

Good Urban Governance in South Asia (GUGSA)

***Topical Inventory of
Good Municipal Practices in
Tsunami Perspective in Thailand***

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List of Abbreviations

ACVTD	Assistance Center for Victims of the Tsunami Disaster
ADPC	Asian Disaster Preparedness Center
BMA	Bangkok Metropolitan Administration
CODI	Community Organizations Development Institute
DDPM	Dept. Disaster Prevention and Mitigation
DLGP	Dept. of Local Government Promotion
DM	Disaster Management
DRM	Disaster Risk Management
FY	Financial year
GDP	Gross Domestic Production
GPP	Gross Provincial Production
GUG	Good Urban Governance
GUGSA	Good Urban Governance in South Asia
INGO	International Non Governmental organizations
JICA	Japanese International cooperation Agency
MOU	Memorandum of Understanding
NDC	National Decentralization Committee
NGO	Non Governmental Organizations
PCA	Pathaya City Administration
PAO	Provincial Administration Organizations
RTG	Royal Thai Government
RUDO/SA	Regional Urban Development Office of South Asia
SAR	Search and Rescue
SOW	Scope of Work
TAO	Tambon (sub-district) Administrative Organizations
TAT	Tourism Authority of Thailand
TICA	Thai International Cooperation
TCGI	
UNCHS	United Nations Development Program United Nations Center for Human Settlement (UN-HABITAT)
UNDP	United Nations Development Program
UNESCAP	United Nations Economic & Social Commission for Asia & the Pacific
USAID	United States Agency for International Development

EXECUTIVE SUMMARY

Within the initiative that aimed at promoting Good Urban Governance in South Asia (GUGSA) the Regional Urban Development Office of South Asia (RUDO/SA) of the United States Agency for International Development (USAID) modified its scope to include post Tsunami activities undertaken by local government bodies with the expectation of building the good governance practices in a totally unforeseen scenario to add value to the GUGSA's existing strength of regional networking.

The Asian Disaster Preparedness Center (ADPC) was requested to prepare a topical inventory of good urban governance practices in the Tsunami perspective in Thailand.

The complexities created by Tsunami in terms of loss of lives, physical devastations, economic losses and instability of the national economy spontaneously brought the national leaders to take the leadership role in managing the crisis situation. The inherent cultural, religious and social traditions and practices in the Thai society and Royal Patronage influenced to a very great extent the post tsunami relief and recovery operations. Given its capacity and resources Thailand did not request international financial assistance therefore the role played by the international community was relatively small. The Thai corporate sector contributed to the speedy recovery process.

Given the factors that are unique to Thailand, the standard Good Urban Governance practices in global sense has limited applicability in general and in the situation of tsunami in particular. The study focus on the principles /attributes of good governance stated in the Scope Of Work (SOW) as they apply to the corresponding phase of the post Tsunami operation process instead of applying all principles equally across the entire spectrum. The Tsunami had devastating impacts on the areas administered by local bodies in six provinces of Thailand. The municipal bodies were neither autonomous nor competent to manage their standard functions let alone to face an unprecedented challenge like Tsunami at the time it hit Thailand in December 2006.

Thailand is now ready to commemorate second anniversary of Tsunami. The national governmental agencies have completed fully the recovery activities and are now in the process of sustaining the momentum gathered. The potential areas of Tsunami threats are covered with early warning systems, evacuation plans, emergency response teams and operations. The safety and security of tourists both local and foreign, is a key concern in this effort. The municipalities have successfully managed to bring back destroyed environmental services to attract tourists.

In the presence of such an unprecedented recovery in physical terms, it was difficult to involve officials of local authorities to provide information on the projects they have completed. Discussing principles of good governance seems less important and some times irrelevant for the municipalities. The language added further complications.

From the point of view of people too the Tsunami is history. The tourists are arriving at prior Tsunami rate filling all hotel rooms starting from October 2006. The livelihoods of the people in the Tsunami affected areas depend on the tourism. They are too busy in earning their lost income with the influx of the tourists. The participation in governance matters of local government is not even a matter of concern that the general public is keen.

The good governance principles practiced by the municipalities in Tsunami affected areas were found similar in character as the scope of activities assigned to local government in post Tsunami perspective was limited to one homogeneous activity, namely clearing debris and waste disposal. However, Patong Municipality of Phuket province has shown significantly high level of performance after Tsunami in many areas of municipal services.

Chapter 1

Methodology

1.1. Introduction

USAID's Regional Urban Development Office of South Asia (RUDO/SA) in collaboration with the region's bilateral USAID Missions has initiated an activity in 2001 aimed at promoting Good Urban Governance in South Asia (GUGSA). The purpose of this initiative was to document, disseminate and demonstrate best practices of local bodies in order to improve the response capacity of local urban governments within the respective countries in the South Asia.

However in the aftermath of Tsunami that hit the region on 26 December 2004, the scope of this initiative was modified to include post Tsunami activities undertaken by local government bodies with the expectation of building the good governance practices in a totally unforeseen scenario to add value to the GUGSA's existing strength of regional networking.

Within this scope an Agreement was made between TCG International, LLC and Asian Disaster Preparedness Center (ADPC) on 18 July 2006 retaining the services of ADPC to provide the following services.

- Inventory of Good Governance practices in post-Tsunami assistance activities produced through participatory evaluation
- Preparation of a Case Study of one example of good governance in Tsunami impacted areas
- Dissemination of the Case Study prepared according to an information dissemination plan designed to reach appropriate local government officials

The activities envisaged to be carried out in compliance of this Agreement estimated a time period of six months commencing from 18 July 2006 with a provision of extending this period if necessary. The main thrust of the exercise is: "Good Urban Governance practices from post-tsunami perspective in Thailand". The Scope of Work (SOW) assigned to ADPC consists of three components as listed:

1. Topical Inventory of Good Municipal Practices
2. Development of a Case study
3. Case study printing and dissemination

This Chapter explains the methodology and the process that the ADPC adopted in fulfilling its obligations under the Memorandum of Understanding (MOU) entered into with TCGI.

1.2. The Methodology

Based on the main thrust of the SOW, i.e good urban governance practices from post-Tsunami perspective in Thailand, the methodology adopted by ADPC strictly adhered to the each specific task and its contents given in the SOW. This methodology composed of number of tools given the nature of the study.

The preparation of the Topical Inventory was delayed due to an unforeseen situation connected with the logistics for the study. Having lost nearly three months after signing the MOU, its late start led to certain difficulties in material collection. However ADPC with its determination of not compromising the quality of the final output took immediate measures to overcome that challenge by intensifying its effort to undertake the tasks specified in the SOW.

The following table presents the tasks as they appear in the SOW and corresponding tools adopted by the ADPC in each specific Task. It should be noted here that no tool was used in isolation but in a mix depending on their appropriateness to the situation analyzed.

Tasks and Methodology adopted for the preparation of the Topical Inventory

Tasks as per SOW	Tools
1. Develop a list of stakeholders	Literature survey Review of literature on Decentralization in Thailand Literature review on Good Governance Brain storming and in house discussions
2.General Information	Review of literature on government structure in Thailand and the status of local government bodies following decentralization Interviews and discussions with relevant officials in the Royal Thai Government (RTG)
3.Wide Evaluation	Review of published data and information (secondary data) Focused group discussions with structured questions Small group discussions using 'Ethnographic methodology' Field observations in the Tsunami affected areas to collect primary data on Post Tsunami activities through relief to recovery phases (up to the time of the field visits in Nov 2006.) Investigative observations
4.Short listing and more in-depth research	Collection and review of secondary data and information Interviews and group discussions

The process followed during this intensive period of the exercise while using the above tools, is explained below.

Task 1. Develop a list of Stakeholders

In developing a list of stakeholders, an attempt was made to disaggregate the Task 1 in to further sub activities as given below

- List of institutions that have interest/impact on the project on Good Urban Governance (GUG) in Thailand in Post Tsunami perspective
- Include financial and human resources consumed as a result of Tsunami during relief and recovery phases
- Define the term “URBAN”, in the context of Thailand, using parameters such as demographic, socio-economic, geographic etc
- Define the term “Governance” in the perspective of Disaster and Emergency Management.

The five principals stated in the SOW are further screened in order to apply them in Disaster management and particularly in the emergency management. Good governance in Disaster Management (DM) is not a goal but an evolutionary process of constantly improving political and social environment for greater transparency, accountability, performance and equitable control of assets after a disaster. In this sense the characteristics of Good Governance appropriate to Crisis Decision making process and the process of their implementation and un- implementation was determined by brainstorming and in house discussions.

Task 2. General Information

Similar to the process undertaken in Task 1 above, a detail account of the requirement of Task 2 was developed as given below.

- Introduction to government structure in Thailand in general
- Process of decentralization and present organizational structure of local authorities following the Decentralization Master Plan of 2001 focusing on the evolving nature of local authorities in Thailand,
- Relationship between national and local government
- Capacity of local authorities in general and emergencies in particular given the crisis situation and the nature of the devastating impact created by Tsunami (such as handling of rapid decomposing of human bodies, burials, recoding, preparation of legal and forensic documents to meet the international standards in the case of foreigners etc)
- A comprehensive assessment of legal, financial, technical and managerial capacity of local authorities at the time of the Tsunami
- Role of national government in Disaster Risk Management (DRM) in different phases from emergency to reconstruction integrating preparedness and mitigation

- Role of other actors i.e Royalty, Military and other Forces, Multi lateral and bi—lateral donors, INGOs, NGOs, Private sector, Philanthropists, individuals etc.
- Comparison of emergency response programs undertaken by local authorities in Tsunami affected areas with those of other actors

ADPC was of the view that any study on GUG in Tsunami context in Thailand will not be meaningful without an understanding of the role played by more powerful actors given the gravity of the overwhelmingly tragic situation in the country. Hence an attempt was made to bring in the larger picture of the Post-Tsunami activities together with the respective players so that the role of the Municipals could be better elaborated under Task 3.

Task 3. Wide evaluation

In order to focus on the wider picture the Task 3 too was further disaggregated in to the following sub activities:

- Describe the impact of Tsunami, the extent of destruction with data
 1. Casualties, injured and missing people, children orphaned, women victims (gender disaggregated data)
 2. Damage and Loss Assessment - Economic loss i.e large number of casualties among tourists
The damage to tourism infrastructure and other infrastructure
 3. Disruptions to Municipal systems and administration
- List actions/practices of minimum five seriously affected Municipalities starting from day 1 of Tsunami till completion of Rehabilitation and reconstruction. Also list futuristic actions i.e preparedness and mitigation practices undertaken by these MCs

This Task involved number of meetings, discussions, interviews etc. in addition to field observations. The large picture of Tsunami recovery is history in the context of Thailand, Therefore inquiring into a bitter past experience which resulted in a severe emotional stress was a difficult task. However, qualitative assessments have to be formed in reflecting the ground reality under the given circumstances.

Task 4. Short listing and more in-depth research on five Municipalities out of Task 3

Here too the approach was to understand the exact requirements of the Task 4. This was achieved by further analyzing the final outcome expected under this Task as given below.

- Clearly state the Principals of Good Urban Governance that will be applied in Post Tsunami disaster relief, recovery rehabilitation and reconstruction context.
- Identify a set of tools/methodologies to be used in this task
- Carry out field work to collect further information
- List out the activities, projects /interventions (provide detail descriptions of the intervention, Budget, source of funding, implementing agency etc.)
- Arrange a final list of good practices identified in the field for further screening by TCGI

The document on the Topical Inventory is divided in to five chapters in addition to the Executive Summary given at the beginning of the document. These chapters are addressing the requirements of the SOW and to that extent each chapter represents the outcome of the process adopted. An attempt was made to summarize the essence of each chapter. This is reflected in the “Conclusion” given at the end of each chapter.

1.3. Conclusion

The preparatory process of the topical inventory of good urban governance practices in the Tsunami perspective used several tools as stated above. The final inventory largely reflects the information in qualitative terms based on the results of the above process rather than in quantitative terms.

Chapter 2

The Stakeholders

2.1. Introduction

The study of Good Urban Governance in post tsunami perspective in Thailand should invariably look into the evolving process of local administration in the country. In this context there are a number of agencies within the Royal Thai Government (RTG) that has a stake in decentralizing the powers and functions of economic, social, political, financial and administrative authority to manage affairs at the local level.

The Tsunami that hit the six Provinces of Thailand brings more stakeholders to this picture. Therefore an attempt is made in this section to list all those stakeholders irrespective of the size or the extent of their respective role in the decentralization as well as addressing the Post Tsunami emergency through relief, reconstruction and rehabilitation phases, including long term disaster risk reduction measures.

The purpose of listing all these stakeholders is twofold. One is to highlight the status of the urban local authorities/bodies in terms of their autonomy and capacity. The other is to assess the role of other actors vis-à-vis the role of local authorities in the overwhelmingly disastrous situation that affected six Provinces in Thailand. The study however will concentrate more on critical stakeholders.

2.2. The Stakeholders

The agencies that are listed below are the most relevant and critical entities in the study. These agencies are classified in to 7 categories for the purpose of this study given its specific requirement of addressing the Good Urban Governance in Tsunami perspective.

2.2.1. Agencies/Institutions of the RGT responsible for local administration in general

The political framework of the central-local government relationship in Thailand has a long history that goes back to the reforms of Chakri dynasty undertaken between 19th century and early 20th century. The Decentralization gained momentum in 1990s following the years of progress. It is therefore correct to assume that the decentralization in Thailand is still under way at an unprecedented pace. The “Current decentralization is called “*the second wave of local administration*” (JICA 2001), having initiated its first wave in the 19th century.

In the process of shifting central government’s authority and responsibility including financial and human resources to local government, the following agencies play a significant role;

1. Prime Minister’s office
2. Ministry of Interior
3. Dept. of Local Administration of the Ministry of Interior
4. Dept. of Local Government Promotion (DLGP) of the Ministry of Interior
5. Local Public Service Commission
6. Local Government Development Affairs Division
7. National Decentralization Committee (NDC) and Office of the Decentralization to Local Government Organization Committee. Physically housed in the Prime Minister’s office
8. National Economic and Social Development Board
9. National Institute of Development Administration
10. Provincial Administrative Organization
11. Municipal League of Thailand

2.2.2 Agencies involved in Tsunami Relief and Recovery activities

The Tsunami that struck Thailand was the greatest natural disaster in the history of the country. The tremendous grief over the loss of human life and unprecedented damage and destruction in its wake, Tsunami brought in significant number of players within the country as well as from outside to the affected provinces. The Royal Thailand Government (RTG) took over the exclusive control of the situation having declared national emergency with no appeal for international monetary assistance.

RTG adopted a three phase response strategy to the Tsunami. The Phase one concentrated on search and rescue (SAR) of survivors and the recovery and identification of human remains. The phase two focused on preventing infectious diseases and secondary losses amongst the survivors. The phase three aimed at reconstruction and longer term rehabilitation of those affected.

In addition to the agencies mentioned in 1.2.1 there were several other agencies of the RTG as well as other organizations that supported the efforts of RTG in all three phases of the post-disaster operations. These agencies are listed below.

A. Military including Royal Thai Air force and Royal Navy working together with Search and Rescue volunteers from Japan, Korea and other countries with national volunteers

B. Key Ministries of Thai Government

- Finance
- Labor and Social Welfare
- Natural Resources and Environment
- Public Health
- Science and technology
- Tourism and Sports
- Foreign Affairs

C. Key Departments and agencies of the Central Government

- Post and Telegraph – Disaster Warning Coordination Center
- Dept. Disaster Prevention and Mitigation (DDPM) of Ministry of Interior including its Provincial Offices
- Water Transportation and Merchant Marine
- Fisheries
- Mental Health (A Large number of psychologists and medical volunteers helped depressed Tsunami victims)
- Social Security Office
- Labor and Social Welfare – Employee Subsistence Fund provided aid to those who became temporarily unemployed

D. Special Committees and Sub-committees established after Tsunami

- Assistance Center for Victims of the Earthquake and Andaman Coastline Tidal Wave
- Assistance Center for Victims of the Tsunami Disaster (ACVTD)
- 13 Sub-committees set up by the Govt. to ‘aid victims and coordinate relief’. These were established under the following thematic areas
 - Foreign Tourists
 - Victims
 - Affected Fishermen
 - Unemployed
 - Small enterprises
 - Large enterprises
 - Shelter to the affected

- Affected students
- Affected Government Units
- Refund to the Govt. agencies that had made advance payments
- Fringe benefits to Government employees
- Preparation of database on relief efforts and for problem solutions in the 6 Provinces
- Reconstruction of the infrastructure and public works

E. NGOS and Civil Society Organizations

- The Save Andaman Network (This is composed primarily of several local organizations which have been working with small-scale fisher folk communities)
- The Collaborative Network for the Rehabilitation of Andaman Communities and Natural Resources (This is a network of nearly 50 National organizations)
- Thai Red Cross and IFRC
- The Pean Peung (Pa)
- Yam Yak Foundation
- The Royal Rachaprapanykroh Foundation
- Kusoltam Foundation of Phuket
 - The Ruam Jai Ku Pai Foundation
 - Phuket Pharmacists Club

F. International Organizations

- Multilateral and bi-lateral donors
- National Prevention Army of Japan
- International NGOs e.g World Vision, CARE
- Tsunami Regional trust Fund (Established by the Thai Govt. with a contribution of U.S.\$ 10 million as seed money and managed by UNESCAP)

G. Private Sector

- Tourist Hotel Owners and investors
- Thai Corporate Sector (e.g. Thai Oil Co. Ltd., PTT Exploration and Production Public Company Ltd, Thai Micheklin Siam etc.)
- Banks (City Bank)

H. Others

- Universities
- Community Organizations Development Institute (CODI)

The current study on good urban governance will not be complete if it fails to focus on another important stakeholder in respect of the Tsunami. That group consists of the actual victims and affected people of this overwhelmingly tragic disaster. The study therefore made a special effort to meet these groups and individuals in order to collect data and information required for the study:

- Individual victims, women and children and special community group named “Chou Lay” in Thai (They are the Sea Gypsies) in Tsunami affected Provinces
- School teachers and students
- Clergy and religious bodies (Funerals were largely handled by two temples)
- Hoteliers, staff of hotels, beach vendors, beach attendants, boat owners, tour guides, masseuses (ladies on the beach providing massage), tattoo workers
- Fisherman, fish vendors and others in the fishing industry
- City officials including Mayor, Deputy Mayor, Medical Officer, Engineer, sanitary staff and others (At least one from each category)
- Provincial Governor or Deputy governor
- Govt. agencies and other bodies highlighted above

2.3. The Resources

The Tsunami generated unprecedented resources in terms of financial as well as physical form to provide immediate relief required and also to assist in recovering from the destruction. It is not easy to account the funds received in the immediate aftermath of the disaster. The RTG put in place several schemes to assist and compensate victims. These compensation packages covered not only fishermen, small vendors, large business entrepreneurs, unemployed people, Tsunami affected students but also foreign tourists, The Website of Prime Ministers Office reported in November 2005 that 258, 328 people had been provided assistance under these schemes. In addition Ministries of Interior, Education, Labor and Fisheries have provided compensation to affected people who were able to prove their legitimate rights. The Web sites of the Ministries and departments of the RTG provide data on funds disbursed by the governmental agencies. An attempt is made in the Table 1 to summarize the published data and the other funding resources reported to have made available to supplement the resources of the Govt. However, it should be emphasized that no attempt was made to reconcile these data given the complexity of sources of information.

Table 1. Financial Resources Made Available /Disbursed for Tsunami Relief and Recovery Activities

Source of Funding	Description	Amount in Baht Billion	Foreign Currency In U.S.\$ million
Royal Thai Government	Prime Minister's Office	0.9	
	Ministry of Defense	0.35	
	Preliminary Emergency Budget	30.0	
	For individual agencies and 13 Govt. Committees	5.94	
	Emergency stage	3.32	
	Fisheries	5.15	10.755
	For Local Administration bodies for 197 rehabilitation & Reconstruction Projects	0.951	
Thai Royalty	Rajaprapanukroh Foundation	0.03	
	Chaipattana Foundation	0.02	
	Somdej Ya Charity Foundation	0.01	
	Kor Wor Foundation	0.01	
Others	Thai Red Cross	0.025	
	Celine Dione, Steve Spielberg & Sandra Bullock		4.5
	Lenardo Caprio		1.0
	Michal Schumacker		10.0
	Tiger Woods		0.1
	Thai & Foreign Private sector	1.433	
	15 Countries organization help to Phuket to build 2 public health centers, repair 3 schools, build Ad. Building of Kamala beach, fishing industry, houses, utilities and scholarships, support for SME	0.082	
	Private Telephone companies		

Note: The accuracy of the amounts not verified

Sources: 1. December 26, 2004 The Tsunami in Phuket

2. 1 Year Memory of Tsunami, 26 December 2005, Thailand

3. Tsunami Thailand One Year Later, National response and Contribution of International Partners 2005

The in-kind support during the emergency phase included food, clothing, medicine, free transport of dead and injured overseas by Thai airways and other airlines and even coffins, fabric for wrapping corpses and other needs for mass funerals. This reveals that the support extended to the Tsunami disaster was an outpouring of sympathy and generosity of individuals and organizations both national and international. The money poured into countless bank accounts set up by public and private sector organizations and NGOs for assisting victims. A special sub committee has been set up under the leadership of a Deputy Prime Minister to coordinate these donations.

As of November 2005, the RTG had provided assistance to 442,460 tsunami victims to the tune of US\$ 1 billion” reported UNDP (Ref Tsunami Thailand One Year After UNDP/World Ban 2006). Once the emergency period was closed by end January 2005, the funds required for reconstruction and recovery were allocated under the respective RTG agencies as discussed in Chapter 4.

2.4. Good Urban Governance – An Entry point to the Case in Thailand

2.4.1 Introduction

This section discusses the general and standard definitions of the two key terms of the study i.e. ‘urban’ and ‘Governance’, based on the literature survey of the present study. A special effort was made to describe “urban” situation in the context of Thailand. The purpose of defining and explaining these key terms is two fold. The first is to lay down the ground by clearly stating the norms and characteristics of the two terms for the purpose of application of the said terms during the study. The second is to highlight the applicability of this terminology more specifically in the context of Tsunami and post Tsunami activities by the local government in Thailand.

2.4.2. Definition of “Urban” in the context of Thailand

Urban is defined as a spatial area with higher concentration of population with relatively advanced life styles and urban amenities such as electricity, piped born water, technologically advanced communication facilities, road network etc. compared with the rest of the country. However, there are many parameters including legal provisions and those that distinguish urban centers depending on the economic, social, political and historical perspectives of the respective countries. For the purpose of developing the topical inventory of good urban governance, the factors such as existence of urban amenities, life styles, exposure to global socio- economic and cultural practices are considered in addition to the legal classification of local government in Thailand.

2.4.3. A Review of “Urban Governance”

There is no lack of citations on the definition and use of the term ‘Urban Governance’. In the documents of the United Nations the term Governance is defined as the “Process of decision making and the process in which these decisions are implemented or not implemented”.

According to UNDP “The exercise of political, economic and administrative authority in the management of a country’s affairs at all levels is governance. It comprises of the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences.” (Ref. Governance for Sustainable Human Development, UNDP/New York, 1997). The emphasis is on the key players as well as on the processes of decision making and its implementation according to this definition.

Within this general definition, the Good Governance is characterized by the following principles or attributes:

- Accountable
- Transparent
- Responsive
- Equitable and inclusive
- Effective and efficient
- Follow the rule of law
- Participatory
- Consensus oriented
- Strategic vision

UN-HABITAT in its Global Campaign on Urban Governance proposes the following additional principles of Urban Governance

- Sustainability
- Subsidiarity
- Civic engagement and citizenship
- Security

These principles are not mutually exclusive but interdependent and mutually reinforcing. The present study therefore will focus on the five principles specified in the Scope of Work.

Adding the adjective 'good' to 'urban governance' increases its complexity exponentially. Different people, organizations, municipalities and others will define 'good urban governance' according to their own experience and interests.

According to UN-HABITAT "urban governance is the sum of the many ways individuals and institutions, public and private, plan and manage their affairs of the city. It is a continuing process through which conflicting and diverse interests may be accommodated and cooperative action can be taken. It includes formal institutions as well as informal arrangements and social capital of citizens" (Global Campaign on Urban Governance, Concept Paper, UNCHS, UN-HABITAT, March 2002)

Some experts have clustered the some of the above attributes of governance to reflect "urban governance" in a more meaningful manner. For instance Metha (1998) introduced the attribute of *Accountability* as how cities manage their finances, communicate on use of funds and achievements to their citizens, adhere to legal requirements and administrative policies. According to this concept, *Accountability* includes *responsiveness*, which indicates the local authority's ability to determine and respond to the needs of its constituents and also in doing it involvement of its citizens and therefore *participation*.

Urban governance is essentially implying the welfare of its citizenry. Good urban governance therefore must provide opportunities to all citizens to access the benefits of urban citizenship irrespective of their gender, social status and other differences. In other words no person shall be denied access to the necessities of urban life such as adequate shelter, safe water, sanitation, a clean environment, health, education safety and other needs that ensure their social and economic conditions.

Given this premises, a concern is raised as to the applicability of the good governance principles in the Tsunami context as Tsunami was an unprecedented crisis in many respect, particularly in respect of human suffering. The deaths, injuries, psychological trauma, children without parents, families lost their children etc. were greater than the damage to infrastructure and economic losses. This "crisis triggered" different decision-making modalities and processes. In a crisis situation such as Tsunami the role of national leaders considered to be highly critical in bringing the country and devastated areas back to normalcy within the shortest possible timeframe and thus their role to be involved in shaping the decision making process was very important from immediate response to reconstruction phases.

Another unique feature that is continuously emphasized and stressed upon was the term "Thai Culture" during the fieldwork of this study. It is explained as the spontaneous desire of the Thai people to help and to give (to donate) another person who is in trouble or in pain/ loss /need etc. This they attribute to their religion, Buddhism and the patronage to the King of Thailand. The outpouring of donations in cash as well as in kind to the affected areas by the individuals and by corporate sector of Thailand therefore was unprecedented. That level of support had its own decision making process on which no records were kept and maintained.

As mentioned before Good governance in Disaster Management (DM) is not a goal but an evolutionary process of constantly improving political and social environment for greater transparency, accountability, performance and equitable control of assets after a disaster. The decisions are crisis driven to start with. The emergency response in many instances can be chaotic

despite the scale and degree of preparedness. This was the situation when Tsunami hit the Indian Ocean countries.

2.4.4. Urban Good Governance Principles

Within the broad terminology of “urban” and “Good Governance” discussed above in general, the focus of this study is limited to five specific principles that define good governance. These are the five principles that the SOW of the present study entails it to focus on. A brief explanation on how each of these principles applied in the study of “good urban governance in Tsunami perspective in Thailand” is presented below:

- *Accountability* – The elected members as well as appointed public officials of the local authorities are held accountable to the citizens on all financial transactions made on behalf of them
- *Transparency*- The procedures and processes, on investment decisions such as formulating budget, collecting revenue, inviting bids, awarding contracts, making payments and also selecting, appointing, promoting and providing other opportunities to the staff. The access of the community to this type of information and the frequency with which the information is communicated is also considered under this principle.
- *Participation* – The policies and programs that encourage the participation of citizens, private sector and civil society, the extent of the partnership among these three groups and the involvement and mobilization of participation in the decision making processes are the key concerns examined under this principle
- *Rule of Law*- The existence and adequacy of rules and regulations, fair and impartial enforcement of these rules and regulations, adherence and respect to rules and regulations by the citizens and actions taken on public grievances within the framework of the existing rules of the local authority are the main areas of focus under this principle.
- *Predictability*- The present study use this principle to denote the long term (futuristic) responsiveness of the local government to ascertain the needs and aspirations of the stakeholders of the city on safety, security, health and environment in addition to the lead economic activity, namely tourism and how these aspirations are met or planned to be met by the local government

It should be noted here that the above interpretation of the principles of good governance is the result of the attempt that was made to blend standard governance attributes with unique situation in Thailand in post tsunami context.

2.5. Conclusion

The complexities created by Tsunami event in terms of loss of lives, physical devastations, economic losses and instability of the national economy spontaneously brought the national leaders to take the leadership role in managing the crisis situation. In addition the inherent cultural, religious and social traditions and practices in the Thai society and Royal Patronage influenced to a very great extent the post tsunami relief and recovery operations.

Based on the main trust of this study, the stakeholders identified are those directly relevant and related to Tsunami from the time it hit six provinces of Thailand and the rehabilitation and recovery activities carried out up to October 2006.

Given these factors that are unique to Thailand, the standard Good Urban Governance practices in global sense has limited applicability in general and in the situation of tsunami in particular. The focus of the study therefore is limited to five of the principles /attributes of good governance stated in the SOW as they apply to the corresponding phase of the post Tsunami operation process instead of applying all principles equally across the entire spectrum.

Chapter 3

General Information

3.1. Introduction of Government Structure in Thailand in general

The government structure in Thailand is unique given its oscillation from semi-democracy to democracy with 18 military coup d'état in between since the re-establishment of Constitutional Monarchy in 1932. The economy gained more momentum since 1980s despite the political instability that changed the leadership at short intervals. However, the democratization in Thailand was slowly and steadily progressing. The promulgation of the Constitution in 1997 is the highest point of democratization in the history of Thailand.

There are three levels of administration in Thailand, namely central, provincial and local administration. The central administration consists of the Prime Minister's office, ministries, departments, agencies and other public organizations that have the same status as departments. The Provincial administration consists of provincial and districts offices of various central ministries, departments, and public agencies. There are 75 Provinces excluding Bangkok Metropolitan Administration (BMA), and Pathaya City Administration (PCA), and 795 districts and 81 minor districts within the Provinces.

The Local administration consists of 1129 Municipalities known as Thesaban and 6,745 Tambon (sub-district) Administrative Organizations (TAOs) according to the data of Ministry of Interior in 1999. Tambon is the smallest geographical unit with autonomy under the decentralization legislation. The Thesabans are the urban organizations within the local administration structure of Thailand. These are classified in to three different categories according to the size of population as stated in Table 2 in section 3.3.

3.2. Process of decentralization in Thailand

There had been series of decentralization efforts since 1990s. Article 78 of the Constitution of 1997 prescribed the promotion of decentralization as a basic policy of the government. It reads:

“ The State shall decentralize powers to localities for the purpose of independence and self determination of local affairs, development of local economics, public utilities and facility systems and information infrastructure thoroughly and equally throughout the country as well as develop a province ready for such purpose, having regard to the will of the people in that province.”

The Articles 282 to 290 of the Constitution 1997 further explain the policies for local autonomy and decentralization. Within these broader policies, the RTG enacted or amended nearly ten acts promulgating autonomy to local governments during the two year period following the Constitution of 1997. The Act of Decentralization Plan and Procedures enacted in 1999 is considered as the most significant one amongst the acts that were enacted since the Constitution 1997.

National Decentralization Committee (NDC) established under this Act was entrusted the responsibility of implementing and monitoring allocation of budgetary resources, transfer of civil servants and delegation of administrative work of the central government to the local government. The Act prescribed that starting from fiscal year 2001 at least 20% of the government budget should be transferred to the local governments. The target is to increase this allocation to 35% in the fiscal year 2006. The Cabinet approved the Decentralization Master Plan prepared by the NDC in October 2000. This Plan has undergone series of revisions at public consultation and hearings in local regions before it was approved by the Cabinet and then reported to the two houses of the Parliament.

The Master Plan is divided in to three parts as follows:

Part 1: Rationale, needs, visions, objectives and goals of decentralization

Part 2: Means to decentralization. Section 30 of Decentralization Act (1999) lays down definitions of plans, process and general principles of decentralization as well as time frame for the following 6 categories of functions to be transferred gradually within four years (2001-2004) with full transfer be achieved by 2010.

- Infrastructure
- Promotion of quality of life
- Community and social orders and security
- Planning for investment, commercial and tourism promotion
- Management and conservation of natural resources and environment
- Local arts, culture, tradition and knowledge

Part 3: Administrative system development. This includes monetary system, finance and budgeting, local revenue, personnel management, organizational reforms, planning system, evaluation, inspection, data collection, application of laws and regulations for long term and sustainable decentralization

The time period envisaged for the realization of complete decentralization is of importance to the present study. Having started from the time of fiscal year 2001, the decentralization was still in progress at the time of Tsunami in December 2004.

The focus was on easy delivery functions when transferring the functions to local bodies. This included public works and provision of milk and lunches to primary schools. The government has fully realized the target of allocating 20% of the total government revenue to local government in FY 2004. However, the technical and administrative difficulties inherent in the system did not permit the transfer of functions to the local governments adequately. They were also not addressed simultaneously or at the same speed of allocating financial resources.

3.3. Structure of Local Government in Thailand, its functional responsibilities and Relationship between national and local government

The Local Administration Act of 1914 provides the prescription for Districts, Tambon and villages in Thailand. The provincial administration today is still based on this Act; there is no unifying Act as far as local authorities are concerned. Instead there are number of Acts governing them such as:

- The Provincial Administration Organization Act of 1997
- The Thesaban Act of 1953
- The Thambon Council and Thambon Administration Organization Act of 1994
- The Phatthaya City Administration Organization Act of 1999
- The Bangkok Metropolitan Administration Organization Act of 1985
- The Act Changing the Status of Sanitary Districts to Thesaban of 1999

There are 1,129 *Thesaban* Municipalities in Thailand following The Act Changing the Status of Sanitary Districts to Thesaban, 1999. These Municipalities are classified into the following:

Table 2. Classification of Thesabans (Municipals) in Thailand

Category of Municipality	Title in Thai	Total number	Number of Members per local authority	Population
Metropolitan	Thesaban Nakorn	20	24	Over 50,000
City	Thesaban Muang	86	18	Over 10,000
Town	Thesaban Tambon	981	12	Less than 10,000

Source: Directory of Agencies and Positions edited by Department of Local Administration, 1999

The total population is the main criteria for determining the status of a Municipality in Thailand according to the above classification. However, it is observed that the Term “Muang” is used in local authorities where there are less than 10,000 people. The following Table shows the local bodies affected by Tsunami that belong to the category of Thesaban Norkon and Thesaban Muang. The population of each Thesaban given in the last column shows that two local bodies in Phang Nga province are titled “Muang” although the population in both places is less than 10,000.

Table 3. Thesaban Affected by Tsunami

Province	Name of the Local Authority	Population
Ranong	Muang Ranong	15,359
Phang Nga	Muang Takuapa	8,142
	Muang Phang Nga	9,230
Phuket	Phuket city	74,127
	Ka Thu	18,377
	Patong	16,483
Trang	Nakorn Trang	59,182
	Muang Kan Tang	13,452
Satun	Muang Satun	21,708
Krabi	Muang Krabi	25,459

Source: Department of Local Administration

In addition, the number of council members as well as personnel, job ranking and organizational structure are based on these categories.

Recognizing the above criteria of “Urban” in the context of Thailand, the study covered the first two categories, namely Thesaban Nakorn (City Municipality) and Thesaban Muang (Town Municipality) affected by Tsunami. However, using the criteria of ‘Urban’ established for the purpose of this study the Thambon areas of Thailand affected by Tsunami too were visited by the study team during its field observations.

The Thesaban government structure consists of a legislative body known as the Municipal Council, Municipal Executive Committee and Municipal administration. The title of the head of each committee is given below for better clarity.

Figure 1. Thesaban Structure

Structure	Head
Legislative body/Municipal council	Council President
Municipal Executive Committee	Mayor
Municipal Administration	City or Town Clerk

In terms of functional administration, these Municipalities typically organized on the following units/departments:

- Civil works
- Community health and / medical services and social welfare
- Environment including sanitation
- Education
- Finance
- Planning and technical support
- Water supply

A noteworthy element of decentralization in Thailand is the effort of De-concentration at the Provincial level. The Provincial Administrative Organizations (PAO) were established originally to cover rural areas namely Tambon which were not Thesaban or sanitary districts. After the establishment of Tambon Administrative Organization (TAO) in 1994, PAOs lost its jurisdiction over rural areas (Tambon) and remained as a Multi-Municipal based regional body.

The Governor appointed by the Ministry of Interior is the Chief executive of the PAO. It is therefore unclear whether PAO operates as a Multi-Municipal based regional organization or regionally based central government body. There is an ongoing debate about the relevance of PAO in the decentralization context and therefore the future of this body is vague.

However the purpose of stating the presence of PAO is to draw the attention to the fact that “The Province in Thailand is not yet a local administration organization but a field agency of the central government that is in charge of the supervisory control of local governments in that Province” (Ref: JICA study March 2001). This has its serious implications on the autonomy, institutional and financial capacity of the municipalities.

As far as regulations are concerned there seems to be an intention of clarifying the authority and duties between National, multi-municipality based regional organizations (POA), Municipalities (Thesaban) and Tambon Administrative Organizations (TAO). However, in real terms these bodies do not have completely separated authority and duties. In fact much of the authority and many of the duties do overlap. For instance the development of industry, tourism, sports and local culture, protection of socially vulnerable groups of people, disaster prevention and alleviation, maintenance of security, conservation of natural resources and environment are prescribed as the duties under the authority of all these bodies.

3.4. Capacity of local authorities in general and on emergency response in particular

Capacity is defined as the ability to perform assigned functions effectively, efficiently and timely manner for the purpose of this study. The capacity thus depends on the authority, financial and human resources of the institution. It is therefore be of relevance to understand the capacity of the municipalities following the formal approval of the Decentralization Master Plan in October 2000, particularly at the time that the Tsunami hit them in December 2006.

It is reported that the local governments were poorly informed of their roles and responsibilities following the approval of Decentralization Master Plan. They are technically less competent to deliver the respective functions in a reasonably effective and efficient manner, constrained by required rules and regulations particularly the rules governing procurement, grant utilization and budgeting, and more importantly shortage of staff due to disincentives involved in transferring staff from central to local government (Wegelin, Emiel A., August 2002). As stated in the section 3.2 above, the time frame set for the gradual transfer of six (6) categories of functions is 2004 with full transfer to be achieved by 2010. The experience in planning, programming and budgeting varies considerably while articulation of local economic planning is relatively poor” (Wegelin, Emiel A, August 2002).

The municipalities lack the ability to raise revenue, predict income levels and expenditure and invest in city development and management in a planned and proactive manner due to unclear regulations and lack of staff. “Thailand’s decentralization process is both fiscally and politically asymmetrical. It is fiscally asymmetrical because the central government is devolving responsibility and authority for expenditure but not for revenue” (Ref. Kanakpon, 2002). It is politically asymmetrical because of the manner and the nature of the power and authority devolved. The local authorities were assured of a predetermined portion of the central government revenue with no concern over how well or poorly this money is spent. This arrangement is an impediment for the local government gaining fiscal discipline.

The involvement of the civil society in the affairs of local governments similar to other countries in the Region is yet to emerge in Thailand. “Co-operation with civic groups in resolving specific issues and utilizing the capacity of the private sector and NGOs in a variety of ways seems accepted wisdom in theory, but practiced selectively” (Wegelin 2002). This is mainly due to the lack of experience on the part of the Municipal bodies to give practical shape to this principle. On the other hand the NGOs also are still generally interested in their own specific mandates and therefore the facilitating of public participation in decision making is not yet a concern in their agenda.

However, the Tsunami shattered this slow motion situation to a greater extent. The City Halls in the affected areas became the center of operation at the aftermath of Tsunami. The city leadership and officials had to participate in the relief operations along with the national and international figures. The private sector took the lead role in clearing debris and carrying out immediate repairs to essential services such as water supplies, electricity and telecommunication. It was reported that the debris in Patong municipal area was cleared fully by the private sector within eight days after tsunami. In addition the municipalities which were not affected by Tsunami came forward to provide the machinery, tools and equipment including their service personnel to attend to immediate relief operations. There had not been an issue of awarding contracts and financial transactions. Therefore concerns on good governance attributes such as accountability, transparency, participation and rule of law were not even surfaced during the emergency phase.

The two large NGOs visited by the study team during the fieldwork endorsed this status. CARE and World Vision had attended meetings and discussions when invited by the Thesabans. But they were not involved in the consultative process and no evidences of such involvement in the decision making. These meetings were largely to inform the decisions taken at the National and Provincial levels rather than consulting them in order to obtain views from a wider group of stakeholders and to involve them effectively in the decision making process. This one- way communication too is a feature of “Thai Culture” inherent in the society that was observed during the field visit.

The public too does not demonstrate active desire to get them selves involved in the process of making decisions that affect their lives as observed by the study team. They seem to have the practice of accepting such decisions and to be the passive recipients of services delivered by others. This too could be a result of the culture of the Thai society coming from ‘Top to Bottom’ rather than being active role players in a ‘Bottom Up’ approach.

3.5. Conclusion

The Tsunami had devastating impacts on the areas administered by local bodies in six provinces of Thailand before the full realization of the decentralization process that commenced in 2001. The municipal bodies were neither autonomous nor competent to manage their standard functions let alone to face an unprecedented challenge like Tsunami at the time it hit Thailand in December 2006. Given the scenario of a national calamity it is reasonable to expect that the strong cultural practices and social values inherent in the Thai society could overpower the newly established systems and practices of good governance.

Chapter 4

Wide evaluation

4.1. Introduction

The Tsunami of 26 December 2006 hit Andaman coastal provinces of Krabi, Phang Nga, Phuket, Ranong, Trang and Satun of Thailand. The destruction was confined to low lying areas of the coastal belt open to the Indian ocean which are the places rich in high scale tourism industry. Due to the tourism induced economic activities the population too is concentrated in urban pockets where the tourism trade is. The coastal areas with cliffs were safe as the tidal waves did not rise to such a high level.

During the present study, In order to focus on Urban Good Governance in post Tsunami perspective, the extent of destruction caused by Tsunami in general is examined first and then an assessment was made on the role of affected local governments in the context of the governance attributes.

The data and information on the Tsunami impact is available on Provincial basis. This is a constraint that the present study encountered as the disaggregated data is not available according to the administrative areas covered by local government bodies.

4.2. The impact of Tsunami

The Tsunami affected 25 Districts and 74 Tambons in six provinces of Thailand. The affected districts and Tambons are shown in the table below.

Table 4 Tsunami Affected Areas

Province	Affected areas	
	Districts	Tambons
Krabi	5	19
Phang Nga	6	14
Phuket	3	14
Ranong	3	9
Satun	3	9
Trang	5	9
Total	25	74

Source: United Nations/World Bank 2006

Within this geographical area, 407 villages were affected of which 47 were almost completely destroyed.

The Tambon is the smallest geographical unit with autonomy under decentralization legislation. These are classified into five categories according to their annual budget. The number of Council members and the staff varies according to this classification. Most of the Tsunami affected Tambons seemed to be in the relatively high budget category although the exact status was not easy to derive from the available information.

A map depicting the affected Tambons is given in Annex 3.

Table 5 gives the number of deaths and injuries sustained in each province due to tsunami.

Table 5 Number of Deaths and Injuries Caused due to Tsunami

Province	Number of Deaths				Number Injured
	Thai	Foreign	Unknown	Total	
Krabi	672	435	161	1,268	1,376
Trang	4	2		6	112
Phang Nga	2,654	2,229	997	5,880	5,597
Phuket	398	474	17	889	1,111
Ranong	162	6	4	172	246
Satun	6			6	15
Total	3,896	3,146	1,179	8,221	8,457

Source: *The Economic Impact of the Tsunami in Thailand, ADPC 2005*

Note: The figures are for the entire Province as disaggregated data for local government level has not been compiled. In fact the deaths were recorded at the central places organized for forensic investigations and not at the place where the incident occurred. It should be noted here that the number reported as “Missing” is included under deaths as there is no way to find out whether these missing personas were later found or not.

In terms of casualties the highest number of deaths were reported in Phan Nga province. Of the casualties, the number of foreign nationals died was almost equal to the deaths of local people. There were 543 Swedes, 468 Germans, 158 Finns, 83 Swiss, 79 Norwegians, 79 Britons, 69 Austrians among the dead who were identified according to DDPM. It was reported that the foreigners from 37 countries were among the dead.

Similarly a large number of people were injured in Phnag Nga Province. The high percentage of foreign nationals died in this Province revealed another sad aspect of the tourism expansion. That is the inheritance lost in this part of the world. The ‘Chou Lay’ the sea gypsy communities owned the sea front land for generations. These were gradually taken over for the large-scale tourism expansion at the dawn of the tourist boom in the late 1980s as the traditional owners had no documentary evidence to claim their entitlement.

Krabi is the second province in terms of deaths as well as injuries are concerned and Phuket follows next. The island resorts of Krabi province were the worst affected areas in the Province. The western coast of the Phi Phi island of this Province suffered heavy casualties while the eastern side was safe due to its location as the Tsunami waves did not directly hit that area.

As shown in Table 6 below, a similar pattern is revealed through the analysis of the number of directly affected households and persons and also the numbers related to houses destroyed and houses damaged are concerned.

Table 6- People Directly Affected by the Tsunami

Province	Number of directly Affected		Number of housing units	
	Persons	Households	Destroyed	Damaged
Krabi	15,812	2,759	396	262
Trang	1,302	1,123	34	156
Phang Nga	19,509	4,394	1,904	604
Phuket	13,065	2,616	742	291

Ranong	5,942	1,509	224	111
Satun	2,920	414	2	80
Total	58,550	12,815	3,302	1,504

Source: *The Economic Impact of the Tsunami in Thailand ADPC 2005*

The highest number in terms of households affected and the houses destroyed was reported in Phang Nga province. This is due to the geographical location of the areas. The settlements including tourist hotels are located on the ground, which is less than one meter above the sea level, and flat terrain continues nearly to a distance of 2 kilometers in to the landside. E.g Kao Lak in Phang Nga Province. (As shown in the map and photo a large boat is still lying near one of the houses located on the flat terrain). It was observed that strong waves had gushed into the land destroying the main road from Phuket to Phang Nga.

Three schools located near the coastal area of Phang Nga province were totally damaged while 4 schools were partially damaged. The schools in other Provinces were not damaged totally except one school in each Krabi and Ranong Provinces.

The economy of the six provinces affected by Tsunami consists mainly of Tourism Industry. The fishery sector too suffered substantive damages as the boats and fishing equipment were destroyed during Tsunami. Rubber and oil palm are the dominant crops in these provinces which are located away from the coastal belt.

The Tourism Authority of Thailand (TAT) reported that 328 hotels (24% of the total room capacity) in the Tsunami affected provinces either destroyed or damaged. The damage estimated at replacement and repair value is presented in the following Table.

Table 7 Estimated Replacement and Repair Value of Tourism Facilities (In Million Baht)

Province	Hotels and resorts				Other commerce				Total
	No.	blds	Goods	Damage	No.	Blds	Goods	Damage	
Krabi	131	3,256.9	473.7	3,730.6	984	13.4	3.6	17.0	3,747.6
Trang	4	150.0	24.0	174.0	142	1.3	0.2	1.5	175.5
Phan Nga	93	5,953.0	340.0	6,283.1	858	20.4	4.9	25.3	6,616.1
Phuket	100	3,170.9	637.8	6,590.8	2,858	367.6	103.3	470.9	4,103.0
Ranong	2	4.4	0.6	5.0	62	0.8	0.2	1.0	6.1
Satun									
Total	328	12,535.2	1,597.8	14,132.6	4,904	403	112.2	515.7	14,646.3

Source: *The Economic Impact of the Tsunami in Thailand, ADPC 2005*

The total damage and losses of Tsunami was calculated as 1.3% of the Gross Domestic Production (GDP) of the economy of Thailand (ADPC, 2005). This study further revealed that “ the distribution of total impact among its components makes the country a unique case since the losses exceed damage by a ratio of 3 to 1.This feature reveals the high vulnerability and exposure of its productive activities” (ADPC, 2005).

The impact, according to this study was heavily concentrated in the tourism sector. Table below reveals the spatial distribution of the damage and losses in the affected six provinces.

Table 8- Summary of Impact in Affected Provinces (In million Baht)

Province	GPP (2004)	Damage	Losses	Total impact	Impact/GPP %
Krabi	28,588	4,414	15,238	19,652	69
Trang	40,174	315	2,097	2,412	6
Phang Nga	20,281	8,523	5,249	13,772	68
Phuket	51,984	5,405	41,423	46,827	90
Ranong	11,570	483	1,393	1,876	16
Satun	19,794	672	546	1,218	6
Total	172,391	19,811	65,936	85,747	50

Source : The Economic Impact of the Tsunami in Thailand, ADPC 2005

This table reveals that the magnitude of the disaster in terms of the Gross Provincial Production (GPP) is equivalent to one half of the combined GPP of the six provinces.

The impact was heavily concentrated in the productive sectors, particularly in the tourism sector as shown in the following Table

Table 9 Summary of Economic Impact due to Tsunami (In million Baht)

Sector	Damage	Losses	Total	%
Social sectors	1,206	115	1,321	2
Productive sectors excluding Tourism	2,896	7,641	10,538	12
Tourism	14,648	57,324	71,972	84
Infrastructure	1,062	857	1,919	2
Total	19,811	65,936	85,747	100

Source: The Economic Impact of the Tsunami in Thailand, ADPC

The most affected sector in economic terms is the tourism as shown above.

In addition this study revealed that most of the impact falls in the private sector. There was a substantive involvement of insurance industry also. This is especially in the large private enterprises of tourism and fisheries sector.

4.3. Role of the national government from emergency to recovery phase

The government of Thailand was widely acknowledged to have implemented a highly responsive and effective response that comprised of prompt provision of health services, construction of temporary shelter, use of military to support the entire Tsunami affected provinces and significant forensic exercise for identification of dead bodies. Thailand adopted three-phase response strategy to the disaster.

- Phase one - on search and rescue (SAR) of survivors and the recovery and identification of human remains,
- Phase two - on preventing infectious diseases and secondary losses amongst those who survived the tragedy, and
- Phase three - on reconstruction and longer term rehabilitation of those affected” (United Nations/World bank 2005)

The Royal Thai Government (RTG) led by the Prime Minister immediately taking the position of “**On Scene Commander**” was at the helm of this massive relief and rescue operations. The Prime Minister and the entire Cabinet of Ministers were in Phuket, one of the Provinces hit by Tsunami to command the disaster relief operations within few hours of Tsunami. Four Ministers were immediately assigned the responsibility of providing relief to four most affected Provinces, Phang Nga, Krabi, Phuket and Ranong. The leadership at the national level took over the command and control establishing their bases in the affected area itself.

In the national government structure of Thailand, the Prime Minister is the responsible authority for national disaster management. His authority is exercised through the Minister of Interior and National Defense Council. This structure is replicated at provincial and district levels under the authority of the Governor and of the District Civil Defense Director. The Royal Thai Armed Forces under the command of National Defense Council brought into the emergency response framework. Given this clear line of command there was no need for any ad hoc structures to respond to the emergency in Thailand.

There is a noteworthy difference between the emergency response in Thailand with that of other countries at the immediate aftermath of Tsunami. In Thailand the emergency operations were located at the affected site itself and the national leadership held the control over the situation with exclusive powers for decision making. It is similar to attending to a seriously injured patient by a team of doctors within the same operation theater. However in the case of other countries the decision making powers as well as operations were located in the center far away from the patient as well as the theatre of operations. The result is the patient is still struggling to recover in those countries whereas the patient in Thailand is fully recovered and started his normal life.

The massive emergency response operation was largely handled by the military of RTG. More than 5,000 soldiers joined by 20,000 local officials and volunteers in the rescue operations. RTG set up a crisis coordination centers in the city halls of Phuket, Phang Nga, and Krabi with special communication system linking them.

The forensic operations led by the forensic specialist of Thailand including DNA search and matching techniques expedited the process of identifying and clearing dead bodies for final removal. The large number of foreigners who were the casualties had been handled with utmost precision with death certificates and highly efficient repatriation facilities. It is reported that almost 5,000 foreigners who lost virtually everything including passports and got stranded following Tsunami were assisted to return home within ten days with Royal Thai airlines offering free transport to all destinations.

The RTG effectively managed to provide relief supplies and health services to affected people while handling the mass burials and funeral functions for the dead. The donation of the nationals including food, clothing and even blood were handled with utmost efficiency. The temporary shelters were set up to house those who became homeless. These were largely organized and run by Thai community organizations and volunteers. The emergency health services set up responded effectively with clean water being distributed, children being immunized and disease surveillance system in place. (2005 United Nations/World Bank). This prevented the spread of communicable diseases and outbreaks of other waterborne diseases. “In general, relief supplies were more than adequate. By 31 December 2004 the Governor of Phang Nga had actually appealed to stop sending relief items” (2005, United Nations). This indicates the efficiency with which the immediate relief phase was handled by the national leadership in Thailand.

“The emergency relief phase was announced to be over two months after the Tsunami struck and longer term recovery plans were put into place” (Ref: Moving Forward Post tsunami: Voices of the Vulnerable UN ESCAP 2006).

The decision making process gradually passed on to the national bureaucracy by the national leaders as the situation moved on to rehabilitation and recovery stages. The agencies of RTG were entrusted

with the responsibility of recovery measures in January 2005. The distribution of the respective responsibilities are given below

Figure 2 - Responsibility for Recovery Program

Name of the agency	Recovery activity
Public works Department	Infrastructure repairs and maintenance
Ministry of Natural Resources	Clean water sources and monitoring water quality and supplies
Ministry of Agriculture and Thai Military	Assisting fishermen in repair and building of fishing boats
Ministry of Finance	Assist business to obtain loans for business recovery initiatives
Ministry of Education	Rehabilitation of schools and to provide free board and education to the orphaned children
Ministry of Interior in cooperation with Ministry of Social Development and the Thai Military	Temporary and permanent housing
Provincial governments	Cleaning up of affected beaches and streets

Source: DDPM

The houses were constructed for those who became homeless by the military, Ministry of Defense, private companies and some NGOs under the Ministry of Social Development as stated above. By November 2005, total of 2,688 houses were completed against the 3,302 totally destroyed according to the needs of the people and also complying with building codes and land use management concerns.

The large-scale operations carried out were mainly aiming at restoring natural environment particularly sea beaches and tourism infrastructure in order to bring back tourism the main economic activity of the provinces affected by Tsunami. The Tourism Restoration Committee established is responsible for overseeing and executing the restoration strategy that included measures such as reviving beaches, providing new facilities and tourist amenities with stringent safety regulations, establishing set backs from the beach and also adhering to principles of sustainable tourism.

The disaster impact was largely concentrated on the private sector assets. This was estimated at 77% of the total disaster impact according to Regional Analysis of Socio-Economic Impacts of December 2004 Earthquake and Indian Ocean Tsunami conducted by ADPC. The involvement of local bodies therefore was limited to a relatively lower level.

Although RTG did not appeal for the international assistance at the aftermath of Tsunami, given its capacity and resources. The international community has therefore played relatively small role in the Tsunami relief and recovery efforts. However the Ministry of Foreign affairs established an “Ad Hoc Task Force on Tidal Wave disaster” on 27 December 2004 to coordinate foreign assistance. The Prime Minister established a sub committee for the coordination of international assistance with three task forces on 14 January 2005 with the assistance of the World Bank and UNDP. These were instrumental in mapping roles, responsibilities and activities in the recovery efforts and also matching the donor offers with government needs. However, the sub-committees and task forces were dissolved in March 2005 and the rehabilitation efforts were integrated in to regular coordination mechanism of the responsible agencies of the RTG. The Thai International Cooperation Agency (TICA) was assigned the role of coordination international assistance for the long term recovery efforts in collaboration with DDPM in March 2005.

The Community Organizations Development Institute (CODI) together with Thai Community Foundation had organized NGOs, civic groups, community networks working in Southern Thailand to work jointly to assist the victims in tsunami affected provinces. The Save the Andaman Fishing Community Network is a result of this initiative. The NGOs and volunteers have contributed to the efforts of the national leaders with their skills and resources.

CODI is an umbrella organization of the NGOs that was founded jointly by the Urban Poor Development Fund / Urban Community Development Office and Rural Development Fund/ Government Savings Bank. This body has a track record of initiating to support urban communities in Bangkok and a few larger Thesabans to dialogue with local governments and its officials.

4.4. Local Government in Tsunami Perspective

The response to the tsunami disaster in Thailand is the most impressive where the solidarity of Thai people shown not only on their fellow citizens but also on foreign victims alike, volunteering their time and generously giving to local charities. With strong subordination to the King of Thailand, the national leadership with adequate emergency financing from the national budget Thailand was able to mobilize a quick and efficient response to the disaster. The corporate sector of Thailand was in the forefront with their heavy machinery, tools and equipment more importantly people in addition to funds to remove even the slightest trace of the damage and destruction.

The local government bodies in the affected areas too became the recipients of this massive support that came from outside. It is therefore difficult to separate out the activities specifically performed by the local bodies in the immediate aftermath of tsunami. However they were actively involved in the process led by the national level authorities. Almost all the Thesaban and Tambons visited by the field study team was informed that the first three days after Tsunami all were involved in search and rescue operations, identification of the dead and arranging funerals, providing food and temporary shelter to those whose houses were destroyed and damaged and anything possible to relieve the destruction and console people affected. The uniqueness in this emergency situation is the solidarity shown by all above-mentioned parties in tackling the devastations and the hospitality to mankind extended to reduce the inconveniences of the victims.

The city halls were converted into coordinating centers wherever needed. There had been 24 hours service to receive and deliver services at the city hall during this emergency period according to Mr.Chairat Sukkaban, Deputy Mayor of Patong Municipality, Kathu District of Phuket Province. The Municipality used Baht 20 million available with them at the time of Tsunami on relief operations according to the Deputy Mayor. It was obviously crisis decision making. "We did everything. Carrying dead bodies, taking injured to hospitals, supplying food for the people who were hungry, consoling those who were crying etc. giving medicine to the sick You name any possible need or help that has be extended to victims and we have provided the same in the best way possible " was his reply. It was learned that the performance of the local bodies during this period is beyond imagination and it is difficult to expect recorded evidences of services extended. Therefore the survey team felt that is even impolite to request the records on their activities.

The services disrupted during the Tsunami such as electricity, water, telecommunication are not the services provided by the municipalities in Thailand. The respective corporate sector attended to the repairs with utmost efficiency and they were back to normal in many areas within four days after Tsunami. In fact drinking water was not at all a problem as the portable water was available and supplied. The telecommunication too came back to normal once the peak congestion period gradually phased out after the Tsunami rush hours. The damaged land telephone lines too have been repaired within few days.

The serious disruption to Municipality services reported in Patong Municipality where the underground sensors of the central waste treatment plant stopped functioning due to salt-water

intrusion. The private sector Company was requested to replace the sensors and the repairs were completed by 3 January 2005 according to officials of the Patong municipality

The longest time was taken to clear the debris. The private sector companies volunteered to remove the debris with heavy equipment and machinery. The people particularly volunteers, hotel and business owners organized debris clearance by bringing the debris on their respective compounds to the roadside after clearing their own premises. This enabled heavy machinery to remove the debris within first eight days according to Mr. Claude Crissey, owner of Panwadee Hotel in Patong. The cooperation between the private sector and the municipality worked effectively in clearing the debris in many areas. The land suitable to dump the debris was available closer to the areas affected by Tsunami. This was an advantage in Thailand compared with other affected countries having land scarcity problems suitable for land fills such as in Sri Lanka or Maldives.

The municipalities have provided their support to the relief operations and to the various compensation schemes offered by the agencies of the RTG. These schemes are not being detailed out in this report as these were not necessarily the activities carried out by the municipalities. Their role was limited to providing support and cooperation and wherever necessary to undertake coordination of these activities.

However, with the commencement of planning for recovery and reconstruction, all municipalities seemed to have focused on rebuilding the tourism industry. This is the lead economic sector around which rest of the regional economy in the Tsunami affected provinces depends on. The workshop held on 27 January 2005 at the City Hall of Phuket under the chairmanship of the Prime Minister developed the Tsunami Affected Area Restoration and Development Plan. Each affected Province submitted the respective restoration plans at this workshop. There were 44 projects identified under the immediate term (1 – 3 months) and medium term plans (1-2 years) of Phuket province with a total estimated cost of 1,568 million Baht.

The hotel industry is provided with highly attractive incentives to build back better. The banks provided loans and credit facilities at an annual rate of interest of 2% with three-year grace period to pay back the capital and no upper ceiling was set up for borrowings by the hotel industry to renovate, reconstruct and even for new construction. The tax rebates and relief announced by the RTG too enabled this sector to recover from the destruction. At the time of the visit of the study team the hotel occupancy rate was increased to 100%. Which is a good indicator for the full recovery of the industry This is the result of the cooperation between public and private sector partnership at all levels of the Thai government structure i.e national, provincial and local government.

4.5 Good Urban Governance Practices – An Inventory

The facts presented above show the complexity of the task of identifying the Good Urban Governance Practices in Thailand following Tsunami event of December 2004. The reasons for this argument are summarized below for easy comprehension of the reader;

- Tsunami was an unprecedented tragedy in the history of Thailand never experienced before in the recorded history
- The grief over the huge human losses including a member of the most revered Royal family of Thailand generated spontaneous solidarity, unique to Thai Culture
- Thai Prime Minister immediately took over the position of the ‘ on scene commander’ mobilizing the National leaders and entire force of military for emergency operations. It helped the efficient Emergency operations to a great deal.
- Prior to the event the legal framework and resulting structural institutional arrangement were in place for disaster management with clear line of control under the direct authority of the Prime Minister which replicated at provincial level under the authority of the Governor and

District Civil Defense Director respectively. That helped in launching the national response in the immediate aftermath at all the Tsunami affected sites.

- Thai national budget provided required resources with no international appeal made by the government for financial support demonstrating the strength of RTG
- The corporate sector extending their outpouring generosity volunteered with essential supplies, medicine, transport and travel facilities by air, sea and land, machinery, equipment and personnel in addition to financial resources
- The Thai Red Cross Society with its leadership of Her Royal Highness Princess Maha Chakri Sirindhorn led emergency response and relief operations mobilizing money, material, personnel and volunteers in close cooperation with other NGOs and INGOs
- By 10 January 2005 national agencies were given the responsibility for initiating recovery work
- Local governments were made responsible for the clearing debris and cleaning up of affected beaches and streets, providing necessary assistance to victims and grieving mass.
- On 14 January 2005 sub committee was established for the coordination of international assistance with main focus on three areas i.e.: (i) Coastal and marine environmental restoration (ii) Geophysical hazards including seismic activity, sink holes, landslides and saline incursion (iii) Livelihood restoration
- RTG concluded relief phase formally on 31 January 2005,
- The recovery phase implemented by respective national agencies with additional budgetary support for recovery and reconstruction concluded at the end of the first year of Tsunami.
- The corporate sector formulated schemes to assist with tax and other incentives including bank loans on soft terms to reestablish business and recovery of economic activities. Such assistance helped in speedy recovery and in building better the affected tourist infrastructure by 2006.
- By November 2006, nearly two years after the Tsunami, almost all the affected areas are physically appear to be recovered fully and the tourism, the key economic activity is back to normal with hotel occupancy rate indicating 100%.

Within this background the study team came to a general conclusion that local government bodies had played a limited role in Tsunami relief, recovery and rehabilitation efforts. The main focus of local bodies has been the promotion of tourism to regain the recovery within a shortest time possible in order to help the lead sector of the economy of the Tsunami affected areas. Given this, scenario there are few achievements that could be considered to reflect the good urban governance principles of some of the local bodies. These are summarized below.

Figure 3 Good Urban Practices in Tsunami Affected Municipalities

Province	Local Authority	Description
Krabi	Ao Nang	1. Wetland based wastewater treatment facility- This is a cooperation between Ao Nang Tambon Administration (Local authority) and Danish government to treat waste water generated within the Ton Sai Bay area of the Phi Phi Island. The bay was the worst affected part of this island where nearly 700 foreigners died. There was no proper waste water disposal system to this heavily populated tourist resort area before Tsunami. The public particularly tourist hotel owners, small and medium businessmen and others had participated in the construction phase of the project. They are aware of the total cost of the investment and also the operation and maintenance cost of the facility which was already deposited with the Ao Nang Tambon by the donor.

		<p>2. Solid Waste Disposal system in Phi Phi Island- The garbage was earlier collected and burnt in an incinerator installed by the Ministry of Science and Technology prior to Tsunami. However this system was inefficient due to its high energy cost and air pollution issues. The Tambon has now introduced a system to collect garbage of the island and bring to a collection point at Ton Sai bay. A barge operated by a private company will collect this garbage daily between 10 p.m. and 2 a.m. of the following day and remove the waste to the main island of Krabi for final disposal. This contract has been awarded on a public competitive bidding process which is transparent and known to the citizens of the island. There is a clear channel of communication and coordination between the Ao Nang Tambon and the general public in the island due to the Village Leader's presence in the island itself and his good public relations with the community</p> <p>3. Support to Laem Tong Sea Gypsy community- The sea gypsy community now confined to a smaller area of the east of this island having lost their traditional land to the large land owners. However they are now organized with the help of a "Foundation" (the name is not known to the community but an NGO that came after tsunami) to seek support on an action plan based on five activities. These are (1) to claim the cemetery of their ancestors. This is an example of external force facilitating people's participation in governance concerns. As discussed above, NGOs focus on achieving their own objectives. In a situation where public participation is absent due to cultural and political factors affecting their involvement, the facilitating role of an external element is encouraging.</p>
Phang Nga	Muang Takupa	A fund was established with money donated by people and organizations with the approval of the Council. The day care center for 34 orphaned children, scholarships for affected students and vocational training for widowed women are being provided under this fund. Council has taken the decision to establish the fund and no evidence of people's consultation.
	Ban Pru Teau	Construction of wetland for wastewater treatment with assistance from Danish government has been implemented with the participation of people and involvement of private sector. It was reported that designs were opened for public hearing. The selection of private company for construction of the wetland and related systems were awarded through open competitive bidding process.
	Ban Nam Kem	The local authority in close cooperation with the private sector companies and the participation of people has established an effective garbage collection system. The Village Headman who also is Tsunami victim is the link between the local authority and the people.
Phuket	Patong	<p>1. Waste water collecting and treatment system- The pipes and pond were full of sand and the water pumps were damaged. Water treatment system and buried electrical system got damaged due to salt water intrusion. The private company who is responsible for operation and maintenance carried out the repairs. The company has been selected through open competitive bidding. The system was back in operation on 3 January 2005.</p> <p>2. Establishment of effective coordination mechanism with good human relationships with highest level of transparency- This practice of the Municipality was recognized by the Kings Institute with an award in 2006</p> <p>3. Clearing the city first from debris with private sector participation</p> <p>4. Implementation of waste water treatment with funding and technical support of the Danish Government</p> <p>5. "Safe and security of Life and Property" This to assure the safety and security for the people including tourists. A volunteer Force consisting of 160 trained volunteers on search and rescue and maintaining security in the beachfront was established and in operation now. This is very innovative action as the Municipality has attracted 160 youth who are otherwise wasting their time in discos, riding motorcycles etc according to the deputy mayor. In addition to the training on Search and Rescue, and rules and laws governing security particularly on drug trafficking, they are provided with communication equipment (walkie talkies), uniforms to give them a self-pride in the job that they perform. The furniture used in the beach (i.e. sun bathing benches) were</p>

		<p>replaced with plastic and less heavy material as the heavy wooden material caused serious injuries to the people at the Tsunami.</p> <p>6. Obtaining ISO 14001 for activities and operations within municipality building and activities for environmental programs with the public and other interested parties.</p> <p>7. Close and effective cooperation between tourist hotels and the Municipality in promoting tourism and thereby contributing to the growth of the provincial and national economy</p>
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The good governance principles observed in the practices of the Local bodies affected by Tsunami are shown under each practice. In the case of post Tsunami activities the local bodies have played a limited role. Given the scale of the tragedy local bodies too seemed to have gone along with the lead players in general from relief to recovery phases. The nation wide sympathy seemed to have forced all stakeholders to act promptly and in good faith rather than following systems and procedures that generally applicable to normal circumstances.

4.6. People's Expectations

The expectation of people as far as their local governments are concerned is unique in its character in Thailand, where the private sector led economic growth is highly effective resulting in a '**Demonstration effect**' in which income generation and hence profit has become the prime motive of individuals. The private sector in Thailand provides essential public utilities such as water, electricity, communication and transport efficiently. Therefore the public does not have higher expectations on government provided services.

It was repeatedly observed that the people are not interested in getting involved in the affairs of the local government as reflected in the responses they gave during the group discussions and interviews. It was revealed that they are not fully aware of the difference between the national government and local government. The repeated attempts by the local bodies to involve people in the decision making process were fruitless as the people are not bothered to listen to the announcements of such meetings even. (See Annex 3 for the response of people) This may be due to the inheritance of the society's perception on traditional form of governance that exists in general and slow process of democratization taking place in Thailand. It appears that the public in general is least worried about the existing political systems and the affairs of the government. Their faith and respect is only on the HM King.

Their loyalty to the royalty has given more expectations to the people at large as expressed by many community members during the field visit. This subordination and loyalty is a strong thread in the fabric of the Thai society that facilitates its progress.

4.7. Conclusion

In the immediate aftermath of Tsunami, the Royalty, Military and the national leaders of the Royal Thai Government handled relief operations. Given the clear line of control embodied in the legal framework with national disaster management being the responsibility of the Prime Minister and the resulting structural arrangement in place at the local levels affected by tsunami, the role of local government was reduced drastically except supporting the activities of the national effort. The people too do not expect much from their municipalities and they seem less interest in affairs of the government and therefore on governance. Their faith and loyalty is on His Majesty the King. However the good urban governance practices identified within the limited interventions of municipalities in Thailand can be considered as highly effective.

Chapter 5

In-depth Research on Municipalities

5.1. Introduction

Thailand is now ready to commemorate second anniversary of Tsunami. The national governmental agencies have completed fully the recovery activities and are now in the process of sustaining the momentum gathered in terms of disaster preparedness and risk reduction measures. The potential areas of Tsunami threats are covered with early warning systems, evacuation plans, emergency response teams and operations. The safety and security of tourists both local and foreign, is a key concern in this effort.

In the presence of such an unprecedented recovery in physical terms, it was difficult to involve officials of local authorities visited to provide information on the projects they have completed. Discussing principles of good governance seems less important and some times irrelevant for the higher officials of the municipals visited. The language added further complications.

From the point of view of people too the Tsunami is history. The tourists are arriving at prior Tsunami rate filling all hotel rooms starting from October 2006. The livelihoods of the people in the Tsunami affected areas depend on the tourism. They are too busy in earning their lost income with the influx of the tourists. The participation in governance matters of local government is not a concern that the general public is keen.

5.2. An In-depth Evaluation

The good governance principles practiced by the municipalities in Tsunami affected areas were found similar in character as the scope of activities assigned to local government in post Tsunami perspective was limited to one homogeneous activity, namely clearing debris and waste disposal. These are explained succinctly in section 4.5 above.

However, Patong Municipality of Phuket province has shown significantly high level of performance after Tsunami in many areas of municipal services. Recognizing the limitations in terms of concept and coverage of the study and also the constraints encountered as explained in the previous chapters, an in depth research beyond the level conducted so far seems less relevant. However, an attempt is made below to state the responses of key officials of Patong Municipality and a representative sample of residents of the municipality in order to highlight the Good Urban practices of the Patong Municipality that has performed above others in Post tsunami recovery context.

Figure 4-Tsunami Recovery Performance Matrix- Assessment by Municipal officials

Governance Principle	Question	Response
Participation	What were the strategies/ activities/ programs of the Municipality (MC) that encouraged public/ NGOs/private sector to participate	Municipality cooperated with nationally led efforts at the emergency phase. The entire staff volunteered to provide relief and to take part in recovery activities. The participation was spontaneous for every effort. All came forward with no invitation either formal or informal i.e clearing debris, cleaning beaches etc initially voluntary.
	How did the MC invite them to attend these? Announcements?	Business groups by telephone calls, public address systems, common banners etc

	Was there a list of invitees/participants	Not available
	Was there an announced timetable for these events?	No
	Was there a specially designated officer/ or counter to receive public grievances?	A special unit of the MC receives grievances under general circumstances as well
	Did MC invite private sector in clearing debris, solid waste, food supplies and any other service required during Tsunami?	Special invitation not required. Spontaneous assistance
	Did MC consulted residents when removing / cleaning debris was arranged?	MC adheres to environmental laws
	Do the people participate in solid waste management? Is there a general awareness among the citizens on garbage disposal?	Environment Division of the MC educates and involves people
	Did MC involve public, private sector, NGOs in developing Reconstruction and rebuilding program?	Respective RTG agencies, private sector & INGOs/NGOs completed reconstruction as planned. MC provided clearances under the Law
	Is MC open to media?	MC Encourages media publicity
	Has the MC got a web page with information on contracts, taxes, budgets etc?	Yes. It is in Thai language to give these information to Thai citizens
	How the decisions of the MC are adopted?	Majority decision
	Who has the power to finally approve the work program? Who finally approves the MC budget?	Governor of the Province
	Were there programs implemented without the full support of the beneficiaries?	Generally MC undertakes programs that benefit all
	Is there a system to consult senior citizens, technical experts etc before the Municipal Council discuss/ debate on issues?	MC's policy to involve community leaders through Community Committees, educated persons of Patong
	How the MC provides its services to vulnerable groups?	Through Health & Welfare Division of MC
	Does the MC listen to the grievances of these people?	Through special Unit of MC
	Does the MC consider the businessman and hoteliers are more important? Or priority should be given to business?	Economy of the MC depends on tourism. Business is a high priority sector that MC promotes
Accountable	Was Tsunami relief to recovery budget available to the public?	No such practice
	How was the affected people/entities access the MC services?	Guidelines on each service provided by the MC are in Brochures at the entrance to the City Hall

	Who to meet in which department/unit etc. were clearly and visibly shown to public when they come to the MC premises?	It is very clearly shown at the entrance with directions
	Does the MC publish an update of MC expenditure?	In the Annual reports
	Did the MC publish progress reports on Tsunami related activities?	No
	Did the MC maintain detail records of receipts of various grants, donations, in-kind contributions etc for Tsunami related activities?	Every donation in cash was recorded
	Has MC got a system in place to reduce expenditure? Or waste?	MC won ISO14001
	Are the MC officials aware of their responsibility in financial matters?	Yes
	What are the management tools and techniques used in the city administration in general?	General tools special to Thai culture
	How the funds received was allocated on Tsunami related activities? How the priority was determined?	Priorities were determined at the Provincial level based on information gathered with MC's participation
	How long was the period spent in repairing/ recovering the MC services affected by Tsunami?	Debris clearing within 8 days, wastewater treatment within 4 days. Recovery activities were undertaken by the agencies of RTG
	How efficient was the delivery of inputs to such civil works?	General
	How much of the funds have already been spent?	Initially Baht 20 mn
Transparent	Did MC announce what services are being provided to Tsunami victims	This is done by DDPM and other RTG agencies
	Tsunami reconstruction program of the MC is publicly known including sources of funding and estimates?	MC's work limited to waste treatment and clearing debris. These are known to all
	Did MC publicly announce details of contracts?	Published in the local papers, Notice board of the MC and the web site
	What is the procedure in issuing permits?	Competitive bidding
	Did affected parties know the responsible officials of the MC on Tsunami related permits?	It is clearly shown at the entrance to city hall
	Is there an Internal Audit unit within the MC?	Yes.
	What is the frequency of auditing of MC expenditure?	Annually by the General Audit of RTG
	Are the audit reports made available to the public?	Published in the MC report
Rule of Law	Has the MC got adequate rules and regulations for procurement?	Yes. Emergency procurements were authorized by the Governor

	Was the MC impartial, and fair in issuing permits, contracting services?	Yes. It is very transparent as reflected in the King's Institute's award for Transparency
	Has the MC got any legal provision on handling crime? Violence? Human rights?	No. Tourism Police attends to tourism related crimes and the general Police attends to other matters
	Have there been instances where people have to wait an un-reasonable time period to get permits?	Not reported. MC too is keen to develop the city and therefore no reason to delay development
	Has the MC enforce the MC rules and regulations equally to all residents?	All are equal citizens of MC. The power of people in democratic governance process is highly respected and promoted by the MC
Predictability	What was the mechanism the MC used in determining the needs of affected residents/entities?	Needs were identified by the national and provincial level RTG agencies. MC participated in the process
	What were the immediate responses of the MC?	Food, clothing, rescue etc.
	Has the MC coordinated disaster relief and recovery activities with the DDPM?	MC assisted in coordinating relief and recovery efforts
	Did the MC develop a Rebuilding and Reconstruction Plan?	Patong Plan is a component of the Phuket Provincial plan
	Does the City Development Plan incorporate Disaster preparedness and mitigation?	Safety and security of life & property is an essential component of the city plan
	Is there a hazard zonation map for the MC?	The coastal area H. zonation map available. For landslides zonation maps being prepared
	Is there a separate evacuation Plan?	Tsunami evacuation plan exists.
	How does the MC train staff on disaster management?	Use national training programs and facilities
	Has the MC got adequate human resource capacity to handle future hazards and disasters? Or strategic planning?	Yes. But further strengthening is being addressed
	Has MC identified a lead sector in the city development plan?	Tourism
	What are the actions planed to protect natural resources and environment?	Actively involved in the programs of Ministry of Natural Resources & Environment
	How to mobilize resources for City development?	Allocations from the national budget
	How did the MC coordinate the recovery work with other actors i.e National leaders? INGOs? Private sector? NGOs?	MC assisted the ongoing implementation rather than leading coordination
	Has the MC encouraged or designated "First respondents?"	MC has already deployed 160 youth as first respondents.
	Has the MC developed Emergency Response (ER) Plan?	ER Plan is developed, communicated to all parties and regular drills are performed to strengthen its efficiency

The responses of different people interviewed in individual and group discussions are summarized below. The discussions were held exclusively in Thai Language. That constraint may be reflected significantly in the responses given next:

Figure 5 An Assessment by People on Municipal Practices

Governance Principle	Question	Response
Participation	What were the specific programs that you participated? Specify.	Beach cleaning, removal of debris
	Were you invited by the MC to attend these programs? Or you voluntarily participated?	MC announced using loud speakers. Early days voluntary participation. Later MC employed people to clean the beach.
	How did you come to know these programs/events?	Loud speaker and community radio announcements, boards and banners display by the MC
	Were you able to contribute your views when emergency response activities were carried out?	No proper response
	Did you participate in developing recovery plans after Tsunami?	No idea of developing plans. But they have taken part in evacuation training and drills.
	Were there instances that Tsunami related activities were carried out without the concurrence of the affected people?	No clear idea
	Did the MC listen to your grievance/complain?	This necessity has not arisen
	Do you know any instance/s that the MC disregard your rightful claim?	No response
	What are the voluntary organizations that you know during Tsunami work?	No one had given the name of a single NGO. They use 'Government' in general sense.
Accountability	Have you seen the budget for Tsunami related activities of the MC?	No response
	Do you know the funds received by the MC ?	No response
	Do you know how these funds were spent?	No idea
	Did you request the MC at any time for that kind of statement?	Not interested in what the municipality does
Transparency	Is the policy of issuing building permits and other permits by the MC clear to you?	Not known
	Were you aware of the services or assistance provided by the MC for Tsunami affected people?	Knew about the process of getting relief assistance. There was a waiting list with the MC
	Was there a list of such assistance published?	Not known

	Do you know how the MC invite bids and how they issue contracts?	No response
	How do you assess the rehabilitation work of the MC? Please comment	MC cleared debris. Beach cleaned. Now only permit holders are allowed do business on the beach
	Do you think that Tsunami affected people have better living now?	Better living can come with tourists
Rule of Law	Do you know the rules and regulations of the MC on matters related you?	No response
	Are there any rules that affect you negatively?	No response
Predictability	Did you at any time report /complain to the MC about any grievances?	No response
	Did the MC promptly respond to your need?	No response
	Is there a special officer in the MC to attend to your needs?	No response
	Did you support the MC during tsunami relief and recovery operations?	Not directly. Some have worked in cleaning the beach.

The people who were interviewed were beach attendants, masseuse, tattoo makers, boat operators, small business owners and other vendors on the beach front of Patong. It was observed that the general public who depend on daily income they generate seem less interested in what is going around them.

5.3. Conclusion

It may be correct to assume that the situation in terms of governance practices are concerned reflects a paradoxical situation in the context of Thailand. On the one hand the public utilities such as electricity, water, telecommunication are provided by the private sector and the role of the municipalities is confined to areas that are not directly serving individual needs. Therefore the general public do not depend largely on the municipality services, support for their livelihood and other welfare matters. As a result the general public is not interested in he affairs of the municipality. It is their own effort that brings them income through which other services can be purchased.

On the other hand the Municipalities are keen to involve in economic growth helping and promoting economic activities. In the case of tsunami affected areas the tourism is the main economic activity that the municipalities are keen to promote with all its efforts. To achieve this objective, the Municipalities focus on a different type of cliental namely hoteliers and business community. This is not due to a policy of differential treatment for higher income groups but because of the policy of the municipality to ‘grow first and distribution follows.’

In brief this is a highly commercialized society with private sector led growth where welfare role of municipalities has a limited role. The governance principles such as participation, transparency, accountability, rule of law and predictability are less important in their lives.

Annex 1. Good Urban Governance in South Asia (GUGSA)

CLIN 0001 a: Topical Inventory of Good Municipal Practices in Thailand in Post- Tsunami Context

The Good Governance Field Work Guidelines

Introduction

The purpose of this section is to develop a set of questions that will be used in collecting data and information during field visits. The questions are framed to focus on the following core characteristics of good urban governance as stated in the Scope of Work (SOW) of GUGSA;

1. Participation
2. Accountable
3. Transparent
4. The rule of Law
5. Predictability

These principles or characteristics of GUG are explained in detail in the section 2.4 of the Topical Inventory.

Good Governance is an ideal which is difficult to achieve in its totality. However, these questions are designed to capture the above characteristics reflected in the process of governance in Tsunami perspective to the extent possible in Municipal Councils of three Provinces of Thailand. These three provinces are the severely affected provinces out of the six provinces of the country.

Methodology

The questions are presented in the form of either questions or broad statements on each characteristic of the Good Urban Governance stated above. A special attempt was made to reflect different stages/phases of Tsunami i.e. from emergency to recovery in these questions/statements.

These questions are designed only to guide the discussion in order to collect information as much as possible to identify good practices that had taken place during the post Tsunami period. Recognizing the difficulties and limitations entail in this type of historical investigation into an unprecedented tragic event and the enormous efforts rendered by the entire nation to stand up from that devastation, no attempt is made to quantify the data and information on “good urban governance” practices. However quantitative data will be collected wherever possible to supplement and also to complement the findings during the fieldwork.

The questions/statements may vary according to the subject interviewed. The questions/statements designed are therefore divided in to two broad categories, namely Municipal Officials and others in the “Service Provider” category and general public including Tsunami affected people, hoteliers, businessmen and women and other “Rights holders” in the second category.

In addition, the interviewees will be asked to express their rating on certain questions using the relevant grade from 1 to 5 in the following order.

Grades	Description
1	Very poor
2	Poor
3	Moderate
4	Good
5	Very good

In addition to reflecting their opinion by utilizing these grades, the interviewees will be invited to specify or describe actual examples. This will enable to collect more details on the activities performed by the Municipalities during Tsunami.

A. Questions /statements from Service Providers

1. Participation

- What were the strategies/ activities/ programs of the Municipality (MC) that encouraged public/ NGOs/private sector to participate in their work soon after tsunami? (Please give examples i.e Search and rescue, Funeral arrangements of the dead, taking care of old people, mothers and children, helping school children etc.)
- How did the MC invite them to attend these? Announcements?
- Was there a list of invitees/participants? Who were they? NGOs? Private sector business entities? Women? Priests? Migrant workers and residents (specify)
- Was there an announced timetable for these events?
- Was there a specially designated officer/ or counter to receive public grievances?
- Did MC invite private sector in clearing debris, solid waste, food supplies and any other service required during Tsunami?
- Did MC consult residents when removing / cleaning debris was arranged?
- Did the MC consult city residents on solid waste disposal sites?
- Do the people participate in solid waste management? Is there a general awareness among the citizens on garbage disposal?
- Did MC involve public, private sector, NGOs in developing Reconstruction and rebuilding program?
- Is MC open to media?
- Has the MC got a web page with information on contracts, taxes, budgets etc?
- How the decisions of the MC are adopted? Majority vote of the Municipal Members? By Mayor only? Strategic decisions by a core group?
- Who has the power to finally approve the work program?
- Who finally approves the MC budget?
- Were there programs implemented without the full support of the beneficiaries?
- Is there a system to consult senior citizens, technical experts etc before the Municipal Council discuss/ debate on issues?
- How the MC provides its services to vulnerable groups? E.g slum dwellers? Migrant workers? Disable people?
- Does the MC listen to the grievances of these people?
- Does the MC consider the businessman and hoteliers are more important? Or priority should be given to business?

2. Accountable

- Was Tsunami relief to recovery budget available to the public?
- How was the affected people/ entities access the MC services? Who to meet in which department/unit etc. were clearly and visibly shown to public when they come to the MC premises?
- Does the MC publish an update of MC expenditure?
- Did the MC publish progress reports on Tsunami related activities/
- Did the MC maintain detail records of receipts of various grants, donations, in-kind contributions etc for Tsunami related activities?
- Has MC got a system in place to reduce expenditure? Or waste? E.g. energy conservation measures, Green Office... etc
- Are the MC officials aware of their responsibility in financial matters? Or are they aware of the delegated authority to each officer in the MC?
- What are the management tools and techniques used in the city administration in general?
- How the funds received was allocated on Tsunami related activities? How the priority was determined?

- How long was the period spent in repairing/ recovering the MC services affected by Tsunami?
- How efficient was the delivery of inputs to such civil works?
- How much of the funds have already been spent?

3. Transparent

- Did MC announce what services are being provided to Tsunami victims or affected people, business entities, their employees, migrant workers?
- Is there a list of such services?
- Tsunami reconstruction program of the MC is publicly known including sources of funding and estimates?
- Did MC publicly announce details of contracts? From inviting bids /tenders up to finalizing?
- What is the procedure in issuing permits?
- Did affected parties know the responsible officials of the MC on Tsunami related permits?
- Is there an Internal Audit unit within the MC?
- What is the frequency of auditing of MC expenditure?
- Are the audit reports made available to the public?

4. Rule of Law

- Has the MC got adequate rules and regulations for procurement? Particularly on emergency procurement? E.g. debris clearing, Solid waste disposal ?
- Was the MC impartial, and fair in issuing permits, contracting services?
- Has the MC got any legal provision on handling crime? Violence? Human rights?
- Have there been instances where people have to wait an un- reasonable time period to get permits?
- Has the MC enforce the MC rules and regulations equally to all residents? In other words there was no discrimination against women, poor, migrant workers?

5. Predictability

- What was the mechanism the MC used in determining the needs of affected residents/entities?
- Was there a designated officer for each category of the victim i.e women, children, businessmen, fishermen etc? or a general counter like arrangement?
- What were the immediate responses of the MC?
- Has the MC coordinated disaster relief and recovery activities with the DDPM?
- Did the MC develop a Rebuilding and Reconstruction Plan?
- Is there a City Development Plan ?
- Does the City Development Plan incorporate Disaster preparedness and mitigation?
- Is there a hazard zonation map for the MC ?
- Is there a separate evacuation Plan?
- How does the MC train staff on disaster management?
- How the solid waste collection and disposal is planned?
- Has the MC got adequate human resource capacity to handle future hazards and disasters? Or strategic planning?
- Has MC identified a lead sector in the city development plan?
- What are the actions planed to protect natural resources and environment?
- How to mobilize resources for City development?
- How did the MC coordinate the recovery work with other actors I,e National leaders? INGOs? Private sector? NGOs?
- Has the MC encouraged or designated “First respondents”?
- Has the MC developed Emergency Response Plan?

Describe activities the Municipal Council performed during and after Tsunami that you can flag as good practice.

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B. Rights Holders

The affected parties will be invited to small group discussions in general to go down their memory lane from the day of Tsunami up to now. They will be allowed to express themselves freely in their own words. This is the methodology known as “**Ethnographic Methodology**” used in anthropological research.

They will be invited to list their expectations as far as the services they expected from the MC. These will be clustered and organized in a logical order for the purpose of this study.

The same forum will be used to obtain their views on the following structured questions. Un-structured questions too will be used depending on the environment.

1. Participation

- What were the specific programs that you participated? Specify
 - 1.
 - 2.
 - 3.
- Were you invited by the MC to attend these programs? Or you voluntarily participated?
- How did you come to know these programs/events?
- Do you know the designated officer and his/her division to approach when you need assistance of the MC?
- Were you able to contribute your views when emergency response activities were carried out?
- Did you participate in developing recovery plans after Tsunami?
- Were there instances that Tsunami related activities were carried out without the concurrence of the affected people?
- Did the MC listen to your grievance/complain?
- Do you know any instance/s that the MC disregard your rightful claim? e.g land permits/building permits/business permits etc
- What are the voluntary organizations that you know during Tsunami work? (Please name them and describe what they did.)

2. Accountability

- Have you seen the budget for Tsunami related activities of the MC?
- Do you know the funds received by the MC ?
- Do you know how these funds were spent?
- Did you request the MC at any time for that kind of statement?

3. Transparency

- Is the policy of issuing building permits and other permits by the MC clear to you?
- Were you aware of the services or assistance provided by the MC for Tsunami affected people?
- Was there a list of such assistance published?
- Do you know how the MC invite bids and how they issue contracts?

- How do you assess the rehabilitation work of the MC? Please comment
- Do you think that Tsunami affected people have better living now?

4. Rule of Law

- Do you know the rules and regulations of the MC on matters related you? E.g Rules regarding building permits
- Are there any rules that affect you negatively?

5. Predictability

- Did you at any time report /complain to the MC about any grievances?
- Did the MC promptly respond to your need?
- Is there a special officer in the MC to attend to your needs?
- Did you support the MC during tsunami relief and recovery operations?

Explain some of the good things that your Municipal council did during and after Tsunami

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Annex 2. References

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Annex 3. Map of tsunami affected provinces of Thailand

