aware / aware / not aware	Fishers	HH survey
Current formal financial institutions operating in the project areas, their perception of the fisheries activities and the proportion of fisher folks among their local clientele base.	Existence and nature of formal financial institutions available to local fishers	Yes / no and description	Fishers Bank credit intermediary agencies (Mass organizations)	Group discussion Individual interview (semi-structured interview)
	Level of priority of fisheries activities compared to other activties by formal financial institutions	Priority order of fishery activties as compared to other activities	Bank credit intermediary agencies (Mass organizations) Bank credit staff	Individual interview (semi-structured interview)
	Proportion of fishers among local clientele base of certain formal financial institutions	%	Bank credit intermediary agencies (Mass organizations) Bank credit staff	Individual interview (semi-structured interview)

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	Degree of evaluation of perceived risk of different fisheries activities by formal financial institutions	1-5 evaluation	Bank credit intermediary agencies (Mass organizations) Bank credit staff	Individual interview (semi-structured interview)
	Degree of repayment of fisheries activities by formal financial institutions	%	Bank credit intermediary agencies (Mass organizations) Bank credit staff	Individual interview (semi-structured interview)
Perception of the different formal financial institutions by the community members (requirements, repayment procedures, proximity, interest rates, etc.).	Degree of fisher satisfaction with different formal financial institutions	Very satisfied / satisfied / not satisfied	Fishers	HH survey
	Level of difficulty of access to services provided by different formal financial institutions	1-5 evaluation	Fishers	HH survey
	Degree of perceived risk of borrowing money from formal services by fishers	1-5 evaluation	Fishers	Group discussion
Current levels of borrowing and savings of the community members with formal financial institutions (e.g. commercial banks, rural banks, licensed microfinance institutions, etc.)	Maximum, minimum, and average size of savings and loan provided by different formal financial institutions to local fishers	Maximum and minimum size of loan	Bank credit intermediary agencies (Mass organizations) Bank credit staff	Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Proportion of fishers with the saving and loan with formal financial Institutions	%	Bank credit intermediary agencies (Mass organizations) Bank credit staff	Individual interview (semi-structured interview)
				Individual interview (semi-structured interview)

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	Level of savings at formal financial institutions	Range of saving	Fishers	HH survey
	Level of loan at formal financial institutions	Range of loan	Fishers	HH survey
Existing informal mechanisms used to access credit (Rotating Savings and Credit Associations {ROSCAs}, moneylenders, relatives, middlemen, etc.), their respective perceptions and levels of satisfaction by the fisheries communities.	Existence and nature of informal mechanisms used to access credit at commune / community levels	Description	Fishers	Group discussion
	Degree of fish satisfaction with different informal credit mechanisms	Very satisfied / satisfied / not satisfied	Fishers	HH survey
	Level of accessibility to different informal mechanisms	1-5 evaluation	Fishers	HH survey
	Degree of perceived risk of borrowing money from informal services by fishers	1-5 evaluation	Fishers	Group discussion
	Degree of fisher preference of informal mechanisms and formal mechanism	% go for informal formal mechanisms	Fishers	HH survey
Comparative access of women to (formal and informal) financial services.	Degree of access of different formal financial services by women and men during the last three years	%	Fishers	HH survey
	Degree of access of different informal financial services by women and men during the last three years	%	Fishers	HH survey
Recent or current access of the community members to (government) subsidized credit lines.	Existence and nature of subsidized credit lines in province / district / commune / community	Yes / no and Description	Fishers DPC, CPC Banks	Group discussion Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Degree of fisher awareness of different subsidized credit lines	Very aware / aware / not aware	Fishers	HH survey
	Degree of fisher accessibility to subsidized credit lines	% accessed as compared to total fishers; % accessed as compared to total fishers eligible to access	Fishers	HH survey
Potential for savings mobilization (“saving culture”, savings gap, use of informal ways, etc.)	Degree of fisher perception of importance of making savings	Very important / important / not important	Fishers	HH survey / Group discussion

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	Degree of fisher willingness of making savings	Very willing / willing not willing	Fishers	HH survey / Group discussion
	Fisher saving capacity	Maximum amount per month that fisher can save	Fishers	HH survey / Group discussion
General level of donations from which have beneficiated the existing microfinance institutions. Resulting level of sustainability (e.g. measure of their Operational Self Sufficiency)	Level of financial dependence of different microfinance institutions on donors	Fully dependant / most dependant / partly dependant / independent	Semi-credit organization (mass organizations) Credit groups	Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Level of technical dependence of different microfinance institutions on the donors	Fully dependant / most dependant / partly dependant / independent	Semi-credit organization (mass organizations) Credit groups	Individual interview (semi-structured interview) Individual interview (semi-structured interview)
	Level of human resource dependence of different microfinance institutions on the donors	Fully dependant / most dependant / partly dependant / independent	Semi-credit organization (mass organizations) Credit groups	Individual interview (semi-structured interview) Individual interview (semi-structured interview)

## Annex 2: Household interview questionnaire

*This survey is conducted to set up a baseline for “Regional Fisher Livelihood Programme” funded by Spanish Government. We highly appreciate if you could spend sometime providing information related to your household livelihoods and fishing related issues. Your name and information provided by you will be kept confidential for study purpose only*

<b>QUESTIONNAIRE CODE</b>	
<b>INTERVIEWER</b>	
<b>DATE</b>	
<b>VILLAGE / COMMUNE / DISTRICT / PROVINCE</b>	

### 0. GENERAL INFORMATION

<b>0.1. Interviewee name (optional)</b>	
<b>0.2. Age</b>	
<b>0.3. Sex</b>	<input type="checkbox"/> Male <input type="checkbox"/> Female
<b>0.4. Classification of household by prosperity</b>	<input type="checkbox"/> Certified poor <input type="checkbox"/> Observed poor <input type="checkbox"/> Not poor
<b>0.5. Classification of Household by main career</b>	<input type="checkbox"/> Off shore fishing <input type="checkbox"/> Near shore fishing <input type="checkbox"/> In shore fishing <input type="checkbox"/> Inland fishing <input type="checkbox"/> Aquaculture
<b>0.6. Number of people in HH</b>	
<b>0.7. Number of laborers in HH</b>	
<b>0.8. Number of people in HH working in fisheries</b>	
<b>0.9. Types of fishing boat used by HH (by capacity)</b>	

### I. CO-MANAGEMENT

Understanding and expectations of the concept “co-management”

- 1.1. To what extent are you aware of the term Fishery Co-management (FCM)?  
 Very aware       Aware       Not aware
  
- 1.2. What do you think about the overall usefulness of FCM in fisheries resources management?  
 Very useful       useful       not useful       No idea
  
- 1.3. What do you think about the overall usefulness of FCM in fisheries livelihoods improvement?  
 Very useful       useful       not useful       No idea

**The attitudes and perceptions of fishers to formal and traditional management systems:**

- 1.4. What do you think about the effectiveness of formal fishery management systems?  
 Very effective       Effective       Not effective       No idea
  
- 1.5. What do you think about the effectiveness of informal fishery management systems?  
 Very effective       Effective       Not effective       No idea

**Practices in current management systems:**

- 1.6. Which member in your family often participate in fishery management activities?  
 Male       Female       Both       None

If no go to 1.9

- 1.7. To what extent did you participate in fishery management activities?  
 Active participation       Passive participation       Not participapte
  
- 1.8. During the last six months, did any member in your family attend any fishery management meetings / activities?  
 Yes       No       Don't know
  
- 1.9. To what extent are you satisfied with current fishery management activities?  
 Very satisfied       Satisfied       Not satisfied       No idea

**Current systems for conflict resolution in fishery resource management and use:**

- 1.10. What do you think about the effectiveness of the conflict management systems?

	Very effective	Effective	Not effective	No idea
Informal systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Formal systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**The perceptions on the state of the fisheries resources and allocation of benefits from fisheries**

1.11. What are your opinion about fisheries resources **during the last five years?**

	Decrease	Increase	Stable	No idea
<b>Productivity</b> of fish	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Diversity</b> of fisheries resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lagoon and sea water <b>pollution</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Fishing capacity</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.12. What are your opinion about fisheries resources during **the next five years?**

	Decrease	Increase	Stable	No idea
<b>Productivity</b> of fish	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Catch per unit effort</b> productivity of fisheries resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Diversity</b> of fisheries resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lagoon and sea water <b>pollution</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Fishing capacity</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.13. What do you think about level of the equity in getting benefits from fisheries among different resource user groups?

Equal

Not equal

No idea

1.14. Who have more benefits from fishery resources?

Poor	Non-poor	The same	No idea
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Men	Women	The same	No idea
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## II. SAFETY AT SEA

**The information on safety at sea that fishers use and the ways to access this**

2.1. To what extent are you aware of the availability of Safety at sea (SAS) information:

Very aware       Aware       Not aware

2.2. To what extent can you access to information on SAS

Easy       Difficult       Not at all

2.3. To what extent are you satisfied with the following channels for accessing information on safety at sea?

Information channels	Very satisfied	Satisfied	Not satisfied
Radio	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coastal communication / information station	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Border Guard Wireless systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Television	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commune broadcast system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Personal communication equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.4. How useful is the SAS information to your family ?

Type of SAS information	Very useful	Useful	Not useful	No idea
.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

#### Awareness / compliance with safety regulations.

2.5. To what extent are you aware of the following basis safety at sea equipment on boat?

Basis safety equipment	Very aware	Aware	Not aware
Life vest	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lifebuoy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communication equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Locating equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.6. Do you and your family members comply with the following regulations on safety at sea?

Regulations on safety at sea	Yes	No	Not required

Shipping safety equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Life vest	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lifebuoy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communication equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fire fighting equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Location equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trained staff in safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Valid ship driving license	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Valid boat registration certificate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Valid staff registration certificates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Engineer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Boat registration:**

2.7. During the last 12 months, how many inspections were made with your boat(s)

	<b>Times of random inspection</b>	<b>Times of periodical inspection</b>
Safety equipment inspection	<input type="checkbox"/>	<input type="checkbox"/>
Technical inspection (engine)	<input type="checkbox"/>	<input type="checkbox"/>

**The systems set up to coordinate responses to safety issues and disasters.**

2.8. What do you think about the effectiveness of the systems for responding safety issues and disasters?

- Very effective       Effective       Ineffective       No idea

**Confidence to avoid accidents at sea**

2.9. Have you or your family members ever been trained in avoiding and dealing with accidents at sea?

- Yes       No

2.10. How confident are you to avoid accidents at sea?

- Very confident       Confident       Not confident

2.11. How confident are you to deal with accidents at sea?

- Very confident       Confident       Not confident

### **III. POST HARVEST AND MARKETING**

#### **Post-harvest skills, knowledge and practices.**

- 3.1. When are your fish products applied post-harvest method to maintain their quality?
- On boat       On land       On boat and on land       Not at all

- 3.2. How skillful are you and your family in using the following post harvest methods

Post harvest methods	Very aware	Aware	Not aware
Using ice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Using chemicals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Using salt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Drying	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Grill	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 3.3. To what extent does your family apply the following post harvest methods to the harvested production ?

Post harvest methods	Fully applied	Partly applied	Not applied
Using ice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Using chemicals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Using salt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Drying	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Grilling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 3.4. Have you or your family members attended a training course on post harvest during the last three years?

Yes       No

#### **Post-harvest facilities available and being used:**

- 3.5. Availability, status and utilization of post harvest facilities

Post harvest facilities	Availability		Status		Frequency of use			
	Yes	No	Working properly	Not working properly	Daily	Sometime	Rarely	never
Ice store on boat	<input type="checkbox"/>							
Insulating box	<input type="checkbox"/>							
Cold store	<input type="checkbox"/>							
Fridge	<input type="checkbox"/>							
Oven	<input type="checkbox"/>							
Drying oven	<input type="checkbox"/>							

#### **Distribution and use of fish and fisheries products:**

- 3.6. To whom did you sell your fish / fisheries products last year?

Products	Fish frozen factory (%)	Middlemen (%)	Local Processing enterprise (%)	Local market (%)	Others (%)	Don't know
Shrimp						
Crab						
Green crab						
Fish						
Fresh squid						
Dried quid						
Dried fish						
Grilled fish						
Others						

3.7. Where did you sell your fish / fisheries products last year?

Products	Provincial market (%)	National Market (%)	International (%)	Don't know
Shrimp				
Crab				
Green crab				
Fish				
Fresh squid				
Dried quid				
Dried fish				
Grilled fish				
Others				

### Influence on the market:

3.8. To what level do you depend on middlemen (on price) in trading fish / fisheries products?

Products	High dependant	Dependant	Independent	No idea
Shrimp	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Crab	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Green crab	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fish	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fresh squid	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dried quid	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dried fish	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Grilled fish	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Policies and institutions related to post-harvest fisheries:

- 3.9.** To what extent are you satisfied with the support of the following institutions on post harvest fisheries?

Institution	Satisfied	Not satisfied	No idea
Sub-department of Rural Development and agricultural - fishery product quality control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
District trade department	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
District DARD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
District extension station	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fishery association	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commune People Committee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mass organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## **IV. LIVELIHOOD ENHANCEMENT AND DIVERSIFICATION**

### **Perception livelihood options**

- 4.1. What do you think about the livelihood opportunities for fishing communities compared to five years ago?

Better       No change     Worse       No idea

### **Annual average income**

- 4.2. Can you give an approximate income amount for the following livelihood activities in 2009?

Activities	Income (mil dongs / year / HH)
Capture fisheries	
Aquaculture	
Agriculture (crop, livestock and forestry)	
Fishery processing	
Others	

### **Attitudes towards changing or diversifying livelihoods:**

- 4.3. To what extent are you satisfied with your family current livelihoods?

Satisfied       Not satisfied       No idea

- 4.4. Do you want to diversify your family livelihoods?

Yes       No       No idea

### **Availability of supporting services for livelihood enhancement and diversification**

4.5. To what extent are you aware of the supporting services for livelihood enhancement and diversification?

Very aware       Aware       Not aware

4.6. To what extent can you access to the following supporting services for livelihood enhancement and diversification?

<b>Supporting services</b>	<b>Easy</b>	<b>Difficult</b>	<b>Not at all</b>	<b>No idea</b>
<b>Loan / credit</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Technical assistance</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Marketing</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Material supply</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### **Information about aquaculture**

4.7. Aquaculture area? ..... (ha)

4.8. When did your family start aquaculture farm? .....

4.9. What are common species kept in the pond?

<b>Species</b>
Black tiger
Crab
Fish
Molluse
Others

4.10. Culture techniques?

Mono-species       Integrated (multi-species)  
 Intensive       Semi-intensive       Extensive

4.11. How profitable was it for your family aquaculture during the last three years?

Profitable     Break even  Lost

### **Perceptions and levels of satisfaction regarding the supporting services for livelihood enhancement and diversification**

- 4.12. To what extent are you satisfied with the quality and cost of the following supporting services for livelihood enhancement and diversification

<b>Supporting services</b>	<b>Satisfied</b>	<b>Not satisfied</b>	<b>No idea</b>
<b>Loan / credit</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Technical assistance</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Marketing</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Material supply</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 4.13. Are the following supporting services useful for livelihood enhancement and diversification

<b>Types of supporting services</b>	<b>Yes</b>	<b>No</b>	<b>No idea</b>
<b>Loan / credit</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Technical assistance</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Marketing</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Material supply</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 4.14. To what extent are you confident to change or diversify your family livelihood with the use of existing services?

Confident       Not confident       No idea

## V. MICROFINANCE

### Awareness for accessing financial services

- 5.1. To what extent are you aware of the availability credit systems?

Very aware       Aware       Not aware

- 5.2. To what extent are you aware of regulations for accessing the following credit programmes?

<b>Credit programme of</b>	<b>Very aware</b>	<b>Aware</b>	<b>Not aware</b>
Bank for Social Policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agriculture Bank	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other commercial banks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NGOs, ODAs			
Private			

- 5.3. To what extent can you access to credit services when in need?

High       Low       Not at all       No idea

### Perception of the different informal and formal financial services:

5.4. To what extent are you satisfied with the following financial institutions?

	Satisfied	Not satisfied	No idea
Bank for Social Policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agriculture Bank	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other commercial banks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NGOs, ODAs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.5. Which credit mechanism do you most like to borrow money?

Formal mechanisms       Semi-formal mechanisms       Informal mechanisms

**Current levels of borrowing and savings of the community members with formal financial institutions**

5.6. During the last five years, which of the following financial services did you borrow money?

Formal financial institutions	Loan amount (VND)	Saving amount (VND)
Bank for Social Policies		
Agriculture Bank		
Other commercial banks		
NGOs, ODAs	--	--
Private	--	---

**Access of subsidized credit lines**

5.7. To what extent are you aware of the availability of the following subsidized credit lines

Subsidized credit lines	Very aware	Aware	Not aware
Credit for the poor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Credit for students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Credit for sanitation and water supply	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Credit for boat building	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Credit for fishing materials	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.8. Are you eligible to get loan from any above subsidized credit lines?

Yes     No     No idea

5.9. Have you ever borrowed money from any of following subsidized credit lines during the last three years?

Yes     No

**Potential for savings mobilization ((“saving culture”, savings gap, use of informal ways, etc.)**

5.10. In your opinion, how important is it for saving?

Very important     Important     Not important

5.11. If there is a reliable and convenient financial organization for you to deposit your savings, are you willing to make saving?

Yes     No     Can't decide

5.12. If yes, how much can your family mobilize for saving per month?

\_\_\_\_\_ VND

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**Thank you for your time and cooperation**

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### **Annex 3: List of secondary data to be collected and the checklists for key informant interviews and group discussion**

#### **SECONDARY DATA TO BE COLLECTED**

Data to be collected	Data sources
<b>COMMUNE PROFILE</b>	
Number of fishing villages / fisheries capture related villages	CPC
Number / % poor HHs at commune and village levels	CPC
Structure of HHs by livelihood activities	CPC
Structure of labour by economic activities	CPC
GDP by economic activities	CPC
Number of marine fishing HHs / lagoon fishing HHs / aquaculture / fish processors	CPC
Number of fish processor enterprises	CPC
Number of local fish collection midmen	CPC
Number of fish market /	CPC
<b>OUTPUT 1: CO-MANAGEMENT</b>	
Number of FAs and FA members in the province / commune	PFA and CFA
Number of fishing rights allocated in the province / commune	PFA / District DARD
<b>OUTPUT 2: SAFETY AT SEA</b>	
Number of existing boats by types (capacity) at province / commune levels	SFREP, CPC
Number of boats equipped with basic safety items at province / commune level	SFREP, CPC
Number of boat registered at province / commune level	SFREP, CPC
Number of boats having valid inspection certificate at province / commune level	SFREP, CPC
Number of boats technically / physically inspected during operation in 2009 at provovince and commune levels	SFREP, CPC
Number of boats having valid operational certificate at province and commune levels	SFREP, CPC
Numbe and types of fishing accidents at province / commune levels	CPC, SFREP
<b>OUTPUT 3: POST HARVEST AND MARKETING</b>	
Percentage of the production of selected fish products in selected market chains that meet national / export standards at province and commune levels  (For example: 50% of black tiger shrimp production meet export standards)	District DARD / Trade Dept. DARD Sub-deaprtment quality control -
National / provincial / local per capita consumption of fish	Provincial / District statitics books / DARD

Fishery contribution in GDP at provincial and national levels	Provincial / District statistics books
Percentage of production / amount of selected fish / fisheries products that is consumed locally, in provincial market, in national market and in international market)	CPC, District DARD / Trade dept?
Amount and percentage of government / non-government budget available for support to post-harvest fisheries at province / district / commune levels	CPC, District DARD / Trade dept?
Number and percentage of government officers working on post-harvest fisheries at province / district / commune / community level	CPC, District DARD / Trade dept?
Qualification of Government officers working on post-harvest fisheries at province / district / commune / community level	CPC, District DARD / Trade dept?
Number / Percentage of officers working on post - harvest fisheries who have been formally / informally trained in post harvest skills and techniques in province (from province to commune level)	CPC, District DARD / Trade dept?
<b>OUTPUT 4: LIVELIHOODS ENHANCEMENT AND DIVERSIFICATION</b>	
Average income according to the livelihood activity by HH in 2009 at province and commune level	Provincial socio-economic reports, CPC
<b>OUTPUT 5: MICRO FINANCE</b>	
Proportion (%) of fisher folks among local clientele base of certain formal financial institutions at province and commune level	Bank credit intermediary agencies (Mass organizations) Bank credit staff
Proportion (%) of fishers with the saving and loan use formal financial Institutions at province and commune levels	Bank credit intermediary agencies Bank credit staff

#### **CHECKLIST FOR GROUP DISCUSSION WITH FISHERS**

Guiding questions	Data to be collected	Answer
<b>OUTPUT 1: FISHERIES CO-MANAGEMENT</b>		
The current understanding and expectations of the concept “co-management” among each key stakeholder group (fishers, government department, policy makers).	Degree of understanding of the term FCM by local fishers / Government Dept / Policy Makers	Could be single answer questions or oral expression
The sorts of existing policies and institutions that support or inhibit co-management and areas for strengthening them (including policies on Gender Mainstreaming)	Existence and nature of institutions providing support on FCM	yes / no and description
The attitudes and perceptions of fishers to formal and traditional management systems and conflict resolution systems.	Existence and nature of formal / informal management system in fishery resources <u>management and use</u>	Yes / no and description - management level (district, commune, local) - Stakeholders of the systems - How long was it set up (years) - Degree of their implementation (1 - 5) - Degree of their impact on fishery resources management
	Degree of usefulness / effectiveness of formal / informal management system by fishers	Very useful / useful / not useful / no idea
	Degree of conflict between formal and informal systems	Yes/ no and Description
Stakeholder practices in current management systems and recommendations for improvements.	Existence and nature of fishery management plans / activities prepared by stakeholders	Yes / no and Description
	Recommendations for improvements of practices in management systems	Description

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Current systems for conflict resolution – including details of how systems are currently used	Existence and nature of conflict management systems at different level	Yes / no and description - Formal / informal - Legal status (if violator will be punished by local authorities / law under the system) - Operators / administrator (province/ district/ commune/local) - Stakeholders - When was it established - System mechanism and organization
	Degree of effectiveness of these systems on conflict management by fishers and institutions	Very effective, effective, not effective, no idea
The current numbers and types of stakeholder involvement in fisheries management	Method of stakeholder involvement in FM used by authorities	Type of methods (consultation meetings, etc.)
The perceptions of fishers and resource managers relating to the state of the fisheries resources and allocation of benefits from fisheries.	Perception on productivity of fisheries resources by fishers and government during the last and next five years	Decrease, increase, stable, no idea
	Perception on CPUE (catch per unit effort) by fishers and government during the last and next five years	Decrease, increase, stable, no idea (Effort = amount of time)
	Perception on diversity of fisheries resources during the last and next five years by fishers and government	Decrease, increase, stable, no idea
	Perception on lagoon and sea water pollution by fishers / government during the last and next five years	Decrease, increase, stable, no idea
	Perception on current fishing capacity by fishers /government during the last and next five years	Decrease, increase, stable, no idea (e.g. Number of fishing gears)

	Degree of equity in access of fisheries resources among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
	Degree of equity in allocation of fisheries benefits among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
<b>OUTPUT 2: SAFETY AT SEA</b>		
The safety at sea information and disaster preparedness information that is currently produced.	Existence and nature of safety at sea (SAS) and disaster preparedness information (regulations, guidelines, materials, etc.) available to small scale fishers	Yes / no and description
The information on safety at sea that stakeholders (govt to community) use and how they access this.	Existence of different channel for SAS information access	List
The levels of awareness of fishers, their household members and government staff regarding safety at sea measures in fishing communities.	Existence and nature of SAS measures (by government regulations / local regulation / customary regulations / experiences)	Yes / no and description
	Degree of awareness on certain SAS measures by fishers and government staff	Very aware / aware / not aware
Current legal frameworks / guidance for safety at sea measures.	Existence and nature of guidelines / frameworks for SAS measures	Yes / no and description
The systems for recording accidents and details of the numbers (where recorded and who is involved in reporting and recording).	Existence and nature of guidelines / frameworks for accident recording and reporting at province / district / commune / community level	Responsible cooperative, procedures and systems
The systems set up to coordinate responses to safety issues and disasters.	Existence and nature of disaster/emergency response systems for at province / district / commune / community level	Yes / no and description

	Degree of effectiveness of these systems in disaster preparedness and promoting safety issues by fisher / community/local authority	very effective, effective, not effective
Perceptions of fishers and community members about numbers, causes and severity of accidents at sea in targeted communities.	Trend (in number) of accidents at sea during last three years perceived by fishers	Increase, decrease, stable, no idea
	The most common causes of accidents at sea during the last three years	Ranking
	Degree of severity of accidents (interms of lost materials and human) at sea during the last three years by fishers and community	Sereve (human death); Average (physical damage), minor (minor or no damange)
The current disaster preparedness systems in use and the facilities in place to utilize.	Existence of plans / activities on disaster preparedness at commune / community level	Yes / no and description
	Degree of implementation of these plans / activties by fisher / community / commune staff	fully implemented / mostly / partly / not implemented
	Existence and nature of existing facilities for disaster preparedness at commune / community levels	Yes / no and description
	Degree of utilization / access of certain facilities evaluated by commune authorities / fishers / community	1-5 evaluation
	Degree of usefulness / quality of certain facilities evaluated by commune authorites / fishers / community	1-5 evaluation
<b>OUTPUT 3: POST HARVEST AND MARKETING</b>		
The distribution and use of fish and fisheries products from the project site in local and national markets.	Types of immediate buyers of fish and fishery products from the fishers / processors	Percentage of selected fish / fisheries product production that are sold to middlemen, processing plants, local

		market, other
	Percentage of fish used for different purposes	Unused, HH immediate consumption, feed for fish / animal; processing for HH consumption, processing for selling, local consumption, export
Degree of perceived influence on the market by fishers and fish processors.	Degree of influence on the market price of selected fish products by fishers / processors	1-5 evaluation
	Degree of fisher/processor's dependance on midleperson	1-5 evaluation
Existing policies related to post-harvest fisheries and institutions that influence post-harvest fisheries.	Existence and nature of policies on fisheries post-havest handling	Yes/ no and description
	Degree of implementation of fisheries post-havest policies / guidelines by province / district / commune authorities and fishers	1-5 evaluation
	Existence and nature of fisheries post-havest institutions at province / district / commune level	Yes / no and description

#### **OUTPUT 4: LIVELIHOODS ENHANCEMENT AND DIVERSIFICATION (LE&D)**

Livelihood activities (including women and children; and the very poor and marginalised) (under input 1 in TOR and same as item (i) of output 4)	Type and importance of fishery related livelihood activties elated livelihood activties by different groups (men, women, children, poor, better off, marginalized...)	Ranking / 1-5 evaluation
Gender roles and responsibilities within the target communities (under input 1 in TOR);	Degree of involvement in livelihood and household activties and amount of working hours of men and women in family	1-5 evaluation
	Degree of men and women roles in making decisions in livelihood	Primary role, secondary role, no role

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	and housechore activties	
	Degree of involvement of men and women in implementation in decided activities	1-5 evaluation
Perceptions of prosperity of fishers and household members in pilot communities.	Fishers and communities definitions about prosperity	Description
	Fishers and community perception on standards of poor HHs / rich HHs.	Description
Factors that seem to help or inhibit livelihood change in target communities.	Existence and nature of existing factors that seem to help livelihood change in target communes	Yes / no and description
	Existence and nature of existing factors that seem to inhibit livelihood change in target communes	Yes / no and description
The availability of supporting services for livelihood enhancement and diversification available in pilot communities.	Existence and nature of supporting servcies for small-scale fishers' livelihood enhancement and diversification at province / district / commune / local levels	Yes / no and description
<b>OUTPUT 5: MICRO FINANCE</b>		
Current formal financial institutions operating in the project areas, their perception of the fisheries activities and the proportion of fisher folks among their local clientele base.	Existence and nature of formal financial institutions available to local fishers	Yes / no and description
	Degree of perceived risk of borrowing money from formal services by fishers	1-5 evaluation
Existing informal mechanisms used to access credit (Rotating Savings and Credit Associations {ROSCAs}, moneylenders, relatives, middlemen, etc.), their respective perceptions and levels of satisfaction by the fisheries communities.	Existence and nature of informal mechanisms used to access credit at commune / community levels	Description
	Degree of perceived risk of borrowing money from informal services by fishers	1-5 evaluation
Recent or current access of the community members to (government) subsidized credit lines.	Existence and nature of subsidized credit lines in province / distirct / commune / community	Yes / no and Description

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Potential for savings mobilization (“saving culture”, savings gap, use of informal ways, etc.)	Degree of fisher perception of importance of making savings	Very important / important / not important
	Degree of fisher willingness of making savings	Very willing / willing not willing
	Fisher saving capacity	Maximum amount per month that fisher can save

**CHECKLIST FOR SUB-DEPARTMENT OF FISHERY RESOURCE EXPLOITATION AND PROTECTION (SDECAFIREP)**

Guiding questions	Data to be collected	Answer
<b>OUTPUT 1: FISHERIES CO-MANAGEMENT</b>		
The current understanding and expectations of the concept “co-management” among each key stakeholder group (fishers, government department, policy makers).	Degree of awareness of the term FCM by local fishers / Government Dept / Policy Makers	very aware / aware / not aware
	Degree of understading of the term FCM by local fishers / Government Dept / Policy Makers	Could be single answer questions or oral expression
	Degree of overall usefulness of FCM in fisheries resources management by local fishers / Government staff / Policy makers	No idea / very useful / useful / not useful
	Degree of overall usefulness of FCM in fisheries livelihoods improvement by local fishers / Government Dept / Policy Makers	No idea / very useful / useful / not useful
The sorts of existing policies and institutions that support or inhibit co-management and areas for strengthening them (including policies on Gender Mainstreaming)	Existence and nature of polices on FCM Implementation at province / district / commune / local levels	Yes / no and description
	Existence and nature of institutions providing support on FCM	yes / no and description
	Perceived inhibition and restriction on FCM implementation by policies and institutions at province / district / commune / local levels	Yes / no and description
	Recommendations for strengthening the policies and institutions related to FCM	Description
The attitudes and perceptions of fishers to formal and traditional management systems and conflict resolution systems.	Existence and nature of formal / informal management system in fishery resources management and use  - management level (district, commune, local) - Stakeholders of the systems - How long was it set up (years) - Degree of their implementation (1 - 5) - Degree of their impact on fishery resources management	Yes / no and description
Stakeholder practices in current management systems and recommendations for improvements.	Existence and nature of fishery management plans / activities prepapred by stakeholders	Yes / no and Description

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	Degree of fishers' and institutions' participation in planning / implementation / monitoring of FM plans / activities	- Active participation (sharing and consulting) - Passive participation (participated because being invited) - No participation
	Recommendations for improvements of practices in management systems	Description
Current systems for conflict resolution – including details of how systems are currently used	Existence and nature of conflict management systems at different level	Yes / no and description- Formal / informal - Legal status (if violator will be punished by local authorities / law under the system)- Operators / administrator (province/ district/ commune/local)- Stakeholders- When was it established- System mechanism and organization
	Degree of effectiveness of these systems on conflict management by fishers and institutions	Very effective, effective, not effective, no idea
The current numbers and types of stakeholder involvement in fisheries management	Existence and nature of Province Fishery Association	Yes / no and description
	Method of stakeholder involvement in FM used by authorities	Type of methods (consultation meetings, etc.)
The perceptions of fishers and resource managers relating to the state of the fisheries resources and allocation of benefits from fisheries.	Perception on productivity of fisheries resources by fishers and government during the last and next five years	Decrease, increase, stable, no idea
	Perception on CPUE (catch per unit effort) by fishers and government during the last and next five years	Decrease, increase, stable, no idea (Effort = amount of time)
	Perception on diversity of fisheries resources during the last and next five years by fishers and government	Decrease, increase, stable, no idea
	Perception on lagoon and sea water pollution by fishers / government during the last and next five years	Decrease, increase stable, no idea

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	Perception on current fishing capacity by fishers /government during the last and next five years	Decrease, increase stable, no idea (e.g. Number of fishing gears)
	Degree of equity in access of fisheries resources among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
	Degree of equity in allocation of fisheries benefits among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
<b>OUTPUT 2: SAFETY AT SEA</b>		
The safety at sea information and disaster preparedness information that is currently produced.	Existence and nature of safety at sea (SAS) and disaster preparedness information (regulations, guidelines, materials, etc.) available to small scale fishers	Yes / no and description
The levels of awareness of fishers, their household members and government staff regarding safety at sea measures in fishing communities.	Existence and nature of SAS measures (by government regulations / local regulation / customary regulations / experiences)	Yes / no and description
Current legal frameworks / guidance for safety at sea measures.	Existence and nature of guidelines / frameworks for SAS measures	Yes / no and description
Current levels of awareness / compliance with safety regulations.	Degree of boat safety	Percentage of boats equipped with basic safety items compared to total number of existing boats
Compliance with safety measures in boat construction and in the yards where they are constructed (including the availability of data on numbers and types of boat where recorded and available).	Existence and nature of measures in boat construction and in the yards by law / local authorities	Yes / no and description
	Degree of boat builder compliance with safety measures	% complied and Description
	Degree of fishing boat registration at province / district / commune level	Percentage of registered boats in fishing fleet
	Degree of inspection coverage	% of boat inspected during operation (one year)(e.g for safety equipment and technical inspection.
The systems for recording accidents and details of the numbers (where recorded and who is involved in reporting and recording).	Existence and nature of guidelines / frameworks for accident recording and reporting at province / district / commune / community level	Responsible cooperative, procedures and systems
	Number and types of fishing accidents reported	Accident number and categories

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The systems set up to coordinate responses to safety issues and disasters.	Existence and nature of disaster/emergency response systems for at province / district / commune / community level	Yes / no and description
The current disaster preparedness systems in use and the facilities in place to utilize.	Existence and nature of guidelines / frameworks / circulars on disaster preparedness at province / district / commune / community level	Yes / no and description

**CHECKLIST FOR DISTRICT DARD**

Guiding questions	Data to be collected	Answer
<b>OUTPUT 1: FISHERIES CO-MANAGEMENT</b>		
The current understanding and expectations of the concept “co-management” among each key stakeholder group (fishers, government department, policy makers).	Degree of awareness of the term FCM by local fishers / Government Dept / Policy Makers	very aware / aware / not aware
	Degree of understading of the term FCM by local fishers / Government Dept / Policy Makers	Could be single answer questions or oral expression
	Degree of overall usefulness of FCM in fisheries resources management by local fishers / Government staff / Policy makers	No idea / very useful / useful / not useful
	Degree of overall usefulness of FCM in fisheries livelihoods improvement by local fishers / Government Dept / Policy Makers	No idea / very useful / useful / not useful
The sorts of existing policies and institutions that support or inhibit co-management and areas for strengthening them (including policies on Gender Mainstreaming)	Existence and nature of polices on FCM Implementation at province / district / commune / local levels	Yes / no and description
	Existence and nature of institutions providing support on FCM	yes / no and description
	Perceived inhibition and restriction on FCM implementation by policies and institutions at province / district / commune / local levels	Yes / no and description
	Recommendations for strengthening the policies and institutions related to FCM	Description
The attitudes and perceptions of fishers to formal and traditional management systems and conflict resolution systems.	Existence and nature of formal / informal management system in fishery resources management and use	Yes / no and description - management level (district, commune, local) - Stakeholders of the systems - How long was it set up (years) - Degree of their implementation (1 - 5) - Degree of their impact on fishery resources management

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Stakeholder practices in current management systems and recommendations for improvements.	Existence and nature of fishery management plans / activities prepared by stakeholders	Yes / no and Description
	Degree of fishers' and institutions' participation in planning / implementation / monitoring of FM plans / activities	- Active participation (sharing and consulting) - Passive participation (participated because being invited) - No participation
	Recommendations for improvements of practices in management systems	Description
Current systems for conflict resolution – including details of how systems are currently used	Existence and nature of conflict management systems at different level	Yes / no and description - Formal / informal - Legal status (if violator will be punished by local authorities / law under the system) - Operators / administrator (province/ district/ commune/local) - Stakeholders - When was it established - System mechanism and organization
	Degree of effectiveness of these systems on conflict management by fishers and institutions	Very effective, effective, not effective, no idea
The current numbers and types of stakeholder involvement in fisheries management	Method of stakeholder involvement in FM used by authorities	Type of methods (consultation meetings, etc.)
The perceptions of fishers and resource managers relating to the state of the fisheries resources and allocation of benefits from fisheries.	Perception on productivity of fisheries resources by fishers and government during the last and next five years	Decrease, increase, stable, no idea
	Perception on CPUE (catch per unit effort) by fishers and government during the last and next five years	Decrease, increase, stable, no idea (Effort = amount of time)
	Perception on diversity of fisheries resources during the last and next five years by fishers and government	Decrease, increase, stable, no idea

	Perception on lagoon and sea water pollution by fishers / government during the last and next five years	Decrease, increase stable, no idea
	Perception on current fishing capacity by fishers /government during the last and next five years	Decrease, increase stable, no idea (e.g. Number of fishing gears)
	Degree of equity in access of fisheries resources among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
	Degree of equity in allocation of fisheries benefits among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
<b>OUTPUT 2: SAFETY AT SEA</b>		
The safety at sea information and disaster preparedness information that is currently produced.	Existence and nature of safety at sea (SAS) and disaster preparedness information (regulations, guidelines, materials, etc.) available to small scale fishers	Yes / no and description
The information on safety at sea that stakeholders (govt to community) use and how they access this.	Degree of awareness on availability of SAS information by government agencies / local authorities / community organization / fishers	Very aware / aware / not aware
	Degree of accessibility to information on SAS by government agencies / local authorities / community organization / fishers	very high, high, average, low, not at all with reasons
	Existence of different channel for SAS information access	List
	Degree of fisher and government satisfaction with certain types of these channels	Very satisfied / satisfied / not satisfied
	Degree of usefulness of certain type of information on SAS by government agencies / local authorities / community organization / fishers	Very useful, useful, not useful, no idea
The levels of awareness of fishers, their household members and government staff regarding safety at sea measures in fishing communities.	Existence and nature of SAS measures (by government regulations / local regulation / customary regulations / experiences)	Yes / no and description
	Degree of awareness on certain SAS measures by fishers and government staff	Very aware / aware / not aware
Current legal frameworks / guidance for safety at sea measures.	Existence and nature of guidelines / frameworks for SAS measures	Yes / no and description

The systems set up to coordinate responses to safety issues and disasters.	Existence and nature of disaster/emergency response systems for at province / district / commune / community level	Yes / no and description
The current disaster preparedness systems in use and the facilities in place to utilize.	Existence and nature of guidelines / frameworks / circulars on disaster preparedness at province / district / commune / community level	Yes / no and description
<b>OUTPUT 4: LIVELIHOODS ENHANCEMENT AND DIVERSIFICATION</b>		
Factors that seem to help or inhibit livelihood change in target communities.	Existence and nature of existing factors that seem to help livelihood change in target communes	Yes / no and description
	Existence and nature of existing factors that seem to inhibit livelihood change in target communes	Yes / no and description
The availability of supporting services for livelihood enhancement and diversification available in pilot communities.	Existence and nature of supporting services for small-scale fishers' livelihood enhancement and diversification at province / district / commune / local levels	Yes / no and description

**CHECKLIST FOR PROVINCIAL FISHERY ASSOCIATION**

<b>Guiding questions</b>	<b>Data to be collected</b>	<b>Anwser</b>
<b>OUTPUT 1: FISHERIES CO-MANAGEMENT</b>		
The current understanding and expectations of the concept “co-management” among each key stakeholder group (fishers, government department, policy makers).	Degree of awareness of the term FCM by local fishers / Government Dept / Policy Makers	Very aware / aware / not aware
	Degree of understading of the term FCM by local fishers / Government Dept / Policy Makers	Could be single answer questions or oral expression
	Degree of overall usefulness of FCM in fisheries resources management by local fishers / Government staff / Policy makers	No idea / very useful / useful / not useful
	Degree of overall usefulness of FCM in fisheries livelihoods improvement by local fishers / Government Dept / Policy Makers	No idea / very useful / useful / not useful
The sorts of existing policies and institutions that support or inhibit co-management and areas for strengthening them (including policies on Gender Mainstreaming)	Existence and nature of polices on FCM Implementation at province / district / commune / local levels	Yes / no and description
	Existence and nature of institutions providing support on FCM	yes / no and description
	Perceived inhibition and restriction on FCM implementation by policies and institutions at province / district / commune / local levels	Yes / no and description
	Recommendations for strengthening the policies and institutions related to FCM	Description

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The attitudes and perceptions of fishers to formal and traditional management systems and conflict resolution systems.	Existence and nature of formal / informal management system in fishery resources management and use	Yes / no and description - management level (district, commune, local) - Stakeholders of the systems - How long was it set up (years) - Degree of their implementation (1 - 5) - Degree of their impact on fishery resources management
Stakeholder practices in current management systems and recommendations for improvements.	Existence and nature of fishery management plans / activities prepared by stakeholders	Yes / no and Description
	Degree of fishers' and institutions' participation in planning / implementation / monitoring of FM plans / activities	- Active participation (sharing and consulting) - Passive participation (participated because being invited) - No participation
	Recommendations for improvements of practices in management systems	Description
Current systems for conflict resolution – including details of how systems are currently used	Existence and nature of conflict management systems at different level	Yes / no and description - Formal / informal - Legal status (if violator will be punished by local authorities / law under the system) - Operators / administrator (province/ district/ commune/local) - Stakeholders - When was it established - System mechanism and organization
	Degree of effectiveness of these systems on conflict management by fishers and institutions	Very effective, effective, not effective, no idea
The current numbers and types of stakeholder involvement in fisheries management	Number of FAs and FA members in the province	Number
	Number of fishing rights allocated in the province	Number
	Method of stakeholder involvement in FM used by authorities	Type of methods (consultation meetings, etc.)

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The perceptions of fishers and resource managers relating to the state of the fisheries resources and allocation of benefits from fisheries.	Perception on productivity of fisheries resources by fishers and government during the last and next five years	Decrease, increase, stable, no idea
	Perception on CPUE (catch per unit effort) by fishers and government during the last and next five years	Decrease, increase, stable, no idea (Effort = amount of time)
	Perception on diversity of fisheries resources during the last and next five years by fishers and government	Decrease, increase, stable, no idea
	Perception on lagoon and sea water pollution by fishers / government during the last and next five years	Decrease, increase stable, no idea
	Perception on current fishing capacity by fishers /government during the last and next five years	Decrease, increase stable, no idea (e.g. Number of fishing gears)
	Degree of equity in access of fisheries resources among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
	Degree of equity in allocation of fisheries benefits among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)

**CHECKLIST FOR COMMUNE FISHERY ASSOCIATION**

Guiding questions	Data to be collected	Anwser
<b>OUTPUT 1: FISHERIES CO-MANAGEMENT</b>		
The current understanding and expectations of the concept “co-management” among each key stakeholder group (fishers, government department, policy makers).	Degree of awareness of the term FCM by local fishers / Government Dept / Policy Makers	very aware / aware / not aware
	Degree of understading of the term FCM by local fishers / Government Dept / Policy Makers	Could be single answer questions or oral expression
	Degree of overall usefulness of FCM in fisheries resources management by local fishers / Government staff / Policy makers	No idea / very useful / useful / not useful
	Degree of overall usefulness of FCM in fisheries livelihoods improvement by local fishers / Government Dept / Policy Makers	No idea / very useful / useful / not useful
The sorts of existing policies and institutions that support or inhibit co-management and areas for strengthening them (including policies on Gender Mainstreaming)	Existence and nature of polices on FCM Implementation at province / district / commune / local levels	Yes / no and description
	Existence and nature of institutions providing support on FCM	yes / no and description
	Perceived inhibition and restriction on FCM implementation by policies and institutions at province / district / commune / local levels	Yes / no and description
	Recommendations for strengthening the policies and institutions related to FCM	Description

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The attitudes and perceptions of fishers to formal and traditional management systems and conflict resolution systems.	Existence and nature of formal / informal management system in fishery resources <u>management and use</u>	Yes / no and description - management level (district, commune, local) - Stakeholders of the systems - How long was it set up (years) - Degree of their implementation (1 - 5) - Degree of their impact on fishery resources management
	Degree of conflict between formal and informal systems	Yes/ no and Description
Stakeholder practices in current management systems and recommendations for improvements.	Existence and nature of fishery management plans / activities prepared by stakeholders	Yes / no and Description
	Degree of fishers' and institutions' participation in planning / implementation / monitoring of FM plans / activities	- Active participation (sharing and consulting) - Passive participation (participated because being invited) - No participation
	Recommendations for improvements of practices in management systems	Description
Current systems for conflict resolution – including details of how systems are currently used	Existence and nature of conflict management systems at different level	Yes / no and description - Formal / informal - Legal status (if violator will be punished by local authorities / law under the system) - Operators / administrator (province/ district/ commune/local) - Stakeholders - When was it established - System mechanism and organization
	Degree of effectiveness of these systems on conflict management by fishers and institutions	Very effective, effective, not effective, no idea
The current numbers and types of stakeholder involvement in fisheries management	Number of FAs and FA members in the province	Number
	Method of stakeholder involvement in FM used by authorities	Type of methods (consultation meetings, etc.)

The perceptions of fishers and resource managers relating to the state of the fisheries resources and allocation of benefits from fisheries.	Perception on productivity of fisheries resources by fishers and government during the last and next five years	Decrease, increase, stable, no idea
	Perception on CPUE (catch per unit effort) by fishers and government during the last and next five years	Decrease, increase, stable, no idea (Effort = amount of time)
	Perception on diversity of fisheries resources during the last and next five years by fishers and government	Decrease, increase, stable, no idea
	Perception on lagoon and sea water pollution by fishers / government during the last and next five years	Decrease, increase stable, no idea
	Perception on current fishing capacity by fishers /government during the last and next five years	Decrease, increase stable, no idea (e.g. Number of fishing gears)
	Degree of equity in access of fisheries resources among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
<b>OUTPUT 3: POST HARVEST AND MARKETING</b>		
Existing policies related to post-harvest fisheries and institutions that influence post-harvest fisheries.	Existence and nature of policies on fisheries post-harvest handling	Yes/ no and description
	Degree of implementation of fisheries post-harvest policies / guidelines by province / district / commune authorities and fishers	1-5 evaluation
	Existence and nature of fisheries post-harvest institutions at province / district / commune level	Yes / no and description
<b>OUTPUT 4: LIVELIHOODS ENHANCEMENT AND DIVERSIFICATION</b>		
Factors that seem to help or inhibit livelihood change in target communities.	Existence and nature of existing factors that seem to help livelihood change in target communes	Yes / no and description
	Existence and nature of existing factors that seem to	Yes / no and description

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	inhibit livelihood change in target communes	
The availability of supporting services for livelihood enhancement and diversification available in pilot communities.	Existence and nature of supporting services for small-scale fishers' livelihood enhancement and diversification at province / district / commune / local levels	Yes / no and description

**CHECKLIST FOR COMMUNE PEOPLE COMMITTEE**

<b>Guiding questions</b>	<b>Data to be collected</b>	<b>Anwser</b>
<b>OUTPUT 1: FISHERIES CO-MANAGEMENT</b>		
The current understanding and expectations of the concept “co-management” among each key stakeholder group (fishers, government department, policy makers).	Degree of awareness of the term FCM by local fishers / Government Dept / Policy Makers	very aware / aware / not aware
	Degree of understading of the term FCM by local fishers / Government Dept / Policy Makers	Could be single answer questions or oral expression
	Degree of overall usefulness of FCM in fisheries resources management by local fishers / Government staff / Policy makers	No idea / very useful / useful / not useful
	Degree of overall usefulness of FCM in fisheries livelihoods improvement by local fishers / Government Dept / Policy Makers	No idea / very useful / useful / not useful
The sorts of existing policies and institutions that support or inhibit co-management and areas for strengthening them (including policies on Gender Mainstreaming)	Existence and nature of polices on FCM Implementation at province / district / commune / local levels	Yes / no and description
	Existence and nature of institutions providing support on FCM	yes / no and description
	Perceived inhibition and restriction on FCM implementation by policies and institutions at province / district / commune / local levels	Yes / no and description
	Recommendations for strengthening the policies and institutions related to FCM	Description
The attitudes and perceptions of fishers to formal and traditional management systems and conflict resolution systems.	Existence and nature of formal / informal management system in fishery resources <u>management and use</u>	Yes / no and description - management level (district, commune, local) - Stakeholders of the systems - How long was it set up (years) - Degree of their implementation (1 - 5) - Degree of their impact on fishery resources management
Stakeholder practices in current management systems and	Existence and nature of fishery management plans / activities prepapred	Yes / no and Description

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recommendations for improvements.	by stakeholders	
	Degree of fishers' and institutions' participation in planning / implementation / monitoring of FM plans / activities	<ul style="list-style-type: none"> <li>- Active participation (sharing and consulting)</li> <li>- Passive participation (participated because being invited)</li> <li>- No participation</li> </ul>
	Recommendations for improvements of practices in management systems	Description
Current systems for conflict resolution – including details of how systems are currently used	<p>Existence and nature of conflict management systems at different level</p> <ul style="list-style-type: none"> <li>- Formal / informal</li> <li>- Legal status (if violator will be punished by local authorities / law under the system)</li> <li>- Operators / administrator - Stakeholders</li> <li>- When was it established</li> <li>- System mechanism and organization</li> </ul>	Yes / no and description
	Degree of effectiveness of these systems on conflict management by fishers and institutions	Very effective, effective, not effective, no idea
The current numbers and types of stakeholder involvement in fisheries management	Method of stakeholder involvement in FM used by authorities	Type of methods (consultation meetings, etc.)
The perceptions of fishers and resource managers relating to the state of the fisheries resources and allocation of benefits from fisheries.	Perception on productivity of fisheries resources by fishers and government during the last and next five years	Decrease, increase, stable, no idea
	Perception on CPUE (catch per unit effort) by fishers and government during the last and next five years	Decrease, increase, stable, no idea (Effort = amount of time)
	Perception on diversity of fisheries resources during the last and next five years by fishers and government	Decrease, increase, stable, no idea
	Perception on lagoon and sea water pollution by fishers / government during the last and next five years	Decrease, increase, stable, no idea
	Perception on current fishing capacity by fishers / government during the last and next five years	Decrease, increase, stable, no idea (e.g. Number of fishing gears)
	Degree of equity in access of fisheries resources among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
	Degree of equity in allocation of fisheries benefits among resources user	1-5 evaluation (very high, high, average,

	groups by fishers / resources managers	low, not at all)
<b>OUTPUT 2: SAFETY AT SEA</b>		
The safety at sea information and disaster preparedness information that is currently produced.	Existence and nature of safety at sea (SAS) and disaster preparedness information (regulations, guidelines, materials, etc.) available to small scale fishers	Yes / no and description
The information on safety at sea that stakeholders (govt to community) use and how they access this.	Degree of awareness on availability of SAS information by government agencies / local authorities / community organization / fishers	Very aware / aware / not aware
	Degree of accessibility to information on SAS by government agencies / local authorities / community organization / fishers	very high, high, average, low, not at all with reasons
	Existence of different channel for SAS information access	List
	Degree of fisher and government satisfaction with certain types of these channels	Very satisfied / satisfied / not satisfied
	Degree of usefulness of certain type of information on SAS by government agencies / local authorities / community organization / fishers	Very useful, useful, not useful, no idea
The levels of awareness of fishers, their household members and government staff regarding safety at sea measures in fishing communities.	Existence and nature of SAS measures (by government regulations / local regulation / customary regulations / experiences)	Yes / no and description
	Degree of awareness on certain SAS measures by fishers and government staff	Very aware / aware / not aware
Current legal frameworks / guidance for safety at sea measures.	Existence and nature of guidelines / frameworks for SAS measures	Yes / no and description
The systems for recording accidents and details of the numbers (where recorded and who is involved in reporting and recording).	Existence and nature of guidelines / frameworks for accident recording and reporting at province / district / commune / community level	Responsible cooperative, procedures and systems
	Number and types of fishing accidents reported	Accident number and categories
The systems set up to coordinate responses to safety issues and disasters.	Existence and nature of disaster/emergency response systems for at province / district / commune / community level	Yes / no and description
	Degree of effectiveness of these systems in disaster preparedness and promoting safety issues by fisher / community/local authority	very effective, effective, not effective

The current disaster preparedness systems in use and the facilities in place to utilize.	Existence and nature of guidelines / frameworks / circulars on disaster preparedness at province / district / commune / community level	Yes / no and description
	Existence of plans / activities on disaster preparedness at commune / community level	Yes / no and description
	Degree of implementation of these plans / activities by fisher / community / commune staff	fully implemented / mostly / partly / not implemented
	Existence and nature of existing facilities for disaster preparedness at commune / community levels	Yes / no and description
	Degree of utilization / access of certain facilities evaluated by commune authorities / fishers / community	1-5 evaluation
	Degree of usefulness / quality of certain facilities evaluated by commune authorities / fishers / community	1-5 evaluation
<b>OUTPUT 3: POST HARVEST AND MARKETING</b>		
Existing policies related to post-harvest fisheries and institutions that influence post-harvest fisheries.	Existence and nature of policies on fisheries post-harvest handling	Yes/ no and description
	Degree of implementation of fisheries post-harvest policies / guidelines by province / district / commune authorities and fishers	1-5 evaluation
	Existence and nature of fisheries post-harvest institutions at province / district / commune level	Yes / no and description
Current levels of funding and staff deployed for post-harvest in project communities.	Amount and percentage of government / non-government budget available to support post-harvest fisheries at province / district / commune levels	Number and %
	Number and percentage of government officers working on post-harvest fisheries at province / district / commune / community level	Number and %
The knowledge and skills of the government staff with respect to post harvest fisheries.	Number / Percentage of officers working on post - harvest fisheries who have been formally / informally trained in post harvest skills and techniques	Numbe and %
	Degree of confidence of officers working on post - harvest fisheries in performing post-harvest techniques / giving instructions on post - harvest practices	Very confident / confident / not confident

<b>OUTPUT 4: LIVELIHOODS ENHANCEMENT AND DIVERSIFICATION</b>		
Factors that seem to help or inhibit livelihood change in target communities.	Existence and nature of existing factors that seem to help livelihood change in target communes	Yes / no and description
	Existence and nature of existing factors that seem to inhibit livelihood change in target communes	Yes / no and description
The availability of supporting services for livelihood enhancement and diversification available in pilot communities.	Existence and nature of supporting services for small-scale fishers' livelihood enhancement and diversification at province / district / commune / local levels	Yes / no and description

**CHECKLIST FOR SUB-DEPARTMENT OF RURAL DEVELOPMENT AND AGRI PRODUCT QUALITY CONTROL**

Guiding questions	Data to be collected	Anwser
<b>OUTPUT 3: POST HARVEST AND MARKETING</b>		
Quality of selected fish products in selected market chains against national (or international if needed) standards.	Percentage of selected fish products meeting national / international safety standards	(Percentage of the production of selected fish products in selected market chains that meet national / export standards) (For example: 50% of black tiger shrimp production meet export standards)
Current per capita consumption of fish locally and nationally (where figures or proxy figures exist).	National / provincial / local per capita consumption of fish	Per capita consumption of fish
The distribution and use of fish and fisheries products from the project site in local and national markets.	Distribution of local fish and fisheries products in local, national, and international markets	Percentage of production / amount of selected fish / fisheries products that is consumed locally, in provincial market, in national market and in international market)
Existing policies related to post-harvest fisheries and institutions that influence post-harvest fisheries.	Existence and nature of policies on fisheries post-havest handling	Yes/ no and description
	Degree of implementation of fisheries post-havest policies / guidelines by province / district / commune authorities and fishers	1-5 evaluation
	Existence and nature of fisheries post-havest institutions at province / district / commune level	Yes / no and description
Current levels of funding and staff deployed for post-harvest in project communities.	Amount and percentage of government / non-government budget available to support post-harvest fisheries at province / district / commune levels	Number and %

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	Number and percentage of government officers working on post-harvest fisheries at province / district / commune / community level	Number and %
The knowledge and skills of the government staff with respect to post harvest fisheries.	Number / Percentage of officers working on post - havest fisheries who have been formally / informally trained in post havest skills and techniques	Numbe and %
	Degree of confidence of officers working on post - havest fisheries in performing post-havest techniques / giving instructions on post - havest practices	Very confident / confident / not confident

## CHECKLIST FOR DISTRICT TRADE DEPARTMENT

Guiding questions	Data to be collected	Anwser
<b>OUTPUT 3: POST HARVEST AND MARKETING</b>		
Quality of selected fish products in selected market chains against national (or international if needed) standards.	Percentage of selected fish products meeting national / international safety standards	(Percentage of the production of selected fish products in selected market chains that meet national / export standards) (For example: 50% of black tiger shrimp production meet export standards)
Current per capita consumption of fish locally and nationally (where figures or proxy figures exist).	National / provincial / local per capita consumption of fish	Per capita consumption of fish
Existing policies related to post-harvest fisheries and institutions that influence post-harvest fisheries.	Existence and nature of policies on fisheries post-havest handling	Yes/ no and description
	Degree of implementation of fisheries post-havest policies / guidelines by province / district / commune authorities and fishers	1-5 evaluation
	Existence and nature of fisheries post-havest institutions at province / district / commune level	Yes / no and description
Current levels of funding and staff deployed for post-harvest in project communities.	Amount and percentage of government / non-government budget available to support post-harvest fisheries at province / district / commune levels	Number and %
	Number and percentage of government officers working on post-harvest fisheries at province / district / commune / community level	Number and %
The knowledge and skills of the government staff with respect to post harvest fisheries.	Number / Percentage of officers working on post - havest fisheries who have been formally / informally trained in post havest skills and techniques	Numbe and %

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	Degree of confidence of officers working on post - harvest fisheries in performing post-harvest techniques / giving instructions on post - harvest practices	Very confident / confident / not confident
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**CHECKLIST FOR MASS ORGANIZATIONS**

Guiding questions	Data to be collected	Anwser
<b>OUTPUT 4: LIVELIHOODS ENHANCEMENT AND DIVERSIFICATION</b>		
Factors that seem to help or inhibit livelihood change in target communities.	Existence and nature of existing factors that seem to help livelihood change in target communes	Yes / no and description
	Existence and nature of existing factors that seem to inhibit livelihood change in target communes	Yes / no and description
The availability of supporting services for livelihood enhancement and diversification available in pilot communities.	Existence and nature of supporting servcies for small-scale fishers' livelihood enhancement and diversification at province / district / commune / local levels	Yes / no and description
<b>OUTPUT 5: MICRO FINANCE</b>		
Current formal financial institutions operating in the project areas, their perception of the fisheries activities and the proportion of fisher folks among their local clientele base.	Existence and nature of formal financial institutions available to local fishers	Yes / no and description
	Level of priority of fisheries activities compared to other activties by formal financial institutions	Priority order of fishery activties as compared to other activities
	Proportion of fishers among local clientele base of certain formal financial institutions	%
	Degree of evaluation of perceived_risk of different fisheries activities by formal financial institutions	1-5 evaluation
	Degree of repayment of fisheries activities by _formal financial institutions	%
Current levels of borrowing and savings of the community members with formal financial institutions (e.g. commercial banks, rural banks, licensed microfinance institutions, etc.)	Maximum, minimum, and average size of savings and loan provided by different formal financial institutions to local fishers	Maximum and minimum size of loan

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	Proportion of fishers with the saving and loan with formal financial Institutions	%
General level of donations from which have beneficiated the existing microfinance institutions. Resulting level of sustainability (e.g. measure of their Operational Self Sufficiency)	Level of financial dependence of different microfinance institutions on donors	Fully dependant / most dependant / partly dependant / independent
	Level of technical dependence of different microfinance institutions on the donors	Fully dependant / most dependant / partly dependant / independent
	Level of human resource dependence of different microfinance institutions on the donors	Fully dependant / most dependant / partly dependant / independent
	Degree of sustainability of different microfinance institutions (1-5)	Sustainable: financially / human / technically sustainable Mostly sustainable: 2 out of 3 factos are sustainable Partly sustainable: 1 out of 3 Not sustainable: none

## CHECKLIST FOR DISTRICT EXTENSTION STATION

Guiding questions	Data to be collected	Anwser
<b>OUTPUT 1: FISHERIES CO-MANAGEMENT</b>		
The current understanding and expectations of the concept “co-management” among each key stakeholder group (fishers, government department, policy makers).	Degree of awareness of the term FCM by local fishers / Government Dept / Policy Makers	very aware / aware / not aware
	Degree of understading of the term FCM by local fishers / Government Dept / Policy Makers	Could be single answer questions or oral expression
	Degree of overall usefullness of FCM in fisheries resources management by local fishers / Government staff / Policy makers	No idea / very useful / useful / not useful
	Degree of overall usefullness of FCM in fisheries livelihoods improvement by local fishers / Government Dept / Policy Makers	No idea / very useful / useful / not useful
The attitudes and perceptions of fishers to formal and traditional management systems and conflict resolution systems.	Existence and nature of formal / informal management system in fishery resources management and use	Yes / no and description - management level (district, commune, local) - Stakeholders of the systems - How long was it set up (years) - Degree of their implementation (1 - 5) - Degree of their impact on fishery resources management
	Recommendations for improvements of practices in management systems	Description

Current systems for conflict resolution – including details of how systems are currently used	Existence and nature of conflict management systems at different level Formal / informal - Legal status (if violator will be punished by local authorities / law under the system) - Operators / administrator (province/ district/ commune/local) - Stakeholders - When was it established - System mechanism and organization	Yes / no and description
	Degree of effectiveness of these systems on conflict management by fishers and institutions	Very effective, effective, not effective, no idea
The perceptions of fishers and resource managers relating to the state of the fisheries resources and allocation of benefits from fisheries.	Degree of equity in access of fisheries resources among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)
	Degree of equity in allocation of fisheries benefits among resources user groups by fishers / resources managers	1-5 evaluation (very high, high, average, low, not at all)

#### **OUTPUT 4: LIVELIHOODS ENHANCEMENT AND DIVERSIFICATION**

Factors that seem to help or inhibit livelihood change in target communities.	Existence and nature of existing factors that seem to help livelihood change in target communes	Yes / no and description
	Existence and nature of existing factors that seem to inhibit livelihood change in target communes	Yes / no and description
The availability of supporting services for livelihood enhancement and diversification available in pilot communities.	Existence and nature of supporting services for small-scale fishers' livelihood enhancement and diversification at province / district / commune / local levels	Yes / no and description

**CHECKLIST FOR FISH PROCESSING UNITS / HOUSEHOLDS**

Guiding questions	Data to be collected	Anwser
<b>OUTPUT 3: POST HARVEST AND MARKETING</b>		
The role of fish processing to HH economy	Vai trò của nghề chế biến đối với gia đình	Nghề chính hay phụ? Đóng góp bao nhiêu % thu nhập gia đình? Bao nhiêu người trong độ làm nghề này? Thuê thêm bao nhiêu lao động? Doanh thu mỗi năm bao nhiêu?
The current levels of post-harvest skills, knowledge and practices.	Kỹ năng và kiến thức về phương pháp và kỹ thuật chế biến	Các sản phẩm chế biến là gì? Dùng phương pháp, kỹ thuật gì? Có phương pháp nào biết mà không sử dụng được không? Tại sao? Có thông thạo về kỹ thuật phương pháp đó không? Tự nhận xét về kỹ năng và kiến thức chế biến (rất tốt / tốt / bình thường / kém / rất kém)
	Mức độ áp dụng các phương pháp trong chế biến thủy sản	Kỹ thuật / phương pháp nào được sử dụng thường xuyên, phương pháp nào ít được sử dụng; Tại sao?
	Tập huấn về chế biến	Trong 3 năm qua, có tham gia khóa tập huấn nào về bảo quản chế biến không, nếu có nội dung gì và bao lâu?
Post-harvest facilities available and being used by fisher communities.	Phương tiện thiết bị chế biến	Có những phương tiện, thiết bị nào dùng cho bảo quản, sơ chế và chế biến
	Hiện trạng hoạt động của các thiết bị này	Mới, cũ, hoạt động tốt, không hoạt động...
	Mức độ sử dụng của các thiết bị	Tần suất sử dụng và hiệu quả của nó
Quality of selected fish products in selected market chains against national (or international if needed) standards.	Tỉ lệ sản lượng các sản phẩm đạt tiêu chuẩn an toàn / chất lượng quốc gia và quốc tế	Các sản phẩm chế biến thủy sản chính của hộ? Tỉ lệ sản lượng sản phẩm thủy sản chính đủ tiêu chuẩn xuất khẩu
Degree of perceived influence on the market by fishers and fish processors.	Mức độ ảnh hưởng đến thị trường của một số sản phẩm thủy sản chính	Mức độ tiếp cận thị trường và tính chủ động trong giao dịch mua bán đối với các sản phẩm này; NCơ sở chế biến có thể tác động đến giá cả, thị trường không? Mức độ tác động.

The distribution and use of fish and fisheries products from the project site in local and national markets.	Phân phối các sản phẩm thủy sản	Tỉ lệ sản lượng sản phẩm chế biến thủy sản chính tiêu thụ ở địa phương / thị trường trong tỉnh / trong nước / quốc tế
	Các đối tác thu mua sản phẩm thủy sản từ ngư dân và người chế biến	Tỉ lệ sản lượng sản phẩm chế biến thủy sản chính được bán thông qua người trung gian (con buôn); bán cho các cơ sở chế biến tại địa phương, nhà máy đông lạnh, tiêu thụ tại chợ trong xã, khác)
	Sản lượng thủy sản / sản phẩm thủy sản sử dụng cho các mục đích khác nhau	Tỉ lệ sản lượng chế biến thủy sản dùng cho các mục đích khác nahu: không sử dụng được; dùng cho hộ; dùng làm thức ăn cho gia súc / cá; chế biến để gia đình dùng; chế biến để bán; tiêu thụ trong tỉnh; xuất khẩu )
Existing policies related to post-harvest fisheries and institutions that influence post-harvest fisheries.	Các chính sách về bảo quản chế biến thủy sản sau thu hoạch (đánh bắt) ở các cấp	Liệt kê các chính sách; chính sách nào đang được áp dụng ở cộng đồng; tại sao một số chính sách không được triển khai ở cộng đồng?
	Sự thực hiện các chính sách / hướng dẫn về bảo quản chế biến thủy sản sau thu hoạch	Đánh giá mức độ thực hiện các chính sách theo các mức "Thực hiện hoàn toàn / phần lớn / một phần / không thực hiện"; lý do tại sao?
	Các cơ quan liên quan đến bảo quản chế biến thủy sản sau thu hoạch ở các cấp	Liệt kê các cơ quan liên quan đến bảo quản chế biến thủy sản sau thu hoạch ở các cấp ; cơ quan nào đang hoạt động ở cộng đồng; vai trò của cơ quan đó?

#### OUTPUT 4: LIVELIHOODS ENHANCEMENT AND DIVERSIFICATION

Attitudes towards changing or diversifying livelihoods in pilot communities.	Có hài lòng với nghề hiện tại (chế biến thủy sản) không? Tại sao?	Rất hài lòng / hài lòng / không hài lòng? Tại sao?
	Gia đình còn làm nghề gì khác	Số lượng nghề trong gia đình
	Có muốn thay đổi hoặc đa dạng nghề không? Tại sao?	Rất mong muốn / mong muốn / không mong muốn / không biết
Factors that seem to help or inhibit livelihood change in target communities.	Các yếu tố kích thích / cản trợ sự đa dạng hóa và thay đổi sinh kế	
The availability of supporting services for livelihood enhancement and diversification available in pilot communities.	Các dịch vụ hỗ trợ thay đổi / cải thiện sinh kế	Mức độ hiểu biết về các dịch vụ này, đánh giá vai trò và hiệu quả của các dịch vụ (rất hiệu quả, hiệu quả, không hiệu quả); Đánh giá sự hài lòng về giá cả và chất lượng của dịch vụ (rất hài lòng, hài lòng và không hài

		(lòng)
Fishers and their household member's perceptions and levels of satisfaction regarding the supporting services for livelihood enhancement and diversification available in the pilot communities	Các cơ quan / đơn vị hỗ trợ thay đổi / cải thiện sinh kế	Mức độ hiểu biết về các cơ quan / đơn vị này, đánh giá vai trò và hiệu quả của các cơ quan / đơn vị (rất hiệu quả, hiệu quả, không hiệu quả); Đánh giá sự hài lòng về sự hữu ích của các cơ quan / đơn vị (rất hữu ích, hữu ích và không hữu ích)
<b>OUTPUT 5: MICRO FINANCE</b>		
Levels of awareness for accessing financial services in pilot communities.	Nhận thức và hiểu biết về các kênh tín dụng cho vay để chế biến thủy sản	Biết có hay không?; Liệt kê một số chương trình; Biết như thế nào (Rất rõ, rõ, không biết)
Access of formal and informal credit schemes	Mức độ tiếp cận chương trình tín dụng nhà nước / tư nhân cho hoạt động chế biến thủy sản	Có dễ để vay vốn nhà nước để chế biến thủy sản không?; Ngân hàng có ưu tiên cho vay để chế biến thủy sản không; So với các hoạt động khác, vay để chế biến thủy sản khó hơn hay dễ hơn; Vay để sản xuất chế biến thủy sản có rủi ro không? Mức độ rủi ro (rất cao, cao, bình thường, thấp, không); Tại sao?; Vay tư nhân và vay nahi nước, vay nơi nào dễ hơn? Thích vay từ nhà nước hơn hay tư nhân hơn? Tại sao?
Current levels of borrowing and savings of the community members with formal financial institutions (e.g. commercial banks, rural banks, licensed microfinance institutions, etc.)	Mức vay	5 năm qua có vay vốn không? Vay ở đâu? Bao nhiêu? Dùng để làm gì?
Recent or current access of the community members to (government) subsidized credit lines.	Tiếp cận tín dụng ưu đãi	Có biết chương trình tín dụng ưu đãi nào cho chế biến thủy sản không? Có biết quy chế cho vay không? Có thuộc đối tượng vay không? Có vay không? Bao nhiêu? Khi nào?