

## International Trip Report: Kenya and Madagascar

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- Dates:** 26 January - 4 February 2002
- Itinerary:** 26-27 January: travel from Ithaca to Nairobi, Kenya  
 28 January – 3 February: meetings in Nairobi with BASIS, GL CRSP and prospective SAGA collaborators, USAID, KARI, KEFRI, IPAR, University of Nairobi, ICRISAT, ICRAF, Food for the Hungry, CARE, Rockefeller Foundation, etc.  
 3-4 February: travel from Nairobi to Ithaca
- Objectives:** The purposes of the trip were, roughly in chronological order, (1) to meet with the BASIS CRSP project site teams from Kenya and Madagascar to review data collection and analysis issues prior to the final design and fielding of project surveys in the coming months, (2) to meet with prospective SAGA collaborators at IPAR and the University of Nairobi in Kenya, and at CEE in Madagascar, (3) to brief USAID-Kenya, USAID-REDSO, USAID-FEWSNet and USAID-Madagascar staff on BASIS and SAGA, (4) to visit with GL CRSP PARIMA project collaborators McPeak, Chabari and Smith on research papers currently underway, (5) to visit BASIS CRSP field sites in Fianarantsoa and the Vakinankaratra in Madagascar, (6) to hold BASIS pre-study project workshops with stakeholders in Fianarantsoa and Antananarivo, and (7) to meet with Dr. Dan Maxwell to work together on a book on food aid we are coauthoring. The USAID/Washington BASIS CRSP project officer, Ms. Lena Heron, joined me in Nairobi 30 January, intending to accompany me throughout the Madagascar portion of the trip.

### SUMMARY RESULTS

Although the Kenya side of the trip was highly successful, overall the trip was a great disappointment because we (Lena Heron and I) were unable to enter Madagascar. In the wake of the contested December election results, the nation's highest court ruled in favor of the (losing) government candidate that there must be a two-candidate run-off election to decide the final results. The challenger, the mayor of Antananarivo, the capital (and main) city, called for a nationwide general strike and the country just ground to a halt. All flight service was interrupted from Monday-Saturday, with international service

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only partially restarted Saturday and domestic service still postponed. The central bank went on strike and so the commercial banks ran out of money on Jan. 31<sup>st</sup>, the monthly pay day. Estimates were of up to 750,000 people protesting in the streets of Antananarivo. Logistical problems called into question fuel availability outside Antananarivo as well as security in some rural areas (including Fianarantsoa faritany, where we were to visit). I had repeated email exchanges and telephone calls with our collaborators and hosts in Madagascar. At their urging, we postponed the trip as it did not appear that we would be able to visit any of our field sites nor to hold either of the planned pre-study stakeholder workshops. Dr. Bart Minten, Cornell's chief of party in Madagascar and a key player in our BASIS and prospective SAGA efforts in the country, was also trapped outside as his return flight from the UK (where he was working with Marcel Fafchamps on our Ilo project trader survey data) was cancelled. As of 4 February, he was still stuck in Europe and not sure when he would be able to get back into Madagascar. So the opportunities to even make much progress in our work through individual or very small group meetings likewise seemed quite limited and certainly not worth the cost in terms of time or resources or the risk of not being able to get back out in a timely fashion. The opposition is calling for even larger disturbances on Feb. 4 and 5 following a planned lull over the weekend. This turn of events was a great disappointment. We will have to wait to see what the implications are for the timeline and workplan in Madagascar for both BASIS and SAGA.

Now on to more upbeat news. The BASIS Kenya site teams held an intensive one-day meeting to hammer out data collection protocols, questionnaire content, division of responsibilities on data analysis, details of the June 2002 team meeting in Kakamega, the bioeconomic modeling course (both the 2-day short course to be held at ICRAF-Nairobi in June and the 2-week course to be held in Ithaca in October). This was followed up by meetings among the project leadership (Murithi, Place, myself) on administrative issues, follow-up discussions with John McPeak and Frank Place on survey methods for this effort, and informational visits with various USAID officials (FEWS, Kenya mission, REDSO) and KARI's Deputy Director for Research and Technology (Dr. Ephraim Mukisira) in the company of Ms. Lena Heron, USAID/Washington BASIS CRSP program officer. See the 28 January Kenya team meeting notes (Appendix 1). We made very good progress and the Kenya efforts are on schedule.

The trip afforded about one day cumulatively to work on USAID GL CRSP PARIMA project matters with John McPeak, the project's post-doc in Kenya. We worked on the initial draft of the survey codebook, on the crop-livestock integration and herd and transfer recall modules, on data with the education module, and on a modeling paper on transfers and migration choice. I also met with Francis Chabari (now with CORDAID's regional unit in Nairobi) about our livestock pricing work under PARIMA. I also visited with Kevin Smith (now an independent consultant in Nairobi) about follow-up work in the Baringo and Samburu sites he will be undertaking for Peter Little's BASIS project and prospective qualitative work he might undertake for our project. Smith is under consideration for the ASAL Adviser position (to Meg Brown) at USAID/Kenya (position presently held by Calum McLean,

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who is departing for a UN job in Nairobi). It could be very convenient were he to take over that slot. Finally, John McPeak and I visited with FHI, an international NGO working in Marsabit District, about their planned efforts in our study region.

Very good progress was made in negotiating a prospective workplan under SAGA were Kenya designated one of the core research countries. IPAR is quite keen on SAGA and believes we can put together quite a nice policy-oriented research program on the risk and vulnerability and empowerment and institutions themes. They already work with USAID-Kenya's democracy and governance group on the latter topic (regarding decentralization and community empowerment). USAID-Kenya expressed interest and said they will respond favorably to USAID/Washington on this. USAID-Kenya also expressed interest in the health and nutrition theme, especially as it regards the economic effects of HIV/AIDS in Kenya. USAID-Kenya works closely with Tegemeo in the economic growth and agriculture arena and would probably like to see Tegemeo involved somehow in SAGA. USAID's FEWS Net also expressed much interest in the SAGA risk and vulnerability theme. Lena Heron and I had a series of discussions as to how best to pitch SAGA to country and REDSO missions, on what sorts of outputs would be most enthusiastically received by USAID/Washington, and on what the new USAID reorganization probably means for SAGA. The bottom line is that we need to use this program to do the sort of first-rate, long-term, policy-oriented research country missions and REDSOs cannot afford to undertake, but to tie it directly back to country circumstances. Lena Heron suggested that our country conferences include observer/participants from countries with similar situations (perhaps funded by REDSO as "regionalization" activities) and that our thematic conferences include a day of brainstorming on the particulars of countries outside the core (i.e., hold the meeting at a SISERA institution from a non-core country and have part of the program be an exercise in drawing out the lessons from the thematic studies for policy in the host, non-core country). She also encouraged us to seek mission funding for such policy conferences, as the missions really need/want to see some discrete activity if they are to be attracted to add-on/buy-in funding in the current USAID environment. She is going to talk with Rita Aggarwal about the favorable opportunities in Kenya and about prospective linkages to the BASIS CRSP (e.g., its 2003 poverty traps conference).

### **Notes on specific organization/individual meetings:**

**Alternatives to Slash-and-Burn Systemwide Program of the CGIAR:** Lena Heron and I met with Tom Tomich, ASB coordinator based at ICRAF headquarters in Nairobi. He is quite keen on the BASIS project; liked the policy brief quite a bit. They have had very good success with their briefs series as well as with a very nice series of one page "voices" circulars in which they profile and individual or household to underscore the issues around which their research is focused. Tom expressed considerable interest in Doug and Carolyn Brown's work with the ASB team at IITA-

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Cameroon. The current FLORES modeling exercise has tons of data and most of the biological relationships pinned down well, but they lack a convincing human behavior module, especially one based on optimization behavior. He hopes that this work would be able to address meso-scale interventions (e.g., building a road). He strongly urged Carolyn to contact his ICRAF-Nairobi colleague Diane Russell, an anthropologist who has just finished a study on CBNRM and has strong interests in the Congo River basin. Tom also expressed an interest in perhaps attracting Doug and Carolyn to ASB post-doctorally, especially if they expand into DRC, as is presently being discussed. Finally, with reference to the BASIS research, Tom recommended looking up the work done at Stanford in the 1980s by Scott Pearson, Wally Falcon and Andy Mason on “pockets of poverty” in Java, Indonesia, where they studied why certain groups and locations were largely bypassed in that country’s rapid economic growth.

**CARE:** Dan Maxwell and I spent several hours together working on our new book project on food aid. We got a detailed, four page outline put together for distribution to prospective presses, identified potential publishers and reviewers, and completed a timeline for the project. Dan expressed interest in the prospective SAGA conference on reducing risk and vulnerability in rural Kenya. CARE is in the midst of revising its worldwide guidelines on combating chronic vulnerability. They are doing some very creative thinking based on extensive field experience throughout the region and globally. This could be a very useful input into our own research programs under SAGA, PARIMA and BASIS.

**Famine Early Warning System Network (FEWS Net):** (PO Box 66613, D/4 Peponi Plaza, Peponi Road, Westlands, Nairobi, tel: 350523/4/5, 750899, fax: 750839, [www.fews.net](http://www.fews.net)). Met with Nick Maunder, the regional FEWS NET representative for the Greater Horn of Africa. Chemonics won the new FEWS NET contract from USAID and has shifted the emphasis to regional networking. They are focused on acute vulnerability and see considerable complementarity with projects such as PARIMA and BASIS that emphasize chronic vulnerability. He is also quite keen on the idea of a SAGA policy-oriented conference on reducing risk and vulnerability in rural Kenya. In underscoring the problem of chronic vulnerability, Nick points to the case of Ethiopia, where there has been a bumper harvest this year, yet 5 million people are legitimately on the food aid roster nonetheless. He (like Dan Maxwell of CARE) encouraged us to make contact with Kay Sharp and Steve Devereux at IDS-Sussex to find out more about Kay’s dissertation research on poverty traps in the Ethiopian highlands. FEWSNet is working on a vulnerability assessment tool (not an early warning tool) based on a “food economy” approach wherein they describe livelihood options within zones, disaggregating the population into wealth strata, and explore how these options are evolving and with what effect on vulnerability. He’ll send me some materials on this. They’re also looking into conflict early warning systems on the hypothesis that natural resources conflict is a key driver of violence. ACTS and ECAPAPA are doing related work (see their web sites).

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**Food for the Hungry International** (FHI, PO Box 14978, Nairobi, tel 254-2-726047/8, fax 254-2-576925, email:tmahiri@fhi.net): John McPeak (GL CRSP PARIMA project post-doc) and I met with a team from the (Geneva-based) NGO Food for the Hungry International (FHI) for 90 minutes (Tobias Mahiri, Interim Director; Rob Paterson, Food Security and Community Development Programme Consultant; and Huka Duba, FHI food security manager, Marsabit). FHI has been running a largely unsuccessful agricultural development project focused on crop production in Marsabit District, an arid area of northern Kenya. At the encouragement of USAID-Kenya, which funds them using Title II monetization receipts, FHI is now writing a new five year project focused on livestock marketing and production in the Marsabit and Moyale Districts. They asked John and I a lot of questions about PARIMA's findings on marketing and our thoughts on what are the highest return investments in the livestock marketing system. The discussion emphasized the importance of systemic issues such as the roads, security and the market power of the core trading groups (largely Burgi ethnic traders) – all issues well beyond the reach of any NGO – and the possibilities for transport subsidies, use of food aid backhaul capacity, improvement of trekking routes, organization of market days and auctions, and promotion of pastoralist marketing cooperatives.

**ICRISAT (ICRAF campus, Gigiri)**: I met with Dr. Ade Freeman, head of ICRISAT's impact assessment unit, for about 90 minutes to discuss ICRISAT's ongoing work with Frank Ellis and the Overseas Development Group (ODG) at the University of East Anglia on rural livelihoods and poverty reduction in 37 villages across Kenya, Uganda, Tanzania and Malawi. This integrated qualitative-quantitative work is funded by DFID under the LADDER (Livelihoods and Diversification Directions Explored by Research) project. They have DFID and RF funding for a two-day conference in Nairobi in January 2003 to present their project results on rural household income diversification and what policies and institutions facilitate or impede the rural poor's climb out of poverty. They have asked Michael Lipton (Sussex), Deborah Bryceson (Leiden) and me to come serve as the outside commentators on the work. The project involves key government players in the PRSP process in each of the four countries as well as several NGOs.

**Institute of Policy Analysis and Research (IPAR, 15<sup>th</sup> floor, Ambank House, University Way, PO Box 45843, Nairobi, tel: 254-2-251179/252885/331767, fax: 254-2-251162, [www.ipar.or.ke](http://www.ipar.or.ke), email: [pkimuyu@ipar.or.ke](mailto:pkimuyu@ipar.or.ke))**. Willis Olouch-Kosura, John McPeak and I met with Prof. Peter Kimuyu, Executive Director, and Dr. John Omiti, Senior Research Fellow, for an hour or so in IPAR's offices and then for a long lunch. IPAR is the SISERA affiliate institution in Kenya. They have five senior research staff and four research themes. They are very keen on SAGA and will approach USAID later this week to express their enthusiasm for getting Kenya designated as one of the core SAGA countries when they have meetings with the USAID democracy and governance group, as well as through the ag/business/environment group and the Mission Director (who Peter knows well). IPAR has been actively involved in the PRSP (poverty reduction strategy paper) and KRDS (Kenya Rural

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Development Strategy) processes; Omiti is part of the core working group on the KRDS. We agreed to jointly author a 2-4 page concept note by early March outlining the work program IPAR and Cornell would jointly pursue in Kenya under SAGA. Omiti will take the first cut at this, then send it to Kimuyu, Olouch-Kosura, McPeak and me. We will focus this around two of the SAGA themes: risk and vulnerability and institutions and empowerment. The idea would be to pursue a suite of interrelated studies and policy briefs that could culminate in major policy conferences and edited volumes (published locally) on “Reducing Risk and Vulnerability in Rural Kenya” and “Empowering the Rural Poor: Institutional Innovations in Rural Kenya”. The former would address issues of post-liberalization market risk for crop and livestock producers and traders (maize, coffee, milk, livestock, tea have all been subjects of considerable concern in recent years), climate risk, and vulnerability to insecurity and health shocks. This would include some exploration of how famine relief programs really work (e.g., targeting efficacy, effectiveness in precluding disposal of productive assets as a coping strategy by the poor) and with what ex post effects, the changing nature of traditional insurance arrangements, and risks created by changing land tenure institutions. The latter effort would look at efforts to form farmer and trader associations, attempts to secure a voice in the political process for pastoralists, collective action institutions in poor communities in Kenya, etc. The USAID Democracy and Governance program should be very interested in this latter effort, as would the Rockefeller Foundation.

We agreed that the objective of the SAGA effort in Kenya should be to undertake first-rate research that directly informs the ongoing PRSP and KRDS processes. In order to succeed in impacting on policy design and implementation, it will be crucial to involve key government agencies (e.g., Ministry of Agriculture and Rural Development, Kenya Agricultural Research Institute), other key Kenyan think tanks (e.g., KIPPRA, Tegemeo), and select other NGOs and university researchers and groups (e.g., CARE, U. of Nairobi agricultural economics department, Institute for Development Studies) from the outset. The plan, therefore, is to develop the brief concept note by March and begin circulating it to key prospective stakeholders for their input, then to hold a planning meeting with the group in early June in Nairobi to agree on a timetable and design for the ensuing 4+ years, including a proposal to USAID for buy-in funding on research above and beyond what the meager core SAGA project can cover. Willis Olouch-Kosura, John Omiti and I met socially with Dr. Chris Ackello Ogutu (University lecturer, UC-Davis Ph.D. with Antle and McCalla) to talk about some of these ideas.

**International Centre for Research on Agroforestry (ICRAF):** Met with Frank Place. ICRAF sits on many data sets that are severely underutilized. They would welcome student exploitation of these data for theses. They would also be keen to explore possibilities for strategic linkages with Cornell on research and training. Access to library materials is an ongoing problem for ICRAF and they would welcome some sort of arrangement under which they might get access to a first-rate university library system. Frank described some of their emerging work with handheld spectrometer that can break down the spectral measurements of reflectance into key soil degradation parameters related to N, P, C,

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SOM content. They've now got this calibrated to most of the soils found in western Kenya and have come up with useful degradation indices. There may be a good opportunity to integrate this with our BASIS survey work. Frank will check on the availability and cost of doing this in our sites (at least the western Kenyan ones). He will also send Ben and me the Siaya/Vihiga baseline data on 120 households, the useful constructed variables from the 1989 Madzu survey, and will have Willis send the raw data from the 1989 Madzu survey. Be aware that the data definitions are embedded in the SPSS files; we will want to export these into a codebook in .pdf format. Frank, Festus and I discussed data storage and access. There's no concern about making all the baseline data and these new rounds fully available to all team members through a Cornell-based FTP site on which we will store both data and papers. We also discussed data entry and cleaning, agreeing that all data entry and initial cleaning (e.g., validity checks) will take place on site (by Phiri in Madzu, at Maseno in Siaya/Vihiga, at Embu RC for Embu). Data and questionnaires will then go to U. Nairobi, KARI, ICRAF and Cornell. It will be good to get Heidi working on the Embu site with Jemimah, with Justine working on Siaya/Vihiga and Phiri working on Madzu. Frank will check with Jemimah as to how best to integrate her into the work (e.g., as a consultant, a coauthor, both ...). On the qualitative work for BASIS, we agreed that we should do some focus group discussion to tease out community level factors and trends in addition to household-specific oral histories as a follow up to the quantitative survey work. Frank and Willis have a couple of people in mind for the western and central Kenya work. Frank will update the qualitative proposal and they'll try to fund that through U. Nairobi as a separate grant (from DFID perhaps). For the Baringo and Marsabit sites, I will email Hussein, David Amudavi and Winnie Luseno on their availability to do this too. Eunice, one of our Ngambo enumerators, would be able to do this well with a little supervision in that site (by David or Winnie or Hussein?). Finally, we will begin to develop an outreach distribution list using the ECAPAPA stakeholders' directory (which is apparently very comprehensive), MoARD, IPAR, Tegemeo, KIPPRRA, FEWS, CARE, FHI, CCF, World Vision, USAID, World Bank, and other international and indigenous NGOs working in the area.

I met with Brent Swallow, director of ICRAF's Programme One, and discussed the intersection of our BASIS project's focus on household-level poverty traps and his interests in community-level poverty traps in Indonesia. Along with Lena Heron, we encouraged him to look into a BASIS buy-in through USAID-Indonesia, which has already expressed considerable interest in this work.

**Kenya Agricultural Research Institute:** Met with Festus Murithi and Frank Place on various logistical and substantive issues surrounding our BASIS research program. We agreed that the BASIS budget allocated to KARI could probably support three students for the bioeconomic modeling course (Obonyo, Odendo, and Ouma), although I'll have Joy check into costs and get back to Festus and Frank to confirm. That would leave two prospective students (Justine and Phiri) unfunded. Frank will work with Willis Olouch-Kosura to get them funded (since both are U. Nairobi Ph.D. students). Lena Heron and I met with Dr. Ephraim Mukisira on broader issues of collaboration and KARI's work

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(much of that discussion was intended to brief Lena on KARI's portfolio of work and its relationship with USAID and other donors). I ran into Helga Recke outside and chatted briefly with her about the EU's ongoing support for the work at KARI-Marsabit. There doesn't seem to be anything especially new to report there. John McPeak's coauthored *Human Organization* article with Immaculate Nduma (and Patti Kristjanson) was singled out for praise by Dr. Kiome, the KARI Director, as precisely the sort of collaboration that KARI needed with outside partners. This clearly buys us a lot of goodwill and political cover within KARI. (Nice job, John!)

**Rockefeller Foundation:** I met with John Lynam and Ruben Puentes socially (for dinner at John's house with Frank Place and Lena Heron) and with Wanjiku Kiragu briefly in the office to drop off materials from the Kenyan RF students at Cornell and to discuss progress with that program. RF is extremely pleased with the Cornell-based training program. Let's see whether the second cohort now materializes.

**USAID-Kenya and USAID-REDSO:** Met with Meg Brown, Julius Kilungo and (separately) Calum McLean of USAID-Kenya and with Dan Evans of USAID-REDSO. USAID-Kenya has a brand new mission director, Kiert Toh, who used to be the mission economist in Kenya and is quite keen on economic analysis. His priorities seem to be on agriculture, microenterprise development and economic growth, with HIV/AIDS and international trade major issues as well. They're trying to expand into pastoralism, but this remains primarily a REDSO activity funded through PL 480 Title II monetization funds. Indeed the gap between the rhetoric and resources on pastoralism is the main reason Calum McLean is not renewing his contract. The Kenya mission is in the process of recruiting a new arid and semi-arid lands (ASAL) adviser (Kevin Smith is one of the candidates for the position). USAID works a great deal with Tegemeo, especially in the agriculture, business and economic growth area; they work with IPAR on the democracy and governance side. Meg Brown indicated that SAGA's themes fit the USAID-Kenya SOs well. The new mission director is concerned to retain control over funds they spend, however, so they would likely only consider add-ons or buy-ins that had explicit, mission-driven scope of work. They don't want to just contribute funds to a Washington-directed activity in the hopes that something of relevance to the Kenya mission SOs comes of it. Issues of risk and vulnerability fit with their SO on raising rural incomes while they likewise have emphases on local empowerment and decentralization (smallholder business organizations, coops, group ranches, self-help groups, farmer and trader associations, microfinance groups, stockholding companies, etc.). Meg suggests that if SAGA does proceed in Kenya, we should also contact Maktar (sp?) Diop, the new World Bank resident representative, who is (like Toh) keen on good economic analysis and on advancing local capacity to do policy-oriented economic analysis. Dan Evans asked about SAGA linkages to regional organizations, and I explained that this would have to be indirect, through SISERA institutions in the region.



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### Appendix 1

#### 28 January 2002 BASIS Kenya Team Meeting Notes ICRAF Headquarters

Attendees: Frank Place, Justine Wangila – ICRAF, John McPeak, Chris Barrett – Cornell, Festus Murithi, James Ouma, Martins Odendo, Peterson Mwangi Ndirangu – KARI , Collins Obonyo – KEFRI, Willis Olouch-Kosura and Phiri \_\_\_\_ - University of Nairobi Dept. of Agricultural Economics

1. Discussed June 2002 Kakamega logistics: ICRAF-2, KARI/KEFRI-3, Cornell-5, Madagascar-3. Drylands – 3, Univ. Nairobi -1. 16 people
  - a. 2-day bioecon modeling course Thurs-Fri 6-7 June @ICRAF (4 from Madagascar, 2-4 from U. Nairobi, 3 from KARI/KEFRI, 2-3 from ICRAF, 2 from Cornell). Ben arrives early to install software, texts, etc. Train with pairs on the computers for intro exercises . Up to 16 students.
  - b. fly to Kisumu Sunday morning and drive to Kakamega, KEFRI/ICRAF vehicles (Collins organizes vehicles, ICRAF arranges flights)
  - c. meeting Sunday PM- Tuesday noon @ Golf hotel (half board arrangements, Martins organizes this)
  - d. field trip Tuesday afternoon to Madzu (Willis' student organizes this) and/or Shinyalu (Martins organizes this)
  - e. Agenda:
    - i. site teams brief on data collection and entry
    - ii. data access/repository arrangements
    - iii. data analysis strategies
    - iv. policy briefs: previews and schedule
    - v. outreach: linkages with policymakers and communities
  
2. Bioeconomic modeling course at Cornell
  - a. Ouma and Odendo from KARI, Obonyo from KEFRI, one from U. Nairobi and Wangila from ICRAF. ICRAF/KARI will try to raise funds to send the extra 2/3 people to the Ithaca course. So we need to plan for 9 students (plus the Cornell students)
  - b. Ben brings materials to Nairobi in June
  - c. Students identified by May 15???
  - d. Get letters/visa interviews by June 1
  
3. Prestudy workshops: not necessary in Baringo and Marsabit because of ongoing work. Need to do a community workshop to introduce the project at KARI-Embu. Ouma will be hold this

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in concert with KARI Centre Research Advisory Committee (CRAC) meetings in Embu (Feb. 28). Present this as a new policy research project. McPeak should be able to present this at the Marsabit CRAC in a few months (dates TBD) or we can incorporate community workshops with PARIMA close-out meetings in Baringo and Marsabit in July/August (Winnie will organize these with John).

4. Data collection and analysis issues (response to Chris' 22 Jan 2002 memo)
  - a. Survey sites:
    - i. Madzu (Vihiga District, formerly Kakamega District), 1989 survey with World Bank . Data is in SPSS format. N=100. Concern here is household migration. Feb 19-20 Willis and Frank and Phiri go to Madzu to check in to how easy it will be to track people down and do a basic census of the area. Second round on assets (march-April). Third round on production outcomes and marketing (June-July).
    - ii. Siaya (60 households, Luo) and Vihiga (60 households, Luhya), originally stratified by wealth tercile. Originally sampled in 1996-97 and some ongoing monitoring of agroforestry. Consumption/ expenditure survey in 1998-99. Assets in late 1999.
    - iii. Embu: Use Jemimah's data on 113 households from 1999 (gender and productivity Sokoine University). Make a reconnaissance visit to Kirinyaga in February/ March. Use old enumerators, which KARI retains anyway. Willis will try to find an MS student to work with Ouma there. Get Heidi Hogset to work in central Kenya with these data? ICRAF has also fielded a major qual-quant survey at multiple levels (individual, household, group, community) on collective action issues here that is largely unexploited and could be very useful for her intended dissertation research.
    - iv. Dirib Gumbo (Marsabit District): 30 households.
    - v. Ngambo (Baringo District): need to do qualitative work on the Turkana refugee community and the agricultural colonization along the river with pump irrigation.
  - b. Protocol on tracking household: among pastoralists, "follow the herd" whoever took most of the assets, for stockless households, go to the senior household member. Among cultivators, go to the person who inherited most of the assets. If these are equally distributed, follow the most senior household member from the original roster who still resides in the community. Enumerate what has happened to all the members from the last household roster.
  - c. We want to recreate history of salaried employment since last survey: household head and spouse; relatedly, reconstruct months when received regular remittances from household members living away from home. Then add an table of annual income

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- rankings: crop income, livestock income, salaried income, nonsalaried labor income, remittances, nonfarm businesses, brickmaking, fuelwood or charcoal.
- d. Soil quality: use 5-point quality scale from Madzu survey, along with 5-point change on subjective judgements of change in soil fertility; reconstruct plot use history over past three years by long/short rains (improved fallows, crops, livestock, manure/green manure/chemical fertilizer); history of land improvements (irrigation ditches, wells, terraces, wind breaks, bunds/ridges, planting trees).
  - e. Assets: include water pump, update educational attainment
  - f. Income/expenditures: Try to adhere to the same timing so as to capture the same seasonality.
  - g. Markets access: market where sold/brought, average time spent to get there, cash costs of getting to/from market, for most recent transaction and for biggest value transaction over past year: quantity, price, to whom sold, time to payment
  - h. Production: on livestock ask for last completed lactation cycle: average milk output/day, duration of lactation (weeks) for each animal, feed purchased, cut and carry (napier), veterinary costs (AI, medicines, vet care). On crops, plot by plot, inputs purchased (be sure to capture purchased inputs in the market access section), animal/mechanical traction, fertilizer application, manure, # weedings, date of planting, time to first weeding, seed type (purchased vs. retained). Do labor on a whole farm basis: household and hired, male, female and child. (total days worked by season, total cash spent by season)
  - i. Finance: Borrowing (formal and informal) in the past year: amount, interest rate, collateral, source, duration, for what purpose. If no borrowing, have you ever borrowed? If yes, why didn't you borrow last year? If no, could you borrow? (if not, why not?) Would you have liked to have borrowed more at the same interest rate? If so, what would you have spent it on? Credit in kind (food, inputs, school fees, medical treatment, etc.)?
  - j. Major negative/positive events: Add in land loss due to landslide, seizure, foreclosure, insecurity, gazetting. Add in unexpected windfall: children's scholarship, bridewealth payments, won lottery/sweepstakes, inheritance, NGO beneficiary, securing permanent salaried employment (or major improvement in job). What did you do with the windfall? Simplify the coping list: did you borrow money? Did you sell off productive assets (land, livestock)? To replace loss or to meet current needs?
  - k. Qualitative work: how do markets work? Why don't certain people use particular markets?
  - l. Data entry/cleaning:
  - m. Students/analysis: Have a Cornell student work on Embu? Heidi? Use Jemimah's data set since KARI/ICRAF have no comparative advantage here.

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### **5. Data access and ownership issues**