

BASIS CRSP Third Annual Report

ACTIVITIES
1998-1999

and

WORKPLAN
1999-2000



Broadening Access and Strengthening Input Market Systems



B A S I S

October 1999



BASIS CRSP

Third Annual Report

Broadening Access and Strengthening Input Market Systems
Collaborative Research Support Program

ACTIVITIES

October 1, 1998 - September 30, 1999

and

WORK PLAN

October 1, 1999 - September 30, 2000

Provided by:

BASIS Management Entity
Land Tenure Center
University of Wisconsin–Madison
1357 University Avenue
Madison, WI 53715 USA

October 1999

Special note to the reader

To improve readability and usefulness, several changes were made in the annual report format.

- A list of institutional members of the Consortium for Applied Research on Market Access (CARMA) appears on page vi.
- Each regional section includes the following information:
 - Acronyms
 - Researchers and their affiliations
 - Host-county institutions collaborating with CARMA
 - Project descriptions, 1998-1999 activities, and work plans for 1999-2000
 - Outputs for 1998-1999
- The complete BASIS CRSP directory, with contact information for CARMA representatives and BASIS researchers, is included as Appendix D.

Acknowledgment

On behalf of CARMA, this report has been produced by the BASIS Management Entity (ME) located at the Land Tenure Center, University of Wisconsin–Madison.

BASIS ME staff worked collaboratively to condense hundreds of pages comprising 1998-1999 annual activity reports and 1999-2000 work plans submitted by BASIS researchers. Their work is the foundation for this report.

All researchers deserve thanks for their thorough and interesting accounts. Special appreciation goes to those who sent photographs and vignettes about BASIS clients . . . rural people in developing countries around the world.

This publication was made possible by support provided in part by the U.S. Agency for International Development (USAID) Agreement No. LAG-A-00-96-90016-00 through Broadening Access and Strengthening Input Market Systems Collaborative Research Support Program (BASIS CRSP).

All views, interpretations, commendations, and conclusions expressed in this paper are those of the author (s) and not necessarily those of the supporting or cooperating institutions.

Dedication

In memory of Pamela Stanbury

The 1998-1999 BASIS Annual Report is dedicated to the memory of Pamela Stanbury in recognition of her contributions to the creation and direction of the Broadening Access and Strengthening Input Market Systems (BASIS) Collaborative Research Support Program (CRSP).

Pamela Cook Stanbury, BASIS CRSP Program Officer in the Office of Agriculture and Food Security of the U.S. Agency for International Development, died at her home on February 20, 1999 after a long illness at the age of 44.

Pam was born on August 12, 1954 in Boston, Massachusetts. She earned a BA in anthropology from Sarah Lawrence College in 1976 and a Ph.D. in social anthropology in 1987 from the University of Arizona, Tucson. Her dissertation project, conducted in Rajasthan, India, and funded by a Fulbright fellowship, was a study of village community formation and land settlement in an irrigated agricultural settlement scheme.

In Sri Lanka, from 1986-89, she was a post-doctoral fellow with the International Irrigation Management Institute where she continued her research interests on the dynamics of planned agricultural settlements. From Sri Lanka, she moved to Washington, DC where she began her work at USAID first as an AAAS fellow, later to become a direct hire as project manager and technical advisor to the Office of Agriculture and Food Security.

Pam specialized much of her career on land tenure and her work in this area of agrarian reform made significant contributions to the progress of USAID projects in many countries in Asia, Africa, Latin America and Russia. In Mozambique, Zambia and Uganda, Pam and her

colleagues worked on helping to develop institutional and juridical mechanisms to improve access to arable land. In Uganda, her teams joined forces with Ugandan jurists to insert a land code in the new Ugandan constitution. She also used this expertise in Peru, Nicaragua and El Salvador. Her work in the newly independent states of the former Soviet Union was particularly forward thinking and helped in the implementation of a decentralized land policy. Working through the Gore-Chernomyrdin Commission, Pam helped support separate dialogues at the provincial (*oblast*) level, which became a model of land privatization for other provinces and countries.

Out of this work, Stanbury developed a proposal for a new activity aimed at integrating the factor markets of land, labor, and capital through creation of the BASIS CRSP. It was an innovative program combining University-based expertise on each factor of production into a single activity. BASIS activities continue to honor Pam's ingenuity and represent one of her many legacies.

Friends will remember Pam Stanbury as an exceptionally warm person, with an infectious laugh and beautiful smile. She is survived by her husband, fellow anthropologist David Groenfeldt, and their two young daughters Margot and Julia. She is sorely missed by all those who knew and loved her.

Overview

From the Program Manager

Research programs advanced significantly during 1998-1999, the third year of operation for BASIS CRSP.

In El Salvador, work focused on the dynamics of poverty, the causes of resource degradation on hillsides, and how innovations in rural lending strategies broaden access by the poor to financial services. In the Greater Horn of Africa, research sought to determine how different financial instruments and transportation constraints affect cross-border trade in livestock. In famine-prone areas of Ethiopia, researchers examined how market institutions and social infrastructure help the poor to cope with drought. In Southern Africa, they looked into ways that private land transactions and water management practices help the poor gain access to productive livelihoods. In Central Asia researchers identified constraints to farm restructuring and profitability in the newly independent states of the former Soviet Union.

This year we began the exciting progression from identifying research findings to implementing results. For example: In El Salvador–BASIS research contributed to a revised Banking Law by advising on an appropriate regulatory framework for rural financial intermediaries. In the Horn of Africa–research on cross-border trade is helping to identify ways to promote inter-regional trade and economic stability. In Zimbabwe–BASIS participates in a multi-donor effort assisting the Government to design its land reform and resettlement program, aimed at broadening access by the poor to land and water resources. In South Africa–BASIS sponsored research on poverty and reported policy recommendations to the Deputy President and nine cabinet ministers.

Next year's work plan anticipates a deepening of ongoing projects, and several new research activities funded through the BASIS Competitive Grants Program and with new add-on funding from USAID missions. In Central America, two new projects will study factor markets and how to make them work better for the poor in Honduras, Nicaragua and Mexico; and land and labor market participation in El Salvador. In the Eastern Europe and Eurasia region, add-on funding will enable a study of privatization indicators and research on farm profitability in the Kyrgyz Republic. A new add-on from Ethiopia will look at non-farm employment strategies for increasing income growth.

I am very pleased with the collaborative partnerships we have developed, the scope and depth of research programs we have implemented, and the results we are beginning to see. Our accomplishments are all the more noteworthy for the impressive breadth of work that has been carried out under tight funding constraints. Our many partners, here and abroad, deserve to be congratulated for so amply demonstrating that sound research and meaningful collaboration pay rich dividends.

In closing, I am sad to report the loss of USAID project officer Pamela Stanbury who died of cancer last year. BASIS appreciates the excellent contributions of Deborah Rubin in continuing this work. Both worked tirelessly on behalf of BASIS to help us implement our mission. We will miss them both. To the many researchers who work so hard in advancing BASIS programs, and to the staff of the Management Entity who provide support in too many ways to count, my sincere thanks for a productive year.

Michael Roth
BASIS Program Director

Consortium for Applied Research on Market Access (CARMA)

BASIS is implemented by CARMA, the Consortium for Applied Research on Market Access. CARMA comprises 16 institutions, several of which have worked extensively with USAID.

Founding Members

Institute for Development Anthropology
Land Tenure Center, University of Wisconsin-Madison
The Ohio State University's Rural Finance Program

Cooperating Institutions

Department of Agricultural and Applied Economics, University of Wisconsin-Madison
Harvard Institute for International Development
Institutional Reform and the Informal Sector, University of Maryland
International Center for Research on Women
International Resources Group
Land Tenure Service, Food and Agriculture Organization
Lincoln Institute of Land Policy
Michigan State University
Rural Development Institute
Tuskegee University
Winrock International
Workshop in Political Theory and Policy Analysis, Indiana University
World Council of Credit Unions

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BASIS CRSP

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Introduction

USAID

The U.S Agency for International Development (USAID) is the U.S. federal government agency that implements America's foreign economic and humanitarian assistance programs. USAID's history goes back to the Marshall Plan's reconstruction of Europe after World War II and the Truman Administration's Point Four Program. In 1961, President John F. Kennedy signed the Foreign Assistance Act into law and created USAID by executive order. USAID supports the people of developing and transitional countries in their efforts to achieve enduring economic and social progress and to participate more fully in resolving the problems of their countries and the world.

USAID pursues its mission through partnerships with people and governments around the world. In collaboration with these groups, priorities are set and strategic goals are identified as targets for assistance programs. One of USAID's major goals is to encourage broad-based economic growth and agricultural development.

Agriculture plays a prominent role in many developing countries as large sectors of the population subsist through agricultural output and live in rural areas. USAID's Center for Economic Growth and Agricultural Development is committed to addressing concerns of food security, environmental protection, and poverty alleviation in developing countries. USAID supports these areas through research, technical assistance, technology transfer, training and capacity building.

CRSPs

During the past 100 years the American land grant university system of research, teaching and outreach, along with federal and private initiatives, has evolved powerful and proven capability for boosting farm productivity and improving rural incomes. The Collaborative Research Support Program (CRSP) has been put into a place with the assistance of USAID to link the capabilities of the U.S. agricultural universities and research centers to the needs of developing nations worldwide. This step was made possible by the United States Congress through passage of the International Development and Food Assistance Act of 1975. The Act in Title XII authorized the President "... to provide program support for long-term collaborative university research in the developing countries themselves to the maximum extent practicable on food production and distribution, storage, marketing, and consumption." (CRSP Guidelines, 1998, p. iv.)

Successful solutions to world food shortages, malnutrition and poverty in developing countries require a unified and collaborative effort in research and technical assistance among U.S. institutions, our counterpart institutions abroad, other bilateral donors, and international organizations. The CRSPs help to seek practical solutions to these problems through knowledge generation, design of new solutions, partnership and capacity building to enable sustainability.

The BASIS CRSP is currently one of nine CRSPs:

- Beans and Cowpeas
- Broadening Access and Strengthening Input Markets Systems (BASIS)
- Integrated Pest Management
- Peanuts
- Pond Dynamics and Aquaculture
- Livestock and Small Ruminants
- Soil Management
- Sorghum and Millet
- Sustainable Agriculture and Natural Resources Management.

BASIS CRSP

In September 1996, USAID awarded the Broadening Access and Strengthening Input Market Systems (BASIS) Collaborative Research Support Program (CRSP) to the University of Wisconsin-Madison Land Tenure Center, of the Consortium for Applied Research on Market Access (CARMA).

The focus of BASIS is on land, water, labor and financial markets and their interactions as they relate to economic growth, food security, and sustainable resource management.

Through its regional study of market access and through the application of global lessons, BASIS research aims to stimulate economic and agrarian growth in developing countries leading to more effective access and use of resources, particularly for the poor.

BASIS is organized around certain policy problems: market liberalization without growth and/or with widening income disparity; economic growth that is biased by gender, ethnic, racial, or other social difference; constraints of management and institutional innovation.

Priorities for research are achieved through collaboration with professionals in the regions where BASIS research and

training take place. BASIS emphasizes collaborative research, training and capacity building.

country counterparts, including researchers, policy makers and community-based organizations.

Work under BASIS, then, is designed to:

1. Analyze the performance, interactions, and synergies of land, water, labor, and financial markets (including access) and translate the research results into policy recommendations, with emphasis on the poor, women, and socially disenfranchised groups;
2. Translate the lessons learned from research in developing and transitional economies to other countries in similar stages of development;
3. Find solutions to wasteful resource use and suggest policies that utilize and price resources sustainably and efficiently;
4. Determine key performance factors in non-market institutions that allocate resources and thereby bolster their efficiency and equity;
5. Communicate research results in a timely and usable manner through workshops and communications campaigns; and,
6. Identify and monitor indicators of economic and social welfare that measure improvements in factor market performance and equity.

BASIS focuses on applied, policy-relevant research. It implements its programs through collaborative and jointly-designed programs of research between U.S. and host

The factor market nexus

At the core of the BASIS project is the recognition that whether and how economic growth occurs (its microdynamics) is intertwined with how various underlying factor and product markets interact and work—what may be called the "factor market nexus." Broadly based and sustainable growth will require relaxation of the constraints to resource use and asset accumulation decisions presented by the interacting, sometimes countervailing, constraints posed by land, labor, and financial markets.

While there is much that is regionally and historically specific to any particular policy problem (and solution), BASIS also explores those elements of the factor market nexus that cut across regions and generally constrain the performance of agrarian economies. CARMA selected regions to study based on the synergies among them, their relevance to the basic research themes, and their importance to the USAID mission and global strategies. Research themes such as broadening market access to increase economic growth, agricultural productivity, food security, and sustainable resource are policy concerns in all regions.

Work in the first year focused on the planning process by U.S. and host-country professionals, which progressed in the second year to research implementation and relationship building. As noted in this annual report, research findings are being produced and communicated in this third year.

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Central America



BASIS CRSP Research Projects

◆◆ El Salvador Research Program

A. National Rural Household Survey

- (1) Performance of Financial, Labor and Land Markets in El Salvador
- (2) Dynamics of Poverty
- (3) Agrarian Reform Cooperatives and Land Use Patterns
- (4) Exogenous Shocks and Rural Income Strategies – *New for 1999-2000*
- (5) Determinants of Market Integration
- (6) Location and Land Use Patterns

B. Segmented Market Niches in Rural Financial Markets

- (1) Determinants of Access to Financial Services
- (2) Rural Financial Technologies
- (3) Rural Financial Organizations – *New for 1999-2000*

◆◆ Land Market Liberalization and the Land Access of the Rural Poor: Lessons from Recent Reforms in Central America

◆◆ Rural Households' Land and Labor Market Participation Strategies in El Salvador – *1999-2000 Competitive Grant Award*

Acronyms used in this section

BFA	<i>Banco de Fomento Agropecuario</i>
CAM-FINCA	<i>Centro de Apoyo a la Microempresa–Fundación Integral Campesina</i>
FLACSO	<i>Facultad Latinoamericana de Ciencias Sociales</i>
FOMIR-DAI	<i>Fomento a las Microfinanzas Rurales - Development Alternatives, Inc.</i>
FUNDAUNGO	<i>Fundación Dr. Guillermo Manuel Ungo</i>
FUNDE	<i>Fundación para el Desarrollo Económico</i>
FUSADES	<i>Fundación Salvadoreña para el Desarrollo Económico y Social</i>
GTZ	<i>Deutsche Gesellschaft Fur Technische Zusammenarbeit</i>
LAC	<i>Latin America and the Caribbean</i>
OSU	<i>Rural Finance Program at The Ohio State University</i>
UCA	<i>Universidad Centroamericana José Simeón Cañas</i>
USAID	<i>United States Agency for International Development</i>

BASIS CRSP Research in Central America

BASIS CRSP research in Central America focuses on the interactions of land, labor, and financial markets and their impact on poverty and resource conservation. Current research activities are underway in the countries of El Salvador, Honduras, Nicaragua, and Mexico.

The El Salvador program, established in 1997, analyzes the performance of financial, labor and land markets, in an effort to increase access of the poor to factor markets and sustainable livelihoods. In addition, the research agenda

seeks to explain the dynamics of poverty and causes of resource degradation on hillsides. Work on innovation in rural lending strategies seeks to broaden access to financial services by the rural poor.

A related project focuses on the interaction between land and labor market participation in El Salvador. Another project aims to understand factor markets and how they might work better for the poor in Honduras, Nicaragua, and Mexico.



El Salvador Research Program

Collaborating Institutions and Researchers

The Rural Finance Program at The Ohio State University (OSU)

Claudio Gonzalez-Vega, Principal Investigator,
BASIS/El Salvador
Douglas H. Southgate
Sergio Navajas, Post-doctoral Research Specialist
Adrián González-González, Graduate Research Associate

Fundación Salvadoreña para el Desarrollo Económico y Social (FUSADES)

Roberto Rivera-Campos, BASIS Co-Principal Investigator
and Director, Department of Social and Economic
Studies
Anabella Lardé de Palomo, Director, Social Studies Unit
Margarita Beneke de Sanfeliú, Chief, Research and
Information Center
Jaime Acosta, former Director, Dept. of Social and
Economic Studies
Aída de Argüello de Morera
Mauricio Shi

FUSADES, the principal BASIS research collaborator in El Salvador, coordinates the activities of other Salvadoran Research Organizations (FUNDAUNGO, FLACSO, FUNDE, and UCA), and interactions with the Salvadoran Impact Organizations (Ministry of Agriculture and Central Bank of El Salvador), and the financial organizations being investigated (*Financiera Calpiá*, CAM/FINCA, and BFA).

Fundación para el Desarrollo Económico (FUNDE)

José Enrique Mejía
Enrique Merlos
René Rivera

Facultad Latinoamericana de Ciencias Sociales (FLACSO)

Katharine Andrade-Eekhoff
Carlos Briones

Fundación Dr. Guillermo Manuel Ungo (FUNDAUNGO)

Ricardo Córdoba
Julia Evelyn Martínez

Universidad Centroamericana (UCA)

Rafael Pleitez
Alvaro Trigueros

Other

Jonathan Conning, Williams College, Williamstown, MA
Jeffrey Hopkins, USDA; formerly Post-doctoral Specialist,
OSU
Albert Jodhimani, India's Internal Revenue Service,
formerly Ph.D. candidate, OSU
Rodolfo Quirós, Academia de Centroamérica, Costa Rica
Mark Schreiner, Washington University, St. Louis, MO

Project dates: November 1996 - September 2001

Support: Core funding and add-on (USAID/El Salvador)

Background

In the 1990s, the Government of El Salvador implemented major economic and political reforms to respond to accumulated failures of policies, markets, and institutions and to achieve broadly-based and environmentally-sustainable economic growth. BASIS research is helping to enable these goals through monitoring the impact of policy reforms, testing hypotheses about the impact of alternative interventions, and advising the authorities on potential revisions of policy design and implementation.

Several striking initial conditions and some recent historical events in El Salvador were identified as significant influences on land, labor, and financial market performance, rural poverty, and resource conservation in this country.

- High density of population resulting in intense human pressure on land

- A shallow stock of human capital as a result of underinvestment in health, education, and other types of human capital formation
- Low productivity of labor in agriculture and widespread rural poverty
- A war-damaged infrastructure and non-neutral wealth constraints on access to financial services
- Weak institutions, outdated legal systems, and shortcomings of the state's organizational framework (a potentially shallow stock of social capital)
- Limited availability of natural resources
- A degraded natural resource base and heavily polluted environment

El Salvador's recent economic and political evolution has resulted from two important transitions from:

1. The economic decline and social conflicts associated with the civil war to the economic reconstruction, social reconciliation, and democratic processes that have emerged from the Peace Accords
2. The interventionist, fiscally-unsustainable, protectionist regime associated with import-substitution industrialization within the framework of the Central American Common Market to a growing and stable outward-oriented economy, resulting from an ambitious program of macroeconomic stabilization and structural adjustment policies

In this context, policymakers are tackling important issues that have motivated the BASIS agenda. Are the recent economic and political successes sustainable beyond these transitional stages? Will the new policies and institutions be capable of maintaining rapid economic growth, social development, and environmental improvements as the country continues along its path of stable macroeconomic adjustment and increasing integration into the world economy? How does access to resources by different segments of the population enable or constrain sustained and equitable economic growth? Operationally relevant answers to these questions have required an examination of the structural features of these markets, and an evaluation of planned and potential interventions to support this structural transformation.

A. National Rural Household Survey

Research team: Gonzalez-Vega, Southgate, Navajas, Rivera-Campos, Lardé de Palomo, Beneke de Sanfeliú, Shi, Andrade-Eekhoff, Briones, Córdoba, Pleitez, Schreiner, and Trigueros

For the analysis, the program has been developing a national panel of rural households, with observations every two years. In February 1996, with support from the World Bank,

FUSADES implemented a *First National Rural Household Survey*. This survey generated data from 1995 on household demographic indicators, levels and sources of income, employment within and outside the household, poverty indicators, domestic and international migration, remittances, farmer practices, and transactions in land and financial markets.

The *Second National Rural Household Survey* was implemented during February and March 1998 with BASIS funding. This survey completed a second interview to gather 1997 data from many of the same households visited for the first survey. New sets of questions, relevant for BASIS research, were added to the survey instrument. These included questions about the local environment, transactions costs, asset holdings and indicators of basic needs satisfaction, unexpected shocks, and financial transactions.

A panel has been constructed with these two observations and it has been the key data block for the analysis of program researchers.

1999-2000 Work Plan

A *Third National Rural Household Survey* in January-March 2000 will build upon the first and second surveys. This third observation for the panel will enable longitudinal studies of the dynamics of poverty, and of household access to land, labor, and financial markets in mitigating the effects of adverse income shocks. This survey will be financially supported by an add-on from USAID/El Salvador.

(1) Performance of Financial, Labor, and Land Markets in El Salvador

Workshops were held at FUSADES to discuss research design and results. On April 14, 1999 participants discussed the studies on the institutional framework for land market transactions, the achievements of *Financiera Calpiá*, the environment of rural financial markets in El Salvador, rural household labor market participation, and the environmental implications of land distribution programs. Other workshops addressed research design issues for studies on the dynamics of poverty and degrees of market integration of rural households. Formal presentations on these topics were made at a June 11, 1999 workshop.

Rafael Pleitez (UCA) and Claudio Gonzalez-Vega (OSU) were interviewed for two hours on August 9, 1999 about results from BASIS research by Mauricio Funes in *Entrevista al Día* (TV Channel 12), a major media program. Press interviews were given by Gonzalez-Vega for *El Diario de Hoy* and *La Prensa Gráfica*.

Press and TV coverage was associated with the *First National BASIS Seminar* on the influence of labor, financial and land markets on rural poverty, held August 12, 1999. Preliminary analyses of results from the panel were presented at the seminar. Such presentations are critical in the policy debate. (*Continued on p. 11*)

First National BASIS Seminar Identifies Interventions to Strengthen Institutions for Land Market Transactions

On August 12, 1999, a seminar on "The Influence of Labor, Financial, and Land Markets on Rural Poverty" was held in San Salvador. Papers were presented on the dynamics of rural poverty, the performance of rural financial markets, the integration of rural households to labor markets, and the interaction between land markets and resource conservation. Speakers included Kenneth Ellis (USAID Mission Director) and Miguel Lacayo (Minister of Economy). More than 300 policymakers, researchers and practitioners attended this event. The papers will be published in early 2000 in the *Documentos BASIS* series through FUSADES.

At the seminar, Julia Evelyn Martínez reported FUNDANGO research on the institutional framework for land market transactions in El Salvador, where government land transfer programs have contributed little to the alleviation of rural poverty and have introduced a gender (male) bias in access to land. The analysis questioned the historical emphasis on redistribution as the only approach to strengthening access to land markets in El Salvador and suggested the need to complement redistribution with the creation of an institutional infrastructure that would facilitate a smooth operation of land markets.

The discussion confirmed how rigid and shallow land markets have contributed to the stagnation of agriculture and the absence of a vigorous response to the trade liberalization policies adopted earlier in the decade.

A number of interventions to strengthen the institutional infrastructure for land market transactions were identified:

- Better mechanisms for financing land transactions
- Completion of land titling efforts
- Better information about land transactions and improvements of the land records at the *Centro Nacional de Registro*
- Simplification of the bureaucratic machinery associated with the land reform programs
- Reconsideration of the ceiling on land holdings of 245 hectares per family, to facilitate development of contract farming around an agribusiness center
- An investigation of the role of remittances as a possible distortion in the determination of land prices

LA PRENSA GRÁFICA
Martes 13 de agosto del 1999

ECONOMÍA 27

■ AUMENTA ACCESO a servicios básicos de agua y luz eléctrica

Proponen medidas para reducir pobreza rural

El grado de educación y la proximidad a lugares de comercio son factores que afectan a las personas para salir de la pobreza en las zonas rurales del país.

Diversidad
Reportaje de Economía

La educación, como de desarrollo, de calidad de factores de la zona, expansión de servicios básicos y financieras son factores necesarios para combatir la pobreza en la zona rural, asegura un estudio a nivel nacional presentado ayer por la Fundación FUSADES y el Observatorio Económico y Social (FUNDANGO).

Pese a que la pobreza ha experimentado disminuciones desde 1991 y el año pasado el porcentaje alcanzó el 45,18 por ciento, aún no se logra reducir la pobreza en las zonas rurales del país, pese a que se habían empezado con respecto a la situación.

Las investigaciones, en la que también participaron otras instituciones, han presentado el estudio en un seminario realizado en el Hotel Princesa de esta capital a más de 300 profesionales y representantes de entidades de gobierno.

El coordinador de la investigación, Claudio González Vega, advierte que el año de estudios que fueron los indicadores de desarrollo humano y la productividad de las zonas de comercio son factores que afectan a las personas para salir de la pobreza en el campo.



POBREZA RURAL. Al pesar que la pobreza ha disminuido desde 1991 se espera seguir reduciendo en todas las regiones la educación y mejorar las vías de comunicación.

Periodo	Total	Urbana	Rural
1991 - 1992	59,70	53,70	66,10
1994	52,40	45,80	64,60
1995	47,80	40,00	58,20
1996	51,70	42,40	64,80
1997	48,80	38,70	61,80
1998	48,00	37,90	55,80

Fuente: Encuesta de Nivel de Pobreza, FUNDANGO, Ministerio de Economía

Pobreza por departamento



Article in *La Prensa Gráfica*, August 13, 1999 following the First National BASIS Seminar.

BASIS Monitors Economic Transition in El Salvador

Margarita Beneke de Sanfeliú, in a paper prepared for the *First National BASIS Seminar* on the "Dinámica del Ingreso de las Familias Rurales en El Salvador, Estudio de Panel 1995-1997" compared household incomes in the two years and attempted to explain changes observed and distinguished between structural and transitory poverty.

While 1995 was a year of rapid economic growth, 1997 was not as good for the economy as a whole and for rural households in particular. Between 1995 and 1997, on average, rural household annual income in real terms declined 0.9 percent. If remittances from abroad are excluded, household income declined 2.5 percent. This reflected, in turn, a sharp reduction (14.6 percent) of income from agricultural sources and an appreciable increase in non-agricultural income (10.3 percent). While income from self-consumption and sales of crops increased 4.5 percent, income from agricultural wages declined 27.3 percent.

The most important strategy to address . . . losses of income was to develop household-based non-agricultural enterprises.

Climatic factors (El Niño) were a primary determinant of these changes. Important crop losses were experienced, but this was compensated for by higher prices. The most important effect of the climatic shock was a reduction in the demand for labor in agriculture, where the number of hours worked for wages declined 24 percent. A similar reduction (15 percent) was observed in the number of hours worked for non-agricultural wages. The most important strategy to address these losses of income was to develop household-based non-agricultural enterprises. Income from these sources increased 116 percent. While there is broad recognition that non-agricultural occupations are important to raise rural incomes, in the literature there is less confirmation that they are also important to smooth consumption. Moreover, the general view is that non-agricultural jobs are what matters, while our research highlights that household-based microenterprises emerge to successfully deal with income volatility.

While average household income stayed almost at the same level, dispersion increased, and income distribution deteriorated. These changes in income distribution do not reveal, however, the most important dimension of this dynamic process: the incredible household mobility observed as a consequence of income volatility. Households that had been in the lowest decile of the distribution in 1995 experienced increases of 420 percent

in their income, while households that had been in the highest decile saw their income decline by 47 percent. Only 16 percent of the households in the panel stayed in the same decile from one year to the other, underscoring major poverty reversals (rich to poor, and vice versa).

To distinguish among different types of poverty, households were classified into *structurally poor* (poor in both years), *transitorily poor* (poor one year but not the other), and *non-poor* (in either year). Adopting the criteria for the definition of poverty used in El Salvador, 54 percent of the rural households were structurally poor, 32 percent were transitorily poor, 14 percent were non-poor.

In 1995, the structurally poor derived their income mostly from agriculture (56 percent) compared to the transitorily poor (50 percent) and the non-poor (38 percent). By 1997, these shares had declined to 55 percent, 35 percent, and 37 percent, respectively. The continued poverty of the structurally poor seems to be associated, therefore, to their inability to gain access to non-agricultural sources of income, particularly when agriculture suffers a negative shock, as in 1997.

Compared to the non-poor category, poor households have access to less land, tend to diversify their portfolio of household activities more, have a male head of household, who is also less educated, and have more dependents, as the households are larger with younger members. While average schooling for the household is 4.6 years for the non-poor, it is 3.2 for the transitorily poor and 2.1 for the structurally poor.

While incomes stagnated or declined between 1995 and 1997, capital accumulation continued unabated.

While incomes stagnated or declined between 1995 and 1997, capital accumulation continued unabated. The proportion of (the same) households with access to electricity increased from 54 to 63 percent and with access to potable water from 38 to 45 percent, reflecting aggressive public investment. Private asset accumulation also continued. The proportion of these households with a radio increased from 43 to 48 percent, with a recorder, from 45 to 52 percent, with a TV set, from 44 to 54 percent, with a refrigerator, from 21 to 26 percent and with an electric or gas range, from 19 to 26 percent, in only two years. This process of asset accumulation reflects better their long-term income perspectives rather than temporary shocks. The changes were observed throughout the population, poor and non-poor.

(2) Dynamics of Poverty

Research team: Gonzalez-Vega, Briones, Andrade-Eekhoff, Lardé de Palomo, Beneke de Sanfeliú, Shi

The first and the second *National Rural Household Surveys* have made it possible to estimate levels of poverty at the household level and per capita basis, and to classify households by poverty according to income sources. Additional changes in income will be observed when the 1999 data are collected.

Households where farming has been the main source of income have been among both the poorest and the richest. See box, "BASIS Monitors Economic Transition." Households where the main source of income has come from salaried work in agriculture have consistently been the poorest. Except for the richest farmers, households with non-agricultural occupations have been able to earn higher incomes. Moreover, remittances from abroad have been received in greater proportion by the less poor households—before remittances—among the rural population.

Significant results from econometric estimations have been used to explain changes in household income between 1995 and 1997. Positive rather than negative changes were associated with higher levels of education within the household, a greater degree of access to markets (low transactions costs), a greater degree of diversification of the sources of household income, particularly toward household-based non-agricultural microenterprises, a greater land area, and the ability of household members to migrate.

(3) Agrarian Reform Cooperatives and Land Use Patterns

Research team: Gonzalez-Vega, Córdoba, Martínez, Rivera, and other unidentified U.S. and Salvadoran researchers.

The Work Plan for May 1998 - September 1999 proposed an investigation of the influence of the governance structure of agrarian reform cooperatives on land-use decisions. For a number of reasons, this investigation was postponed for the following year. Among these reasons were the inadvisability of conducting this research in the middle of an electoral year as well as uncertainty about the timing of disbursement of funds.

During 1999-2000, researchers plan to implement the study on Agrarian Reform Cooperatives and Land Use Patterns: May-September 2000.

(4) Exogenous Shocks and Rural Income Strategies – New for 1999-2000

Research team: Gonzalez-Vega, González-González, Navajas, Conning, Andrade-Eekhoff, Trigueros, Pleitez, Lardé de Palomo, Rivera-Campos, Beneke de Sanfeliú, Argüello de Morera, and Shi

Systemic shocks such as El Niño, La Niña, and Hurricane Mitch have affected rural El Salvador in the past five years. This investigation, initiated under the current research agenda for fiscal year 1999-2000, will identify characteristics of households, according to their income strategies and other observable features, and relate them to their success in sustaining incomes despite these shocks. The objective of the research activity will be to understand poverty and risk management better.

(5) Determinants of Market Integration

Research team: Gonzalez-Vega, Jodhimani, Lardé de Palomo, Argüello de Morera, Briones, Andrade-Eekhoff

A central question in the BASIS/El Salvador research agenda has been the extent to which varying degrees of integration to the market influence opportunities for income generation and the choice of household livelihood strategies. The research has also attempted to identify policy-relevant determinants of integration to the market.

Research on these topics generated three contributions, which document consistent results in this area from somewhat different but complementary perspectives. All three use data from the *National Rural Household Surveys*.

In his Ph.D. dissertation, "Transactions Costs and the Evolution of Market Completeness," Albert Jodhimani proposed that the proportion of its value added that a household sells in various markets increases as transactions costs fall. He reported that, on average, rural households generated only 41 percent of total income in the market. For this, it takes 45 minutes for the household member to reach the nearest market, but this time may be five hours for some. On average, households had attained only 45 percent of the education expected for their age structure. Roughly 40 percent of the household members are dependents. The regression results showed that the time to reach the market had a negative influence on the degree of market participation and was very significant. Proximity to sources of non-agricultural jobs and higher levels of education also significantly increase market participation. Overall, the results confirmed the importance of transactions costs in determining degrees of market integration.

In "Market Integration of Rural Households and Income Generation" Lardé de Palomo and Argüello de Morera explore the impact of degrees of market integration on

household incomes. Their approach emphasizes dimensions of household location for which they construct an index that takes into account distance to and size of the nearest town or manufacturing center (*maquila*). Using a two-stage model they explain household participation in labor markets as (1) a function of education, an index of location for the household, and per capita land size and (2) the estimated value of market participation, used as an explanatory variable for per capita labor-related household income. Households devoted 72 percent of their time to work, directly or indirectly, for the market. According to the *Second National Rural Household Survey*, 11 percent of the households did not participate in the market at all and 40 percent devoted all of their labor supply to market-related activities. Those who participated less worked fewer hours. Market participation was found to be critically linked to household location and levels of education. A 100-percent increase in the level of education (number of grades approved) increases participation in the market by 32 percent. Results from the second stage revealed a high elasticity of per capita household income with respect to market participation (1.44). Combining results from the two stages, a 100-percent increase in the level of education increases per capita household income 27 percent. An improvement of 100 percent in the location index increases per capita income 15 percent.

To recognize differences in the quality of integration to the market, Lardé de Palomo and Argüello de Morera estimated a multinomial logit model and explained the proportions of the household's labor time allocated to cultivating crops (self-consumption or for the market), working as a laborer at a farm, or working in non-agricultural activities. The proportion of time spent in cultivation of their own land was positively influenced by size of land and distance to the market. The latter reflects the frequency of cultivation of basic grains by subsistence households. In contrast, time devoted to earning agricultural wages results from small land holdings and low education levels. Using non-linear regressions, the authors explained the implicit wages earned in working their own land, working for agricultural wages, or working in non-agricultural activities, where wages were significantly higher.

In "Features of Rural Labor Markets in El Salvador" Carlos Briones and Katharine Andrade-Eekhoff analyzed rural labor markets, focusing on degrees of exclusion resulting from location in rural areas. Only one of ten households had access to health establishments of any kind in their own community. One-third of the households did not have a health facility within five kilometers. Three-quarters did not have easy access to telephones and one-half did not have reasonable access to transportation services. On average, members of these households need to walk for 20 minutes before reaching a bus stop. Paved roads are six kilometers away and for three-quarters of them there cannot be access by car to their residence. Similarly, sources of well-remunerated work are not close.

Examining determinants of individual household member participation in labor markets, the researchers recognized a number of labor market segments, with different quality of occupations. Gender, education, and access to land differences characterize these segments. In general, better market segments demand more prerequisites (*credenciales*). Women participate more easily in informal markets and less in agricultural activities. Education is the most important prerequisite. Location also influences the quality of the market segment.

(6) Location and Land Use Patterns

Research team: Hopkins, Southgate, Gonzalez-Vega, Mejía, Rivera

The objectives of this research are to examine determinants of decisions to settle in areas with high erosion risks and to adopt conservation measures. The general hypothesis postulates relationships between human capital endowments (limited human capital leads to poverty and to a higher probability of raising crops in marginal areas) and rural poverty, on the one hand, and choices regarding income-generating activities and geographical location, on the other. More educated households will not necessarily adopt conservation measures more frequently, however, because they also tend to locate in places where conservation is less needed. Access to jobs leads to labor-saving practices, such as minimum tillage. The non-educated settle in fragile lands, where they degrade soils, but this also gives them more incentives to adopt labor-intensive conservation measures.

BASIS researchers Jeffrey Hopkins, Douglas Southgate, and Claudio Gonzalez-Vega have broadened the scope of the investigation, using data from the *First National Rural Household Survey* and a recursive regression model to analyze factors influencing interrelated choices among livelihood strategies and soil conservation practices.

They found that many farmers perceive their soils to be fragile; 45 percent listed erosion as a problem. Moreover, 52 percent adopted some conservation measure, although only 20 percent of those who consider erosion a serious threat to their productivity adopted these practices. Yields were about 20 percent lower for farmers who considered erosion a problem. Those who adopted the practices had yields 2 percent higher than the rest. An over-arching finding of research carried out to date is that improving rural living standards does *not* accelerate land degradation. Regression analysis confirms that families with more education and better access to markets are more apt than others to earn wages from non-agricultural sources. The relationship between income diversification—an indicator of economic progress at the household level—and the adoption of conservation measures is positive, though not statistically significant. Moreover, Mejía and Merlos documented how government land transfers had had negative environmental consequences.

1999-2000 Work Plan

Using data from the three *National Rural Household Surveys*, researchers will focus on households' location decisions. Regression models will be used to explain the household's propensity to settle in environmentally fragile areas (as opposed to places that lend themselves well to farming). Particular attention will be paid to distinguishing between the effects of "initial conditions" (e.g., the household's educational attainment and geographic origin) and public policy variables (e.g., availability of technical assistance).

B. Segmented Market Niches in Rural Financial Markets

Research team: Gonzalez-Vega, Navajas, González-González, Lardé de Palomo, Beneke de Sanfeliú, Shi, Pleitez, Schreiner, Trigueros, and Quirós

Rural financial markets in El Salvador are particularly shallow, and rural households have had extremely limited access to formal financial services. This component of the research agenda seeks to explain this deficiency and to offer recommendations to increase access of the rural poor to financial services. Three interrelated activities have been undertaken: (1) household and borrower surveys to study determinants and consequences of access to formal finance, (2) analysis of the process of innovation in lending technologies, and (3) evaluation of rural financial organizations.

(1) Determinants of Access to Financial Services

The *First National Rural Household Survey* revealed extremely limited access to financial services by rural households in El Salvador during 1995—fewer than 12 percent of all rural households had received loans from any source and only 20 percent had loans outstanding. The *Second National Rural Household Survey*, during 1997, showed that only 13 percent of all rural households received loans from any source.

A number of organizations have been supplying financial services to the rural population of El Salvador. Prominent among these has been the *Financiera Calpiá*, given its innovative approach to rural lending. The traditional source of rural loans has been the BFA, the state-owned agricultural development bank. Poorer clients have been reached by a number of non-government organizations, among which the village banking network of CAM/FINCA is one of the largest. It is not clear if these organizations reach similar or different clienteles (the degree of market segmentation), which rural households are being reached and why, and which households are being left out. This research effort seeks to identify the market niches in which these organizations operate and contrast a profile of their clientele.

Fieldwork for the first *Survey of Borrowers of Financiera Calpiá* began in May-June 1998; an operational data set became available later in the year. This survey used a modified version of the *Second National Rural Household Survey* questionnaire. This has allowed a comparison of the *Calpiá* borrowers with the rural population at large.

1999-2000 Work Plan

A second survey of *Calpiá* borrowers and similar surveys of the households of CAM/FINCA clients and BFA clients will be undertaken in early 2000. Researchers at FUSADES and UCA, together with OSU researchers and in collaboration with the staff of these organizations, will participate in survey design and analysis. Data from these surveys will make it possible to map the market niches of these rural finance organizations and to identify ways in which specific lending technologies match particular clienteles.

(2) Rural Financial Technologies

Innovations in lending technologies are a necessary condition for greater access of the rural poor to formal financial services. *Financiera Calpiá* has been a leader in the development of new financial technologies. The BASIS/El Salvador research program has examined the evolution of this comparatively successful organization as a source of lessons on rural microfinance best practices.

The detailed examination of the lending technology of the *Financiera Calpiá* seeks to answer questions about the sources and nature of the actual costs of rural financial intermediation, the importance of learning processes in dealing with imperfect information and contract enforcement, and the dynamics of the evolution of credit technologies. Answers to these questions are key in any effort to improve the performance of rural financial organizations.

From interviews with loan officers, the research undertaken by Navajas, Pleitez and Gonzalez-Vega has identified the types of information used by this lender and its borrowers, the costs associated with the gathering of this information, and the role of collateral substitutes in the structure of incentives to repay.

Among elements of the strategy identified to have been significant for the successful expansion of *Financiera Calpiá* into the rural areas and in lending to agriculture were:

- a. A well-tested urban lending technology;
- b. Cautious adaptation of this technology to the rural areas, and
- c. A systematic human capital formation strategy with rigorous recruitment and training of loan officers.

Financiera Calpiá has responded to the heterogeneous features of rural households and their demands for financial services with individual rather than group loans, tailored flexibly to individual circumstances. This flexibility has enhanced the present value of the client-organization relationship. This relationship is mostly embodied in the personal attachment that develops between the client and the loan officer, who is responsible for all tasks in the contract, from the evaluation of applications to contract enforcement.

Beyond the diversification pursued by each client and the diversification resulting from the funding of different rural activities, *Financiera Calpiá* relies on the low correlation between the rural and its urban portfolio. The combined urban-rural operation is thereby critical for learning, for diluting fixed costs, and for portfolio diversification.

(3) Rural Finance Organizations— New for 1999-2000

The BASIS/El Salvador Research Plan calls for the identification of policy interventions conducive to rural financial deepening and inclusive lending technologies. Promising innovations in lending technologies have been introduced by organizations that suffer from attenuated property rights, insufficient internal control, and weak or conflictive governance structures. Even in the case of the *Financiera Calpiá* conflicts between the board and the managers have eroded its sustainability. In turn, the BFA is plagued by all the governance weaknesses of state-owned organizations, and CAM/FINCA suffers from the typical shortcomings of NGOs. Initiatives to address these problems with revisions of the regulatory framework have not been successful. This portion of the research will investigate organizational design issues that contribute to the success of rural financial organizations.

BASIS Research Aids Policy Making in Central America

During 1998-1999, BASIS researchers and host-country collaborators provided research data and analysis to aid policy makers in El Salvador and Central America.

- Results of the survey of rural loan officers undertaken at the end of Fiscal Year 1997-98 were incorporated into a detailed analysis of the lending technology used by *Financiera Calpiá* in reaching poor rural clients.
- Pleitez (UCA) and Lardé de Palomo (FUSADES) helped design the methodology for examining the lending technology of *Financiera Calpiá* at a workshop held December 8, 1998. Other workshops to prepare for the Survey of CAM/FINCA village bank members were held April 13 and June 8, 1999.
- On August 9, 1999 Beneke de Sanfeliú (FUSADES) and Gonzalez-Vega (OSU) met with Miguel Lacayo, El Salvador's Minister of Economy, and his team to discuss implications of BASIS research for rural poverty alleviation strategies.
- Aristóteles Esperanza (*Financiera Calpiá*) and Gonzalez-Vega presented results from the research on rural lending technologies at the *Workshop on the Microfinance Strategy of the Banco Nacional de Costa Rica*, in San Jose on April 9, 1999.
- Beneke de Sanfeliú and Gonzalez-Vega were interviewed about rural poverty and factor markets in El Salvador by Ricardo Rivas, on *Frente a Frente*, a prime time TV event, on December 10, 1998, followed by an interview in the major newspaper, *El Diario de Hoy*.
- Lardé de Palomo and Acosta (FUSADES), Pleitez (UCA), Córdoba and Martínez (FUNDAUNGO) and Briones (FLACSO) were among Salvadoran BASIS researchers asked to contribute preliminary research results to the *Plan de Nación*, a major pluralistic exercise to build a national strategy for El Salvador.
- At the request of USAID, Pleitez and Gonzalez-Vega participated in the FOMIR-DAI Grants Committee and reviewed 20 requests for funding from Salvadoran microfinance organizations.
- Gonzalez-Vega continued his work in the revision of the El Salvador banking laws, in interaction with the Central Bank, the corresponding Committee in Congress, and the USAID Mission.
- In December, 1998 Gonzalez-Vega had the first of a series of meetings with the Economics Team of the new administration inaugurated in June. These conversations have included topics such as the future of the BFA, the role of the *Banco Multisectorial de Inversiones* and of the *Comisión Nacional para la Mediana y Pequeña Empresa* in urban and rural microfinance, and strategies for strengthening financial markets in remote and less populated areas.

Research Priorities and Relationships to Existing Projects

BASIS CRSP research activities in El Salvador are consistent with and emerge from the *Research Planning Framework* developed by U.S. and Salvadoran researchers in interaction with the Salvadoran impact organizations. The Government of El Salvador and USAID are particularly interested in developing strategies for rural poverty alleviation and access to rural financial services. Representatives of the Central Bank of El Salvador and of the Ministry of Agriculture have been directly involved in the design of the research agenda. Conversations with representatives of the new Administration elected in June 1999 have indicated their support of the program and interest in these topics.

The activities programmed have close links to other on-going programs. These include:

- a. Analysis of constraints to marketing of agricultural products by the Ministry of Agriculture and the USAID-sponsored CRECER project;
- b. Analysis of rural financial markets by the World Bank project on Rural Financial Markets in El Salvador and the USAID project on Rural Financial Organizations (FOMIR/DAI);
- c. Analysis of lending technologies by the project on Promising Rural Financial Market Practices of the InterAmerican Development Bank, which is being implemented for all Latin America.
- d. Analysis of the profile of *Calpiá* urban borrowers, sponsored by the German agency, GTZ.

BASIS researchers have been in close contact with representatives of these programs and plans for research and dissemination coordination have been discussed. Dissemination activities include presentations of research findings to different sectors of the Salvadoran nation and to interested parties in other Central American countries. With this purpose, among other things, the BASIS/Central America program will develop additional collaborations with the InterAmerican Development Bank and with the German GTZ. A seminar to present research results and discuss them with policymakers will conclude the FY99-00 activities. The number of publications is expected to rapidly increase compared with earlier periods.

On-site training of U.S. and Salvadoran research assistants, survey enumerators, and junior Salvadoran researchers will take place throughout the period of implementation of the program.

The BASIS researcher from UCA, Rafael Pleitez, has been accepted for doctoral studies at The Ohio State University and will focus his studies on topics related to BASIS. Salvadoran researchers will be sponsored for participation in professional meetings and international conferences.



Land Market Liberalization and the Land Access of the Rural Poor: Lessons from Recent Reforms in Central America

Collaborating Institutions and Researchers

University of Wisconsin-Madison
Department of Agricultural and Applied Economics
Brad Barham
Michael Carter

World Bank, Washington, DC
Development Economic Research Group (DECGR)
Pedro Olinto
Klaus Deininger
Latin American and the Caribbean Sector for Poverty Reduction and Economic Management (LCSPR)
Maria D. Correia

University of California-Berkeley
Alain de Janvry
Elisabeth Sadoulet

Other
Elizabeth Katz, Columbia University

Project dates: November 1999 - June 2001
Support: Core funding and add-on (USAID/LAC)

During the past 10 years Latin American countries have implemented sweeping policy reforms that have led to the emergence of economic systems based on market orientation, openness, and competitiveness. This new economic setting contrasts sharply with the economic isolation and autarkic spirit adopted by most countries in the region from the 1930s through the 1980s. Heavy government intervention, protectionism, and broad regulations have given way to a framework in which markets are the key mechanisms for efficient resource allocation and growth. A remarkable feature of these historically significant events is that they have taken place under democratic rule in virtually every country in the region. However, given the region's lack of tradition in sustaining solid democratic institutions during long spells of economic stagnation, preserving democracy will require that most countries in Latin America grow at higher rates, and, more importantly, that growth is broadly based and promotes poverty alleviation. Thus, policies must ensure that markets do work in improving the lives of the region's poor, a majority of whom continue to live in rural areas.

Honduras, Mexico, and Nicaragua have all undergone major reforms that have markedly reshaped the system of property rights regulating use, ownership, and transferability of rural land. The proposed research project supported by the World

Bank and USAID, will investigate how recent market-friendly reforms in these three countries have affected the lives of the rural poor. The research proposal will determine if liberalized rural property rights and factor markets work for the poor in the sense that they enhance the income, land access and accumulation potential of the poor while promoting more efficient resource allocation. It will also see if there are any potential benefits of rural reforms, in terms of resource productivity, muted by intra-household property rights assignments that fail to uphold or enhance women's bargaining power and economic position.

Research that analyzes the complex relationship between institutional change, economic performances, and poverty should be of immediate relevance to all three countries to be studied. In Mexico, the government in 1991 enacted a bold new program of agrarian reform that has radically overhauled the *ejido* system (the cornerstone of the political framework emerging from the peasant-led revolution of 1910) by rewriting Article 27 of the 1917 Constitution, and allowing for eventual privatization of land under individual ownership. In Nicaragua, also since 1991, the government has managed to assign individual property rights through a comprehensive land-titling program implemented by the Sandinista government during the 1980s. In Honduras, as part of the overall adjustment program adopted in 1990, the government has enacted the Law for Modernization and Development of the Agricultural Sector of 1992 (LMDSA), which modified the Land Reform Law of 1962 to guarantee full individual land ownership and transfer rights to farmers, and to legalize land rental and sharecropping arrangements.

This study on land market liberalization and land access of the rural poor will support USAID's mission of achieving expanded and equitable access to productive resources and markets in Honduras and reducing poverty in Nicaragua. BASIS research should also be of interest and importance in other Latin American countries. Reform measures similar to those undertaken in the three study countries have been taken in other Latin American countries that had established large-scale collective or cooperative enterprises as part of earlier land redistribution efforts. From the operational perspective of the World Bank, the proposed research will directly inform the design of post-reform policies intended to make markets work better for the rural poor.

1998-1999 Dates of Implementation and Outputs

A research-planning workshop was held in Washington, DC on July 20-21, 1999 for the Land Market and Land Access of the Rural Poor project. In addition to their US-based and Central American co-investigators, recent BASIS competitive grant awardee Jonathan Conning of Williams College attended so that they could begin to coordinate their study with his parallel efforts in El Salvador. The meeting was quite productive and the

researchers have already begun the task of pulling together the sample frame for the Honduran part of the project.

1999-2000 Dates of Implementation

- Data collection: January-March 2000.
- Descriptive and econometric analyses: February-March 2000.



1999-2000 Competitive Grant Award

Rural Households' Land and Labor Market Participation Strategies in El Salvador

Collaborating Institutions and Researchers

Universidad Centroamericana (UCA)

Alvaro Trigueros

Williams College, Williamstown, MA

Jonathan Conning

Project dates: October 1999 - September 2000

Support: Core funding only

In a land-scarce country such as El Salvador, expanding rural households' access to well-functioning land tenancy markets may be an important avenue for expanding employment opportunities, improving equity, and for using the country's land in a more rational and sustainable manner.

Existing descriptions of land tenancy markets in El Salvador are divided, with some observers suggesting that trading frictions and continued property rights insecurity continue to distort the smooth operation of the tenancy market with adverse consequences on the pattern of land use and the level of labor demand. The proposed study aims to understand Salvadoran rural households' changing pattern of participation on land tenancy and other factor markets in the 1990's through an analysis of data from the ongoing panel based on the rural household surveys, interviews, and field visits.

The study will collect evidence that should lead to a much better comprehension of the operation of rural factor markets, and in particular to a better understanding of how households respond in one market to imperfections in another factor market.

1998-1999 Outputs



El Salvador Research Program

A. National Rural Household Survey

Hopkins, J., D. Southgate, and C. Gonzalez-Vega. August 1999. "Rural Poverty and Land Degradation in El Salvador," presented at the Annual Meetings of the American Agricultural Economics Association in Nashville, Tennessee.

Papers presented at the First National BASIS Seminar on the Influence of Labor, Financial, and Land Markets on Rural Poverty held in San Salvador, August 10, 1999. The three papers listed below are scheduled for publication in the *Documento BASIS* series in March 2000.

Briones, Carlos, and Katharine Andrade-Eekhoff. "Features of Rural Labor Markets in El Salvador." 82 pp. Forthcoming as *Documento BASIS No. 2*, "Participación en los mercados laborales de los residentes en las áreas rurales. Limitaciones y desafíos."

Lardé de Palomo, Anabella, and Aída de Argüello de Morera. "Market Integration of Rural Households and Income Generation." 32 pp. Forthcoming as *Documento BASIS No. 3*, "Integración a los mercados de los hogares rurales y generación de ingresos."

Beneke de Sanfeliú, Margarita. "Dynamics of Income of Rural Households in El Salvador: Panel Results for 1995-1997." Forthcoming as *Documento BASIS No. 1*, "Dinámica del ingreso de las familias rurales en El Salvador: Estudio de panel 1995-1997."

B. Segmented Market Niches in Rural Financial Markets

Schreiner, Mark, Claudio Gonzalez-Vega, Margarita Beneke de Sanfeliú and Mauricio Shi. *Notes on Methods Used in a Survey of Rural Clients of Financiera Calpiá in El Salvador*, BASIS Progress, April, 1999, 29 pp. A Spanish translation will be published under the *Documentos BASIS* series to be launched in early 2000.

Claudio Gonzalez-Vega (OSU) gave a lecture on "Rural Poverty and Microfinance," at the Universidad Centroamericana José Simeón Cañas (UCA), April 16, 1999.

Claudio Gonzalez-Vega (OSU) gave the keynote presentation on "The Importance of Innovation in Lending Technologies for the Expansion of the Frontier of Microfinance," at a Seminar on Small and Microenterprise Development organized by the *Banco Multisectorial de Inversiones*, June 10, 1999.

Claudio Gonzalez-Vega (OSU) presented a seminar on "Challenges in the Development of Rural Microfinance in El Salvador," for 150 managers and directors of the *cajas de ahorro y crédito* of the FEDECREDITO system, July 23, 1999. Strategies for the transformation of the system were discussed.

William Bonilla (*Financiera Calpiá*) and Claudio Gonzalez-Vega (OSU) presented results from the research on rural lending technologies at the *International Seminar on The Challenge for Latin America in the 21st Century: Financial Services for the Rural Areas*, in La Paz, Bolivia, on November 17-19, 1998

Lardé de Palomo, Anabella. "Entorno de los Mercados Financieros Rurales en El Salvador," March 1999. 53 pp.

Rafael Pleitez, "El Desarrollo de las Microfinanzas Rurales en El Salvador: La Tecnología de Crédito de la *Financiera Calpiá*," March 1999, 70 pp.

Sergio Navajas, "An Innovative Approach to Rural Lending: *Financiera Calpiá* in El Salvador" April 1999, 54 pp.

Jodhimani, A. May 26, 1999. Included an empirical chapter on the impact of transactions costs on degrees of rural household market participation in El Salvador, based on data from the 1998 national rural household survey, in his Ph.D. dissertation on *Transactions Costs and the Evolution of Market Completeness* at OSU (under Fisher, Howitt and Gonzalez-Vega). The dissertation was defended May 26, 1999.

Chapters on "Servicios Financieros Rurales: Experiencias del Pasado, Enfoques del Presente" and "El Papel del Estado en la Promoción de Servicios Financieros Rurales," both by Claudio Gonzalez-Vega, and a Chapter by William Bonilla (*Financiera Calpiá*) on "Experiencia de la *Financiera Calpiá* en la Movilización de Depósitos" were published in the book, *El Reto de America Latina para el Siglo XXI: Servicios Financieros en el Area Rural* (La Paz, Bolivia: FUNDAPRO, 1999).

Eastern Europe and Eurasia



BASIS CRSP Research Projects

- ◆1◆ **Central Asia Research Program**
 - A. Analysis of Land Reform and Farm Restructuring in Uzbekistan and Kyrgyzstan
 - B. Training Program in Rural Factor Market Concepts and Research Methods
- ◆2◆ **Issues in Privatization and Restructuring of Russian Agriculture:
Agricultural Policy Workshop**
- ◆3◆ **Farm Size, Farm Type and Competitiveness in the Kyrgyz Republic –
*1999-2000 Competitive Grant Award***
- ◆4◆ **Design of a Database to Monitor Land Privatization in Eastern Europe and the
Former Soviet Union – *New for 1999-2000***

Acronyms used in this section

BASIS	Broadening Access and Strengthening Input Market Systems
BOD	Board of Directors
CIDT	Center for International Development and Training, TIIAME, Uzbekistan
CIS	Commonwealth of Independent States
CLAR	Center for Land and Agrarian Reform, Kyrgyzstan
E&E	Eastern Europe and Eurasia
FAO	Food and Agriculture Organization of the United Nations
FSU	Former Soviet Union
KR	Kyrgyz Republic
LTC	Land Tenure Center, University of Wisconsin-Madison, USA
MTP	Machine Tractor Parks
RPL	Research Program Leader
TC	Technical Committee
TIIAME	Tashkent Institute of Irrigation and Agricultural Mechanization Engineers, Uzbekistan
USAID	United States Agency for International Development

BASIS CRSP Research in Eastern Europe and Eurasia



Central Asia Research Program

Collaborating Institutions and Researchers

University of Wisconsin-Madison

Land Tenure Center (LTC)

Peter Bloch, BASIS Research Program Leader,
Senior Scientist

Andrey Kutuzov, Research Associate

Tashkent Institute of Irrigation and Agricultural Mechanization Engineers (TIAME), Uzbekistan

Uktam Umurzakov, Associate Rector for Research
Center for International Development & Training (CIDT)

Alim Pulatov, Director

Darya Zavgorodskaya, Staff Associate

Faculty of Land Management

Kasimjon Rakhmonov, Dean,

Aleksandr Chertovitskii, Professor

Faculty of Mechanical Engineering

A.R. Radjapov, Professor

Faculty of Water Management

F.A. Baraev, Professor

M. H. Khamidov, Professor

A. Sultonov, Professor

H. Issakov, Associate Professor

Uzbekistan Government

Kurban Choriev, Senior Economic Advisor, State
Property Committee

Elionora Gaziantz, Economist, Ministry of Agriculture
and Water Resources

Marat Khakimov, General Director of State Agency for
Land Cadastre

R. Khusanov, Director, Institute for Market Reforms,
Ministry of Agriculture

Other

A. M. Allaviev, Research Scientist, Institute for Water
Research, Uzbekistan

Jeanne Koopman, Research Fellow, Boston University

Marat Yusupov, retired from Central Bank of Uzbekistan

Project dates: March 1997 - March 2000

Support: Core funding only

Introduction

Uzbekistan, with 22 million people, is the most populous of the Central Asian countries in the Commonwealth of Independent States (CIS). It shares with Liechtenstein the dubious distinction of being double landlocked—surrounded by other landlocked countries. In spite of this, it has been involved in international trade for more than

two millennia, including important participation in commerce along the fabled Silk Road. It also has been a center of intensive, sedentary agriculture for at least that long, with powerful empires such as that of Tamerlane being based on its riches.

Currently, Uzbekistan is the world's fourth largest producer of cotton and the second largest exporter after the United States. It also exports gold and natural gas and has the ability to be self-sufficient in crude oil. Its industrial sector is substantial but primarily focused on the processing of raw materials. Uzbekistan has chosen a slower path to reform than many other CIS countries, and the State controls the process, which is locally termed "step-by-step" reform.

Since independence, Uzbekistan has followed a food self-sufficiency strategy, reducing its cotton acreage substantially from its Soviet-era monoculture and increasing the area sown in wheat, corn, and forage crops. While this strategy has reduced the potential for export earnings, the high world market price of cotton has buffered losses considerably, as has growth in exports of natural gas to neighboring countries. Beginning in 1994, the government has altered its macroeconomic policy, reducing inflation, consumer subsidies, and the budget deficit to levels comparable to those of the more successful CIS countries. Privatization, however, has lagged, except for housing and small commercial establishments; land remains property of the state and there are no plans to change this. A modest but growing number of *dekhkan* (private) farms are being established, but their independence from the state or collective farm from which they are separated is far from complete.

1998-1999 Activities 1999-2000 Work Plan

The BASIS Central Asia Research program had three main activities in its 1998-1999 work plan:

1. Analysis of recent legislation and of data assembled during 1997-1998 on land reform and farm restructuring.
2. Initial fieldwork by Uzbek and Kyrgyz collaborators to identify sites and local issues.
3. Request meetings with donors, including USAID/Almaty and USAID/Tashkent to understand their priorities for BASIS contributions, to seek add-on funding, and to develop a proposal for 1999-2000.

The regional program achieved its limited objectives for 1998-1999, including the preparation of a series of papers,

described below, on themes identified at the January 1998 Regional Research Planning Workshop. In addition, the researchers conducted a US-based short-course training program in agrarian reform concepts and methods to build research group capacity for activities subsequent to closing the BASIS program. In May 1999, the Technical Committee advised suspending the Central Asia regional program as of September 30, 1999, due to inadequate complementary funding.

Summary of Activities

A. Analysis of Land Reform and Farm Restructuring in Uzbekistan and Kyrgyzstan

Research team: Bloch and Kutuzov

The principal activity for 1998-1999 was collection and analysis of secondary data on recent legislation regarding land reform and farm restructuring in Uzbekistan and Kyrgyzstan. In January 1999 all researchers in the region received a compendium containing these data. From this compendium, thematic papers were drafted and discussed through a series of seminars attended by researchers, held in March, April, and May 1999 in Uzbekistan. The papers commissioned and drafted by Uzbek researchers addressed four of the five research themes (indicated in bold type, below) identified at the 1998 Research Planning workshop in Tashkent.

The fifth topic—sequencing of reforms and rural factor markets—was to be a crosscutting, comparative topic, analyzing the costs and benefits of the rapid and chaotic reforms in Kyrgyzstan with those of the slow, controlled reforms in Uzbekistan. However, the Kyrgyzstan researchers chose not to contribute papers during the past year. They were unable to identify useful themes, but rather suggested narrow technical issues in water management. Since funding for fieldwork was not available, the Uzbekistan group decided to delay work on the crosscutting theme.

Nine papers are scheduled to be published in *Rural Factor Market Issues in the Context of Agrarian Reform*, edited by Bloch and Kutuzov. Translation and editing are ongoing. The papers have been submitted in rough form and the authors intend to continue work on them in the coming months. The editors are providing an overview chapter synthesizing the individual analyses and discussing potential policy implications. The major subject areas and paper titles are as follows:

Choice of factor proportions in the context of farm restructuring

- *Economic Reform in the Countryside and Restructuring of Agricultural Enterprises in Uzbekistan*, Umurzakov and Choriev

- *Efficiency of the Use of Machinery*, Pulatov and Radjapov
- *Problems of Occupational Level Increase in Rural Areas*, Gaziantz and Khusanov

Interaction between land access and water access

- *Alternative Strategies for Water Pricing and Water Saving*, Khamidov, Baraev and Allaviev
- *Sustainable Ecological Development of Agriculture in Uzbekistan*, Pulatov and Zavgorodskaya

Prospects for success in private farming

- *Establishment and Development of Farmer Enterprises in Uzbekistan*, Chertovitskii
- *Problems of Development of Farmer Enterprises in Uzbekistan and the Means of Resolving Them*, Sultonov and Isakov

Transactions costs of government policies relevant to factor markets

- *Methods of Financial Revival of Agriculture*, Yusupov
- *Problems of Regulation of Land Relations in the Republic of Uzbekistan at the Current Stage of Development*, Rakhmonov and Khakimov

Initial Fieldwork

The 1998-1999 work plan proposed initial fieldwork by Uzbek and Kyrgyz collaborators to identify sites and local issues. As noted above, funding for fieldwork was not available and there was difficulty identifying Kyrgyzstan collaborators. Thus, the fieldwork was not undertaken.

Meetings with Donors

Since October 1996 LTC, as the lead institution for the Central Asia Regional Program, has done just about everything possible to create a meaningful program on a limited budget. Much has been tried in the way of tailoring research programs to USAID's strategic objectives, linking with other projects, and working with donors to solicit funding. A lot of effort has gone into creating a network of Uzbek and Kyrgyz collaborators and maintaining their enthusiasm. However, these partnerships and the research program are unsustainable without financial contributions from the country or regional offices.

USAID's new mission director in Almaty and new country representative in Tashkent arrived in the summer of 1998, and a new country representative in Bishkek arrived in early fall 1999. The RPL and other BASIS researchers were in communication with all three throughout the year, receiving sympathetic receptions but no clear sources of funding; the transition from the previous management's objectives and activities will take at least one more year. (*Continued on p. 24*)

Excerpts from *Rural Factor Market Issues in the Context of Agrarian Reform*

Edited by Peter Bloch and Andrey Kutuzov

From . . .

- *Economic Reform in the Countryside and Restructuring of Agricultural Enterprises in Uzbekistan*, by Umurzakov and Choriev

. . . emphasize the problem of surplus labor due to rapid population growth and the efforts of collective farms to shed redundant workers . . . and show . . . the majority of those laid off have received land for the establishment of *dekhkan* farms (household plots, family gardens) . . . They provide indirect indicators such as the large decline in fertilizer and pesticide use and a smaller decline in machinery use, and direct estimation of net income per hectare (which was negative for all principal crops except vegetables). Since the vast majority of vegetables are grown on *dekhkan* farms, both the surviving large farms and the struggling farmer enterprises had essentially no profitable activities to compensate for net losses in cotton and grain.

- *Alternative Strategies for Water Pricing and Water Saving*, by Khamidov, Baraev and Allaviev

. . . detailed analyses of the perilous state of water management in irrigated agriculture. Water is misallocated with respect to needs, pollution is essentially uncontrolled, and *dekhkan* farms, which receive water last, bear the brunt of the problems. A series of alternative remedies, include: (1) increase efficiency of irrigation systems; (2) improve land quality via better drainage systems, crop rotation, and modification of chemical application regimes; and (3) introduce water pricing schemes, with proceeds to be used to improve water management. . . the variant that appears most likely to be profitable is the pricing of water at modest rates, together with biological means of improving drainage.

- *Problems of Development of Farmer Enterprises in Uzbekistan and the Means of Resolving Them*, by Sultonov and Isakov

. . . the current system presents difficulties for the creation and sustainability of farmer enterprises. . . . Regarding . . . establishing enterprises and obtaining access to land, the responsibility of the district *Khakim* (governor), the selection process is subject to corruption, such that the recipients of farmland are not necessarily the most suitable farmers. The proposed solution is to establish "farmer clubs" that would provide training to aspiring independent farmers as a precondition to applying for land.

Access to farm machinery is currently held by Machine Tractor Parks (MTP) at the district level, having been consolidated from the state and collective farms Experience has shown that the farmer enterprises are last on the waiting list for plowing and harvesting services. The proposed solution is to encourage the establishment of private competitors to the MTPs that could offer the services of equipment of the appropriate scale for small farms.

Access to irrigation water is currently managed by the Ministry of Agriculture and Water Resources, whose district office allocates water through the existing irrigation systems to the boundaries of the former state and collective farms. The successor enterprises, then, are responsible for internal allocation; again, farmer enterprises receive water only when the successor enterprises have satisfied their needs. The proposed solution is to create water users' associations where all types of enterprises would be represented, and that the associations would introduce water pricing and manage water allocation to the benefit of all their members.

- *Methods of Financial Revival of Agriculture*, by Yusupov

. . . argues that it is impossible to develop an effective system of agricultural finance under current conditions in Uzbekistan because the financial flows within the sector make loan repayment on commercial terms impossible, due to: (1) inauspicious macroeconomic conditions; (2) the consequent need for government to pay cotton producers prices well below the world market price in order to generate operating resources for itself; (3) inefficient management of the farms themselves; (4) the consequent need for government to give financial subsidies to the farms.

Farms have no economic incentive to produce, although they are legally obligated to fulfill production quotas for cotton and wheat. They have no financial incentive to minimize costs, because they know the government will bail them out. Yusupov argues that the best way to break out of this vicious circle is to adjust the producer price to levels that reflect the world market, with an economically-determined land rental payment by farmers to the government compensating for all or part of the current marketing margin the government enjoys. If accompanied by a futures contract with partial advance payment, this would enable suppliers and workers to be paid in a timely manner.

1999-2000 Work Plan

The Program Director, with advice from the TC and BOD, decided to suspend the regional program until circumstances change to permit its reinstatement.

It is with great reluctance that the BASIS ME makes this decision. A dynamic Central Asia program would have contributed to the second BASIS objective—*Enable factor markets through market formation and asset redistribution*—an area that is underinvested in at present. Also, Central Asia will be a strategic region for USAID well into the future, after support for privatization and restructuring in Eastern Europe and Russia have waned. However, suspending the Central Asia program will help to consolidate resources in other remaining regions. It will also help broaden the regional focus of privatization and farm restructuring to Russia and the ENI to better reflect Global Bureau priorities, and to better position the CRSP for add-on funding.

Despite the regional program suspension, there will be some involvement of Kyrgyz researchers during 1999-2000 in the BASIS research project in Kyrgyzstan led by Malcolm Childress, jointly financed by British Know-How funds and BASIS competitive grant funds. Another project to design a database to monitor land privatization in Eastern Europe and the Former Soviet Union with add-on funding from the USAID Eastern Europe and Eurasia Bureau (see p. 27) will serve to maintain BASIS ties to the region during 1999-2000.

Additional 1998-1999 Activity (not anticipated)

B. Training Program in Rural Factor Market Concepts and Research Methods

Research team: Bloch and Kutuzov

As it became clear that the regional program would be suspended at the end of FY99, it was decided that a productive use of remaining funds would be a training program on rural factor market theory and methods for Uzbek and Kyrgyz researchers and policymakers. The participants would then be able to train students and colleagues in this set of issues. The workshop was held in August 1999, based at the University of Wisconsin-Madison Land Tenure Center.

The workshop focused on the complex relationships that farmers have with market and non-market institutions in a market economy. Its purpose was to build institutional capacity in Uzbekistan and Kyrgyzstan to conduct rural factor market research, monitoring, and evaluation. Six participants, five of whom had institutional or individual affiliation with the BASIS regional program, were funded by USDA's Cochran Fellowship program; three were funded by the BASIS regional program budget. The training involved many UW faculty and staff members, Wisconsin state and local government officials, and the private sector.



Rural Factor Markets Workshop participants (left to right): *Alim Pulatov*, Prof. of Agricultural Engineering, Tashkent (Uzbekistan) Institute of Irrigation and Agricultural Mechanization Engineers (TIAME); *Gulbakhor Ruzieva*, water policy analyst, Uzbekistan Ministry of Agriculture and Water; *Harvey Jacobs*, director, Land Tenure Center; *Marat Khakimov*, director, Uzbekistan Land Survey Dept.; *Malcolm Childress*, researcher, Land Tenure Center; *Kubat Kaseinov*, land reform specialist, Center for Land and Agrarian Reform (CLAR), Bishkek, Kyrgyzstan; *Imamberdy Jumaliev*, regional director, CLAR, Naryn; *Kasimjon Rakhmonov*, Prof. of Land Management, TIAME; *Andrey Kutuzov*, researcher, Land Tenure Center; *Marat Yusupov*, research analyst, Central Bank of Uzbekistan; *Uktam Umurzakov*, dean of Agricultural Engineering, TIAME; *Gulamzhan Mamazhanov*, regional director, CLAR, Osh; *Peter Bloch*, researcher, Land Tenure Center. Photo by Christine Elholm.

Issues in Privatization and Restructuring of Russian Agriculture: Agricultural Policy Workshop

Collaborating Institutions and Researchers

Richard Blue, BASIS Consultant, Bluemont, VA
 Jennifer Duncan, Rural Development Institute, Seattle, WA
 Bruce Gardner, Professor, Agriculture and Resource Economics, University of Maryland, College Park, MD
 William C. Thiesenhusen, Emeritus Professor, Land Tenure Center, University of Wisconsin-Madison, WI

Project dates: October 1998 - September 2000

Support: Core funding only

BASIS researchers were invited to participate in a conference in Russia entitled, "Issues in Privatization and Restructuring of Russian Agriculture: Agricultural Policy," held on October 1-2, 1999, in Golitsyno, near Moscow. The workshop was designed to bring Russian technical and political leaders together to discuss the findings of a paper, "The Impact of Privatization and Farm Restructuring in Russian Agriculture," written by Dr. Eugenia Serova of the Institute for the Economy in Transition Analytical Centre, Agrifood Economy, Moscow, and to raise potential policy implications for the future. The research paper presented data from several *oblasts* (Russian provinces) on the performance and constraints to productivity of farms categorized by size and type of ownership/management.

Dr. Serova's paper underscores the difficulties most large farms face, including poor management, unprofitability and potential bankruptcy, poor technology, no access to credit, and low productivity. Still, according to the report, the political and economic realities in Russia are such that the large farm sector cannot be ignored. She finds that family farms have reached the limits of their growth potential. Household plots, while very important, are largely dependent on the large farms and most of their production remains in the barter economy. Therefore, policies and institutional arrangements must be found to restructure and revitalize the large farm sector of the agricultural economy.

These findings are controversial, especially among western advisors. Most would argue that Russian privatization reforms have been poorly managed and are not very thorough. They conclude that there is still considerable room for development of "family farms," that is, privately held and managed operations based on family ownership. Most would argue that the former collective and state farms should be allowed to go bankrupt and be sold off, or opened up to "homesteaders" in the tradition of the American west. Western advisors do recognize that this approach would be difficult without

further legislation regarding land rights and markets, now almost hopelessly confused due to incomplete reforms.

The final report on the conference, including edited versions of the papers received, is in preparation by Dr. Eugenia Serova and will be made available to the general public. The main recommendations of the workshop are:

- Legal reforms including safeguarding rights of owners of land plots and shares, formalizing legal arrangements for lease and collateralization of land, and bringing the status of all farms into line with the new Russian Civil Code
- Clarification of terms and improvement of the statistical database for assessing, monitoring and analyzing Russia farm performance
- Addressing issues of rural economic and social development while completing turnover of social infrastructure to municipalities
- Tax legislation which recognizes the special character of agriculture

The workshop papers, discussion, and conclusions represent a significant step forward in the creation of a consensus of a variety of Russian interests around the need to proceed with vigorous reform. The process of building a consensus for policy reform is long and arduous.

There is another reason for supporting policy research collaboration. The process demonstrated at Golitsyno was as much an exercise in democracy and civil society in action as it was a workshop on issues of economic reform and economic growth. The experts came from a number of different organizations and regions. No single organization dominated. The organizers brought together elements of the Russian agricultural sector that had never before been invited to participate. These representatives participated in an open discussion in front of senior policy makers. Discussion was to some significant extent driven by facts and interpretations of those facts, imperfect as this process may be. The consensus document was widely and exhaustively discussed, revised by a working committee, and discussed again. From an American perspective, the Golitsyno meeting was as much a "town meeting" about an important issue, as it was a formal academic workshop.

◆3◆

1999-2000 Competitive Grant Award

Farm Size, Farm Type and Competitiveness in the Kyrgyz Republic

Collaborating Institutions and Researchers

University of Wisconsin-Madison

Land Tenure Center

Malcolm Childress, Research Program Manager

Project dates: October 1999 - September 2000

Support: Core funding only

With support from the BASIS Competitive Grants Program and British Know-How funds, BASIS researcher Malcolm Childress will implement a new research activity to compare the competitiveness of different farm sizes and types in the Kyrgyz Republic (KR). This research is extremely timely because in the Kyrgyz Republic a process of privatization and reorganization of the former state and collective farms is moving ahead at a rapid rate, with little economic research to inform and evaluate the process. This type of research also has relevance to the other Central Asian republics, and by extension for the entire Former Soviet Union (FSU), which are facing similar restructuring processes.

The types of emerging organizational arrangements of the privatized farms and the operational sizes in KR are diverse. They range from essentially unchanged Soviet-style collectives averaging more than 5,000 hectares to individual family farms operating on less than one hectare. Policy debates about what types of farms are socially and economically preferable are ongoing. Arguments in the debates surrounding competitive farm size and organization address the role of irrigation infrastructure, economies of scale in extension and credit delivery, the legacy of past management practice, and the relative competitiveness of existing machinery and labor endowments. But such arguments are characterized by an almost complete absence of empirical data to support differing claims.

There is a potentially significant economic cost to the perpetuation of less competitive sizes and organizational types and a corresponding gain from the promotion of more competitive ones. Furthermore, the design of government policies and support services in areas like irrigation rehabilitation and extension and credit delivery can benefit from better understanding of where competitiveness is found. This research project aims to measure these indicators of competitiveness differentials in order to give farmers and policy makers a better

indication of how their resources can best be deployed during a period of rapid reorganization of agricultural structure.

Specific areas of policy that will benefit from the research include:

1. Strengthening the public information activities of the Republican Center for Land and Agrarian Reform, which has a need for accurate data to disseminate a clear picture of not only the procedures, but also the economic benefits and costs of the creation of different types of farm enterprise;
2. Contributing to the ongoing evolution of the Rural Advisory Service (extension) by contributing to both the model farm budgets it produces and in judging the relative importance it gives in its preparation to small-farm vs. large farm techniques and economics;
3. Anticipating the likely effects of the lifting of the land sales moratorium currently in effect by providing scarcity value estimates of the price of agricultural land for different groups of producers; and
4. Contributing to ongoing effort to set appropriate rates of land taxation by providing estimates of the land price in terms of its productive value in different areas.



BASIS researchers interview farmers/entrepreneurs like these in the Osh Region of Kyrgyzstan to gather information about the prospects for a successful transition from state farming to private enterprise.

Two entrepreneurs (wearing hats in photo) own and operate a small mill to hull rice and mill wheat flour. They also produce wheat and rice sold at area markets. The mill had been part of a state farm, but since reorganization it is operated privately. Through "rapid appraisals" BASIS researchers seek to inform policy discussions by discovering if small businesses like this one can prosper and grow. Photo by Malcolm Childress.

◆4◆

New for 1999-2000

Design of a Database to Monitor Land Privatization in Eastern Europe and the Former Soviet Union

Collaborating Institutions and Researchers

Fritz Rembold, FAO, Budapest, Hungary
Jim Riddell, FAO Land Tenure Service, Rome, Italy
David Stanfield, Senior Scientist, Land Tenure Center,
University of Wisconsin-Madison, WI

Project dates: October 1999 - December 2000

Support: Core funding and add-on (USAID/E&E Bureau)

In 1999-2000, BASIS researchers will work toward designing a database to monitor land privatization in Eastern Europe and the former Soviet Union (FSU).

The increasing importance of private control over the land is particularly dramatic in the transition economies, in particular the ex-socialist countries of Eastern Europe and the FSU. Privatization is not an end in itself, but rather part of the strategy for establishing dynamic market economies. However, without a serious effort at privatization of rights to land, other efforts at moving toward a market-oriented economy will have little effect.

The preliminary phase of the project will need to develop concepts and procedures for monitoring the transition toward dynamic and properly functioning markets in land, by monitoring the first stage – the privatization of rights to land. In the course of this work, the feasibility of a land privatization index (LPI) will be explored, and, if judged feasible, a system for creating, maintaining and financing a database to calculate the LPI will be presented. LPI will be initially defined here as the extent of the private right to transfer interests in land used in agriculture, housing, commerce, and industry.

In this preliminary definition of LPI, privatization is more than the private right to use the land, or to hold the land in a joint stock company. Privatization also includes the right of the landholder to transfer the land to another entity through sale, barter, gift, and/or inheritance. Privatization does not necessarily mean the creation of private ownership of land, but can include the creation of leases, which are clearly and easily transferable. The term “extent” has to be discussed and defined.

This proposal is designed with the following operational assumptions in mind:

- Any land privatization database that is developed would be sufficiently disaggregated and the variables

facilitate policy reviews by USAID and other organizations.

- The activities should support long-term partnerships between BASIS, FAO and future partners within the region.
- The database should enable subsequent research into the processes and problems of establishing properly functioning land markets.
- Data will be assessed and evaluated at two levels: (1) archival research to identify types of data available for a broad cross-section of countries within the region (*extensive assessment*); and (2) in-depth data collection in two countries (one in Eastern Europe and a second in Russia) plus Albania (where feasible, funded by a pre-existing LTC project) to explore the feasibility of the conceptual framework (*intensive assessment*). While in-depth data collection will take place under a subsequent implementation phase, these two modes of data evaluation will identify data availability, and opportunities and constraints for USAID’s graduation strategy for the region.
- A coordinating committee will be established to help determine countries, evaluate appropriate locations to house the database, assess donor interest, develop the conceptual framework, and advise on an appropriate set of indicators or index based on these indicators.



Women in rural Kyrgyzstan line up to take their land shares out of the ex-state farm and go into private production. BASIS research is helping to measure the economic differences between the collective model under which these farmers have been working, and the individual model that they are now undertaking. Photo by Malcolm Childress

1998-1999 Outputs

◆1◆

Central Asia Research Program

Bloch, Peter and Andrey Kutuzov, eds. *Rural Factor Market Issues in the Context of Agrarian Reform* (DRAFT), December 1999. 88 pp.

Koopman, Jeanne. *Gender Issues in Farm Restructuring in Uzbekistan and Kyrgyzstan: Implications for the BASIS Research Program*. **BASIS Progress**, December 1998. 56 pp.

◆2◆

Issues in Privatization and Restructuring of Russian Agriculture: Agricultural Policy Workshop

Blue, Richard. *Issues in Privatization and Restructuring of Russian Agriculture: Agricultural Policy Workshop*, November 1999. 10 pp.

Duncan, Jennifer. *Report on Workshop on the Impact of Privatization and Farm Restructuring in Russian Agriculture*, October 1-2, Moscow, October 1999. 7 pp

Gardner, Bruce L. *Issues in the Privatization and Restructuring of Russian Agriculture: Comments on Papers of Serova, Uson, Tarasov, and Praust*, September 1999. 11 pp.

Thiesenhusen, William C. *Remarks at the conference Farm Profitability, Sustainability and Restructuring in Russia*, September 1999. 9 pp.

Greater Horn of Africa



BASIS CRSP Research Projects

- ◆◆ **From Household to Region: Factor Market Constraints to Income and Food Security in a Highly Diverse Environment – South Wollo, Ethiopia**
 - A. Regional Market Center, Linkages and Functions Study
 - B. Community Assessment Studies
 - C. Geographic Information Systems (GIS)
 - D. Rural Household Study
- ◆◆ **Cross-Border Trade and Food Security in the Horn of Africa**
 - A. Southern Ethiopia/Northern Kenya Border Study
 - B. Kenya/Somalia Border Study
- ◆◆ **Linking Agriculture to Human Nutrition: A Gender-Based Analysis of Institutional Initiatives and Experiences**
- ◆◆ **Horn of Africa Workshop: Agricultural Policy, Resource Access and Human Nutrition**
- ◆◆ **Changing Tenure Patterns, Institutional and Policy Responses to Water Management in East Africa**
- ◆◆ **Irrigation, Participation, and Factor Markets in Tanzania – 1999-2000 Competitive Grant Award**
- ◆◆ **Case Studies on Factor Market Constraints in the Context of Regional Food Security and Income Growth in the Amhara Region (3) of Ethiopia – New for 1999-2000**

Acronyms used in this section

ACTS	African Center for Technology Studies
BLPDP	Borana Lowland Pastoral Development Programme
ESA	Eastern and Southern Africa
ESRF	Economic and Social Research Foundation
FAO	Food and Agriculture Organization of the United Nations
FEWS	Famine Early Warning System
GHAI	Greater Horn of Africa Initiative
GIS	Geographic Information System
GL-CRSP	Global Livestock Collaborative Research Support Program
GTZ	Deutsche Gesellschaft Fur Technische Zusammenarbeit
IDA	Institute for Development Anthropology
IDR	Institute of Development Research, Addis Ababa University
ICRW	International Center for Research on Women
IGAD	Intergovernmental Agency for Development
ILRI	International Institute for Land Reclamation and Improvement
NGO	Non-governmental organization
OSSREA	Organization for Social Science Research in Eastern and Southern Africa
PPEP	Peasant Productivity and Economy Project
REDSO	Regional Economic Development Services Office
SIDA	Swedish International Development Cooperation Agency
WAU	Water Users' Association

BASIS CRSP Research in the Greater Horn of Africa

For programmatic and policy purposes, USAID defines the Greater Horn of Africa to include Ethiopia, Kenya, Eritrea, Uganda, Tanzania, Somalia and Rwanda. Early on, BASIS identified Ethiopia as a primary research country, with Kenya and Eritrea serving as secondary sites. Next year a new study will begin in Tanzania.

The Greater Horn of Africa—Ethiopia in particular—is one of the most food-deprived regions of the world. The BASIS Horn of Africa program seeks to identify ways to improve food availability and nutrition in the region and broaden access by the poor and socially disadvantaged to factor markets and sustainable. See Appendix C for a complete presentation of the results framework, "BASIS Approach to Rural Development."

BASIS goals complement the following USAID regional and country mission objectives:

- Ethiopia Special Objective 1—enhanced food security in target areas
- Kenya Strategic Objective 2—increased commercial smallholder agriculture and NRM (natural resource management)
- Tanzania Strategic Objective 2—adoption of environmentally sustainable NRM practices and Objective 4—increased micro and small enterprise participation
- REDSO/ESA/GHAI Strategic Objective 2—increase utilization of critical information by USAID and other decision-makers in the region
- Africa Regional Program Strategic Objective 2—adoption of improved strategies, programs and activities for accelerated, sustainable and equitable income growth and Objective 3—accelerated regional adoption of agriculture/natural resource management practices.

In most countries in the region there have been massive changes in political and economic institutions brought about through war, shifts toward multi-party politics, and policies of structural adjustment and economic reform. Climatic disasters, especially drought, have also affected many areas throughout the region, while the insistent processes of environmental degradation, urbanization, and commercialization also have been important. At the heart of efforts to reconstruct destabilized or disrupted political economic systems are issues of access and rights to key factors of land, water, labor and finance. This is where the BASIS program finds its place—in identifying, analyzing, and directing policy research, training, and action. This section describes seven BASIS CRSP research projects in

the Horn of Africa. Five projects were underway in 1998-1999 and will continue into 1999-2000. Two new projects will begin in 1999-2000.



Many in South Wollo, like the couple in this picture, feed themselves with short-term crops nurtured by the *belg* rains—brief, intense downpours that enable quick-growing crops to tide them over until the major harvest. Families also sell their produce to buy livestock, farm implements, or methods of transport. It is a delicate balance. In many cases households sell the very food they need to eat so they can buy equally necessary products that allow them to grow and market food.

The Amhara region, which comprises the BASIS CRSP study site of the South Wollo zone, has been hit hard by major droughts that began in 1969 and continued for years. By the end of 1973, famine had claimed the lives of about 300,000 peasants of Tigray and Wollo, and thousands more sought relief in towns and villages. Another famine in 1984-85 killed or displaced hundreds of thousands of Ethiopians.

Failure of the *belg* rains adds to the devastation. Short-term crops wither and farm animals die in great numbers. A household's food supply diminishes rapidly. Hunger and starvation become commonplace.

BASIS CRSP field work in 1999 revealed very high levels of food insecurity in each community in South Wollo due to the failure of the *belg* rains and the cumulative impact of prior poor harvests. These families face desperate situations under optimum conditions and any adverse weather can be deadly.

Photo by Alfonso Peter Castro. See his *Rapid Community Assessment Field Test, South Wollo, Ethiopia, 1999*

From Household to Region: Factor Market Constraints to Income and Food Security in a Highly Diverse Environment– South Wollo, Ethiopia

Collaborating Institutions and Researchers

Institute of Development Research (IDR)

Addis Ababa University, Ethiopia

Yigremew Adal, Researcher

Yared Amare, Senior Researcher and Lecturer,

Dept. of Anthropology and Sociology

Mulat Demeke, Faculty Member, Dept. of Economics

Melaku Eshetu, Researcher

Tegegne Gebre-Egziabher, Director

Workneh Degefu, Senior Researcher and Faculty

Member, Dept. of Economics

Degafa Tolossa, Researcher

Institute for Development Anthropology (IDA)

Binghamton, NY

Alfonso Peter Castro, Associate Professor of

Anthropology, Syracuse University

Gary Gaile, Professor of Geography,

University of Colorado, Boulder, CO

Peter Little, Research Program Leader, Professor of

Anthropology, University of Kentucky

Lauren Montgomery-Rinehart, Research Assistant

and graduate student

Scott McDonald, Research Assistant and graduate student

Michael Shin, GIS Specialist and Assistant Professor,

University of Miami, Miami, FL

Other

Charlotte Johnson-Welch, Gender Specialist,

International Center for Research on Women (ICRW),

Washington, DC

Michael Roth, Senior Scientist, Land Tenure Center,

Madison, WI

Project dates: November 1996 - September 2001

Support: Core funding and add-on (USAID/REDSO)

The term *community* in this study is synonymous with the *kebele* (formerly known as the peasant association), the lowest administrative unit in Ethiopia. *Kebeles* are grouped together to form a wider administrative entity called a *woreda*, which in turn are combined to form a zone.

Program Overview

The research site is located in the heart of what was the Ethiopian "famine zone" of the 1980s. Regional grain and factor markets demonstrate strong imperfections in the South Wollo area because of government restrictions on grain and labor movements, poorly developed rural finance and input markets, limited non-farm employment, and low levels of agricultural technology. Market linkages between Dessie and Addis Ababa were weak at the time of the 1980s famine. In the region itself, rural markets have weak integration with the principal regional market of Dessie. These weak market linkages greatly contributed to famine in the region from 1983-1985, as did prolonged conflict in certain parts of the country.

Research activities during 1998-1999 are part of an integrated study of the social and economic causes of food insecurity at intrahousehold, household, community, and regional levels in South Wollo, Ethiopia. The activities address critical questions of rural output and factor markets, on the one hand, and the dynamics of household access to farm and non-farm incomes ("entitlement"), on the other.

Land, labor, and financial market constraints to resource access and income ("entitlement") opportunities of resource-poor households are a central focus in explaining individual and household differences and will contribute to BASIS's overall research objectives.

The study moves from the macro and regional levels down to household and intra-household data collection. Critical research hypotheses about the relationship between location, market access, and food security require data collection on regional market centers and relationships with households and communities. Household and intrahousehold effects analyzed in isolation of larger market and environmental forces render data difficult to interpret.

The first phase of research on the larger regional context, conducted in 1998, recognized the role of market centers and regional infrastructure in defining community and household level opportunities.

The second phase moves the study to the household level and, with USAID/ Ethiopia funding, to a series of case studies on different aspects of factor markets and food security. In the second phase, a GIS framework will further help researchers understand the extent to which spatial proximity to market centers and infrastructure shape factor market development and food security at regional, community, and household levels.

Summary of 1998-1999 Activities

A. Regional Market Centers, Linkages and Functions Study

Research team: Gaile and Gebre-Egziabher

Though much of the field work for the study took place in 1997-1998, data entry and analysis from this component of the research continued during the year. These included a study of market center functions; a survey of traders/transporters; and a study of buyers and sellers at periodic markets. A preliminary report for this activity and a paper on the methods used in the different studies were written during the year. In July-August 1999 Gary Gaile and Tegegne Gebre-Egziabher completed the inventory of market towns in the South Wollo region, adding another five to the original sample of 19 market towns. They also carried out an "isolation" study of the effects of market access on agricultural land use in the Wereilu Woreda (district) of South Wollo zone.

Work on the regional market studies was delayed by about five months because of the Ethiopia/Eritrea conflict. Nonetheless, there were plenty of data to analyze and write up during the year. Preliminary findings of the research are:

- Urban inventories are intended to provide a "census" of economic activities and the availability of services in a market center.
- Market centers are located in diverse environments spanning four agro-ecological zones.
- Accessibility to larger market centers is a serious problem for food security links for at least three of the market centers that are 100 or more kilometers from Dessie over rough roads.
- Infrastructure is varied in the market centers surveyed, with notable deficiencies.
- Government services are mixed. Of concern for food security, four of the market centers surveyed have no access to local services of the Ministry of Agriculture.
- Non-Governmental Organizations operate in only seven of the 19 market centers surveyed.
- Financial services are available in the majority of market centers. Microenterprise lending is available in only two of the centers.
- Social services are well represented in the market centers. All but one center has health services, and the majority of towns have skills training centers and other educational services.

- Commercial services related to food security are available in the market centers surveyed on a very limited basis.
- All but one market center reported experiencing "food shortages or problems."
- Food aid was largely provided by the government, but was often considered ineffective.
- The spatial structure of crop prices indicates parts of the region are now growing surplus staples.
- Crop specialization zones are evident from the data.
- Livestock prices and availability are highly varied and geographically complex.

1999-2000 Work Plan

Final reports on the regional market study and community assessments will be completed and published during November/December 1999. Work on both studies was delayed because of the Ethiopia/Eritrea conflict, although the community assessments were back on schedule by May 1999. A preliminary version of the regional market study will be presented at the BASIS Agricultural Policy, Resource Access and Human Nutrition Workshop in Addis Ababa, Ethiopia, November 3-5, 1999.

B. Community Assessment Studies

Research team: Castro, Amare, Adal, Tolossa, Little and Degefu

Beginning in November 1998 and continuing through January 1999, BASIS researchers worked to design a research study focused on community perspectives on factor market constraints and food security.

The research team carried out a field test in two rural communities near Dessie in March 1999. The assessments themselves were conducted in April, May, June, and July 1999 in South Wollo zone (nine *woredas*) and in adjacent Oromiya zone (two *woredas*). These took place during a time of widespread and increasing hunger due to the failure of the *belg* rains in early 1999.

These assessments addressed several critical research questions of importance to the overall research program:

- What formal/informal institutions help to mobilize capital, land, and labor for producers?
- What types of formal and informal arrangements regulate access to agricultural land and other resources (e.g., forests and pastures), and how have they been impacted by recent government reforms?

- In what ways do extra-household (community) exchanges of assets, labor, land, and other factors help to mitigate risk among households? How do these vary by season and year (drought versus non-drought)?
- How have recent experiences with food insecurity affected community organizations and their risk management strategies?
- What are the local experiences with marketing and how have they been affected by spatial and infrastructural constraints?

For purposes of the study, the team selected two *kebeles* from each of the nine *woredas* in the South Wollo zone: Ambassel, Dese Zuriya, Kalu, Kuta Ber, Legambo, Tanta, Tehuledere, Werebabo, and Wereilu. Due to difficult road conditions in Legambo, researchers visited only one *kebele* there. Researchers also picked four *kebeles* from Bati and Dawa Cheffa—two *woredas* in the adjacent Oromiya Zone with close marketing ties to South Wollo. Thus, the team carried out fieldwork in 21 *kebeles*.

In consultation with local officials, researchers used purposive sampling to select the communities, trying to differentiate them according to agro-ecological setting—highland (called *dega*), midland (*woina dega*), and lowland (*kola*)—and market distance. One *kebele* in each *woreda* was within 10 km of the local market, while the other was more than 10 km from the market. The 10-km benchmark served as a useful means of distinguishing physical accessibility to markets, though it was recognized that spatial distance per se was not the only criterion at work. The communities were analyzed according to *woreda*, agroecological zone, and distance to market (or *woreda*).

The social science methods employed in the community assessments combined survey, ethnographic, and rapid rural appraisal techniques, involving key informant and focus group interviews conducted during one-day visits to each community. A “key informant” interview was conducted, usually with three to four members of the *kebele* administration (the chairman, secretary, treasurer, and social sector head were typical participants). The team used a questionnaire that consisted largely of inventory questions regarding the local population, its access to markets and public services, its demographic change, and its experience in addressing food security.

Two focus group interviews—separate men’s and women’s groups—were carried out. The focus group questionnaire contained some inventory-oriented questions, but it also sought to elicit local views, perceptions, and aspirations on a range of subjects—agriculture, land, agrarian change, access to inputs and markets, savings patterns, community

(Continued on p.36)

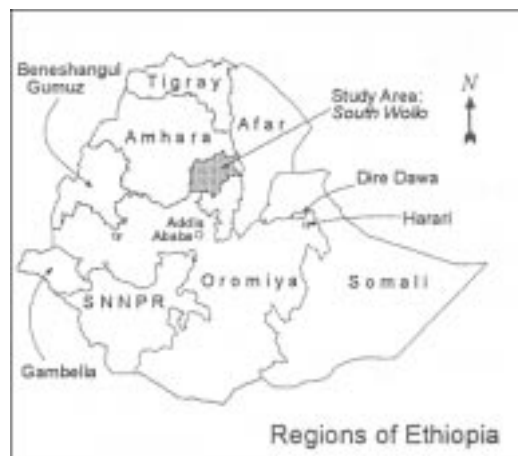
South Wollo: An Ideal Research Site

The South Wollo zone is located in the eastern Amhara region of Ethiopia. Within a short distance, land changes rapidly along the highland-to-lowland transect, allowing for study of three distinct agro-ecological settings.

The site is close enough to important markets and to the main market road to Addis Ababa, which is about 400 kilometers away. Yet the area is rural enough to allow for the study of how agricultural policy and markets affect resource use, food productivity, and adoption of commercial inputs associated with new farm technology.

In addition, the choice of the Amhara region allows BASIS to observe and contribute to the region's progress toward decentralized economic planning.

The study area—about 100 kilometers, north to south, by 65 kilometers, east-to-west—includes the important trading towns of Dessie and Kolmbacha, as well as the lowland locations of Oromiya Zone around Kemise and Bati market towns. Overall, the study area includes two urban and seven rural *woredas* in South Wollo Zone and two rural *woredas* in Oromiya Zone.



Source: United Nations World Food Program, Addis Ababa, Ethiopia, 1999 (As taken from: Shin, Michael. 1999. *Using a Geographical Information System within the BASIS Research Program in Ethiopia.*)

Key Findings: Community Assessments

By analyzing the responses of different groups of households to prolonged drought and famine, researchers developed a conceptual framework and insights.

1. Purchases and sales of livestock along with adjustments in grain stocks are key strategies in weathering the initial phases of drought and famine.
2. As famine worsens, private livestock and grain markets become increasingly risky, particularly as purchasing power dissipates and markets become disconnected.
3. Households follow complex strategies intermingling commodity and factor markets in coping with food insecurity.
4. As households enter the massive deaccumulation phase, it is the household's ability to lease out land, sell labor, and borrow capital that will mean the difference between survival or not.
5. Once economic opportunity emerges in the reaccumulation phase, it is again the ability of households to mobilize productive resources that will determine the rate in which they return to productive livelihood and wealth accumulation.

Focus groups in the community assessments reported unequal asset portfolios within the region roughly corresponding to the following bifurcation of households:

- **Chronically Food Insecure or Poor:** Female-headed households, families with many children, those without cattle or oxen, the elderly, and the landless.
- **Relatively Food Secure and Asset Endowed:** Households with relatively abundant land, adult labor, oxen, and private and social capital.

The focus groups indicated that unlike the last severe drought of 1984, the current drought in South Wollo has been in the making for the past 3-4 years. Early in the drought phase, *gradual asset deaccumulation* occurs as grain production falls, households begin to hoard cash, sell livestock, and search for off-farm or self-employment (hiring out labor, selling firewood). Credit markets for surplus households serve the purchase of inputs, oxen and equipment. For food deficit households, they enable food purchases and smooth food consumption at slightly rising interest rates.

As drought worsens, households enter a phase of *accelerated deaccumulation*. Distress sales and weight loss deplete livestock herds, driving prices downward. Under open and integrated markets, grain prices would tend to remain stable or even decline slightly with declines in purchasing power. However, the opposite is typically observed due to the volume of grain trade declining in thin and dispersed markets, emergence of unprofitable scale in transport and marketing, and public

food aid programs which risk at any time undermining traders' profit margins. Households sell livestock and increase meat consumption to counteract weight loss in herds. The grain/livestock price ratio increases sharply, unless dampened by food aid deliveries. Households turn to foraging for wild roots and leaves while supplies last. Wage rates fall due to excess labor supply as most households seek to employ labor off the farm. Permanent out-migration both reduces the number of consumers within the household and enables remittances for food purchases. As the drought deepens, households turn to selling oxen and farm implements.

Well-off households—to the extent they are able—assist poorer households by hiring labor, loaning oxen, giving or lending grain, and providing cash loans or gifts. Income transfers from rich to poor and the prolonged effects of drought eventually begin to erode the differences in asset values between the two. Under severe drought, no one household is much better off than any other due to losses of surplus.

Under *massive asset deaccumulation*, the debilitating effects of drought set in. As land loses productive value and livestock herds become depleted, households converge toward states of poverty. Surpluses disappear. Households consume seed as grain stocks are depleted. Households at the extreme margin turn to deconstructing homes to sell wood and corrugated iron sheets for money. Outmigration occurs if health allows. The human condition greatly deteriorates, marked by suicides, extreme forms of wasting, malnutrition, exhaustion and disease. Borrowing is typically no longer possible except for a few at very high interest. Land rental rates fall. Prices of wood and livestock collapse. For those unable to migrate or find at least survival wages off the farm, the result can mean death or extreme forms of morbidity.

What then? It is difficult for development practitioners to consider future economic and social development in the throes of famine.

However, during the reaccumulation phase the most troubling questions concerning appropriate policy and sustainability arise. Households reemerge with depleted labor stocks and low levels of labor productivity. Land begins to regain its productive value, but seed, labor, and oxen are in short supply. Pasture becomes plentiful, but households lack borrowing power to purchase cattle. Are households thus constrained to a very gradual path of asset accumulation where gains in wealth are long and slow in coming? Or can interventions be instituted to broadly accelerate wealth accumulation? What structural attributes would enable households to better cope with the accelerated and massive phases of asset deaccumulation, and to rebound once circumstances permit? These are and will be the troubling issues Ethiopian policymakers and practitioners will face in coming years in South Wollo.

Adapted from community assessments (Castro et al., 1999) by Michael Roth.

Food Security Policy Impacts in South Wollo, Ethiopia

BASIS research brings an interdisciplinary, integrated approach to examining food security. Impact indicators include the following:

- **How zonal and regional policy makers use BASIS data to improve criteria for food security classifications.** In a 3-4 year framework, it is expected that BASIS results will have an impact on implementation of food security activities, including the frequency in which "vulnerable households" (landless, tenant migrants, female-headed units) participate in income generating activities like food-for-work schemes.
- **The extent to which BASIS emphasis on non-farm employment influences policy statements on food security and rural income growth at zonal and regional levels.** In a 3-4 year framework, the indicator would be broadened to include the extent to which low-income peasants' access to land and employment are improved as a result of regional policy and program changes.
- **The extent to which IDR and its researchers are strengthened in policy-based research on factor markets, food security, and the latest research methods.** Currently, IDR is working closely with the Amhara regional government to help establish key socioeconomic databases for development planning.

BASIS researchers anticipate accomplishing stated policy goals by September 30, 2001, except in cases where a longer horizon is indicated.

(Continued from p.34)

relations, food security, and coping strategies during times of food shortages.

Policy outreach efforts included working closely with policy makers and officials during research implementation. Key individuals were identified to attend the second policy-based seminar, to be held in Dessie, October 29, 1999. In addition, Peter Little held meetings with USAID in January 1999 (with Michael Roth), June 1999, and August 1999 to discuss the policy aspects of the South Wollo research and to coordinate plans for a series of case studies and policy seminars to be funded by USAID during 2000-2001.

1999-2000 Work Plan

A policy-based seminar on research findings from community and regional market studies is scheduled for October 29, 1999 in Dessie. Participants will be policy makers and local stakeholders. Most of the analysis and write-up of the first phase research will be completed, and results of the regional market and community assessment studies will be presented. The seminar goals are to publicize program research activities; ensure that policy makers have an opportunity to respond to the research findings; and solicit advice on how to ensure that research is policy relevant to current development plans that are being formulated for the zone and region.

C. Geographic Information Systems (GIS)

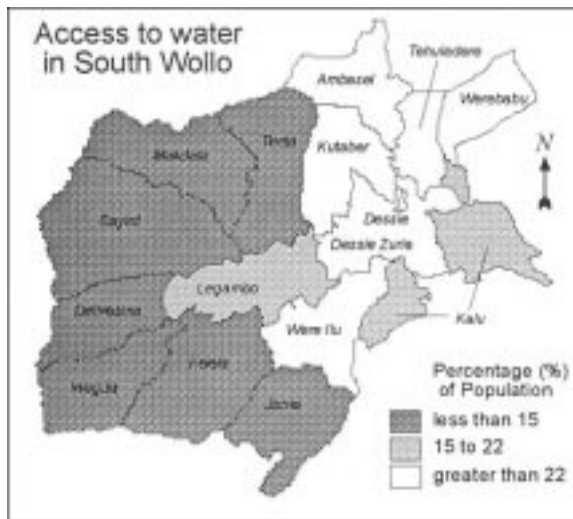
Researcher: Shin

Michael Shin continued his work on applying GIS to the South Wollo research program. He was in the field during July and August 1999 and spent September working on data sets collected in Ethiopia. His work concludes that "integrating GIS into this research program provides a comprehensive and innovative way to archive, manipulate, analyze and visualize data and information from different sources at different levels of analysis." GIS provides a way to integrate the different levels of data collection (regional, community, and household) and to test the hypothesis regarding the effects of spatial access to market infrastructure and centers on factor market development and food security.

The GIS work assisted in producing a series of useful maps and in integrating a spatial component into the research program. During the summer of 1999 Shin was able to obtain a significant amount of spatial data in digital format from the Vulnerability Assessment and Mapping Unit of the UN World Food Program. The dataset covers 17 *woredas* and 593 *kebeles* in South Wollo. Analysis of the data, as well as the regional market data collected by the BASIS/IDR team allowed several thematic maps to be produced for South Wollo. These include maps of: (1) access to water in South Wollo; (2) drought risk in South Wollo; (3) flood risk in South Wollo; (4) population density in South Wollo; (5) selected towns buffers; and (6) population contours for selected towns in South Wollo. Questions that can be answered related to markets and food security are:

- How does proximity to an asphalt/primary road affect market supply and demand?
- How does proximity to an asphalt/primary road affect food prices?
- What are the differences between vendors and traders that are within 15 kilometers of an asphalt/primary road, and those that are not?

Geographic Units of Analysis: South Wollo



Source: United Nations World Food Program, Addis Ababa, Ethiopia, 1999 (As taken from: Shin, Michael. 1999. *Using a Geographical Information System within the BASIS Research Program in Ethiopia.*)

D. Rural Household Study

Research team: Roth, Little, Gebre-Egziabher, Degefu

Initial design work on the household study began during June and July 1999. Michael Roth and Peter Little worked with IDR researchers, Tegegne Gebre-Egziabher and Workineh Degefu, on a research methods paper and proposal for the household study.

A conceptual framework for the study was elaborated that focuses on an "anatomy and chronology of famine" and

emphasizes four phases that households encounter in South Wollo: (1) gradual asset deaccumulation; (2) accelerated deaccumulation; (3) massive deaccumulation; and (4) reaccumulation. The research proposal was presented in a meeting with IDR and USAID in Addis Ababa and highlights site locations; a proposed sample size and sampling method; and a series of issues to be covered in a household questionnaire.

1999-2000 Work Plan

At the household level, the following variables will be emphasized: aggregate land holdings and cropping patterns; household income and asset portfolios; access to capital, labor, and other factors (e.g., plough oxen); and demographic composition.

Critical research questions are:

- What are the critical processes of socio-economic differentiation that most affect food security and incomes at the household level? For example, is food security and welfare most closely correlated with household differences in land holdings, non-farm income, labor availability, ownership of certain assets (e.g., plough oxen), or other socioeconomic variables?
- How do household production and income-earning strategies vary by season and by year (drought versus non-drought year)?
- How do households manage assets and investments to mitigate risks associated with food insecurity and low income?
- How is asset accumulation/depletion affected by access to non-farm employment and/or agricultural land; and how is this differentiated by gender and age of household head?
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New Activities for 1999-2000

Ethnographic Study of Household Livelihood Strategies

A graduate student will be posted in South Wollo to carry out a qualitative study of household livelihood strategies. This research is meant to complement the mainly quantitative household study. At least two communities—including a highland, midland, and/or lowland settlement—will be compared.

This study will emphasize in-depth data collection among a few communities and limited number of households and will utilize participant observation and informal interview techniques, as well as structured interviews. The US or

Ethiopian graduate student will be posted in the village(s) to gather ethnographic information on local drought mitigating strategies, informal land and labor exchanges, and other qualitative data that might be missed through the formal household and community-based assessments.

Collaboration with Existing Projects

The project is collaborating with the long-standing Norwegian-funded Peasant Productivity and Economy Project (PPEP) which began in 1998 to work in three communities in our study region: Kutaber (highland), Hayk (midland), and Harbu (lowland). While Kutaber and Hayk are in South Wollo Zone, Harbu is in the Oromiya. The PPEP is working on household and market data collection in these three locations.

IDR is the main local institution implementing this project and discussions already have been held on ways in which the BASIS activity can collaborate with the PPEP. The arrangement between BASIS and the PPEP project will ensure research complementarity and data sharing. Some of the plans include sharing household and market data; sharing research enumerators; and spreading data collection among different communities. The PPEP already is gathering some market center data on livestock and other commodities that will help the BASIS effort.

Through a Swedish International Development Cooperation Agency (SIDA)/IDR project on "baseline studies for regional development," data is being collected in the area on basic socioeconomic and demographic variables. It is anticipated that data collection will be carried out in about seven *woredas* in the South Wollo zone, and that the BASIS/IDR project will collaborate and share data. The SIDA-funded activity is being carried out for the Amhara regional government.

NGOs working in the South Wollo area include World Vision and Save the Children/UK(United Kingdom). BASIS researchers anticipate sharing data from the project with them and inviting them to project meetings and seminars. BASIS also will seek their assistance in helping to design the household study.

Review of Problems and Issues

The most important issue that had an impact on the research program was the on-going conflict between Ethiopia and Eritrea, which delayed the regional market study by about 5 months. The war's effect, however, has had little other impact on the study and other aspects of the research are on or close to the original schedule. The long anticipated arrival of the vehicle for the research program now is scheduled for November 1999 and will greatly assist field research. Had this vehicle arrived on time (it was ordered in June 1999), it would have aided summer fieldwork considerably.



Cross-Border Trade and Food Security in the Horn of Africa

Co-Principal Investigators

Peter Little and Tegegne Tekla

Collaborating Institutions and Researchers

Organization for Social Science Research in Eastern and Southern Africa (OSSREA)

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Tegegne Tekla, Regional Programme Coordinator
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Michael Horowitz, Senior Researcher and Director
Peter Little, Professor of Anthropology,
University of Kentucky
Scott McDonald, Research Assistant

Other

Hussein A. Mahmoud, Egerton University, Njoro, Kenya,
currently a graduate student at University of Kentucky

Project dates: November 1996 - September 2000

Support: Add-on funding only (USAID/REDSO)

Program Overview

This BASIS research program, in collaboration with OSSREA, is a two-year study of regional cross-border trade (livestock and grain) and food security. It is the first systematic study of the topic in the region.

An understanding of the informal financial/credit arrangements and capital generation associated with cross-border trade—and of the links between cross-border trade and food security in the three border sites (all of which are grain deficit zones)—shape the research questions for the study. Three sites have been chosen for data collection, identified as: (a) the southern Ethiopia/northern Kenya border; (b) the northeastern Kenya/southern Somalia border; and (c) the northeastern Ethiopia/Djibouti border.

The commodity focus of the study is primarily on livestock and secondarily on selected grains (maize and sorghum). As a commodity, livestock has features that make it amenable to cross-border trade, even in situations of widespread insecurity. It is a mobile and high-value commodity that can be transported over land rather than on roads, and can easily be moved across borders. Because traders assume such a critical role in the cross-border trade of these key commodities, research design

emphasizes both structured and unstructured interviews with samples of traders.

The research topic raises particularly thorny methodological issues since most of the key cross-border markets are located in dry regions, far from major urban centers, dominated by mobile pastoral production systems, and, in most cases, poorly served by transport and other infrastructure. These conditions add to the costs of standard survey approaches and have required considerable methodological innovations, such as key actor interviews, ethnography, and rapid appraisal techniques. On-going conflicts and random border closures in the region also increase risks and uncertainties for merchants, producers, and researchers alike and have required methodological adjustments.

This interdisciplinary program promises to yield important scholarly and policy-relevant findings and has been predominantly funded by REDSO/Nairobi. To date, this program has involved five regional and four US/BASIS researchers and will be completed by September 30, 2000.

Policy Impacts in Cross-border Areas in the Horn of Africa

BASIS research aims to inform policy makers about the importance of cross-border trade for regional economic development and food security, and to reduce constraints on cross-border trade in one key commodity—livestock—in the region. Research impact indicators include:

- **Carry out policy-relevant research at three key cross-border sites in the region.** Since there had been virtually no systematic research on cross-border trade in livestock and grains in the region, a first step in policy dialogue has to be collection of relevant information.
- **Disseminate research and policy findings through policy briefs and seminars.** In July 1999 OSSREA presented findings of the Kenya/Ethiopia case study to policy makers and researchers at an international workshop sponsored by the GL-CRSP and ILRI.

Key indicators of policy impact will be:

- **The extent to which findings of the research inform regional trade policies of the Intergovernmental Agency for Development (IGAD) and its relevant member countries: Kenya, Ethiopia, and Djibouti.**
- **The number of policy initiatives designed and implemented to facilitate cross-border trade in key agricultural commodities**

Summary of Activities

During 1998-1999, completion of field research was carried out in Site A-Ethiopia/Kenya and Site B-Kenya/Somalia. Secondary data sets on cross-border markets were also obtained from GTZ, the German Aid organization program in Ethiopia, and USAID/FEWS and the data analyzed.

The field research for the cross-border study was initiated in the summer of 1997 but the bulk of it was not started until 1998-1999. Because of initial delays in transferring funds to the BASIS regional partner, OSSREA, and the delays in fieldwork because of border conflicts, the study has been delayed about six months. The final report for research Site A-Ethiopia/Kenya was completed. It is now expected that the Site B-Kenya/Somalia field report will be completed in December 1999/January 2000; the Site C-Ethiopia/Djibouti field research and report completed by April 2000; and the final seminar and report completed by August 2000.

A. Southern Ethiopia/Northern Kenya Border Study

This component of the program was initiated and completed during 1998-1999. The questionnaire that was used for the Kenya/Somalia border study (see B. below) was reformulated to Ethiopian conditions during September-October 1998 and field tested by OSSREA researchers in November 1998.

Data for this study came from a survey of 171 traders, of which 100 were in the border catchment covering Negelle, Dollo-Ado, Mandera, Arero, Dubluk, Mega, Yabello, Teltelle and Moyale markets. It was originally envisioned that the Ethiopia/Kenya border study would concentrate mainly on the central border area around Moyale, but the OSSREA research team has been able to expand the border coverage to cover the entire southern border with Kenya and part of the southeastern Ethiopia/southwestern border. This has allowed for more generalizable results as well as an estimate of the total volume of Ethiopian livestock that are unofficially exported to Kenya. It also has allowed for comparisons of different markets and market channels along the entire Ethiopian/Kenya border. These materials are included in the 1999 research report published by OSSREA.

The survey was conducted during December 1998-January 1999 and was completed just prior to major conflict in the region which closed the border for several weeks. In addition, secondary data were gathered from the Department of Agriculture at zonal and *woreda* levels and non-governmental agencies operating in the area. Time series data on livestock and grain sales were available

from the GTZ-Borana Lowland Pastoral Development Programme (BLPDP) in southern Ethiopia, which allowed some tests of market integration across different market sites. The unpublished data from the GTZ/BLPDP covered three markets on the Ethiopia side and one on the Kenya side, and consisted of monthly sales data for different types of livestock (e.g., dry cow, heifers, bullock, steer), various types of grains, and other food stuffs, such as flour, edible oils, and milk. These data, as well as the trader interview data were entered into SPSS data format and have been analyzed using standard statistical techniques.

Different versions of the report were drafted during June to August 1999, and the final report is to be published by OSSREA in October 1999. The final report will contain key information on cross-border commodity flows, informal credit relations and cross-border capital flows, the effects of trade on food security, and the extent to which access to the lucrative Kenyan markets drive commerce in the region. This report will comprise part of the program's final report and will be critical to the final synthesis write-up in 2000.

B. Kenya/Somalia Border Study

This study follows up on earlier research on cross-border trade conducted during 1996 by Co-PI Peter Little and Hussein Mahmoud of Egerton University. The researchers already had access to approximately eight years of livestock marketing data from the region and a computerized data set on 69 traders; additional surveys of 30 traders were conducted in the region during 1998. Unfortunately the security situation in the region deteriorated considerably in 1999 with a series of kidnappings and armed conflicts that precluded additional trader interviews. The Kenyan army closed the border with Somalia for several months during the year. Nonetheless, the available trader data sets from the border markets, sales and marketing data from Nairobi (the final destination for most cross-border livestock), and some good price data sets for the border region enabled work to continue.

During the past year the project came across a current market data set for the south central Ethiopia and Somali border sites. The data for southern Ethiopia (and also includes Moyale, Kenya) was from the GTZ/BLPDP program and was entered and analyzed by OSSREA.

During January 1999, Peter Little visited Kenya and established a collaborative arrangement with USAID/Somalia's FEWS to analyze and utilize their price data set for 1996-1998. He followed up with a visit to the FEWS headquarters in Washington, DC to gather additional data and to become familiar with the market analyses that the project has conducted. These data have now been entered into SPSS and preliminary analyses

Ethiopia/Kenya Cross-border Study Key Findings

Statistical tests of market integration reveal that livestock markets in the border region are not well integrated. Thus, improvements in livestock prices in neighboring countries do not immediately result in supply response changes among pastoralists of southern Ethiopia or vice versa.

Other constraints that inhibit cross-border trade in the region are: border policies that regard the trade as illegal; lack of formal capital markets and imperfect informal substitutes; imperfect and poorly disseminated market information; undeveloped livestock routes; and difficult access by Ethiopian traders to the larger markets in Kenya.

Because most pastoralists in the border region finance food purchases through livestock sales and much grain is imported with revenues from livestock trading, any change in cross-border commerce affects pastoral welfare and food security (Teka et al. 1999:61).

The study concludes with a recommendation that Kenyan and Ethiopian governments officially recognize cross-border trade and lift border controls to reduce market imperfections and to improve incomes for all parties (herder, trader, and government). A first step in this process would be the creation of a permanent, joint committee of government (Kenyan and Ethiopian) officials and citizens that would meet annually to evaluate cross-border issues and propose mutually beneficial actions.

By implementing policies that facilitate rather than constrain cross-border trade, the study also suggests that some of the trans-border ethnic and clan conflicts in the area could be reduced.

Source: Teka, Tegegne, A. Azeze, and A. Gebremariam, 1999. *Cross-Border Livestock Trade and Food Security in the Southern Ethiopia Borderlands*. OSSREA/BASIS CRSP Project on Cross-border Trade and Food Security in the Horn of Africa. Addis Ababa: OSSREA.

have been done by BASIS; these data allow analyses of other Somali border sites, including those with Ethiopia. Their analyses and entry into SPSS have been critical for the individual research reports, and will be very important to the final synthesis report.

In addition, during the year Little established working arrangements with two NGOs: Terra Nuovo (Italian) and

the Kenya Pastoral Forum (Kenyan). Both organizations are working in the border region and are gathering market data. These NGOs have been provided the data and reports written by Little and it is expected that they will be able to provide recent livestock marketing data for 1999.

Data entry in SPSS format and preliminary analyses of trader and border market samples have been completed and an initial draft of the Kenya/Somalia study will be available in January 2000.

Kenya/Somalia Cross-border Study Key Findings

Preliminary assessments show that despite the on-going conflicts in the region the amount of cross-border trade in livestock from Somalia has increased considerably during the 1990s.

For example, at the key Kenyan market (Garissa) for cross-border trade with southern Somalia, cattle sales are up approximately 25 percent since 1996 and more than 300 percent since 1990. The collapse of the Somali state and its domestic market and overseas export trades has meant that the importance of regional trade with Kenya has increased considerably. With the absence of a government and formal institutions, traders use intricate networks of informal credit, currency arbitrage, and wire transfers with informal "money houses" to finance the cross-border trade.

Since the mid-1990s the border market catchment in Somalia has been extended all the way to near Mogadishu (approximately 500 km from the border), where animals are now "sourced" for sale to Kenya. The trade also generates considerable employment for middlemen/agents, hired herders, and trekkers (i.e., those who are hired to trek animals to different markets) in a region where little waged employment is available.

The Somali case will allow BASIS to understand the operation of factor markets (especially finance and employment) in a key economic activity (cross-border trade), as well as to assess the effects of trade on food security in a conflict-ridden region of the Horn of Africa.

Additional 1998-1999 Activities (not anticipated)

Somaliland/Ethiopia Cross-border Trade

Because of travel restrictions, difficulties in obtaining reliable data, and assumptions about the depressed state of the economy, Somaliland (formerly northern Somalia) was not included in the original study. However, while it has not been possible to collect primary data in the country, researchers have learned about a FEWS data set on key cross-border towns that provides monthly and weekly price data and other indicators of trade. Data are current to January 1999.

Researchers also have data that confirm livestock exports from Berbera and Bossaso as being higher in 1997 than during the pre-war period (pre-1991). Food imports through Somaliland's ports also are approaching pre-war (pre-1991) levels and serve a large part of the Somali Region, eastern Ethiopia. Two border markets along the Somaliland/Ethiopia border (and near the Djibouti border), Togwajale and Borama, have especially good data and should provide additional insights to the research along the Djibouti/Ethiopia border (data collection Site C, to be conducted beginning in late 1999). In fact, Borama is strongly linked to the Djibouti market, as well as to Ethiopian markets. While incomplete, the Somali border case study will have some information on the northern border markets, in addition to the country's southern border sites.

1998-1999 Results as Related to BASIS Development/Results Framework

The cross-border research program directly relates to the BASIS Results Framework Secondary Objective B.6 "Broaden access of the poor and socially disadvantaged to economic growth and food security." From the BASIS Results Framework, the research will show the intermediate result (B6.1) of "identifying mechanisms by which cross-border trade influences regional food security." In the Horn of Africa this is an extremely important policy issue, since food-deficit and food-surplus countries and populations often are in close proximity to each other but food security is constrained by trade restrictions. Already the cross-border study has shown how different regions' comparative advantages and food stability are enhanced through cross-border commerce. Food security is a major development goal of the Horn's main regional development institution, the Intergovernmental Agency for Development (IGAD), as is the promotion of regional trade and infrastructure.

The study also looks at an important secondary indicator from the results framework, "changes in volume of food trade associated with different economic and policy environments."

Because the study encompasses countries with different policy regimes (e.g., Kenya, Ethiopia, and Djibouti, as well as a country with no government policies at all), the project will contribute to understanding how different cross-border trade policies affect local livelihoods and food security. The study documents the added transaction costs that are associated with cross-border trade in different countries with vastly different policies and will be an important contributor to current debates about the benefits of regional trade in the Horn.

Review of Problems and Issues

As this report indicated earlier, the conflicts along the different borders in the Horn have delayed the study and early on forced the project to drop some research sites. In 1998 it was decided that the Ethiopia/Kenya site would be done first before initiating the Djibouti/Ethiopia border study. It was hoped that the Eritrean/Ethiopian war would have subsided in 1999 and a more normal border situation would have emerged in the north, and that the project would have learned from the Ethiopia/Kenya study. Regarding the latter, it was felt that the research team would be better prepared to address the more complicated Djibouti/Ethiopia border site. The war is still ongoing and it is likely that research can be conducted only along limited part of the Ethiopia/Djibouti border. Clearly, the sites that are near Eritrea will have to be omitted.

In many respects the Kenya/Somalia site has been even more volatile because of banditry and random violence and conflict. It was decided in August 1999 that the Kenya research team would not revisit the Somalia border markets again (clearance from Kenyan officials could not be obtained) and would go with the primary field data that was collected in 1998 and in earlier years; rely more heavily on available livestock and grain marketing data from 1999; and extend the analysis to look at other Somalia border sites vis-à-vis the FEWS market data. Because virtually all of the cross-border livestock trade with southern Somalia ends up in Nairobi, data collected from Nairobi in 1999 will compensate for the lack of a second round of border trader interviews.



Linking Agriculture to Human Nutrition: A Gender-Based Analysis of Institutional Initiatives and Experiences

Collaborating Institutions and Researchers

Charlotte Johnson-Welch, Principal Investigator (PI),
International Center for Research on Women
(ICRW), Washington, DC
Bogalech Alemu, Ministry of Agriculture, Ethiopia
Hilda Kigutha, Egerton University, Kenya
Theresia Peter Msaki, Ministry of Agriculture, Tanzania
May Sengendo, Makerere University, Uganda
Antonia Wolff, ICRW, Washington, DC

Project dates: September 1998 - December 1999

Support: Add-on only (USAID/REDSO)

Program Overview

Food security, where all have access to sufficient food to live healthy and productive lives, is a multi-dimensional development issue requiring integrated approaches (World Bank 1986). Although institutions see value in addressing the multi-dimensional nature of problems in an integrated fashion and do so by partnering with others who have complementary resources, there is little evidence in the development literature of sound theoretical concepts to guide the operationalization of these partnerships. Collaboration and partnerships are often the result of intuitive "best guesses" and "trial and error." In order for coalitions, partnerships or collaborations to be effective, they must move beyond rhetoric and be driven by theoretically sound principles rather than an immediate pressure to act.

ICRW undertook case study research to shed light on *how* institutions use integrated approaches to improve household food security. Researchers studied 13 projects in Ethiopia, Kenya, Tanzania and Uganda to determine factors that made their respective approaches work and why. "Coalition theory" was used to compare theoretically validated factors based on 13 projects and two assumptions: (1) gender as a key dimension of food security is critical to making integrated approaches work, and (2) participatory processes and methods contribute to successfully achieving intended outcomes.

Case Study Research Activities

The PI identified a research partner in each of four countries—Ethiopia, Kenya, Tanzania and Uganda—to collect information from country-specific examples of collaborative efforts. ICRW drew on its relationships with individuals and institutions in the region and on suggestions provided by USAID (global, regional and country staff) to compile a list of potential team members.

Background information was collected on each candidate and a short-list was developed; candidates were asked to submit activity and cost proposals. The PI, assisted by ICRW senior staff, reviewed the proposals and solicited input from USAID mission before selecting the final candidates.

In January 1999, the research team met in Nairobi for three days to design the research and to develop a work plan and timetable. Between February and March, the four country researchers identified cases to be examined and developed their data collection instruments. Between April and July, the researchers collected their case study data and began work on their draft reports. After sharing draft reports among the team members, final versions were submitted to the PI by September 1999. Using the country-specific case study reports, the PI will prepare a synthesis report pulling across the four country reports.

Work proceeded at a slower rate than planned, principally due to safety concerns in the field, experienced by two of the four country researchers. Consequently, the final cross-country research paper will be submitted to BASIS by the end of the 1999 calendar year, rather than the end of fiscal year 1999.

Results

The BASIS research will contribute to strengthening institutional mechanisms through which individuals access resources to produce and otherwise obtain food, and consume and utilize nutrients. Thus, the long-term impact will be seen in terms of improved food security and better nutrition, and quality of the labor market.

Two levels of results issue from the research. The first relates to building capacity in the region to conduct case study research on integrated approaches to improving household food security; the second is the results issuing from the study.

First level results: The interaction among the partners—in reviewing each others' data collection instruments and draft reports—created the opportunity for each to learn from the others. Similarly, the in-country researchers made connections with other in-country individuals and institutions that work on food security. This benefited not only the BASIS team members, in raising their awareness of country programs, research and institutional capabilities, but also those persons who were interviewed. For instance, in Ethiopia, Agri-Service was one of the case study examples used by Bogalech Alemu. Their interaction raised Agri-Service's awareness of the need to build into their food security program explicit actions to improve nutrition, rather than presuming that nutrition would improve if agricultural yields improved.

Second level results: Preliminary results of analyzing 13 case studies fall into five general categories:

1. ***Addressing three components of food security—availability, access, and utilization:*** If the three components were addressed, this was an indicator of institutions' recognition of the need and commitment to apply an integrated approach to achieving food security. Preliminary results suggest that: (a) institutions see the need to act in an integrated fashion; (b) they act by partnering with other institutions; and (c) they use a range of indicators and designs to measure results but oftentimes do so in ways that are either inappropriate or inadequate.
2. ***Using participatory approaches:*** All of the 13 cases used participatory approaches and methodologies, throughout the process, and others used them most often in the planning stages. It was not clear from the studies if the participatory methods and processes were gender-sensitive in all cases but it is clear that women and men were actively engaged in the process.
3. ***Mainstreaming gender in institutions and programs:*** Nine of the 13 cases made explicit efforts to mainstream gender. The most commonly used mechanism was to build institutional capacity by training staff (7 of 9) and hiring gender specialists (either as regular or contract employees, all 9). In the program activities, "gender" tended to focus on reducing practical constraints (e.g. access to technologies or knowledge) rather than strategic constraints (e.g., decision-making and power sharing). Gender literature suggests that without addressing strategic gender constraints, short-term gains in resolving practical constraints are oftentimes undercut.
4. ***Factors related to integrated approaches:*** Case study data analysis led to the identification of a set of factors that appeared to drive institutions to collaborate and use integrated approaches: (a) motivational factors; (b) selection of partners; (c) perceived benefits; and (d) formalizing partnerships.
5. ***Comparison of derived factors with theoretical factors:*** The above factors compared favorably with those put forward by "coalition theory." Indeed, there were no actual differences between the two sets of factors, merely variations in their articulation or grouping.

Preliminary recommendations focus on the need to apply the above framework in other settings to test its validity and reliability; to strengthen monitoring and evaluation systems of food security projects; to continue to support efforts to mainstream gender; and to use participatory processes and methods. The final recommendation suggests the need to undertake research that would more carefully document the costs and benefits of integrated approaches. This recommendation addresses the assumption that integrated approaches are too costly, too complication and yield marginal results as compared with single-focus interventions.

◆4◆

Horn of Africa Workshop: Agricultural Policy, Resource Access and Human Nutrition

Collaborating Institutions and Researchers

Michael Roth, Senior Scientist, Land Tenure Center,
University of Wisconsin-Madison, Madison, WI
Abdel Ghaffar M. Ahmed, Executive Secretary, OSSREA
Kristy Cook, Technical Adviser, Africa Bureau, USAID

Project dates: October 1998 - September 2000

Support: Add-on only (USAID/REDSO)

Through support from USAID/REDSO, a 3-day regional workshop, "Agricultural Policy, Resource Access and Human Nutrition" was scheduled for November 3-5, 1999 in Addis Ababa, Ethiopia.

The purpose of the workshop is to begin a productive dialogue, to provide a forum to share ideas and experiences on linkages between agricultural policy, resource access and the nutritional status of poor and vulnerable groups in the Horn of Africa region.

A planning committee was established to develop the workshop agenda and to identify a core group of invited presenters and participants knowledgeable about (a) the links between agriculture and nutrition, (b) links between research and policy action, (c) health and biological interventions to enhance nutritional outcomes, or (d) existing nutrition/health and/or agriculture institutions and networks in East Africa.

The workshop agenda, a comprehensive summary to be prepared by OSSREA, and full text of the papers will be available on the BASIS CRSP Management Entity web site: <http://wisc.edu/ltc/basis.html>

◆5◆

Changing Tenure Patterns, Institutional and Policy Responses to Water Management in East Africa

Project dates: December 1997 - December 1999

Support: Add-on only (USAID/REDSO)

The African Center for Technology Studies (ACTS) in Nairobi, Kenya, is completing a project, funded by a BASIS grant administered via the Organization for Social Science Research in Eastern and Southern Africa (OSSREA).

The project examines the recent changes in water policy in Tanzania, and the changing roles of stakeholders: local communities, NGO's, and the various state water departments. The project has involved fieldwork in the Arusha region of Tanzania and this was followed up in September 1999 by a consultative session which involved the interviewees and other stakeholders in discussions about the research results. Following this exclusively Tanzanian discussion, Kenyan and Tanzanian water specialists were brought together for two days of talks on key issues regarding the water policies of both countries. ACTS has conducted extensive research on community water management in Kenya, and the results are soon to be published in a book entitled *Taking Over*.

Some of the main areas of the Tanzanian research are disputes over water, the effectiveness of the current water rights system, and financial aspects of community water development. However, the report deals with other issues such as soil and water conservation and deforestation, in order to illustrate the interlinked nature of policies affecting water, agriculture, and forestry.

The findings suggest that although the water policy and current activities of the Ministry of Water have made a serious attempt to categorize the large and ever-growing number of water abstractions in Arusha region, the theory of Water Law in Tanzania and the practices on the ground are very different. Local people need to be involved in planning water supply systems, negotiating the terms of use with nearby communities, and managing and monitoring their use. This level of participation will enable them to contribute financially to the maintenance of water systems and to work toward the conservation of catchment forests without feeling as if they are being penalized and taxed, with few rewards. As regards irrigation, traditional schemes would benefit from improvements at the "intermediate technology" level in order to improve water use efficiency and ease management problems.

The final draft of the project report is being prepared and will be submitted after the stakeholder and other authorities review it.

◆6◆

1999-2000 Competitive Grant Award

Irrigation, Participation and Factor Markets in Tanzania

Collaborating Institutions and Researchers

Jeanne Koopman, Research Fellow, African Studies Center, Boston University
Rhoda Kweka, Soil Scientist, Ministry of Agriculture and Co-operatives, Tanzania
Mary Mboya, Sociologist, Participatory Irrigation Development Program, Tanzania
Samuel M. Wangwe, Executive Director, Economic and Social Research Foundation (ESRF), Tanzania

Project dates: October 1999 - September 2000

Support: Core funding only

BASIS has approved a 1999-2000 competitive grant proposal for the initial 12-month phase of a new research program to study the efficiency and equity impacts of irrigation projects on different groups in irrigating communities (men as land owners, tenants and laborers and women as plot owners, renters, laborers, and wives). The full research program proposes to analyze 10-12 irrigation schemes and their associated watersheds over a three- to four-year period. The work is being undertaken in cooperation with the Tanzanian Irrigation Department.

As a result of changing policy priorities by both government and donors, irrigation schemes in Tanzania exhibit considerable differences not only in the technological approaches and costs associated with their construction and management, but also in the types of farmer organizations developed, the distribution of plot ownership, the prevalence of tenancies and/or labor hiring, and the approaches used to deal with environmental issues. This wide variety of socio-economic, environmental and technological differences makes Tanzania an excellent setting for conducting research on the impact of different policy choices and degrees of community participation on both overall economic outcomes and the distribution of costs and benefits.

In order to look at the consequences of participation (or its absence) during the design and development of an irrigation project, the first phase of the research (i.e. the phase funded by BASIS) will work with the communities at two farmer-constructed schemes which have been rehabilitated for at least two years, but which have had differing degrees of community participation in the design of their rehabilitation and the development of their management structures.

◆7◆

NEW for 1999-2000

Case Studies on Factor Market Constraints in the Context of Regional Food Security and Income Growth in the Amhara Region (3) of Ethiopia

Collaborating Institutions and Researchers

**Institute of Development Research (IDR)
Addis Ababa University, Ethiopia**
Tegegne Gebre-Egziabher, Director
Mulat Demeke, Faculty Member, Dept. of Economics
Yeraswork Admassie, Chairman, Dept. of Sociology and Social Sciences
Dejene Aredo
Melaku Eshetu

Institute for Development Anthropology (IDA) Binghamton, NY

Peter Little, Professor of Anthropology,
University of Kentucky
Michael Shin, University of Miami, Miami, FL

Other

John Bruce, Senior Scientist, Land Tenure Center
University of Wisconsin-Madison, Madison, WI
Thomas Reardon, Michigan State University,
East Lansing, MI

Project dates: October 1999 - September 2001

Support: Add-on only (USAID/Ethiopia)

The USAID mission has indicated interest in providing add-on support for three additional activities in South Wollo. Only \$100,000 of the \$300,000 has been committed to date. Progress on the full set of activities will depend on the timing of full funding disbursement.

New activities to be undertaken during 1999-2000 include:

1. Three case studies—on migration and rural labor markets, informal/formal finance, and resource tenure and use of common property resources (especially forests and pastures);
2. A policy seminar to present the findings of the cases studies, to be held in the Amhara regional capital, Bahr Dar; and
3. Application of a Geographic Information System (GIS) to allow the findings of the case studies and the research to be analyzed spatially and be represented in a series of maps for planners and policy makers.

1998-1999 Outputs

◆1◆

From Household to Region: Factor Market Constraints to Income and Food Security in a Highly Diverse Environment– South Wollo, Ethiopia

Regional market data sets in SPSS

The sets include two-year price data set for South Wollo and Oromiya zones; a total sample from 20 markets in South Wollo of 274 buyers and 543 sellers; inventory of market functions of 24 market towns (19 from 1998; 5 from 1999); and a sample of 188 traders and transporters.

Community assessment data set in SPSS

The set covers a sample of a total sample of 21 *kebele*; 42 group interviews (male and female groups); and 21 key informant group interviews.

Castro, Alfonso Peter. September 1999. Rapid Community Assessment Field Test: South Wollo, Ethiopia (submitted to BASIS Research Paper series). 67 pp.

Castro, Alfonso Peter, Yared Amare, Yigremew Adal, Degafa Tolossa, and Demeke Deboch. September 1999 (DRAFT) Community Assessments in South Wollo, Ethiopia: Community Profiles and Summary of Qualitative Data. 121 pp.

Gaile, Gary, T. Gebre-Egziabher, and P. D. Little. September 1999 (DRAFT). Market Center Functions and Linkages as Related to Food Security in South Wollo, Ethiopia: Preliminary Observations. 73 pp.

Shin, Michael. November 1998. Report and Proposal for the Implementation of a GIS within the BASIS Research Program in Ethiopia. 13 pp.

Shin, Michael. September 1999. Using a Geographical Information System within the BASIS Research Program in Ethiopia. 10 pp.

Little, Peter D. May 1999 (redrafted September 1999). Case Studies on Factor Market Constraints in the Context of Regional Food Security and Income Growth in the Amhara Region (3), Ethiopia. 19 pp.

Gaile, Gary. November 1998 (DRAFT). Methodology for the Regional Market Research, South Wollo, Ethiopia. 12 pp.

Roth, Michael (with Co-PIs, P. Little, T. Gebre-Egziabher, and W. Degefu). June 1999 (redrafted August 1999). Resource Access and Asset Management to Mitigate Food Insecurity: Methodology for Longitudinal Household and Community Studies. 20 pp.

◆2◆

Cross-Border Trade and Food Security in the Horn of Africa

Little, Peter D., Tegegne Teka, and Alemayehu Azeze. November 1998. "Further Observations on Research Methods for the Study of Cross-Border Trade in the Horn of Africa." 26 pp.

Teka, Tegegne and Alameyehu Azeze. "Findings of a Study on Cross-Border Trade in the Southern Ethiopia Borderlands," paper presented at the GL-CRSP Workshop on Pastoral Risk Management on the East African Rangelands, held at the International Livestock Research Institute (ILRI), Addis Ababa, 26-29 July, 1999. A two-page summary of this paper has been published in D. Layne Coppock, ed. *Proceedings of the Second Interim Workshop on the GL-CRSP Pastoral Risk Management in East Africa Project*. Logan, UT: Utah State University

Teka, Tegegne and Alameyehu Azeze and Ayele Gebremariam. "Cross-Border Livestock Trade and Food Security in the Southern and Southeastern Ethiopia Borderlands." Addis Ababa, Ethiopia: Organization for Social Science Research in Eastern and Southern Africa, September 1999 (DRAFT). 72 pp.

Southern Africa



BASIS CRSP Research Projects

- ◆◆ **Broadening Access to Water Resources**
 - A. Zimbabwe
 - B. Malawi
 - C. Mozambique

- ◆◆ **Broadening Access to Land Markets**
 - A. South Africa
 - B. Namibia
 - C. Zimbabwe

- ◆◆ **BASIS/Zimbabwe Land Reform and Resettlement Program**

- ◆◆ **KwaZulu-Natal Income Dynamics Study (KIDS)**

Acronyms used in this section

BASIS	Broadening Access and Strengthening Input Market Systems
BHR	Bureau for Humanitarian Response
CASS	Centre for Applied Social Science
CRSP	Collaborative Research Support Program
DANIDA	Danish International Development Agency
GIS	Geographic Information System
HIID	Harvard Institute for International Development
KIDS	KwaZulu-Natal Income Dynamics Study
KZN	KwaZulu-Natal
IFPRI	International Food Policy Research Institute
LRCF	Land Reform Credit Facility
LRRP II	Land Reform and Resettlement Program Phase II (Zimbabwe)
LTC	Land Tenure Center
NET	Nucleo de Estudos da Terra
OFDA	Office of U.S. Foreign Disaster Assistance
PI	Principal Investigator
RPL	Research Program Leader
USAID	United States Agency for International Development
ZINWA	Zimbabwe National Water Authority

BASIS CRSP Research in Southern Africa

Since 1997, the BASIS Southern Africa program has focused on land and water issues. In most countries in Southern Africa, access to productive resources (water, land, and their products) has been affected both by direct government action and by the dynamics of population growth, migration, and commercialization. For example, in South Africa, current government programs are redistributing land to disadvantaged groups, while, simultaneously, there are many private and informal transfers of land and other assets taking place that need to be monitored and analyzed. Fragmentary information suggests that other countries in the region have a similar mix of formal (government or non-government sponsored) and informal transfers.

In many places, competing claims over resources, some deriving from different tenure and property rights regimes, produce social conflict and policy confusion. For example, rivers are usually state or common property, but different uses and rights convert them into "open access" resources where the water is used by abutters for domestic and agricultural use and where gravel and sand may be collected by both local residents and urban-based companies. At the same time, streambed gardens are often family property and/or "customary" land. Policy research must obtain a full understanding of the multiple and competitive systems of rights, forms of transfers, patterns of use, and their implications for productivity, investment, welfare, and equity.



Broadening Access to Water Resources

Collaborating Institutions and Researchers

Nucleo de Estudos da Terra (NET)

Eduardo Mondlane University, Mozambique

Arlindo Chilundo, Professor, Department of History
Joanne Heyink Leestemaker, Professor, Department of Geography

Harvard Institute for International Development

Pauline Peters, BASIS Research Program Leader and
HIID Fellow

University of Malawi

Stanley Khaila, Director, Centre for Social Research
Davies Ng'ong'ola, Professor, Department of Rural Development, Bunda College of Agriculture
Geoffrey Chavula, Professor, Department of Engineering, Polytechnic
M. Kalindekafe, Professor, Department of Biology

Michigan State University

Bill Derman, Professor, Department of Anthropology
Anne Ferguson, Professor, Department of Anthropology, and Director, Women & International Development Program

Both Derman and Ferguson have been awarded Fulbright-Hays faculty research grants to pursue their work in Southern Africa during 1999-2000.

Centre for Applied Social Science (CASS)

University of Zimbabwe

Beverlyne Sithole, Research Fellow
C. Chikozho and S. Vombo, Researchers

Project dates: November 1996 - September 2001

Support: Core funding and add-on (USAID/BHR/OFDA)

Program Overview

Involving Zimbabwe, Mozambique, and Malawi, the water resources project is designed to inform policy on water resource management—particularly decentralized management systems—in the context of ongoing water sector reform in all three countries and in the region as a whole.

The research falls under one of the key themes of the Southern African program: Broadening Access to Water Resources through Democratized, Equitable, and Efficient Management Systems. The research examines current patterns of water management in contexts where water is an exceedingly scarce resource and where there is increasing competition over its use and control.

The main topics include:

1. The processes of instituting new water management authorities and procedures, such as the new catchment organizations in Zimbabwe, based on new water policy and legislation;
2. Management and allocation decisions over water by existing systems of water management and by any newly instituted authorities;
3. Changes in the tenure and property rights systems;
4. Linkages among water, land, labor, and finance at the level of water users; and
5. The linkages and contradictions across policies directed to water resources, and across institutional and administrative dimensions of water management (e.g. between the Ministry of Agriculture and the Department of Fisheries).

Each country participating in the Southern Africa water project is involved in national level reforms to establish new policies, procedures, and decentralized management structures for water resources. Access to water is highly constrained in the region and projected to become even more so in the coming decades.

In Zimbabwe, access rights have been skewed to a limited group of large water users while in Malawi, lack of policy and administrative coordination has exacerbated constraints and produced conflict. The reforms are aimed at improving people's access to water, especially those who have suffered disadvantage in this regard, as well as to help develop the capacity to handle future scarcity and conflict over water. The BASIS research is designed to help evaluate how well these goals are achieved and why or why not. The creation of decentralized management structures for water resources complements the Southern Africa regional program goals of supporting a "culture of democracy" in which citizens can exercise their democratic rights, which will also be a focus of research.

BASIS Research Informs Policy on Water

In an effort to encourage efficient and competitive water markets, and a more equitable distribution of water rights, the Southern Africa regional program will identify whether and how new planning institutions and procedures effectively manage water allocation and use. They will measure change in this area through:

- Increased instances of coordination across ministries and agencies
- Creation of techniques for collecting information on demands for water
- Assess appropriate level of fees (where relevant) and effective collection of fees

Additionally, the Southern Africa regional program will also work toward broadening access of the poor and socially disadvantaged to water markets by exploring access of disadvantaged groups to water through new management authorities. They will track this intermediate result through:

- Proportional and effective representation (of poor, women, socially disadvantaged) on new committees and boards
- Extension of water permits to specific disadvantaged groups

An important element in the BASIS research on water resources is to identify and consult with key groups or categories of water users and rights holders who have an interest in and/or will be affected by policy change.

By monitoring the impacts of water management reforms in Malawi, Mozambique, and Zimbabwe, the BASIS CRSP will improve our understanding of water markets in these countries and how access to water impacts economic growth and natural resource conservation.

The Southern Africa water project supports the USAID mission of developing policies and practices that lead toward long-term natural resources conservation. Also, the project complements the Southern Africa USAID regional goal of increasing regional capacity to manage transboundary natural resources.

A. Zimbabwe

1998-1999 Activities

BASIS-funded research enables continuation and broadening of research initiated in 1997 by the University of Zimbabwe's Centre for Applied Social Science (CASS) using funds from sources including USAID/Zimbabwe and Michigan State University (for Derman). The research is being conducted in two catchments (Mazoe and Mupfure sub-catchment) originally selected because the Government of Zimbabwe chose them as pilot sites for the new water administration. They also differ in the form of water management being put in place, so providing a "natural experiment." Field research includes interviews with stakeholders and water users, focus group meetings, observation of water management and of meetings of water management councils at all administrative levels. Analysis of policy documents, water legislation, and policy strategy is underway, as are interviews with national stakeholders.

The research strategy in Zimbabwe has focused on observing and participating in the new management entities for water in the water catchments. Zimbabwe's water reform is centered on a self-financing national water authority and catchment councils. The catchment councils (and subcatchments where appropriate) are now responsible for all surface and ground waters organized around representation by stakeholders—large scale commercial farmers, indigenous large scale farmers, large scale miners, small-scale miners, urban, small-scale farmers, and communal area farmers.

This sectoral approach renders some water users invisible and powerless. For example, commercial farm workers are assumed to be represented by commercial farm owners, but usually are not. Communal areas, which contain many women farmers and women-headed households, are typically represented by Rural District

Councilors—all men. Despite efforts of the Water Resources Management Strategy group to increase women's numbers and influence, this has been generally resisted. This approach also gives more weight to commercial interests that are able to elect their own representatives, while communal and urban interests are represented by the government and local representatives.

Although decentralization opens the doors to wider participation, previously existing power relations continue to exert a powerful influence. Tension exists between interests promoting greater participation and those asserting the need to price water economically. While commercial farmers are most likely to influence policy making and implementation, there is not a consensus within the group on the appropriate water management strategy. Many rely upon government water that they purchase on a yearly basis from government-owned dams, and others have privately financed their own water storage systems. Since it will be the commercial farmers (and urban consumers) who will bear most of the proposed costs of water, it is potentially more fair that they have the strong voice in water decision-making.

The reforms offer significant opportunities for change. The shift from a supply side approach, often involving subsidies for powerful water users, to more demand driven strategies emphasizing productive uses, will have unknown but important outcomes on the efficiency and equity of water use. Opportunities will strengthen for those advocating less pragmatic and utilitarian views of water—spirit mediums or environmentalists arguing for trees' rights to drink—to form alliances that will strengthen their positions in particular, and environmentalists generally.

As this annual report goes to print, the Department of Water Development in the Ministry of Water Development and Rural Resources has effectively become the new Zimbabwe National Water Authority (ZINWA). Among the most important issues it must face is how to fund itself and the new water management entities. It is too early to analyze this major shift. However, Catchment Councils are coming to grips with River Managers who are hired and fired by ZINWA but have not yet come to work in an executive capacity with the Catchment Councils. This will pose interesting challenges to decentralization, participation, and power sharing in the future.

1999-2000 Work Plan

Research will add the Manyame Catchment to those of Mazowe and Mupfure Catchment Areas where pilot schemes on water management have been underway since 1998. In July 1999, researchers revised their work plan because of rapid shifts in the water reform process including the formation of catchment councils in the whole of Zimbabwe and the consequent dropping of Mazowe and Mupfure Catchments as pilots, and the

formation of ZINWA. In addition, a comparable household survey will be conducted in Malawi and Mozambique to enhance comparison across the countries.

Researchers will concentrate on:

1. Observation and analysis of the continuing development of formal catchment and subcatchment bodies and administrative policies and organizations associated with them;
2. Documenting the relationships between these new organizations and existing formal and informal institutions and practices that organize water use; particular issues here are (a) the shift from rights to permits: who decides on criteria for permits, types of permits, and the administrative processes of assigning permits; and (b) water pricing; and
3. Documenting water use practices, patterns of cooperation and conflict among communal area farmers, small-scale commercial farmers, large-scale commercial farmers, and other relevant social groups and categories, and how these are affected by the water policy reform.

To date, the emphasis has been in understanding and following the processes involved in the formation of the two pilot catchment councils and their subunits—the subcatchment councils—which were assumed to be models for the rest of Zimbabwe. The next phase of the research is to deepen understanding of water reform by beginning a relatively long period of field research in a total of five subcatchments: one water user board in each subcatchment of Mazowe, two ward water development associations in the Mupfure area, and the catchment council in Manyame.

Researchers will continue attending meetings at different administrative levels, paying particular attention to decision-making processes, the participation of new constituencies in water management and assessing what differences participation makes. A substantial portion of research time will be devoted to examining what differences, if any, the water reform process is making to rural residents in the communal and small-scale commercial farming areas. Researchers will develop a set of indicators to see which (if any) new water users from these areas are able to obtain either water rights or permits.

In addition, researchers will monitor proposals to increase water available for development purposes by the catchment councils. Water for development purposes and the responsibilities of those who currently own large dams have become important discussion points in meetings.

Researchers will examine what, if anything, will actually be done to redistribute water rights/permits to promote greater equity in access by class, race and gender.

B. Malawi

1998-1999 Activities

The field site for the Malawi water resources management research project is the Lake Chilwa basin. Two main river systems run into the basin, the Likangala and Domasi. The basin is an important catchment in the southern region and is the site of farming, irrigation projects, livestock keeping, and extensive fishing in the shallow but rich lake.

The first phase of research incorporated:

1. Field appraisals, using participatory methodologies, to identify water user categories and water use patterns along the rivers into the basin;
2. Collection and review of key documents on policy and administrative procedures affecting water use and management in the basin; and
3. A consultative workshop hosted by the BASIS team to which were invited members of agencies and groups already working in the basin or with an interest in resources of the basin.

The workshop was intended to identify what kinds of interests already existed in the basin, what each government and non-governmental agency was involved in, and to solicit ideas and advice on the BASIS research, particularly with reference to the current government policy reform initiative on water policy.

The first phase of research has indicated very clearly the need to develop means of close communication and collaboration with several new initiatives in the basin that address water resource management, including fishing and irrigation activities, as well as water provision for domestic and other uses. This has also been emphasized by the preliminary results from the participatory appraisals where serious problems of water pollution emanating from urban sites have been identified, and where reports of water shortages and conflicts over water resources proved numerous.

1999-2000 Work Plan

The next phase of the research during fiscal year 1999-2000 will develop a schedule of field research in consultation with key groups in the basin. A major activity is to collaborate closely with the Lake Chilwa Project, locally managed but funded by DANIDA (Danish International Development Agency), to develop a management plan for the Chilwa catchment and wetlands. The Malawian researchers (Khaila, Chavula and Ng'ong'ola) and Ferguson have had preliminary meetings with representatives of this project in which interest was expressed on both sides to develop a collaboration. After

a meeting in June 1999 of the Malawian research team, there will be a follow-up meeting with the Lake Chilwa project to develop specific time lines of research collaboration. The main foci of the BASIS research will include the following:

1. Document the main parameters of the supply and demand of water in the basin. It is expected that the BASIS team can draw on existing sources of data and those about to be undertaken by the agencies mentioned above;
2. An analysis of the multiple and apparently conflicting policies and administrative procedures currently affecting water resource management in the basin;
3. An analysis of a sample of water users to identify key patterns of use, systems of rights and claims, key problems with water (shortage, quality), cases of conflict and conflict resolution; and
4. Detailed case studies of specific sites: the studies will include conflict cases and/or other key issues that emerge as significant from (3), above. Also observe and analyze the implementation and enforcement of existing and new policies and administrative actions on water: For example, how can the new district planning system be mobilized for water management? What is the role of community management? Are the patterns of inequality (by user category, wealth or influence, gender, etc.) being lessened or intensified?

C. Mozambique

1998-1999 Activities

The Mozambique research site selected for the BASIS work is the Umbeluzi basin in the southern part of the country. Mozambique has been developing new legislation and administrative structures for its water resources, including river basin authorities. The Umbeluzi basin is covered by the ARA-Sul regional river basin authority.

The Mozambican research team initiated several components of the study, including:

1. A review of the documents on the new legislation and the new river basin authorities;
2. A preliminary assessment of the level of water service delivery to water users in the basin, which was conducted by a team of 10 students from the Eduardo Mondlane University under the BASIS researchers;
3. A study of the ecological minimum-runoff of the lower Umbeluzi river;

4. Assessment of the storage potential in the lower Umbeluzi with a view to increasing demands both for human consumption and new agricultural uses, such as irrigation; and
5. Training of students by the team and by colleagues in the University of Natal in research techniques and use of computer models.

A workshop held in late April 1999 enabled researchers to share results with a group of university colleagues and government representatives who had been briefed on the research last year. This process of consultation ensures that the research is well integrated with other activities on water resource management and with the government water policy reform process. The team members meet regularly with colleagues in the university as well as the relevant members of government and para-statal bodies.

In August 1999 the BASIS research team hosted a university seminar for Pauline Peters and Danielle Hartmann, who were on a consultation visit.

1999-2000 Work Plan

Work will shift from a focus on physical measures of water flow to an analysis of current patterns of use and rights in the context of new legislation and administration. The foci include:

1. Survey the different categories of water users in the lower Umbeluzi area to identify patterns of water use, claims and rights to water as these vary across groups, by gender, and by use, sources of problems with water resources, types of conflict and conflict resolution;
2. Identify the role of the new administrative units and procedures under the new river basin authority; and
3. Review the new water laws which are supposed to be released by the government this year.

A new senior researcher will be hired to take day-by-day responsibility for the field research under the overall supervision of the PI, Dr. Chilundo. The new researcher will also collaborate with the Malawi and Zimbabwe teams on the design of the field surveys, where appropriate.

Women Can Gain More Secure Land Tenure

by Regan Petrie
Graduate Student
University of Wisconsin-Madison, and
BASIS Researcher in South Africa

Thandi Nkabinde works as a housekeeper in a private home in rural Kwa-Zulu, Natal, South Africa. While her job is fairly atypical of female household heads, the rest of her life is not. She earns less than half the average male wage in the area; the father of her six children is absent and does not remit money for child support; and she does not have secure land tenure where she is currently living. However, things are changing . . . slowly.

Thandi is a member of the Isibonelo Trust. Comprised of 38 households, the Trust purchased a farm in 1997 with grants from the South African government designed to help "formerly disadvantaged" people (such as blacks and women) gain ownership of land. As one of the farm's co-owners, Thandi will eventually have both a home and farming revenue, once the money is released by the government for Trust members to move onto the land. The Trust has been waiting to move for over two years.

Relative to other land trusts, the Isibonelo Trust is unique. It is small and has, thus far, successfully maintained the rights of its members and the transparency of trust management. These attributes seem to be a result of strong leadership from the board of trustees. For Thandi, as well as for other female household heads in the Isibonelo community, this bodes well. While other trusts might have an equal number of men and women on the management committee, Isibonelo's has equal *participation* of men and women in decision making. Indeed, Thandi has been twice voted the treasurer of the Trust.

In many ways, Thandi is fortunate to be part of this community, because women have been able to gain more secure land tenure despite an imperfect system of government grants. Although too many women are still getting lost in the land reform shuffle, the BASIS CRSP survey work done at Isibonelo and other communities provides important information to help policy makers design better grant programs to help women.



Surveys help monitor both privately-funded and government-assisted land transfers in rural South Africa. *At the Franschoek Farm, Mfaniseni Ndlela (center), a resident of the area, helped interview neighbors such as the woman on the right. Andrew Graham (left) is a BASIS CRSP researcher from the University of Natal-Pietermaritzburg. Photo by Andrew Graham*



In South Africa, a household head may apply for a government grant to purchase land for his or her family. *Hlengiwe Zwane (third from left), a resident of Muden hired to assist with BASIS research, is shown here with her household, headed by her father (far left). To identify members of a household, BASIS researchers asked, "for whom are you responsible?" Households on the Franschoek Farm range in size from 2 to 17 members, with an average of more than 7 members per household. In terms of land tenure, the household member registered as head of the household on the trust deed has legal claim to the household's share of the land. About half of the households are registered as headed by men, but since many men have migrated to the city for work, over 70% of the households are actually run by women. Photo by Andrew Graham*

Broadening Access to Land Markets

Collaborating Institutions and Researchers

University of Namibia

Ben Fuller, Professor, Social Sciences Division,
Multidisciplinary Research Centre
Otto Kamwi, Researcher, Multidisciplinary Research
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University of Natal-Pietermaritzburg, South Africa Department of Agricultural Economics

Mark Darroch, Professor
Michael Lyne, Professor
Andrew Graham, Research Assistant

The Ohio State University

Douglas Graham, Professor, Department of Agricultural
Economics

University of Wisconsin-Madison

Ragan Petrie, Doctoral Student, Department of
Agricultural Economics
Michael Roth, Land Tenure Center, BASIS Program
Director

University of Zimbabwe

Department of Agricultural Economics

Lovemore Rugube, Professor
Ruvimbo Chimedza, Professor

Project dates: November 1996 - September 2001

Support: Core funding and add-on (USAID/BHR/OFDA)

Program Overview

This project aims to monitor and evaluate the various means by which farmland in selected regions of South Africa, Namibia and Zimbabwe is being transferred to and used by previously disadvantaged people. The term "disadvantaged" refers to people who were historically precluded from land markets by racial segregation, and to people from within this group who may still be the victims of gender segregation.

Study results will inform policy recommendations on (1) needed innovations in markets for land and finance; (2) appropriate land tenure and management institutions for sustainable and productive land use; and (3) improving rural livelihoods. This is to be achieved by:

- Monitoring and comparing rates at which commercial farmland transfers to different classes of disadvantaged people (males and females, individuals or groups) in selected regions of each country over time, as a result of both private market transactions and government land reform programs. This entails conducting annual census surveys of

farmland transactions over the period 1997-2001 for the South African region (KwaZulu-Natal province), 1990-2001 for the Namibian regions, and 1996-2001 for the Zimbabwean regions. The use of annual census surveys over a lengthy period provides benchmark data for impact analysis, and helps to identify the relative extent to which different modes of land distribution broaden access of previously disadvantaged groups to land and land markets.

- Examining relationships between land tenure, managerial arrangements, farm and household characteristics (including gender), access to credit, investment in agriculture, land use and rural livelihoods on transferred land. For the South African team, this involves conducting sample surveys in 1999 and 2002 of the new entrants using redistributed farms in the KwaZulu-Natal. The 1999 survey data will provide a benchmark for comparison with the second survey of the same respondents in 2002.

The Southern Africa Land Program has made significant progress on its research activities in South Africa, but, because of various delays, progress has been more limited in Namibia and Zimbabwe. Each country has been working on activities outlined under the first phase of its research program (census of land transactions) in 1998-1999. The South Africa team has completed all activities in the first and second phases (census data collection and analysis of the sample household survey) of the land research activities. Both the Namibian and Zimbabwean teams have only recently completed census data collection under the first phase. Analysis of the census data will be done in 1999-2000, and the Namibian team will complete the second phase of research in 1999-2000.

1998-1999 Activities

A. South Africa

In December 1998, the South Africa team completed its census of 1997 land transactions in the province of KwaZulu-Natal (KZN). The household survey, based on a sample of the 1997 census, was conducted February-May 1999, the census of 1998 land transactions in KZN was completed in July 1999. Two papers using data from the 1997 and 1998 censuses of land transactions were accepted for publication in September 1999. A paper using the data collected from the household survey has been submitted for publication in November 1999.

B. Namibia

The census of all Namibian agricultural land sales for the period 1990-1998 was completed in early April 1999. The process was particularly lengthy because all data had to be copied by hand from the Deeds Office in Windhoek, then entered into spreadsheet format. The data was coded

(Continued on p. 57)

Secure Asset Ownership for the Historically Disadvantaged in South Africa

by Michael Lyne

University of Natal-Pietermaritzburg, South Africa

In South Africa the BASIS research project had two distinct themes. The first dealt with the transfer of farmland to disadvantaged owners in the province of KwaZulu-Natal during 1997. Second, disadvantaged households that acquired commercial farmland in KwaZulu-Natal during 1997 were sampled to elicit information about tenure security and agricultural performance.

At the time of political democratisation in 1994, 55% of the farmland (4.1 million hectares) in KwaZulu-Natal was controlled by a small minority (6,755) of white owners. During 1995 and 1996, 47,202 hectares of this commercial farmland were redistributed to 5,118 households that benefited from government land grants.

The total market value of private transfers was almost three times the value of government-assisted transfers.

Meanwhile, private transactions redistributed 372,995 hectares of commercial farmland to white and disadvantaged people (22,934 to the disadvantaged group). The total market value of private transfers (*R36.6 million, or \$5.76 million US) was almost three times the value of government-assisted transfers (R13.5 million). Private transactions thus redistributed much more land wealth and land of much higher agricultural quality than did government-assisted transactions.

The total area of land gained by disadvantaged men and women was similar due largely to the female bias of inheritance transactions. When bequests are omitted, the total market value of land purchased by men as the sole owner was 40% higher than that purchased by women, mainly because women were under-represented in transactions financed with mortgage loans. This elitist mode of land redistribution could become more equitable once the outmoded Subdivision Act is scrapped, allowing the disadvantaged to finance smaller, more affordable farms.

In short, private transactions contribute substantially to secure asset ownership for the historically disadvantaged. Government-assisted land reform programmes should therefore aim to strengthen both the demand for, and supply of, private mortgage finance through innovative contract designs.

Namibia . . . *Continued from p. 55.*

The researchers were contracted by the national Department of Land Affairs to propose ways in which government could facilitate privately financed land redistribution, and were instrumental in launching the Department's Land Reform Credit Facility (LRCF) in May 1999. The LRCF provides loans with deferred repayment schedules to reputable banks that finance, on similar terms, farmland or equity purchased by historically disadvantaged people.

Does land use efficiency differ between public and private modes of land redistribution? An index of tenure security was created from variables measuring the breadth and assurance of land rights perceived by respondents across each of its land parcels (cropland and grazing). Using a recursive econometric model, the study found that:

- (a) land tenure arrangements were far less secure on farms financed with public land grants (especially those settled by large groups of users) than on farms acquired privately by disadvantaged people, and
- (b) insecure tenure contributes directly to low levels of credit financing, and indirectly to low levels of investment in fixed improvements, use of seasonal crop inputs and crop sales per hectare.

A compromise modeled on the successful equity sharing companies initiated by commercial farmers in the Western Cape is recommended.

While the evidence relating to agricultural performance suggests that government should abandon its group resettlement projects, it also shows that private land transactions are elitist—benefiting relatively few, creditworthy individuals.

A compromise modeled on the successful equity-sharing companies initiated by commercial farmers in the Western Cape is recommended. That is, members of large beneficiary groups occupying redistributed farms should be encouraged to exchange their rights to use agricultural land for rights to share in the benefits flowing from farming enterprises directed by their elected representatives.

*R = South African Rand

for type of transaction as well as type of financing used for the purchase. In November 1999 a draft of the data analysis was completed and passed to local land experts for comment. The final draft is anticipated in December 1999. The Deeds Office is planning to computerize its record base, and negotiations with the Ministry of Lands Resettlement and Rehabilitation have been initiated to donate the Census data to the Deeds Office, thus assisting the Namibian government in upgrading and streamlining its data collection procedures.

Additional funds from the Ford Foundation enabled researchers to undertake an intermediate step, identifying all farms in the region used for resettlement and redistribution purposes, including farms purchased prior to Independence in 1990. Four different classes of resettled people can be generalized: (1) temporarily resettled on government farms; (2) permanently resettled on government farms; (3) subletting land from permanently resettled individuals; and (4) purchased farms outright. Individuals in these categories were identified for follow-up survey work in December 1999. Anecdotal evidence indicates a wide variation of response to patterns of investment among these individuals, variation which the questionnaires should confirm. Data from the survey will be available in early 2000 with the results and analysis ready by the end of March.

Work on the household sample survey was delayed due to various circumstances (see the Special Issues section). However, the sample survey instrument is designed, and the team anticipates completing data collection and preliminary data entry by the end of January 2000.

C. Zimbabwe

Due to various disruptions and delays (details outlined in the Special Issues section), the Zimbabwean team completed collection of the 1998 census data for the entire country of Zimbabwe in November 1999. Data analysis began in December. Currently, there is no schedule as to when the household survey would be designed and implemented, but the team is interested in continuing the census of land transactions for 1999. Although one of the PIs left the project at the end of 1999, the team anticipates more continuity in FY 2000 because of the retention of the research assistant who has been working on collecting the census data for 1998 transactions and the other PI.

1999-2000 Work Plan

The plan for 1999-2000 is to continue research activities within both phases of the original proposal. For activities in the first phase, the census data will continue to be collected in order to monitor the rate of land transfer to disadvantaged people (including women) in South Africa, Namibia, and Zimbabwe.

In *South Africa*, the project will conduct a third census of land transactions in KwaZulu-Natal, covering transactions in 1999. Goals are (1) to quantify the rate at which farmland was transferred to disadvantaged people during 1998; and (2) compare 1997 and 1998 in terms of rate of land transfer, quality of farmland, characteristics of new owners, methods used to acquire and finance land, and share of land purchased privately compared with that acquired with government assistance.

Apart from providing benchmark data for impact analysis, the use of census surveys over a five-year period will help to identify modes of land redistribution that broaden access by the poor and other socially disadvantaged groups to land and land markets. Researchers will also analyze the first sample survey of those new entrants to land markets who are categorized as disadvantaged and produce a report focusing on the relationships among land tenure, management, farm and household characteristics, access to credit, and investment and employment in agriculture. The data will also provide a benchmark for comparison with the second survey of the same respondents in 2002.

In *Namibia* and *Zimbabwe*, a second census of land transactions will be conducted, covering transactions in 1999. The Namibian and Zimbabwean teams will each analyze the first set of census data (covering transactions through 1998) and produce a report outlining the results.

Namibian census data will be transformed from its current digital format in Microsoft Excel into a format compatible for wider use and a more refined level of analysis. For example, it is proposed that in addition to a national level, the results be broken down into regional levels of analysis, and if possible segregated further into yearly levels of analysis.

BASIS Research Aids GIS Applications

In the Horn of Africa, BASIS researcher Michael Shin is using Geographic Information Systems (GIS) to archive, manipulate, analyze and visualize data and information from different sources at different levels of analysis.

In Namibia, Principal Investigator Ben Fuller reports, "the Ministry of Lands Resettlement and Rehabilitation is keen to use the [land sales] census as a basis for computerising records in the Surveyor General's Office, as well as in assisting the thirteen regional land boards which will be established later in the year. The Ministry of Environment and Tourism will assist in importing the data into GIS format in order that national and regional maps of farm holdings can be drawn. In addition, transforming the data into GIS format will allow for linkages with other national databases, particularly from the Ministry of Agriculture, Water, and Rural Development as well as the State Veterinary Services."

The Namibian team will implement and input the data from the household sample survey by the end of January 2000. The subsequent months will be used to clean the data and perform a first analysis.

In May 2000, Ragan Petrie, a graduate student from the University of Wisconsin-Madison, will visit Namibia to collaborate on a comparative study using the household survey data from South Africa and Namibia. The study will concentrate on gender differences both within and across countries.

A third workshop, wherein researchers from South Africa, Namibia, and Zimbabwe will meet to share research progress and coordinate research methodologies and reports, is scheduled for August 2000 in Windhoek, Namibia. Douglas Graham, The Ohio State University, is scheduled to visit South Africa and Namibia during August 2000 to standardize research methodologies and to attend the third workshop.

Collaboration

John Bruce, Land Tenure Center, visited Zimbabwe in July 1999 to coordinate land research with the Zimbabwe team. Pauline Peters, Harvard Institute for International Development, and Michael Roth, BASIS CRSP-ME, attended the second workshop in Harare in January 1999 and visited the Namibia team in October 1999 to consult on land research. Ragan Petrie worked with the South Africa team January-June 1999, attended the second workshop in Harare in January 1999, and collaborated with the Namibia team in June 1999 on the household sample survey design. Douglas Graham collaborated with Mike Lyne on a paper submitted for publication using the South Africa household survey data.

Special Issues

Delays of land research activities were incurred in both Namibia and Zimbabwe. In Namibia, Ben Fuller unexpectedly fell ill in June 1999 and had to make several trips out of country over the subsequent months for medical services. Otto Kamwi, the junior researcher in charge of BASIS land activities in Namibia, left his job in July 1999 for a civil service job. Kamwi has since been replaced by Kenneth Matengu, a student who had been working under him and who will probably be hired as a junior researcher at the end of this year. In Zimbabwe, the busy schedules of the two PIs, communication difficulties

with e-mail, fax and phone, and problems with fund transfers from South Africa to Zimbabwe, have delayed research activities. Communications were difficult with the two PIs. Lovemore Rugube was teaching in Namibia from February-July 1999, and poor e-mail connections and phone lines prevented communication with Ruvimbo Chimedza for much of the year. Since Rugube's return to Namibia, data collection for the census of 1998 land transactions is complete and analysis is currently underway. Because of other commitments, Chimedza will no longer be working on the BASIS land research after the 1998 land census analysis is complete.

Synthesis

A paper entitled "Land Tenure Security and Agricultural Performance in Southern Africa" was prepared for the Johannesburg World Congress on Land Use and the Sustainable Development of Natural Resources (never held). Authors Michael Roth and Dwight Haase of the Land Tenure Center, University of Wisconsin-Madison, are preparing the manuscript for print in a volume.

This paper reviews key dimensions of tenure security, conceptualizes dimensions of agricultural performance; reviews land policy in selected southern African countries, and synthesizes available literature on tenure security and performance indicators in the crop and livestock sectors.

The authors conclude that the appropriate policy to increase tenure security remains uncertain and on some points hotly debated. However, an impressive array of policy experiments is underway in the region. These experiments include legal reforms to eliminate discrimination, creating or extending individual freehold and leasehold, group title, land restitution, and upgrading customary land rights through community trusts and common property associations. Land reform and resettlement programs throughout the region will continue to push for a more equitable land and property rights distribution. Overall, governments are still tending to seek state-administered solutions over private market solutions. While accelerated commercialization of smallholder agriculture will require careful attention to both issues of land tenure institutions and market access, the appropriate sequencing and balancing of these reforms, and their costs and benefits, are significant policy issues. Unfortunately, too many studies reflect an inadequate appreciation of the nexus between tenure security, market access and agricultural growth to adequately advise policymakers on the appropriate path forward.

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NEW for 1999-2000

BASIS/Zimbabwe Land Reform and Resettlement Program

Collaborating Institutions and Researchers**University of Wisconsin-Madison****Land Tenure Center**

John Bruce, Senior Scientist

Project dates: October 1999 - September 2001

Support: Add-on only (USDAID/Zimbabwe)

This new BASIS research activity will focus on the policy needs of Phase II of the Land Reform and Resettlement Program (LLRP II). The add-on resulted from a proposal by Bruce and Roth submitted in August 1999. The CRSP activity will work in tandem with a Cooperative Agreement between the Land Tenure Center and the USAID Mission in Zimbabwe to provide technical assistance to the LLRP II process. The CRSP will emphasize longer term scholarly research to both enhance the quality of information feeding into the land policy framework and to strengthen the capacity of researchers and researcher organizations in Zimbabwe.

The Program Inception Phase of LLRP II will test alternative models of land acquisition and resettlement and monitor and evaluate their results for timeliness, cost-effectiveness, and performance. While specific models will differ in structure and detail, they are expected to share two common characteristics—decentralization and greater decision-making by beneficiaries in choice of land acquisition and resettlement services. Generalized models of land acquisition and resettlement include:

- (1) administered (government) approaches, and
- (2) complementary (market-assisted) approaches.

One aim of the research will be to establish baseline studies on key issues to enable careful monitoring of the resettlement scheme over the grant period and beyond. This is a critical task to enable study of developing uses of land and other resources; new institutional arrangements regarding the allocation, transfer and use of land, water and other resources; the relative productivity of different users; and the distributive and equity issues in access to and use of resources.

In preparation for implementing the research program, and having the agreement becoming finalized in fall 1999, a planning workshop was held July 25-27, 1999 in Mazvikadei, Zimbabwe. The workshop was organized by the Centre for Applied Social Science (CASS) at the University of Zimbabwe, in collaboration with John Bruce (LTC), the Principal Investigator for this project, and Pauline Peters (HIID), the Research Program Leader (RPL) for the BASIS Southern Africa region. A total of 25 participants represented the research, government, and non-governmental organization communities in

Zimbabwe, along with several US participants interested in and familiar with the land reform activities in Zimbabwe. The workshop's three main objectives were met through the sharing of ideas, information, and experiences in plenary discussions and small working groups. The main objective was to identify research themes that may be further explored as the project progresses. Additionally, the participants were asked to identify ways of strengthening capacity in the country for research and policy dialogue. Finally, one objective of the workshop was to define how collaboration would be implemented.

There were three main research themes raised and discussed at the workshop. All three themes address an area where there is currently a dearth of data available and would contribute to the implementation of the resettlement and redistribution program.

1. Beneficiary-driven land reform
2. Mobility and restructuring
3. Land reform and the political process

◆4◆

KwaZulu-Natal Income Dynamics Study (KIDS)

Collaborating Institutions and Researchers**Principal Investigators**

Michael Carter, University of Wisconsin-Madison
Julian May, Policy & Praxis, Durban, South Africa

International Food Policy Research Institute,
Washington, DC

Lawrence Haddad
John Maluccio
Duncan Thomas

Project dates: October 1997 - September 1999

Support: Core funding only

1998-1999 Activities

The BASIS CRSP provided partial funding for the KwaZulu-Natal Income Dynamics Study (KIDS), conducted in the 1997-1998 planning year, with analysis and outputs generated in 1998-1999. Michael Carter, PI for the project from UW-Madison, reports numerous accomplishments in the South Africa project.

Major Findings

Analysis of the panel data created under KIDS has continued through 1998-1999. Preliminary results show some bifurcation in the income distribution among families surveyed first in 1993 and then resurveyed in

1998. Analysis shows that some two-thirds of households below the South African poverty line in 1993 remained there five years later, and relatively large numbers of households that were just above the poverty margin in 1993 fell below that line in 1998.

Note that because apartheid put a lid on the economic possibilities of the non-white population (repressing potential inequality that might have been expected to emerge in the presence of a well-functioning and socially defensible incentive system), some increase in inequality post-apartheid is perhaps to have been expected.

Analysis of the behavior and constraints that have led some to fall behind and others to get ahead finds that initial endowments of human and social capital predicted growth in future material well-being. Weaker evidence suggests that households that enjoyed initial endowments of transfer income were also positioned to improve their situation over time. However, without those assets household well-being at best held steady and, especially for households with only unskilled labor power, deteriorated over time.

Preliminary Policy Implications

Researchers are just beginning to derive policy implications from their work. During the reporting year, written analyses (see 1998-1999 Outputs) establish three important things about South African poverty:

1. About half of South African families that can be observed to be poor at any point in time are likely to be *transitorily* poor, in the sense that an immediate shock—e.g., job loss—rendered them temporarily poor, or in the sense that they are well enough positioned to work themselves out of poverty over time. The other half appear to be stuck in the sort of poverty trap discussed in both economic and anthropological literatures (see discussion in the Carter and May paper) and it is for these families that the end of apartheid has been only “one kind of freedom” and for whom more specifically targeted interventions are needed. There is some evidence that government housing programs as well as improved (“de-racialized”) social welfare payments have helped some members of this group.
2. What has come to be known as “social capital” appears to play a very large role in explaining the ability of some households to get ahead economically, while others, otherwise similarly placed, fall behind (see the Maluccio *et al.* paper).
3. There is strong evidence that when women control more assets and income, household expenditure patterns tend to favor investments in the next

generation as the expenditure shares for food and education increase with women’s control (see the Quisumbing and Maluccio paper).

Each of these findings has *potentially* strong policy implications. Specifically, Point 1 implies that safety net policies are needed to lift people out of the poverty traps in which they find themselves. As Barrett and Carter (cited below) put it, we need to learn what government policies are needed to *crowd-in* private investment and accumulation.

Point 2 suggests one of two things: Either policy needs to accommodate and promote local social organizations that create social capital; or, policy needs to repair the markets (probably financial) whose imperfections open up the space that makes social capital so important.

Finally, Point 3 suggests that specifically targeting women with transfer payments and other forms of development assistance is likely to have big payoff, both in terms of current well-being and long-term accumulation and advance. Other possible implications include legal reforms that continue to improve women’s ability to hold property and access markets on their own

1999-2000 Work Plan

Researchers are just beginning to identify the policy options that appear most promising. In the next reporting year, they will undertake several projects, including the following:

- An analysis of “Gender and Poverty Reduction” as part of a United Nations Development Program project by the same title (Carter and Maluccio);
- A policy-oriented monograph that will build on the work completed to date (Lawrence Haddad has primary responsibility);
- An analysis of economic shocks and the coping strategies and consumption smoothing capacities of different types of households (Carter and Weiping Chen are doing this work).

KIDS project researchers have secured a major grant from the MacArthur Foundation to study social capital in multi-ethnic societies (“Legacies of Inequality: Social Capital, Social Exclusion and the Dynamics of Income Distribution and Poverty”). While strictly speaking this is not a BASIS activity, the researchers could not have secured the grant without the work done to date under the KIDS project. This project, which will involve the KIDS researchers plus researchers from Peru, is designed to identify what the mechanisms of social capital really are and what rules determine access to it.

1998-1999 Outputs

◆1◆

Broadening Access to Water Resources

A. Zimbabwe

Papers

Derman, B., and A. Ferguson (in press). "Against the Flow: Activism and Advocacy in the Reform of Zimbabwe's Water Sector." *Culture and Agriculture*.

Derman, B., and A. Ferguson. September 1998. "Democratizing the Environment? The Water Reform Process in Zimbabwe." Presented at African Studies Association annual meeting, November 1998, Chicago; and at American Anthropological Association annual meeting, December 1998, Philadelphia.

Derman, B., and A. Ferguson. April 1999. "Water and Environment in the Water Reform Process in Zimbabwe: Contested Practices and Understandings." Presented at the Society for Applied Anthropology annual meeting, December 1998, Philadelphia.

Reports

Derman, B., B. Sithole, C. Chikozoho, S. Vombo. January 1999. "Report on Water Research in Zimbabwe." Harare, Zimbabwe.

B. Malawi

Khaila, S., editor. February 1999. "Focus Group Discussions: Villages Along the Domasi and Likangala Rivers [Malawi]."

Khaila, S. March 1999. Report of the Consultative Work Session for BASIS Water Resource Management Study in the Chilwa Basin, held January 30, 1999.

C. Mozambique

Reports

Leestemaker, J. February 1999. "Progress Report, Umbeluzi Basin Research, Mozambique."

Other - Dissertation

Guale, Rosaque Joao. 1999 Potential Storage Capacity in the Movene Basin in the Lower Umbeluzi.

Taucale, Francisco Isaias. 1999. "Determination of the Ecological Minimum Runoff of the Lower Umbeluzi River."

◆2◆

Broadening Access to Land Markets

Lyne, Michael C., Ruvimbo Chimedza, Lovemore Rugube, Ben Fuller and Douglas Graham. "Report on the First Census Survey of Land Transactions in Zimbabwe, Namibia, and KwaZulu-Natal" November 1999, 27 pp.

Lyne, Michael C., and Douglas H. Graham. "The Impact of Land Redistribution on Tenure Security and Agricultural Performance in KwaZulu-Natal," September 1999, 32 pp., article under review for journal publication.

Graham, Andrew W. and Michael C. Lyne. "Land Redistribution in KwaZulu-Natal: Analysis and Comparison of Farmland Transactions in 1997 and 1998." Contributed paper presented at the 37th Annual AEASA Conference, Club Mykonos, Western Cape, Republic of South Africa, 28-30 September, 1999.

Graham, Andrew W. and Michael C. Lyne. "Land Redistribution in KwaZulu-Natal: An Analysis of Farmland Transactions in 1997." *Development Southern Africa* 16(3): 435-445.

Lyne, Michael C.; MAG Darroch and Douglas H. Graham. Report on the Inception and Study Design Workshop, June-July 1998: 1-20. Submitted to the BASIS Management Entity, October 1998.

Roth, Michael. "Land Reform and Resettlement in Zimbabwe, Phase II: Speeding Land Delivery to the Poor and Land Hungry." Presentation to USAID policy makers, December 10-11, 1998. 17 pp.

Roth, Michael and Dwight Haase. "Land Tenure Security and Agricultural Performance in Southern Africa." Prepared for Johannesburg World Congress on Land Use and the Sustainable Development of Natural Resources (never held). Authors, both of the Land Tenure Center, University of Wisconsin-Madison, are preparing the manuscript for print in a volume.

Broadening Access to Land Markets

Two unique databases were created:

- All commercial farmland transfers in KwaZulu-Natal for 1997-1998.
- Information at the household level and land parcel level for respondents in the 1999 sample survey of new entrants on commercial farmland redistributed in KwaZulu-Natal in 1997.

◆◆ KwaZulu-Natal Income Dynamics Study (KIDS)

Papers

Getting Ahead or Falling Behind? The Dynamics of Poverty in Post-Apartheid South Africa, by Michael Carter

The Mobility of Adults in Post-Apartheid South Africa: Levels, Determinants and Consequences, by John Maluccio, Duncan Thomas and Lawrence Haddad (IFPRI)

Data Set

The full KIDS panel or longitudinal data set (with complete documentation) will be made available on the world wide web on approximately January 1, 2000. The forthcoming Development Southern Africa paper listed below will announce the availability of this data to the South African research community. We have put large amounts of time into this effort and hope that it will prove to be a very valuable resource for the policy community.

Presentations

Cornell University, poverty workshop, Feb. 1999, "Getting Ahead or Falling Behind? The Dynamics of Poverty and Income Distribution in South Africa" (Michael Carter presenter).

Institute for Development Studies (Sussex, UK), Conference on Economic Mobility and Poverty Dynamics in Developing Countries, March, 1999, "Social Capital and Income Generation in South Africa (Julian May and John Maluccio, presenters).

University of Wisconsin, Development Economics Workshop, Symposium on Income Dynamics in South Africa, May 1999 (Michael Carter, Lawrence Haddad, Julian May, and John Maluccio, presenters).

Papers and Publications

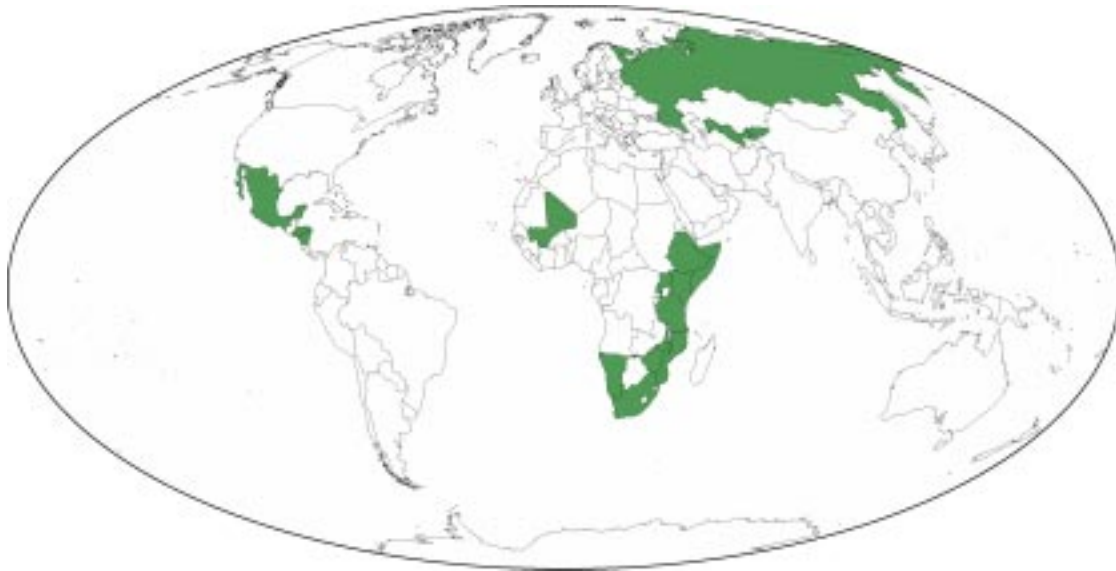
Carter, Michael and Julian May, "One Kind of Freedom: Poverty Dynamics in Post-Apartheid South Africa," article under review for journal publication.

Maluccio, J., L. Haddad and J. May. "Social Capital and Income Generation in South Africa," article under review for journal publication.

May, Julian, Michael Carter, Lawrence Haddad and John Maluccio. "KwaZulu-Natal Income Dynamics Study (KIDS) 1993-1998: A Longitudinal Data Set for South African Policy Analysis," Development Southern Africa (forthcoming).

Quisumbing, Agnes and John Maluccio, "Intrahousehold allocation and gender relations: new empirical evidence," forthcoming as IFPRI Policy Research Report on Gender and Development Working Paper Series, No. 2, October 1999.

Global Program and Synthesis



BASIS CRSP has projects in nearly 20 countries.

The Global program includes research and training activities that cut across two or more BASIS regions. It also includes research and training activities occurring outside the current regions of focus.

BASIS CRSP has supported a number of projects through its competitive grants program that have endeavored to address the CRSP's global research priorities, but that do not fit into the established regional research programs. Five such projects are described here.

- ◆1◆ **Agriculturalists' Asset and Income Diversification Patterns to Ensure Sustainable Livelihoods**
- ◆2◆ **Differential Responses of Rural Residents to Long-term Economic Change in Kita, Mali**
- ◆3◆ **Policy Briefs**
- ◆4◆ **SEGIR Privatization Roundtable**
- ◆5◆ **BASIS Travel Grants**

Acronyms used in this section

CARMA	Consortium for Applied Research on Market Access
FAO	Food and Agriculture Organization of the United Nations
ISH	Institut des Sciences Humaines, Bamako, Mali
SEGIR	Support for Economic Growth and Institutional Reform, a program in the USAID Global Bureau

◆1◆

Agriculturalists' Asset and Income Diversification Patterns to Ensure Sustainable Livelihoods

Collaborating Institutions and Researchers

Christopher B. Barrett, Cornell University, Ithaca, NY
Principal Investigator
Abdillahi Aboud, Egerton University, Njoro, Kenya
Mesfin Bezuneh, Clark Atlanta University, Atlanta, GA
Daniel C. Clay, Michigan State University,
East Lansing, MI
Thomas Reardon, Michigan State University,
East Lansing, MI

Project dates: October 1998 - September 2000

Support: Core funding only

This project seeks to improve our understanding of the diversification strategies African farmers pursue, the constraints limiting their options, and the effects of common policy interventions on the constraints and incentives conditioning diversification behaviors. Researchers are analyzing data from Cote d'Ivoire, Ethiopia, Kenya, and Rwanda.

In addition to providing valuable comparative analysis as to what factors might inhibit equitable access to factor and product markets necessary for sustainable livelihoods, the project is also developing a practical manual on data collection and analysis for the study of livelihood diversification. Given increasing emphasis on diverse rural livelihoods and the absence of standardized methods or definitions, this should be of significant practical value in the field.

Summary of Activities

It was anticipated that this project would have a one-year time horizon. However, the project began late because of personnel moves involving three of the investigators. During the year, the data sets to be used in the quantitative analysis have been reviewed, the necessary data extracted from these sets and cleaned, and the first project paper, entitled "Asset, Activity and Income Diversification Among African Agriculturalists: Some Practical Issues," drafted. Field visits were made to Kenya and Ethiopia.

1998-1999

Dates of Implementation and Completion

- Field visits: Barrett, Kenya and Ethiopia, July 1999; Bezuneh, Kenya, June-July 1999
- Data preparation and preliminary analysis: Data preparation and preliminary analysis are completed on the Côte d'Ivoire, Ethiopia, Kenya and Rwanda data sets.
- Statistical analysis: Analysis has begun on Côte d'Ivoire and Rwanda data sets.
- Write-up: First project paper drafted in full. The second and third papers have been conceptualized and draft outlines have been prepared.

Issuance of methodological guide on asset and income diversification should be ready for final release in BASIS Publications series early in Fiscal Year 2000.

Review of Problems and Issues

The main problem confronted by this project team was unanticipated personnel disruptions. Barrett moved from Utah State to Cornell; Reardon went to FAO-Chile on sabbatical; Clay took on substantial new responsibilities in Rwanda; and Aboud took on responsibilities as Dean at Egerton. These disruptions set the team significantly behind schedule during the first six to nine months of the year.

More minor problems surrounding data cleaning complications have been resolved through extended dialogue with data collection personnel, acquisition of supplementary data necessary to fill in holes, and, in the case of the Ethiopia data set, elimination of some variables found to be unreliable. The net result is simply less exploitation of the Ethiopian data than we originally envisioned.

1999-2000 Work Plan

The work plan remains essentially unchanged, although data coverage problems will cause the researchers to make less use of the Ethiopian data than originally envisioned. The only substantive change is the timetable for project deliverables. The first paper, by Barrett and Reardon, is now due in the fall of 1999. The second paper is now due December 31, 1999, with Barrett providing the portion on Côte d'Ivoire and Ethiopia, Clay and Reardon providing the portion on Rwanda, and Bezuneh providing the portion on Kenya. The third paper is now due March 31, 2000, from Barrett and Bezuneh.

Differential Responses of Rural Residents to Long-term Economic Change in Kita, Mali

Collaborating Institutions and Researchers

American University, Washington, DC

Dolores Koenig

Institut des Sciences Humaines (ISH),

Bamako, Mali

Tiéman Diarra

Mama Kamaté

Ladji Siaka Doumbia and Ahmadou Tembely, junior researchers under this grant.

Project dates: March 1999 - August 2000

Support: Core funding only

This project focuses on the contribution of both non-agricultural and “secondary” agricultural activities to the economic well-being of a rural agricultural zone in Western Mali. In particular, the researchers are interested in learning more about the contributions of secondary activities to economic strategies of both the better and less well-off, and the ways in which people get access to the skills needed to benefit from these “secondary” activities. The major activity in 1998-99 has been an intensive field study of 60 households in two different zones around the area of Kita, Mali, following the 1999-2000 agricultural season (beginning in May 1999).

The research is funded by several grants. A Fulbright-Hays faculty research grant primarily funds Koenig’s salary. A grant from the Cultural Anthropology Program of the National Science Foundation funds local interviewers, data entry and subsidiary personnel, as well as local transport costs. The BASIS CRSP competitive grants program is funding involvement of Malian counterparts and dissemination of results through the year 2000.

Summary of Activities

Individuals in the sample of 60 rural households are being interviewed every 10 days in two zones in the Kita zone in Western Mali. Throughout the 1999-2000 agricultural season, data are being collected on agricultural activities, non-agricultural activities, and revenues and expenditures. Four interviewers are in charge of 15 households each. Within each household, a sample of up to five individuals of different social categories (household head, other married male, unmarried male, younger married woman, older married woman) have been selected, forming the sample of 229 individuals.

Interviewers were recruited in March 1999, trained in early April, and put into the field in late April, where they begin work with a census of households. In early May, the interviewers began the repeat-visit study, which is due to continue through late February 2000.

BASIS funding allowed the project to recruit two junior researchers to look at two targeted topics: (1) the role of livestock ownership among farmers (Tembely), and (2) the economic and social roles of older women (Doumbia). After a national search, these two individuals were recruited in April, and went to the field for the first time in May 1999. Each prepares targeted research on a particular aspect of their theme, spends two weeks in the field gathering information, then returns to the capital for write up. Each has completed four segments of field research, two reports and a research plan.

All field activities are ongoing and will not be completed until February 2000. Koenig returns to the US from Mali in December 1999 and the final two months of fieldwork will be supervised by Mama Kamaté of ISH.

The first set of preliminary results was published in August 1999 by the Institut des Sciences Humaines and American University, in French, *L’Economie Rurale à Kita: Rapport Préliminaire*. Copies of this report are presently being distributed in both Bamako and Kita, to government and donor agencies, NGOs and other interested parties. This initial report, based primarily on census and preliminary questionnaire data supports the main hypothesis of the study that “subsidiary” agricultural and non-agricultural activities play an important role in the rural economy of the zone. The area is served by an agricultural extension agency that stresses cotton and grain production and these two crops are indeed the mainstays of the rural economy. However, the list of subsidiary crops is long and includes: peanuts, sweet potatoes, watermelon, tomatoes, onions, beans of various types, tobacco, rice, okra and other vegetables and fruits. Most of these crops are commercialized, albeit in relatively small quantities.

People also engage in a variety of activities using bush resources (hunting, fishing, gathering of fruits and medicinal herbs). They also raise livestock such as cattle, sheep, goats and poultry; and they undertake a wide variety of commercial and artisan activities. In addition to owners of various small stores, the sample includes blacksmiths, masons, carpenters, repair persons (radios, motorcycles, bicycles), tailors, weavers, basket makers, transporters, traditional and modern healers, bakers, and shoemakers.

The first hypothesis, that there are a wide variety of human resources available in rural areas, has been supported. The goal of the data analysis of the full season’s data set will be to assess what the contribution

of these activities is to income streams, and the extent to which households and/or individuals consciously try to maximize either income quantity or stability through mixing various activities. The goal is to offer suggestions for alternative paths to rural development that build on these human resources in a variety of ways rather than through rural development programs that accent only a limited number of crops.

Review of Problems and Issues

Some problems were encountered at the level of collaboration with ISH. The initial principal researcher, Diarra, found in June that he had to scale back his involvement with the project because of other commitments. Some of his time has been taken over by a junior colleague, Mama Kamaté. Simultaneously, it became clear that the initial tasks that were to be undertaken by the ISH senior researcher would have to change somewhat. Diarra was to have had significant responsibility for data entry, which was to be done in Bamako (while Koenig was supervising field activities in Kita).

However, Bamako faced continued power cuts from April through July, which made it difficult to have data entry done there; meanwhile, Kita had available personnel, the project computer and stable power; much of the data entry was transferred to Kita and Koenig's responsibility. At the same time however, it also became clear that the junior researchers were going to require much more supervision than originally foreseen. This task has been taken over by Kamaté (originally by Diarra) and is done, in Bamako, between their field trips. The research is now progressing well.

1999-2000 Work Plan

Early in 2000, researchers will prepare a detailed analysis of the first report, and examine the preliminary data to determine economic success of different individual and household economic strategies. These strategies will be examined to identify the generation of assets to invest in new activities as opposed to providing uniquely for consumption. They will also host a seminar to present and discuss the findings.

During the summer of 2000, researchers will complete a refined analysis of data collected, including policy suggestions for improving the welfare of those closed out from benefits of recent changes. A second 2-3 day workshop is proposed to discuss the research findings and the policy relevance.

◆3◆

Policy Briefs

Coordinated by BASIS CRSP ME

Michael Roth, Director

Kurt Brown, Publications and Outreach

Project dates: Started September, 1998

Support: Core funding only

Three Policy Briefs were submitted and will be published in 1999-2000.

1. *Alternative Strategies for Managing Tropical Floodplain Rivers*, by Michael Horowitz, Institute for Development Anthropology

This Brief examines long-term research in the Senegal Valley that has generated a new approach to dam-regulated floodplain rivers in the tropics. This new approach seeks to find a non-zero sum solution to the controversy over hydropower in developing countries. The debate has pitted environmentalists, social scientists, and human rights activists against civil engineers, host governments, and the major international funding institutions. It is hoped that this solution will lead to a socially equitable, gender sensitive, economically viable, and environmentally sustainable means of achieving power production, flood control, expanded irrigation, and navigation without further impoverishing the often hundreds of thousands of downstream farmers, fishers, and herders whose livelihoods depended on a river's natural flow and silt transport regime.

2. *Can't Get Ahead For Falling Behind: New Directions for Development Policy to Escape Poverty and Relief Traps* by Christopher B. Barrett, Cornell University, and Michael R. Carter, University of Wisconsin-Madison

Development policy is caught in a vicious circle of vulnerability, crisis and reactive aid. So, too, are the lives of the very people aid policies are designed to benefit. In an effort to stimulate new directions in development assistance policy, the Brief explores the trap of reactive aid which recent research suggests is costly, of limited effectiveness, and commonly crowds out efforts to address underlying structures that create and perpetuate vulnerability. Then the Brief considers the related micro-level poverty traps that emerging analysis attributes largely to the ills of dysfunctional factor markets compounded by social exclusion. Both traps can only be escaped through a simultaneous effort to re-target

development assistance to firm up factor markets and crowd-in investment. Foreign aid must be properly targeted toward remedying market deficiencies that set vulnerability traps for both the poorest and for development assistance.

3. *Tenure and Management of Tree Resources in Eastern and Southern Africa*, by Brent Swallow and Frank Place, International Centre for Research in Agroforestry

Population and land use bring different pressures to bear on tree management and tenure issues. Trees are essential throughout sub-Saharan Africa. Products include fuel wood, fruits, poles, timber, and medicines. Wood provides over 80 percent of cooking energy in nearly all countries of eastern and southern Africa. Trees also provide vital environmental services such as nitrogen fixing, watershed protection, soil erosion control, and carbon sequestration. Trees can be key components of rich, biodiverse ecosystems. Stakeholders in agroforestry and forest systems include private farmers, communities, nations, and the global community.

This BASIS Brief focuses on two distinct population pressures and land use domains common in eastern and southern Africa: (1) highly-populated areas where cultivation is the dominant land use and few off-farm sources of trees exist, and (2) relatively low-populated areas with a significant amount of forest and woodland where there is increasing encroachment from migrating populations. The Brief highlights important tree resource management issues and identifies policy implications.



SEGIR Privatization Roundtable

Project date: December 1998

Support: Core funding only

BASIS researchers participated in the December 10, 1998 *SEGIR Privatization Roundtable: Issues in Land Privatization*. The workshop was organized by Chemonics Consortium for Privatization on behalf of the USAID Global Bureau's Support for Economic Growth and Institutional Reform (SEGIR) program.

Papers were presented on key aspects of land privatization in the rural and urban sectors, followed by case studies of land privatization in selected countries of strategic interest to USAID.

Panel I: Issues in Land Privatization

- *Agricultural Land Privatization* – Michael Roth, BASIS
- *Urban/Enterprise Land Privatization* – William Valletta, Chemonics International, Inc.

Panel II: Three Case Studies in Land Privatization

- *Agricultural Land Privatization in Russia* – Jim Butterfield, Western Michigan University
- *Enterprise Land Privatization in Ukraine* – Georges Korsun, Chemonics International, Inc.
- *Comparative Overview of Privatization, Land Redistribution and Farm Restructuring in Africa and the Newly Independent* – Michael Roth, BASIS

In his Panel II presentation, Roth contrasted pre-reform agrarian systems, policy issues confronting economic restructuring, and macroeconomic trends in the two regions, Africa and the Newly Independent States. The comparison synthesizes both important differences and similarities in land policy objectives and interventions being used to restructure land and capital markets in the two regions, concluding with leading policy issues for the future. Overall, the policy interventions being used in southern Africa show a higher degree of sophistication and innovation in the design and application of policy instruments, due to its more advanced stage of market development. However, the similarities in policy issues confronting land privatization in the two regions should be creating more synergies and potential for collaboration than are presently taking place.



BASIS Travel Grants

Project date: Started September 1998

Support: Core funding only

During 1998-1999, BASIS awarded \$7,000 to establish a grant mechanism whereby interested CARMA researchers can apply for funding to cover their expenses to register, travel, and attend international workshops, seminars, and conferences. To qualify, researchers must be affiliated with CARMA institutions, conduct research related to BASIS goals and mission, and plan to make presentations at a national or internal seminar, conference, or workshop.

The travel grants foster the participation of CARMA partners in the BASIS CRSP, and they increase the presence of BASIS researchers at public forums in the United States and abroad, thus disseminating the benefits of the BASIS CRSP. Taking part in conferences is an ideal way to network with other development professionals and to develop strategies for possible collaboration. In 1998-1999 BASIS awarded two grants:

- Michael Horowitz, Institute for Development Anthropology, Binghamton, NY to support attendance at the "International Symposium Towards Cooperation, Utilization and Coordinated Management of International Rivers" (ISCUCMIR '99), at Yunnan University, China, June 25-30, 1999.
- Jennifer Duncan, Rural Development Institute, Seattle, WA, to support attendance at the "International Conference on Women Farmers: Enhancing Rights and Productivity" in Bonn, Germany, August 26-27, 1999. A paper entitled *Women and Land in Eastern Europe and Central Asia*, by Duncan and Renee Giovarelli, was accepted for presentation.

Summary reports from these conferences will be made available on the BASIS web site.

1998-1999 Outputs



Agriculturalists' Asset and Income Diversification Patterns to Ensure Sustainable Livelihoods

See Policy Briefs, below. Barrett, Christopher and Michael Carter. *Can't Get Ahead for Falling Behind: New Directions for Development Policy to Escape Poverty and Relief Traps*.



Differential Responses of Rural Residents to Long-term Economic Change in Kita, Mali

L'Economie Rurale à Kita: Rapport Préliminaire. Bamako, Mali: Institut des Sciences Humaines et American University. August 1999. 31 pp.



Policy Briefs

Horowitz, Michael. *Alternative Strategies for Managing Tropical Floodplain Rivers*, BASIS Brief, in progress.

Barrett, Christopher and Michael Carter. *Can't Get Ahead For Falling Behind: New Directions for Development Policy to Escape Poverty and Relief Traps*. BASIS Brief, in progress.

Swallow, Brent and Frank Place. *Tenure and Management of Tree Resources in Eastern and Southern Africa*, BASIS Brief, in progress.



SEGIR Privatization Roundtable

Roth, Michael. *Comparative Overview of Privatization, Land Redistribution and Farm Restructuring in Africa and the Newly Independent States*. December 1998. 7 pp.



BASIS Travel Grants

Duncan, Jennifer and Renee Giovarelli. *Women and Land in Eastern Europe and Central Asia*. August 1999. 18 pp.

Management Entity

Organizational and Administrative Management

The Management Entity (ME) is responsible for administering the cooperative agreement with USAID and for managing the total research program. According to CRSP Guidelines, the ME receives and administers USAID funds for the CRSP and enters into sub-agreements with participating US and developing country institutions for their respective projects. The ME is responsible for coordinating and leading the development of annual budgets and work plans, and it is accountable to USAID for all expenditures.

The ME is responsible for implementing the program, and it establishes a system to facilitate and manage travel. It reports on the program and represents the CRSP in dealings with USAID and internationally. Through subagreements, the ME holds participating institutions responsible for programs and accountable for use of funds. A system for effective management of the program and control and accounting of funds, including matching resources contributed by participating institutions, must be developed between the ME and participating institutions.

Agreements

Memoranda of Understanding were finalized with:

- Tegegne Gebre Egziabher, Director, Institute of Development Research (IDR), Addis Ababa University (Horn of Africa)
- C.M. Breen, Director, and Jenny Mander, Programme Manager, Natural Resource Management, Institute of Natural Resources (Southern Africa)
- Arlindo Chilundo, Director, Núcleo de Estudos da Terra (Southern Africa)
- Phanel Mugabe, Director, Centre for Applied Social Science (Southern Africa)

During 1998-1999, subagreements/modifications were made with 16 partnering institutions:

- Centre for Applied Social Science (Southern Africa)
- Clark Atlanta University (Competitive Grants Program)
- Cornell University (Competitive Grants Program)
- Egerton University, Tegemeo Institute (Competitive Grants Program)
- Fundación Salvadoreña para el Desarrollo Económico y Social (Central America)
- Harvard Institute for International Development (Southern Africa)
- Institut des Science Humaines (Competitive Grants Program)
- Institute for Development Anthropology (Horn of Africa)
- Institute of Development Research, Addis Ababa University (Horn of Africa)
- Institute of Natural Resources, University of Natal (Southern Africa)
- International Center for Research on Women (Central Asia and Horn of Africa)
- Michigan State University (Southern Africa and Competitive Grants)
- Núcleo de Estudos da Terra (Southern Africa)
- The Ohio State University (Central America)
- Tashkent Institute of Irrigation and Agriculture Mechanization Engineers (Central Asia)
- University of Wisconsin-Madison
Land Tenure Center
Department of Agricultural and Applied Economics

Financial Contributions

The BASIS CRSP was modestly successful in attracting add-ons in 1998-1999 for the 1999-2000 year. BASIS is designed to receive approximately 50 percent of its funding from Global bureau and 50 percent of its funding through add-ons. For the 1999-2000 fiscal year, 41 percent of the BASIS CRSP total budget will be supported from contributions from USAID regional bureaus, missions, and other donors. New add-ons were received by:

- El Salvador Mission, \$150,000 for Household and Financial Markets Survey
- Latin America and Caribbean (LAC) Bureau, \$74,000 to support research in Nicaragua and Honduras
- Eastern Europe and Eurasia Bureau (E&E, formerly ENI), \$60,000 to support development of land indicators database on Eastern Europe
- Ethiopia Mission, \$100,000 to develop case studies on South Wollo research
- Zimbabwe Mission, \$100,000 for research support on the Land Reform and Resettlement II.

The Land Tenure Center's Cooperative Agreement with USAID states that USAID funds are matched by 25 percent excluding ME operating costs, participant training, and funds that are committed under the terms of formal CRSP host country sub-agreements. The matching requirement for U.S. universities participating in a CRSP is based on the concept that pursuit of CRSP goals will mutually benefit USAID's interest in providing development assistance for developing countries and the interest of U.S. universities in improving U.S. agriculture. Matching shows institutional commitment to the program.

A total of \$3,826,900 was allocated for BASIS activities through September 30, 1999. Of that amount, \$1,717,964 was subcontracted to host country institutions or budgeted to the Management Entity. The remaining \$2,108,936 must be matched at 25 percent, equivalent to \$527,234. As of September 30, 1999, BASIS researchers had contributed \$572,000 (a 27 percent match) toward cost-sharing from non-federal sources.

Technical Committee

The BASIS Technical Committee (TC) convened May 13-15, 1999 hosted by the Institutional Reform and the Informal Sector (IRIS), University of Maryland-College Park. Pauline Peters chaired the meeting. On May 17, following the TC meeting, the host country members of the TC met with staff members from USAID's Global and Regional Bureaus to discuss the

accomplishments of BASIS research programs and the impacts that BASIS is making.

Competitive Grants

The BASIS Competitive Grants Program Third Call for Proposals, issued on February 17, 1999, attracted eight proposals. They reflected the diverse nature of the BASIS CRSP and the global reach of the program. Grants under the BASIS CRSP are intended for collaborative ventures between U.S. and host country researchers. Upon the recommendation of the Technical Committee the following three proposals were given funding for the 1999-2000 planning year:

- "Farm Size, Farm Type, and Competitiveness in the Kyrgyz Republic," by Malcolm Childress
- "Rural Household's Land and Labor Market Participation Strategies in El Salvador in the 1990s," by Jonathan Conning
- "Irrigation, Participation, and Factor Markets in Tanzania," by Jeanne Koopman, Samuel M. Wangwe, Rhoda Kweka, and Mary Mboya.

External Evaluation Panel

The resignation of Sara Berry and Louise Fortmann from the External Evaluation Panel (EEP) resulted in an extended search for additional members. In June 1999, the ME submitted a Nomination Package to USAID to finalize the EEP membership. These nominations were particularly crucial as the EEP is expected to conduct regional site visits in the fourth year of CRSP research. It was recommended that the number of EEP members be expanded to manage the additional work. The Nominations Package was reviewed by USAID with the following EEP members receiving appointments:

- Chair: B. Jean Ruley Kearns, Executive Director, the Consortium for International Development
- Member: David Abler, Department of Agricultural Economics, Penn State University
- Member: Angelique Haugerud, Department of Anthropology, Rutgers University
- Reserve Member: Elizabeth Dunn, Department of Agricultural Economics, University of Missouri-Columbia
- Reserve Member: Allen Featherstone, Department of Agricultural Economics, Kansas State University

The BASIS EEP will meet in 1999-2000 to evaluate the CRSP for Year Three and set their schedules for the site visits in the Year Four.

Board of Directors

The Board of Directors (BOD) met October 8, 1999 to discuss program activities as well as policies and procedures for planning BASIS Program renewal. Findings of the BOD are reported in the *BASIS BOD Minutes* and can be accessed through the BASIS Web page. Three new members joined the BASIS BOD in 1998-99:

- Doug Maxwell, College of Agriculture and Life Sciences, University of Wisconsin–Madison.
- Rekha Mehra, International Center for Research on Women
- Ruth Meinzen-Dick, International Food Policy Research Institute

Publications and Outreach

Three publications were finalized in the BASIS Progress component of the Publications Series

- Bloch, Peter and Jeremy Foltz. April 1999. *Recent Tenure Reforms in the Sahel: Assessment and Suggestions for Redirection*. 27 pp.
- Shreiner, Mark, Claudio Gonzalez-Vega, Margarita Beneke de Sanfeliu, and Mauricio Shi, March 1999. *Notes on Methods Used in a Survey of Rural Clients of Financiera Calpia in El Salvador*. 29 pp.
- Koopman, Jeanne, December 1998. *Gender Issues in Farm Restructuring in Uzbekistan and Kyrgyzstan: Implications for the BASIS Research Program*. 56 pp.

Other publications during 1998-1999 include:

- The BASIS Second Annual Report (95 pp.) and the BASIS 1996-1998 EEP Report (30 pp.) published in the BASIS Reports component.
- The BASIS *Update*, published quarterly.
- Three Policy Briefs were submitted and will be published in 1999-2000.

In addition, a multi-media archive was established, with over 100 images currently available, and a 3-panel, portable BASIS CRSP display was designed.

1999-2000 Work Plan

The BASIS CRSP Management Entity will spend a large portion of its time in 1999-2000 coordinating and preparing to submit a program renewal proposal to USAID in November 2001.

The renewal process will include:

- EEP regional site visits: November 1999 - March 2000
- Vision Statement E-mail Conference: December 1999
- Stock taking exercise at USAID: January 2000
- Vision Statement drafted and shared with USAID, Regional Bureaus and Missions: January 2000
- Renewal Committee meeting: February 2000
- RFP Issued for new research in BASIS CRSP Phase II: March 2000
- Administrative Management Review: May 2000
- Pre-proposal deadline: July 2000
- Evaluate pre-proposals: August 2000
- Compile Program Renewal Proposal: September 2000

In addition, the ME will coordinate an annual Technical Committee meeting (May 2000) and a Board of Directors meeting (September 2000). The ME will continue to monitor all subagreements and program budgets, and establish Memoranda of Understanding where appropriate. The BASIS ME will participate in the CRSP Council and other CRSP activities, and coordinate efforts with the other CRSPs in highlighting CRSP activities and increasing funding support. As always, BASIS will continue to communicate with a variety of institutions to expand its network, to attract add-on contributions, and to highlight accomplishments of the BASIS activities.

The BASIS ME Publications and Outreach team will increase its capacity for marketing and packaging BASIS research and training through a variety of focused activities. The web site will be used as a resource for all activities and outputs. See Appendix B for a summary of web site "hits."

BASIS CRSP
 Financial Statement - Matching Contributions
 October 1999-September 2000

	FY97	FY98	FY99	FY00	TOTAL	Matching Required cumulative through 9/99	Matching confirmed cumulative through 9/99
Management							
ME	\$160,153	\$277,360	\$298,346	\$376,800	\$1,112,659	\$0	\$0
Communications	\$18,000		\$4,138	\$20,000	\$42,138	\$5,535	\$0
Executive Committee			\$41,108	\$11,200	\$52,308	\$13,077	\$0
Program Development/Travel Grants			\$7,000	\$29,500	\$36,500	\$1,750	\$1,745
Research Synthesis				\$25,000	\$25,000	\$6,250	\$0
Research							
Competitive Grants		\$145,000	\$11,005	\$156,500	\$312,505	\$39,001	\$82,401
Central America	\$179,965	\$145,000	\$297,557	\$359,200	\$981,722	\$96,794	\$161,090
Eastern Europe and Eurasia	\$49,265	\$103,931	\$131,995	\$111,405	\$396,596	\$46,135	\$3,668
Greater Horn of Africa	\$205,029	\$294,321	\$615,068	\$347,292	\$1,461,710	\$180,248	\$123,258
Southern Africa	\$177,689	\$143,576	\$188,019	\$342,009	\$851,293	\$55,100	\$3,668
SE Asia	\$131,708	\$24,058	-\$79,236		\$76,530	\$19,133	\$0
Global Program	\$67,737	\$8,104			\$75,841	\$18,960	\$0
BASIS Research Support	\$81,448				\$81,448	\$20,362	\$194,816
Peri-Urban Synthesis	\$29,555				\$29,555	\$7,389	\$1,354
Sahel Activities		\$20,000			\$20,000	\$5,000	\$0
EDI Training			\$50,000		\$50,000	\$12,500	\$0
TOTAL BUDGETED	\$1,100,550	\$1,161,350	\$1,565,000	\$1,778,906	\$5,605,806	\$527,234	\$572,000
Total Matching Contributions							27%

NOTE: All US based research expenses must be matched at 25%.

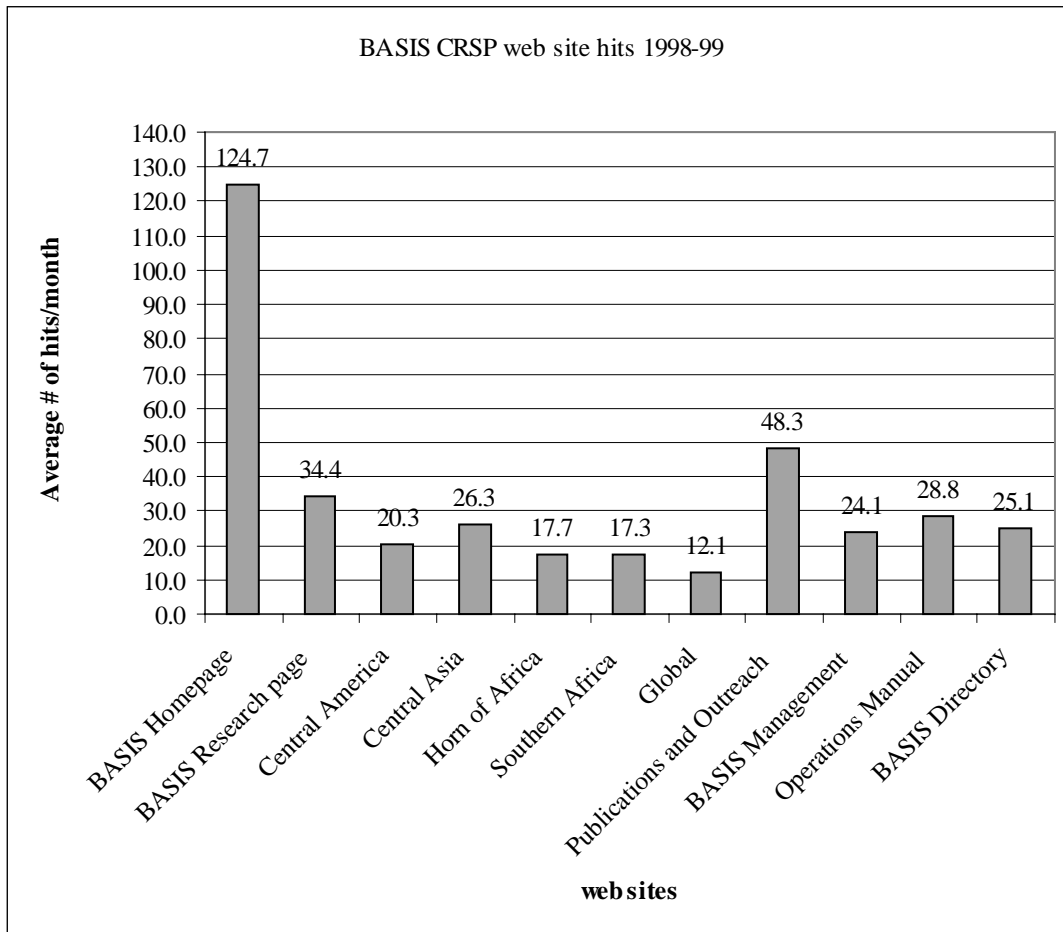
BASIS CRSP
Financial Statement - Add-on Contributions
October 1999-September 2000

	FY2000			CUMULATIVE		
	CORE	add-on	TOTAL	CORE	add-on	TOTAL
Management						
ME	\$210,000.00	\$166,800.00	\$376,800.00	\$824,516.00	\$288,143.00	\$1,112,659.00
Communications	\$20,000.00		\$20,000.00	\$42,138.00		\$42,138.00
Executive Committee	\$11,200.00		\$11,200.00	\$52,308.00		\$52,308.00
Travel Grants/Program Development	\$29,500.00		\$29,500.00	\$36,500.00		\$36,500.00
Research Synthesis	\$25,000.00		\$25,000.00	\$25,000.00		\$25,000.00
Research						
Competitive Grants	\$156,500.00		\$166,500.00	\$312,505.00		\$312,505.00
Central America	\$180,000.00	\$179,200.00	\$359,200.00	\$692,522.00	\$289,200.00	\$981,722.00
Eastern Europe and Eurasia	\$63,405.00	\$48,000.00	\$160,934.00	\$348,596.00	\$48,000.00	\$396,596.00
Greater Horn of Africa	\$172,386.00	\$174,906.00	\$347,292.00	\$738,177.00	\$723,534.00	\$1,461,711.00
Southern Africa	\$182,009.00	\$160,000.00	\$342,009.00	\$591,293.00	\$260,000.00	\$851,293.00
SE Asia				\$76,530.00		\$76,530.00
Global Program				\$75,841.00		\$75,841.00
BASIS Research Support				\$81,448.00		\$81,448.00
Peri-Urban Synthesis				\$29,555.00		\$29,555.00
Sahel Activities					\$20,000.00	\$20,000.00
EDI Training Activity				\$50,000.00		\$50,000.00
TOTAL BUDGETED	\$1,050,000.00	\$728,906.00	\$1,778,906.00	\$3,976,929.00	\$1,608,877.00	\$5,605,806.00
Percentage Add-ons of Total Budget		41%			29%	

1999-2000 Add-ons received by:

Central America	El Salvador Mission	\$150,000	
Central America	LAC Bureau	\$74,000	
Eastern Europe and Eurasia	E&E Bureau	\$60,000	
Greater Horn of Africa	Africa Bureau/REDSO	\$144,906	(\$500,000 in 98-99, split over two years: ME split funding evenly at 50,000/year)
Greater Horn of Africa	Ethiopia Mission	\$100,000	
Southern Africa	BHR/OFDA	\$100,000	(\$200,000 in 98-99, split over two years)
Southern Africa	Zimbabwe Mission	\$100,000	(\$300,000 in 99-00, split over three years)
		\$728,906	

NOTE: To cover expenses of central management and administration, 20% of each add-on is contributed to the BASIS ME.



BASIS Approach to Rural Development (Results Framework)

See following Tables, pages 80-82

BASIS Approach to Rural Development

Improve understanding of factor markets and their link to economic growth and agricultural development

Strengthen partnership through collaborative research, training and capacity building

Enable policy dialogue and program interventions through effective communication and research dissemination

Foci and Outputs

Training:

Organizational partnerships established
Students trained
International visitors to the US
Regional and interregional workshops

Collaboration:

Regional and interregional workshops
Researcher collaboration
Matching government funding
Other donors contribute funding
Joint initiatives with multilateral agencies

Research and Policy Outreach:

Publications/briefs produced and disseminated
Data bases constructed
Presentations at international conferences
Research syntheses
Programs designed/policies recommended

Primary Special Objectives

B1. Encourage efficient and competitive land, water, labor and financial markets

B2. Enable formation of land, water, labor and financial markets in contexts of asset redistribution and economic restructuring


B3. Broaden access of the poor and socially disadvantaged to factor markets and sustainable livelihoods

Secondary Special Objectives

B4. Improve food availability and human nutrition

B5. Achieve sustainable economic growth and agricultural development

B6. Broaden access of the poor and socially disadvantaged to economic growth and food security



USAID/G/EGAD Objective 1.1: SSO3: Support Appropriate and Functioning Economic Policies, Market Reforms and Institutions

USAID/G/EGAD Objective 1.2: SSO2: Improved Food Availability, Economic Growth and Conservation of Natural Resources

USAID Goal 1: Encourage Broad-based Economic Growth and Agricultural Development

BASIS Results Framework

PRIMARY Special Objectives

B1. Encourage efficient and competitive land, water, labor and financial markets

B2. Enable formation of land, water, labor and financial markets in contexts of asset redistribution and economic restructuring

B3. Broaden access of the poor and socially disadvantaged to factor markets and sustainable livelihoods

Factor Market Linkages

- L1.1 Legal, institutional and regulatory reforms enacted
- L1.2 Transaction costs lowered
- L1.3 Practices for securing contracts for land, water, labor and financial markets developed
- L1.4 Opportunities for factor market access equalized
- L1.5 Incomes, wages, or benefits increased or made more secure

- L2.1 Planning frameworks enacted and reforms passed
- L2.2 Land and fixed capital redistributed
- L2.3 Agents identified and reorganization coordinated
- L2.4 Market institutions and organizations developed
- L2.5 Factor demands with resource endowments synchronized
- L2.6 Solutions for debt arrears and pension default found

- L3.1 Legal and regulatory impediments removed
- L3.2 Population for targeted programs identified
- L3.3 Market participation increased
- L3.4 Access to land and financial services increased
- L3.5 Mechanisms to secure employment and income provided
- L3.6 Intra-household management of assets and risk improved
- L3.7 Social and political conflict reduced

Intermediate Results

- B1.1 *Central America (Gonzalez-Vega): Successful paths to income growth, risk management, and human capital accumulation determined*
- B1.2 *CAM (G-V): Legal, administrative, and ideological constraints on efficient land market transactions identified.*
- B1.3 *Southern Africa (Peters): Identify whether and how new planning institutions establish procedures and effectively manage water allocation and use.*
- B1.4 *CAS (Childress): Analyze factors that would increase farming efficiency during rapid changes in agricultural systems*

- B2.1 *Russia (Roth): Compare strengths, weaknesses, and appropriateness of alternative approaches to land reform and farm restructuring*
- B2.2 *SA (Lyne): Successful farm restructuring determined*
- B2.3 *CAM (Carter): Assessment made of impact of land reforms on land access, household income, nutrition, allocative efficiency, and resource productivity.*
- B2.4 *Horn (Koopman): Assessment made of impact of participation in irrigation project design and management on the field-level irrigation efficiency.*
- B2.5 *CAM (Conning): Assessment of asset ownership and property security status as determinants of household participation in land, labor, credit, insurance and product markets and identification of related transaction costs*

- B3.1 *Central America (Gonzalez-Vega): Innovations in financial technologies and organizations designs that increase the supply of financial services identified.*
- B3.2 *Southern Africa (Peters): Explore access of disadvantaged groups to water through new management authorities*
- B3.3 *Southern Africa (Lyne): identify different trends in different modes used to redistribute land to disadvantaged people.*
- B3.4 *Comp. Grant (Carter): Identify constraints that limit the capacity of the poor to accumulate and lift themselves from poverty.*
- B3.5 *CAM (Carter): Assessment made of impact of land reform program on women's property rights, resources allocation and consumption (nutrition and education) decisions.*
- B3.6 *Comp. Grant (Barrett): Identify constraints to asset income diversification among vulnerable rural populations in Africa in comparison to access to factor markets*
- B3.7 *Horn (Little): Identify factor market determinants of improved income and food security*
- B3.8 *Horn (Koopman): Assessment made of impact of participation in irrigation project design and management on land and water resource access for individuals across gender and socio-economic groups.*
- B3.9 *CAM: (Conning): Identification of possible policy responses to distorted factor markets, including safety net provisions*

BASIS Results Framework

SECONDARY Special Objectives

B4. Improve food availability and human nutrition

B5. Achieve sustainable economic growth and agricultural development

B6. Broaden access of the poor and socially disadvantaged to economic growth and food security

Linkages

L4.1 Sustainable technologies and policies that enhance food availability and nutrition adopted
L4.2 Coordination between agricultural and nutrition policy improved
L4.3 Physical and market infrastructure improved

L5.1 Rural-urban market linkages improved
L5.2 Policies and practices that enhance the long-term conservation of natural resources designed and adopted
L5.3 Policies and practices that enhance long-term conservation of natural resources adopted

L6.1 Access to economic opportunity Increased
L6.2 Higher wages or improved working conditions
L6.3 Improved incomes and livelihoods
L6.4 Higher agricultural productivity
L6.5 Improved nutrition

Intermediate Results

B4.1. *Horn (Little): Identify factor market determinants of improved income and food security*
B4.2. *Horn (Johnson-Welch): Analyze institutional initiatives and experiences in linking agriculture with human nutrition*
B4.3. *Horn (Roth/Little): Identify the nature and importance of linkages between agriculture policy and nutrition.*

B5.1 *Central America (Gonzalez-Vega): Factors that influence the choice of location on fragile lands identified.*

B6.1. *Horn (Little): Identify mechanisms by which cross-border trade influences regional food security.*
B6.2. *Horn (Johnson-Welch): Analyze factors that contribute to successful institutional efforts to link agriculture and nutrition as a means of achieving food security objectives.*

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